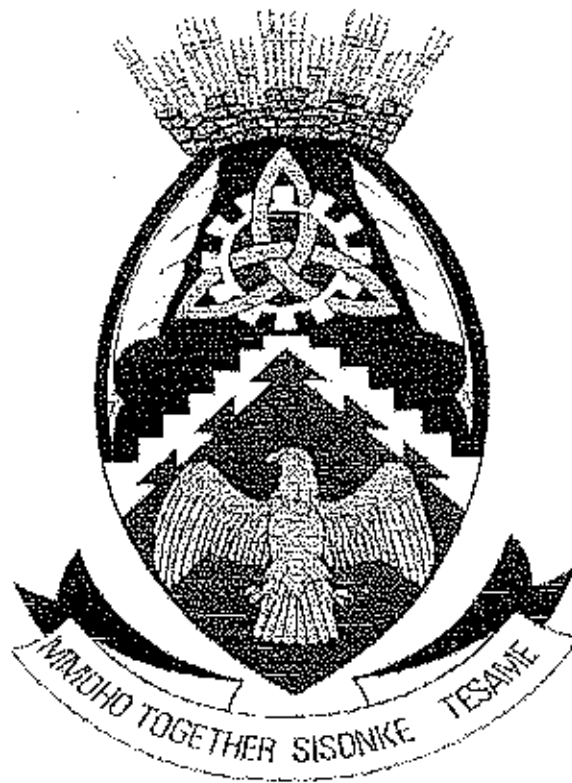


MATJHABENG

LOCAL MUNICIPALITY



DRAFT EMPLOYEE PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM (EPMDS)

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ACRONYMS

| | |
|---------------|---|
| AAP | Assessment Appeal Panel |
| CAR | Confirmed assessment rating |
| CMC | Core management criteria |
| CCR | Core Competency Requirements |
| MM | Municipal Manager |
| SALGA | South African Local Government Association |
| EA | Executive Authority |
| HOD | Head of Department |
| HRD | Human resource development |
| HRM | Human resource management |
| KPA | Key performance area |
| KPI | Key performance indicator |
| SDBIP | Service and Budget Implementation Plan |
| IDP | Integrated Development Plan |
| MEC | Member of the Executive Council |
| MTEF | Medium Term Expenditure Framework |
| MMC | Municipality's Moderation Committee |
| PA | Performance agreement |
| PAR | Provisional assessment rating |
| PDP | Personal development plan |
| PFMA | Public Finance Management Act, 1999 |
| PMDS | Performance Management and Development System |
| SALGBC | South African Local Government Bargaining Council |
| SALGA | South African Local Government Association |
| IMATU | Independent Municipal and Allied Trade Union |
| SAMWU | South African Municipal Workers Union |
| MSA | Municipal Systems Act |
| MFMA | Municipal Finance Management Act |
| LGTAS | Local Government Turn-around Strategy |
| VAR | Validated assessment rating |

GLOSSARY OF TERMS

Annual performance rating: The annual performance rating as part of an employee's assessment that takes place at the end of the performance cycle. The result of this rating is the overall annual performance score for the employee during the entire performance cycle.

Assessment instrument: An assessment tool used to assess the performance of an individual employee in relation to the achievement of key result areas and core management criteria or generic assessment factors as contained in the work plan of the performance agreement.

Attribute: An attribute (as part of a competency) is generally defined to consist of motives, traits and self-concept.

Baseline: A baseline is a previous measure of performance achieved in respect of a KPA or KPI that serves as a comparison point for purposes of tracking variations and improvements over time.

Competence: Relates to an employee's capacity to meet the job requirements (job competence).

Competency: A competency is a particular mix of knowledge, skills and attributes required to effectively perform a job/task/role.

Confirmed assessment rating: The assessment score for an employee that has been confirmed by the departmental Moderating Committee (see also validated and provisional assessment rating).

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

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

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

Evidence: Evidence refers to documents i.e. Concrete proof that must be produced at the time of review to indicate the extent to which the employee has achieved the required KPIs.

Executive Authority: In relation to a department, government agency or institution, the President, a Minister, Premier or Member of the Executive Council.

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

Main Collective Agreement: In accordance with the provisions of the Labour Relations Act, 1995 made and entered into by and between SALGA, IMATU and SAMWU.

Integrated Development Plan: Integrated Development Planning is the strategic document of a Municipality.

Service Delivery Budget and Implementation Plan: (SDBIP) is a detailed plan for implementing the Municipality's delivery of service and the execution of its annual budget.

Key Performance Area (KPA): A key performance area is are strategies that are adopted to achieve the IDP and business plan of the different departments in the municipality

Key Performance Indicator (KPI): A KPI is a measure of performance that allows you to determine progress and achievement. The KPI can be developed at different levels (output, outcome, impact).

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

Operational plan(s) (or business plan: A one-year plan derived from and giving 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 the Municipality and its Departments.

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.

Input: They measure what inputs have been made towards achieving the objective and they are most relevant to the day-to-day operations of a Municipality.

Performance: Human performance involves (1) employee 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 behavior of a performer in the work process.

