



**REPORT TO THE STRATEGIC MANAGEMENT COMMITTEE**

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OUT COMMITTEE

1<sup>st</sup> Level: SMC: 19 MAY 2020  
2<sup>nd</sup> Level: PORTFOLIO COMMITTEES: N/A  
3<sup>rd</sup> Level: AUDIT COMMITTEE: N/A  
4<sup>th</sup> Level: EXCO: TBC  
5<sup>th</sup> Level: COUNCIL: TBC

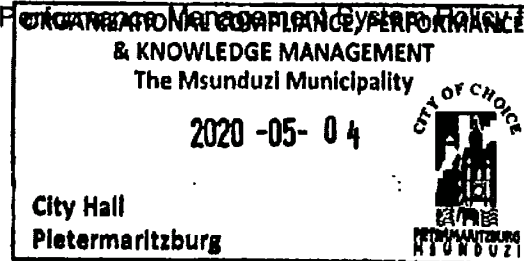
FOR NOTING/APPROVAL

**REVIEW OF THE INDIVIDUAL PERFORMANCE MANAGEMENT SYSTEM POLICY 2020/2021 FY**

**DATE: 4 MAY 2020**

**1. PURPOSE**

1.1. The purpose of this report is to inform the Strategic Management Committee of the amendments to be made to the Individual Performance Management System Policy for the 2020/2021 Financial Year.



**2. DELEGATIONS**

N/A

**3. ANNEXURES**

3.1. ANNEXURE 1: REVIEW OF THE INDIVIDUAL PERFORMANCE MANAGEMENT SYSTEM POLICY 2020/2021.

3.2. ANNEXURE 2: CORE MANAGERIAL COMPETENCIES

3.2. ANNEXURE 3: STANDARD OPERATING PROCEDURE FOR INDIVIDUAL PERFORMANCE MANAGEMENT SYSTEM 2020/2021

**4. LEGISLATIVE PROVISIONS / POLICIES**

4.1. The Constitution of the Republic of South Africa, Act 108 of 1996

4.2. The Local Government Municipal Systems Act 32 of 2000 (MSA)

4.3. Local Government: Municipal Planning and Performance Management Regulations, 2001

4.4. The Municipal Finance Management Act 56 of 2003

- 4.5. Local Government: Municipal Performance Regulations for Municipal Managers and Managers Directly Accountable to Municipal Managers, 2006
- 4.6. The Municipal Structures Act No 117 of 1998 as amended

**5. BACKGROUND**

- 5.1. The Policy Framework for the Implementation of Individual Performance Management was last approved in the 2019/2020 financial year by the Strategic Management Committee on the 6<sup>th</sup> of May 2019 and by Council on the 11th of December 2019.
- 5.2. As per legislation once the framework is approved, council must take all reasonable steps to ensure the framework is reviewed on an annual basis. Stemming from this, the Office of the City Manager undertook the review of the IPMS Policy.
- 5.3. The reviewed IPMS Policy 20/21 FY contains a number of amendments, more importantly now includes a dispute resolution for the purposes of a dispute that arose out of the non-signing of a performance agreement by the s56/57 employees.
- 5.4. The previous IPMS Policy 19/20 made reference to a compulsory pre-assessment for the CM & GMs whereas the reviewed IPMS Policy 20/21 FY motivates for the pre-assessment to be called at the discretion of the Mayor in relation to the CMs assessment and the CM in relation to the GMs & CFO assessments.
- 5.5. All amendments are listed below under item 6.

**6. MOTIVATION / DISCUSSION**

- 6.1. The following table represents all the applicable amendments of the policy emanating from the review undertaken by the OC, P & KM unit for the 20/21 FY.