Performance appraisal/assessment: The measurement, assessment, rating or appraisal of employee performance. The formal annual process is usually referred to as performance appraisal or assessment, while more informal processes are referred to as performance review.

Performance cycle: A 12-month period, for which performance is planned, managed and assessed. It must be aligned to the same period as the Municipality's IDP's annual business plan i.e. 1st July to 30th June of the following year.

Performance incentives: A set of (a) financial rewards linked to the results of performance appraisal, including pay progression, performance bonus, and (b) a variety of non-financial rewards that may be contained in the municipality's performance incentive scheme.

Performance incentive scheme: A performance related incentive scheme aligned with its performance management system.

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 managing and developing 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 managing performance within an agreed framework of planned goals, objectives, standards and incentives.

Performance management system: An authoritative framework for managing employee performance, which includes the policy framework as well as the framework relating to all aspects and elements in the performance cycle, including performance planning and agreement; performance monitoring, review and control; performance appraisal and moderating; and managing the outcomes of appraisal.

Performance standard: 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, quarterly (September, December and March) 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 quarterly reviews must be in writing.

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.

Process: Describes how municipalities use their resources in producing services. They cover the activities and operations that convert inputs into outputs.

Provisional assessment rating (PAR): An employee's total assessment rating score that has been agreed upon between the employee and her/his supervisor.

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

Target: A target refers to the desired level of performance.

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 Municipality.

Strategic planning: 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.

Supervisor: An official responsible for the allocation of work, monitoring of activities, discussing performance and development, and the half-yearly performance review and annual performance rating of an employee.

Validated assessment rating (VAR): The performance rating for an employee that has been

validated by an assessment higher than the employee's supervisor for submission to the Departmental Moderating Committee.

Weight: Weightings are assigned to KPAs and KPIs. Each KPA and KPI must have an associated weighting. The highest weighting is allocated to the most important KPA. The combined weights must add up to 100%.

A Performance Plan: sets out the performance objectives and targets that must be met by the Employee; and the time frames within which those performance objectives and targets must be met.

1 INTRODUCTION

The Employee Performance Management and Development System (EPMDS) have been designed to assist with performance management for employees below section 56/57 in the municipalities.

Key role-players in the performance management process are identified. Should these "roles" not be present in municipalities 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 Department of (ABC)" appears in the text, or annexures the name of the specific department must be substituted.

Four main levels are involved in performance management: At the organisational level the Council, Mayor, Municipal Manager and the Manager PMS/Manager HR determine the strategic priorities and overall key result areas of the department, while objectives are identified for the priorities and assigned to components within the municipality. At the component level components undertake the execution of projects and activities that lead to the achievement of the integrated development 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 EPMDS are the following:

The institutional framework determines responsibilities for specific aspects of the EPMDS. With the Strategic Plan as basis, the municipality is able to identify high-level priorities and specific objectives to be achieved by each department. Performance Agreements enable the municipality to assign specific performance objectives and targets to 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 EPMDS 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 HRM department in the municipality.

2 SCOPE AND APPLICATION

The EPMDS is a framework for performance management that applies to all employees in the municipality below section 56/57 managers. While it shares similarities and must be linked with the section 56/57 EPMDS it is a distinct policy framework and system.

3 LEGAL FRAMEWORK

The development and implementation of a performance management policy and system for the municipality strategically aligns to various legislations.

- **Constitutional Mandate, Chapter 10 Section 195 (1)** – Basic values and principles governing public administration:
 - Good human-resource management and career-development practices, to maximise human potential, must be cultivated;
 - Efficient & effective use of resources must be promoted, and
 - Public administration must be accountable.
- **Batho Pele Principles no. 8**
 - Value for Resources;
 - Proper & wise use of resources; and
 - Efficiency Savings & Improved Service Delivery.
- **White Paper on Local Government, 1998** states that *a performance management system would provide early warnings where municipalities are experiencing difficulties, and enable other spheres of government to provide appropriate support before a crisis develops. Furthermore it would enable municipalities to compare their own performance with that of similar municipalities across the country, identify successful approaches or "best practice and learn from one another".*
- **Municipal Systems Act 2000, Chapter 6 (38)** – Establishment of a performance management system. A municipality must:

- Establish a performance management system that is:
 - Commensurate with its resources;
 - Best suited to its circumstances; and
 - In line with the priorities, objectives, indicators and targets contained in its IDP.
 - Promote a culture of performance management among its political structures, political office bearers, Councillors and in its administration.
- ***Municipal Performance Management Regulations, 2001*** describes the nature of a performance management system municipalities must develop and implement. Such a system must:
- Comply with all the requirements set out in the Municipal Systems Act 2000;
 - Demonstrate how it will be operated and managed from the planning stage up to performance monitoring, reviewing and reporting stages;
 - Define the role and responsibilities of each role player, including the local community, in the functioning of the system;
 - Clarify the processes of implementing the system within the framework of the integrated development planning process;
 - Determine the frequency of reporting and the lines of accountability for performance;
 - Link organisational performance to Employee performance;
 - Provide for procedure by which the system is linked with the municipality's integrated development planning processes; and
 - Show how general key performance indicators will be incorporated in the municipality's planning and monitoring process.
- ***Municipal Finance Management Act no32 of 2000, Chapter 6:***
- Establish a performance management system;
 - Development of a performance management system;
 - Monitoring and review of performance management system;
 - Community involvement;
 - General key performance indicators;
 - Audit of performance measurements; and
 - Annual performance reports.

Specific sources of authority for various elements of performance management are:

- The Constitution of the Republic of South Africa, 1996
- The Public Service Act, 1994, as amended
- The Public Service Regulations, 2001 (Chapter 1, Part VIII)
- 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
- Relevant collective agreements
- Relevant directives issued by the MPSA and, departmental policies

4 AIMS OF PERFORMANCE MANAGEMENT

The vision of performance management is to create an enabling environment that will allow staff and the organisation to perform at its highest level.

4.1 Purpose

For the purpose of this EPMDS, performance management is aimed at planning, measuring, and monitoring, implementing and improving employee performance. The aim of performance management is to optimise every employee's output in terms of quality and quantity, thereby improving the municipality's overall performance and service delivery.

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 municipality;
- improve service delivery;
- ensure that all employees know and understand what is expected of them;
- promote interaction on performance between employees and their supervisors;
- identify, manage and promote employees development needs;
- evaluate performance fairly and objectively;
- Provide early warning signals.
- recognise categories of performance that are fully effective; and
- manage categories of performance that are not fully effective and unacceptable performance.

4.3 Benefits of Performance Management

- Improved service delivery.
- Increased employee responsibility.
- Equitable treatment of employees.
- Enhanced quality of work life.

4.4 Principles

The key principles underpinning effective performance management are the following –

- Departments shall manage performance in a consultative, supportive, all inclusive 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 transparent and objective;
- Performance management procedures should minimise the administrative burden on supervisors while maintaining transparency and administrative justice

5 THE PERFORMANCE MANAGEMENT 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 and measuring;
- Performance assessment or appraisal;
- Managing the outcomes of assessment;
- Reporting (monthly, quarterly, midyear and annually).

The performance cycle is a 12-month period for which performance is planned, executed and assessed.

The performance of each **Employee** in relation to his/her performance agreement shall be reviewed on the following dates with the understanding that reviews in the first and fourth quarter may be verbal if performance is satisfactory:

| | |
|-----------------------|---------------------------|
| <i>First quarter</i> | <i>July – September</i> |
| <i>Second quarter</i> | <i>October – December</i> |
| <i>Third quarter</i> | <i>January – March</i> |
| <i>Fourth quarter</i> | <i>April – June</i> |

It must be aligned to the same period as the municipality's IDP i.e. 1st July to 30th June 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 awards or cash bonuses. The probation cycle, however, is linked to the appointment date of the employee.

6 PERFORMANCE PLANNING AND AGREEMENT

6.1 The performance agreement (PA)

The performance agreement is the cornerstone of performance management at the individual level. All employees must enter into and sign performance agreements before the end of the first quarter of the new cycle. Municipal and department performance measures should inform the development of the individual employee's PA. The PA applies to all levels in the municipality and the contents must reflect the municipality's IDP and annual operational plan, department's operational plans, the employee's job description and job profiles.

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

- **Employee data** such as the employee number, job title and level, as well as a description of the employee's **job profile**, with emphasis on the main objectives, job purpose, key performance areas (KPAs).
- **A workplan** containing the KPAs, outputs, activities and resource requirements.
- **A personal development plan (PDP)** that assists in identifying developmental areas and needs of the employee, as well as methods to improve these.

If an employee changes jobs during the performance cycle, but remains at the same level, a new PA must be entered into for the new role and the performance assessment should take both periods into consideration. Only supervisors and section 56/57 managers are authorised to enter into a performance agreement with another employee on behalf of the municipality. The PA, especially the workplan, should be re-negotiated if the employee has not been in the position 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 attached workplan should be regarded as invalid and of little use in the performance management process.

6.2 The Performance Plan

While the performance agreement is the cornerstone of performance management at the individual level, the Performance Plan sets out the performance objectives and targets that must be met by the **Employee**; and the time frames within which those performance objectives and targets must be met.

The criteria, upon which the performance of an employee is assessed, consist of **Key Performance Areas (KPAs)** and the **KPI** which are contained in the PA. Each employee must be assessed against this area.

The employee's performance must be assessed against KPAs covering the main areas of work and will account for 100% of the final assessment.

KPAs 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 performance plan the KPAs 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. KPAs 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.

Although there is no limit to the number of KPAs to be included in a PA, they should preferably not exceed five. Each KPA should be broken down into measurable outputs and/or duties/responsibilities and activities. Each KPA should be weighted (in %) according to the importance it has in the employee's/member's job. The weighting of all the KPAs should add up to 100.