<b>EXISTING PROVISION</b>	<b>PROPOSED AMENDMENT</b>	<b>COMMENT</b>
<b>NIL</b>	<b>10. INDIVIDUAL PERFORMANCE CONTRACT SIGNING AND REPORTING - AMENDED</b>	Page 10, 10.2 – now includes the following:  Any contractual dispute emanating from the non-signing of a performance agreement / and or dispute arising out of the contents of the performance agreement should be addressed as per 11 below.
<b>NIL</b>	<b>11. PERFORMANCE AGREEMENT SIGNING DISPUTE RESOLUTION</b>	Page 11 - Now includes a section on the resolution to the signing of a performance agreement dispute.

EXISTING PROVISION	PROPOSED AMENDMENT	COMMENT
11. QUARTERLY, MID YEAR AND ANNUAL PERFORMANCE REVIEWS	11. QUARTERLY, MID YEAR AND ANNUAL PERFORMANCE REVIEWS:  12.11 has been amended  12.12 has been amended  12. 14 has been removed	Page 12 - amendments  12.11 indicated pre assessment for GMs be compulsory and has now been amended to be at the discretion of the City Manager.  12.12 indicated pre assessment for CM be compulsory and has now been amended to be at the discretion of the Mayor.  12.14. indicated no assessment can take place without pre assessments, as per the amendment for then to be at the discretion of the supervisors, it is no longer applicable to the policy.
23. COMPLIANCE AND ENFORCEMENT	23. COMPLIANCE AND ENFORCEMENT - AMENDED	Page 19 – now includes the following:  24.1.1 The City Manager and the General Managers, must institute Consequence Management on any incumbent that fails to honour the invitation to an assessment without a valid reason.
23. COMPLIANCE AND ENFORCEMENT	23. COMPLIANCE AND ENFORCEMENT - AMENDED	Page 19 – now includes the following:  24.1.2 The City Manager and the General Managers, must institute Consequence Management on any incumbent that fails to submit a signed performance agreement within the prescribed timeframes and/or submits the performance agreement late, and/or with incomplete information, and/or does not complete the financial declaration section thoroughly and truthfully and thus when audited results in an Audit Query.
ANNEXURE 3 - STANDARD OPERATING PROCEDURE FOR THE INDIVIDUAL PERFORMANCE MANAGEMENT SYSTEM POLICY	ANNEXURE 3 - STANDARD OPERATING PROCEDURE FOR THE INDIVIDUAL PERFORMANCE MANAGEMENT SYSTEM POLICY – AMENDED	Page 34 – 78 – amendments to all templates that read 19/20 have now been changed to 20/21.

**7. COMMENTS FROM THE RELEVANT DEPARTMENT OR COMPONENT OF THE MUNICIPALITY – SENIOR MANAGER: OFFICE OF THE CITY MANAGER**

7.1. In order to ensure the legislative prescripts relating to the review of the IPMS policy was met, the IPMS policy for the 20/21 FY was reviewed and is being submitted for approval.

**8. IMPLICATIONS**

8.1. **FINANCIAL** – Council must make the following financial provisions during the budget review in order to pay performance bonuses / incentive rewards to General managers on performance contracts:

- o Score of 150 % and above: 10% - 14% of the annual total remuneration package
- o Score of 130 to 149%: 5% - 9% of the annual total remuneration package

8.2. **LEGAL** – The report complies with all legislative requirements.

8.3. **COMMUNICATION** – All signed and approved performance agreements and work plans for S56/57 Manager's will be published on Councils Website.

8.4. **COMMUNITY** – N/A

8.5. **SERVICE DELIVERY** – Performance Agreements and Work plans are directly linked to the approved SDBIP and therefore are considered as a mechanism to maximize the individuals' outputs and therefore fast track service delivery.


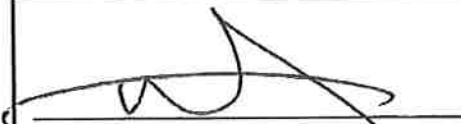
**9. RECOMMENDATION**


**IT IS RECOMMENDED THAT:**

9.1. The Strategic Management Committee notes and approves the reviewed Individual Performance Management System Policy 2020/2021 FY.