It is necessary to determine KPIs, which define what needs to be measured in order to gauge progress towards achieving the development objectives. KPIs must be

measurable, relevant, simple and precise. They simply define how performance will be measured along a scale or dimension

KPIs can also be used to:

- Communicate the achievements and results of the municipality.
- Determine whether a municipality is delivering on its developmental mandate.
- Indicate whether the organisational structure of a municipality is aligned to deliver on its development objectives.
- Promote accountability by the council to its electorate.

6.3 Personal Development Plan (PDP)

The PA must include a Personal Development Plan. 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 KPI 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 KPIs included in this EPMDS 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.

6.4 Prolonged absence and staff movement

Absence during the cycle

Normal periods of leave for example vacation leave and/or short periods of sick leave do not usually interfere unduly with the employee's performance management cycle. In the case of other forms of absence for a continuous prolonged period of time, supervisors and employees should have a discussion to reach mutual agreement on the ability to execute a meaningful rating for that period or for an annual assessment. If it is not possible to make a meaningful review or annual rating, it must be indicated in writing. New performance plans may also need to be developed on return from a prolonged absence. While an employee is not penalised for any form of formally approved leave, it is also true that an employee who

has been absent for a prolonged period, has not rendered the same extent of service as an employee who did not have such prolonged leave.

This usually becomes an issue when bonuses are considered. In this regard the principle is that "doing all the work" translates to a 3-rating ("effective performance") for which an employee receives a full salary. Supervisors must carefully consider the rating and assessment of an employee who had been on prolonged leave of absence, to balance the rights of those who were absent with the contribution of those who had to do more work because others were absent.

Acting in higher positions

When an employee is appointed to act in a higher position for shorter than six weeks, the performance plan should be based on the post that the employee is permanently appointed to. Depending on the employee's performance during the periods of acting, recognition for performance of the duties of the higher position should be given during the performance assessment, on the performance plan of the permanent post.

When acting in a higher position for longer than six weeks, a performance plan must be compiled for the higher position that the employee would be expected to perform against. The performance of the employee, acting in the higher position, will be assessed in terms of the amended performance plan, against the standards applicable to the level of the employee's permanent position. Performance incentives must be calculated at the salary level of the post, to which the employee is permanently appointed, based on the employee's salary notch on 30 June of the cycle.

Staff movement

When employees are transferred at the same level, it is their responsibility to provide their most recent performance assessment to the new department. Where staff members change jobs within the department during the PMDS cycle, performance reviews related to the employee vacating the post have to be completed prior to moving to the new position. If the employee changing jobs is a supervisor or manager, performance reviews for each employee under her/his control should be completed prior to her/his movement. When an employee is transferred to another department, a progress review discussion will be

conducted for the current PMDS cycle prior to the employee leaving the department. In the case of supervisors, regardless of the reason for their departure, they will be required to assess their staff prior to departure.

Misconduct and suspension

Decisions pertaining to performance rating should be based on an employee's actual performance. In the event of alleged misconduct, some questions need to be posed.

- What was the nature of the misconduct (e.g. financial, management)?
- Was the person found guilty or not?
- If found guilty, what was the nature of the sanction (e.g. discharge, suspension)?
- Did the misconduct and/or the sanction impact on performance?
- Was the employee suspended for a prolonged period?

It is difficult to lay down a general rule and each case must be judged on its own merit. If a misconduct charge, and/or the hearing, and/or any sanctions have a serious negative impact on an employee's performance, it would be difficult to motivate for awarding a 3-rating or higher and therefore for the granting of a performance bonus.

6.5 Amendments to the performance agreement

Performance in the municipality takes place in a dynamic environment. A performance agreement can therefore never be cast in stone. Even though the initial PA is signed at the start of the performance cycle, significant changes and additions must on an on-going basis be reflected in the PA and performance plan.

The PA and performance plan against which an employee is assessed at the end of the cycle must accurately reflect the employee's actual activities and outputs during the entire performance cycle. Amendments must be made to the PA and performance plan and these must be signed and dated by both the employee and her/his supervisor.

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 employee to deal with performance-related problems;
- identify and provide the support needed;
- modify objectives and targets; and
- ensure continuous learning and development.

7.2 Categories of performance and rating scale

The following five categories of performance are used for the purpose of performance rating, review and the annual assessment of employees:

| 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 <u>less than fully effective results against almost all</u> 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 <u>less than fully effective results against more than half</u> 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. The review / assessment indicates that the jobholder has achieved as a minimum <u>effective results against all</u> of the performance criteria and indicators as specified in the |

| Performance Agreement and Workplan | | |
|------------------------------------|--|--|
| 4 | PERFORMANCE SIGNIFICANTLY ABOVE EXPECTATIONS | Performance is significantly higher than the standard expected in the job. The review/assessment indicates that the jobholder has achieved <u>better than fully effective results</u> 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 <u>better than fully effective results</u> against <u>all</u> 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. |

7.3 The five-point rating scale

As illustrated above, the EPMDS utilises a five-point rating scale. A "3" on the scale – "Fully Effective" – means that the employee's performance fully meets the standard required, and has achieved effective results against all performance criteria. In terms of the new approach to performance rating, an employee who is rated as "fully effective" has fully complied with the requirements of the job. On the rating scale this translates to a score of 100%.

7.4 Performance review and assessment

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 both parties areas that need improvement and if required, to modify the PA. The supervisor should use all opportunities to discuss the employee's performance, including departmental 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 two times a year – once orally and once in writing, if the employee's performance is satisfactory (fully effective and above); and in writing if unsatisfactory (not fully effective and below); at least twice in writing or orally during the six months preceding the employee's annual formal

| Performance Agreement and Workplan | | |
|------------------------------------|--|--|
| 4 | PERFORMANCE SIGNIFICANTLY ABOVE EXPECTATIONS | Performance is significantly higher than the standard expected in the job. The review/assessment indicates that the jobholder has achieved <u>better than fully effective results against more than half</u> 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 <u>better than fully effective results against all of</u> the performance criteria and indicators as specified in the PA and Workplan and maintained this in all areas of responsibility throughout the performance cycle. |

7.3 The five-point rating scale

As illustrated above, the EPMDS utilises a five-point rating scale. A "3" on the scale – "Fully Effective" – means that the employee's performance fully meets the standard required, and has achieved effective results against all performance criteria. In terms of the new approach to performance rating, an employee who is rated as "fully effective" has fully complied with the requirements of the job. On the rating scale this translates to a score of 100%.

7.4 Performance review and assessment

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 both parties areas that need improvement and if required, to modify the PA. The supervisor should use all opportunities to discuss the employee's performance, including departmental 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 two times a year – once orally and once in writing, if the employee's performance is satisfactory (fully effective and above); and in writing if unsatisfactory (not fully effective and below); at least once in writing or orally) during the six months preceding the employee's annual formal

| Performance Agreement and Workplan | | |
|------------------------------------|--|--|
| 4 | PERFORMANCE SIGNIFICANTLY ABOVE EXPECTATIONS | Performance is significantly higher than the standard expected in the job. The review/assessment indicates that the jobholder has achieved <u>better than fully effective results</u> 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 <u>better than fully effective results</u> against <u>all</u> 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. |

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performance assessment; and in writing, for the annual formal performance assessment covering the whole cycle.

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 KPAs and KPIs, 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 employee 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 is 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. At all levels the periodic reviews must also include a discussion on the employee's development plan requirements. The final assessment and discussion must take place at the end of the performance cycle and coincides with the end of the financial year, i.e. June 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 KPA and KPI 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.

7.5 Annual performance assessment

- **Performance assessment instrument**

The same assessment instrument¹ is used to conduct the performance reviews, as well as the overall annual performance of the employee. It is this overall annual performance assessment score that is to be used as the basis of deciding career incidents for the employee. The same assessment instrument must also be used for deciding on probation, rewards and skills development. Apart from the review discussion and the supervisor's knowledge of the employee's actual performance, managers must bear in mind that assessment should be based "only on the information contained in the designated performance assessment instrument."

- **Steps in the assessment process**

The EPMDS relies on, first, the expected performance during the cycle (the performance agreement), and second, on the required results achieved during the cycle.

The line manager will have the most complete knowledge of the employee's performance and plays a critical role in the assessment process. The annual assessment takes place after the end of the performance cycle on 30 June of each year. The annual assessment provides the final rating score on which decisions pertaining to career incidents such as pay progression and the possible granting of performance awards are based. The process commences with a self-assessment by the employee. The line manager then assesses the employee and reviews the self-assessment.

- **Self-assessment**

The role of the employee whose performance is being assessed is the following -

- Collect evidence to proof performance of the KPI and compiling portfolio of evidence.
- assess his/her own progress according to his/her performance agreement and workplan, during the period under review and allocate performance ratings;
- bring to his/her manager's attention, significant other outputs that were delivered during this period which are not contained in the performance plan and/or performance which he/she regards as being meritorious;
- provide inputs on areas of performance, which the manager has identified as not being fully effective;
- review his/her performance agreement for validity; and
- discuss and initiate possible amendments to the performance agreement.

- **Line manager assessment**

The role of the employee's supervisor in the assessment is the following

- facilitate the assessment session;

- assess the employee's performance according to his/her performance agreement and performance plan during the period under review and allocate performance ratings;
- give recognition to the employee for good performance during the review period;
- recognise other significant outputs that were delivered during this period which are not contained in the performance plan and/or performance which he/she regards as being meritorious;
- identify performance areas which have been identified as being not fully effective;
- allow the employee opportunity to give his/her input during the session;
- identify remedial steps which, could include coaching and mentoring will be taken to eliminate factors which have hampered the employee's performance;
- Checking whether interventions previously put in place were successfully implemented.
- review the employee's performance agreement and performance plan, for validity;
- discuss and initiate possible amendments to the employee's performance plan;
- record his/her comment about the performance of the employee.

Assessment of the achievement of results (KPAs) outlined in the performance plan.

- Each KPA 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 KPA.
- This rating must be multiplied by the weighting given to the KPA during the contracting process, to provide a score.
- The rating calculator can be used to add the scores and calculate a final KPA score, based on the 100% weighting allocated to the KPAs.