9.2. The Strategic Management Committee having noted and approved the reviewed Individual Performance Management System Policy 2020/2021 forwards same to the Executive Committee (EXCO) and Full Council for approval.

**10. SUBMITTED BY:**

 <hr/> <p><b>Report Generator</b>  <b>Mr. Indrasen Chetty</b>          Contact No. Ext. 033 392 2839          Manager: Organizational Compliance,          Performance &amp; Knowledge Management          (Acting)</p>	 <hr/> <p><b>Senior Manager; Office of the City          Manager</b>  <b>Ms. Madeleine Jackson</b>  <b>Supported / Not Supported</b>          Contact No. Ext 033 392 2660</p>
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**City Manager**  
**Mr. Madoda Khathide** 25/05/2020  
**Approved / not approved for inclusion  
 in Agenda**  
 Contact No. Ext. 2002



<b>Policy Name</b>	<b>INDIVIDUAL PERFORMANCE MANAGEMENT SYSTEM POLICY 20/21 FY</b>
<b>Policy Number</b>	<b>IPMS</b>
<b>Status</b>	<b>REVIEW OF THE APPROVED IPMS POLICY 19/20 FY FOR IMPLEMENTATION IN THE 20/21 FY</b>
<b>Commencement Date Of Review</b>	<b>1 May 2020</b>
<b>Approved By</b>	<b>FULL COUNCIL</b>
<b>Date Approved</b>	<b>6<sup>TH</sup> MAY 2019 – BY SMC 11<sup>TH</sup> DECEMBER 2019 – BY FULL COUNCIL</b>
<b>Date Last Amended</b>	<b>2019/2020 FINANCIAL YEAR</b>
<b>Date For Next Review</b>	<b>WITHIN 12 MONTHS FROM DATE OF APPROVAL FOR THE 2021/2022 FY</b>

## INDIVIDUAL PERFORMANCE MANAGEMENT SYSTEM POLICY 2020/2021

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## 1. INTRODUCTION

The Msunduzi Municipality recognizes the significance of having a performance management system not only as a legal requirement in terms of the applicable laws, but as an important instrument of corporate governance which aims at ensuring that a process of goal setting for individual managers in the work place is followed by a systematic success measuring process.

This framework has been formulated against a need for formalizing the process and strategy for managing both organizational and individual performance: with the focus on individual performance hereunder. The goal of achieving excellent standards of performance will be realized through introduction and injection of a systematic set of rules and standards of performance in the work place.

## 2. DEFINITIONS AND ACRONOMYNS

All key words and conceptions contained herein are as defined in the relevant legislation and in these definitions unless the context indicates otherwise:

NUMBER	ACRONOMYNS	DESCRIPTION
1	<b>Municipality:</b>	Msunduzi Municipality established in terms of the Municipal Structures Act.
2	<b>City Manager (CM):</b>	The head of the administration and accounting officer of the municipality and appointed by the Council in terms of S82 of the Municipal Structures Act.
3	<b>Section 57 Manager:</b>	A General Manager reporting directly to the CM.
4	<b>Section 58 Manager:</b>	The head of a unit or section within a department reporting to a GM contemplated above (Section 57 Manager).
5	<b>Senior Manager:</b>	The leader of work teams who reports to a unit / section head contemplated above (Section 58 Manager).
6	<b>Managers in Strategic Positions:</b>	The head of a unit or section within a department reporting directly to the City Manager: – Senior Manager: Office of the City Manager, Senior Manager: Political Support, Senior Manager: Strategic Planning, Project Manager: IRPTN, Chief Audit Executive
7	<b>MANCO</b>	Management Committee
8	<b>Work Teams:</b>	A group of employees who are performing the same or similar functions on a continuous basis.
9	<b>IDP:</b>	A process through which a