8 PERFORMANCE MODERATION

Reasons for the moderation of employee ratings include the following

- (a) The purpose of performance assessment review by higher levels of management above the supervisor (moderation) is to ensure, as far as possible, that the

performance of all employees is evaluated fairly and consistently across the Municipality.

The importance of a realistic self-rating coupled with a realistic rating agreed upon between the line manager and employee is nowhere illustrated as clearly as when the process of moderation commences.

There should be a common understanding of the standards required at each level of the rating scale as well as the unit of measurement and standards that should be linked to posts where similar outputs are required. Moderating of performance takes place at different levels in the organisation to contribute to consistent and fair performance management and assessment processes. The problem with moderation arises when individual ratings agreed upon between the employee and her/his line manager may have to be amended, especially if the implication of moderation is that a rating score has to be lowered.

As noted above, the employee's provisional assessment rating (PAR) is that which is agreed upon between the employee and her/his line manager. At this point the employee is aware of the rating. Any change, especially if the intention is that the rating score should be lowered, must be dealt with in a consultative, just and transparent manner.

8.3 Municipality's Moderating Committee (MMC)

Each municipality must establish a Municipal Moderating Committee (MMC) for employees below section 56/57 managers, which is chaired by the Head of Corporate Services or Chief Financial Officer of the municipality. The Committee furthermore consists of senior managers in the discretion of the HOD.

Powers and functions of the MMC

The role of the MMC is to ensure that the annual performance assessment is done in a realistic, consistent and fair manner, to monitor the performance assessment process by obtaining an overall sense of whether norms and standards are being applied consistently and realistically to employees on the same level. The MMC should not assess each individual case for purposes of evaluating ratings, but should develop an overall view of the results of process. If the MMC identifies deviations or discrepancies, these should be referred back to Directors, Managers and line managers who had agreed the ratings with their subordinates, 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, the MMC may not change an individual employee's assessment rating, without first referring the issue back to the line manager who made the initial assessment. The MMC must keep detailed minutes of decisions, in particular if it recommends lowering rating scores.

The role of the MMC must therefore –

- Provide oversight of the application of the EPMDS, ensuring that the performance management process, including the setting of performance standards is valid, fair and objective;
- Advise the department on financial and non-financial rewards, including the specific percentage for performance bonuses, mindful of the maximum set;
- Detect potential problems in the system and advise the HOD accordingly;
- Review overall assessment scores across sections in the department;
- Recommend reward levels and remedial action for performance and non-performance, respectively; and
- Make recommendations regarding actions to be considered where managers and supervisors do not properly and fairly execute their responsibilities with regard to assessment and rating in terms of the EPMDS.

8.5 Disagreements over rating and assessment

Disagreement may occur (a) between the employee and her/his line manager on the one hand, (b) and even between the MMC and the HOD, line manager etc. Disagreements may be limited or minimized 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 assessments of, for example, particular cascading KPAs 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 municipality. If there are fundamental disagreements between and the MMC, or if the HOD/line manager does not wish to approve recommendations of the MMC, such issues should be resolved at management level after consultation with relevant managers.

If this process results in changes to individual assessment scores, and employees refuse to accept the changes, employees may follow the formal grievance procedure as set out in the collective agreement. As is the case with other aspects of the EPMDS, employees must be informed of the route and processes to be followed in the event of disagreement over performance assessments. 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.

9 OUTCOMES OF PERFORMANCE ASSESSMENT

9.1 Probation

The performance of employees on probation is managed in terms of the EPMDS process as well as the municipality policy on probation. The process is as follows:

- The EPMDS 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 EPMDS.
- The performance assessment form must be submitted to HR immediately following the assessment.
- At expiry of the probationary period the line manager 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 or as a last resort, dismissal, should be considered.

An employee's probationary period will not necessarily coincide with the 1 July to 30 June cycle; however the EPMDS assessment tool must be used for assessment, and the results captured in the quarterly probation assessment form.

9.2 Managing performance that is not fully effective

Line Managers are required to first identify and then, in line with a developmental approach, deal with unacceptable performance of employees under their supervision. The line manager must comply with the procedural requirements of the schedule 8 of the Labour Relations Act. The EPMDS 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 line manager to overcome performance shortfalls on the part of the employee can include any or all of the following:

- Personal counseling
- 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 90% is consistently the result of the assessment process, the employee must be formally registered on an "Incapacity Programme" and be advised of this in writing.

9.7 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 directly lead to "money in the pocket".

The municipality may, from time-to-time, introduce mechanisms for non-financial recognition to stimulate performance across the municipality. However, managers may also propose forms of non-financial recognition, provided these remain non-financial, fit into the budget and do not change any basic condition of employment. The following are examples of recognition that can be considered —

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

- Public awards of various kinds made by management (eg. Mayoral Excellence awards) in recognition of a specific achievement or innovation or for consistent achievement over a specific period.
- Specific access to specialised training and development opportunities.
- Participation on a prioritised rotation basis in study tours or overseas and other visits by senior management.

9.8 The municipality must keep accurate records of all performance assessments and the outcomes related thereto, including all performance rewards.

10 SYSTEM EVALUATION AND REVIEW

Evaluation of the EPMDS 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 line managers in targeting what the generally desired outcomes of the EPMDS as a system are. It is important to determine initially the types of data required throughout the performance management process. The Municipality 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 needs of the municipality?
- Does the programme fit the values and culture of the municipality?
- 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 EPMDS at the end of the performance cycle. The methodology applied shall be a survey questionnaire to a representative sample within the Municipality. Following the development of performance agreements and performance plans 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 municipality 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 in the collective agreement are being met. Other matters which should be considered include the following:

- 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 grievance processes.

11 THE INSTITUTIONAL FRAMEWORK

The EPMDS enables the municipality to translate overall strategic priorities as captured in the relevant policy statements and its IDP into performance measures for various levels of employees. In developing the Municipality objectives, the HoD and senior management utilise the medium-term strategic and annual business plans to outline objectives for the key performance areas (KPA's). The KPA's provide strategic focus and direction for the other activities in the municipality. 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 KPA's 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 KPAs and CMCs.
- Incorporate overall performance into the HoD's performance agreement

Performance management at the component level focuses on outputs as opposed to inputs 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 EPMDS in the Municipality:

Roles and responsibilities of stakeholders in the operation and management of the PMS

Roles and Responsibilities of the Executive Mayor

| PLANNING | | MONITORING, ANALYSIS AND MEASUREMENT | |
|--|---|--|---|
| | REVIEW | REPORTING | ASSESSMENT |
| <ul style="list-style-type: none"> * Submits priorities and objectives of the Integrated Development Plan to Council for approval * Submits the PMS policy framework for approval * Submits the municipal strategic or organizational scorecard to Council for approval * Approves the Service Delivery and Budget Implementation Plans (SDBIP) * Enters into a performance agreement with the Municipal Manager on behalf of the Municipal Council | <ul style="list-style-type: none"> * Proposes to Council the annual review programme of the IDP, including the review of key performance indicators and performance targets * Proposes the annual performance improvement measures of the municipality as part of the municipal strategic or organizational scorecard * Proposes changes to the priorities, objectives, key performance indicators and performance targets of the municipality * Quarterly evaluates the performance of the municipality against adopted KPIs and targets | <ul style="list-style-type: none"> * Receives monthly budget statements * Receives performance reports quarterly from the internal auditor * Receives performance reports twice a year from the Performance Audit Committee * Receives monthly and quarterly reports from the Municipal Manager on the performance of managers and the rest of the staff * Receives the annual Section 46 reports from the Municipal Manager before submission to council, Auditor General and MEC * Report to council on the mid-term review and the annual report on the performance of the municipality | <ul style="list-style-type: none"> * Assess and submits the municipal annual audit plan and any substantial changes to council for approval * Assess and approves the implementation of the recommendations of the internal auditor with regard to improvement in the performance of the municipality or improvement of the performance management system itself * Receives and assess performance audit report(s) from the Auditor General and management comments and make |

| | | | |
|--|---|--|--|
| <ul style="list-style-type: none"> * Assigns the responsibility for the management of the PMS to the Municipal Manager | <ul style="list-style-type: none"> * Quarterly reviews the performance of the departments to improve the economy, efficiency and effectiveness of the municipality | <ul style="list-style-type: none"> * Reports to Council on the recommendations for the improvement of the performance management system | <ul style="list-style-type: none"> recommendations to Council on addressing whatever audit queries raised therein |
| <ul style="list-style-type: none"> * Tables the budget and the SDBIP to Council for approval | <ul style="list-style-type: none"> * Quarterly and annually evaluates the performance of the Municipal Manager | | |
| <ul style="list-style-type: none"> * Approves the departmental or service scorecards and Section 57 Managers scorecards | | | |

Roles and Responsibilities of the Municipal Manager

| PLANNING | IMPLEMENTATION | MONITORING, ANALYSIS AND MEASUREMENT | | |
|--|--|--|---|---|
| | | REVIEW | REPORTING | ASSESSMENT |
| <p>* Coordinates the process of needs identification and prioritization among all stakeholders, including community structures</p> <p>* Coordinates the formulation and revision of the PMS policy framework</p> <p>* Coordinates the formulation and revision of the municipality's strategic or organizational scorecard</p> <p>* Leads the process of the formulation and revision of the Service Delivery and Budget Implementation Plans</p> <p>* Enters into performance agreements with</p> | <p>* Manages the overall implementation of the IDP</p> <p>* Ensures that all stakeholders implement the provisions of the PMS policy framework</p> <p>* Ensures that the Departmental scorecards and departmental annual programmes serve the strategic or organizational scorecard of the municipality</p> <p>* Ensures that annual programmes are implemented according to the targets and timeframes agreed to</p> <p>* Implements performance improvement measures approved by the Executive Mayor and the</p> | <p>* Formulates the annual review programme of the IDP, including the review of key performance indicators and performance targets for the consideration of Council Committees and the Executive Mayor</p> <p>* Formulates the annual performance improvement measures of the municipality as part of the new municipal strategic or organizational scorecard</p> <p>* Quarterly reviews the performance of departments to improve the economy, efficiency and effectiveness of the municipality</p> | <p>* Receives performance reports quarterly from the internal auditor</p> <p>* Receives performance reports twice a year from the Performance Audit Committee</p> <p>* Receives monthly departmental performance reports</p> <p>* Reports quarterly to the Executive Mayor on the performance of Departments</p> <p>* Reports on the implementation of improvement measures adopted by the Executive Mayor and Council</p> <p>* Monthly, quarterly and annually reports to the Executive Mayor on the performance</p> | <p>* Formulates the municipal annual audit plan</p> <p>* Assess and formulate appropriate responses to the recommendations of the internal auditor and the Performance Audit Committee</p> <p>* Assess and formulate appropriate responses to performance audit queries raised by the Auditor General and make recommendations to the Executive Mayor</p> |

| | | | |
|--|---------|--|--|
| Section 57 Managers on behalf of Council | Council | * Quarterly and annually evaluates the performance of Section 57 Managers | of Section 57 Managers and departments * Submit the municipal annual Section 46 report to the Executive Mayor |
|--|---------|--|--|

Roles and Responsibilities of the Section 57 Managers

| PLANNING | IMPLEMENTATION | MONITORING, ANALYSIS AND MEASUREMENT | | |
|---|--|---|---|--|
| | | REVIEW | REPORTING | ASSESSMENT |
| <ul style="list-style-type: none"> * Participate in the formulation of the SDBIP and the municipal strategic or organizational scorecard * Manage subordinates' performance * Enter into performance agreements with the Municipal Manager | <ul style="list-style-type: none"> * Manage the implementation of the Departmental scorecards * Ensure the performance objectives in the performance agreements are achieved | <ul style="list-style-type: none"> * Quarterly and annually review the performance of the department * Quarterly review performance of direct reports | <ul style="list-style-type: none"> * Report on the implementation of improvement measures adopted by the Executive Mayor and Council * Annually report on the performance of their departments * Receive bi-monthly performance reports from section managers * Reports monthly on progress | <ul style="list-style-type: none"> * Participate in the formulation of the response to the recommendations of the internal auditor, Performance Audit Committee and the Auditor General |

Roles and Responsibilities of Employees

| PLANNING | IMPLEMENTATION | MONITORING, ANALYSIS AND MEASUREMENT | | |
|------------------|----------------------|--------------------------------------|-------------|------------|
| | | REVIEW | REPORTING | ASSESSMENT |
| * Participate in | * Execute individual | * Participate in | * Report on | * Assess |

| | | | | |
|--|---|---|---|--|
| <p>identifying of priorities and setting KPIs and targets for the municipality's IDP</p> <p>* Participate in the development of the organizational and the departmental scorecards</p> <p>* Participate in the development of their own performance scorecards</p> <p>Responsible for successfully undertaking and completing any development initiative identified.</p> | <p>work plans</p> <p>* Manage all information and evidence required for performance measurement</p> | <p>the review of departmental plans</p> <p>Prepare for own review</p> <p>* Participate in the review of own performance</p> | <p>progress on achieving of own scorecard targets to section managers</p> | <p>performance review reports of own section</p> |
|--|---|---|---|--|

8.12. Roles and Responsibilities of Organized Labour

| PLANNING | REVIEW | REPORTING |
|--|---|--|
| <p>* Participate in the drafting and implementation of the municipality's IDP through established forums</p> | <p>* Participate in assessment and the quarterly reviews of employee performance and compilation of</p> | <p>* Receive quarterly performance reports on employee under-performance in the Local Labour Forum</p> |

| | | |
|---|--|--|
| <ul style="list-style-type: none"> * Participate in the setting of KPIs and targets for the municipality every year * Participates and provide inputs in the drafting of the organizational and departmental scorecards * Oversee the overall application of the Performance Management Policy Framework on Non-Section 57 employees | departmental and organizational performance review reports | <ul style="list-style-type: none"> * Report on any negative effects of the PMS on employees |
|---|--|--|

8.13. Roles and Responsibilities of the Internal Audit

| PLANNING | AUDIT | ASSESSMENT | REPORTING |
|--|--|---|---|
| <ul style="list-style-type: none"> * Develop the risk and compliance-based audit plan | <ul style="list-style-type: none"> * Audit the performance measures in the municipal and departmental scorecards * Conduct compliance based audits | <ul style="list-style-type: none"> * Assess the functioning of the municipality's PMS to ensure it complies with the Act | <ul style="list-style-type: none"> * Submit quarterly reports to the Municipal Manager. * Submit quarterly reports to the Performance Audit Committee |

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 EPMDS;
- regulatory changes likely to affect the EPMDS 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 EPMDS; and
- on-going technical support is provided to components and employees.

The Head: Human Resource Development / Skills Development Facilitator

This position is responsible for the following support in respect of the EPMDS –

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

The Moderating Committee (see also paragraph 8)

- 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 line manager for review.

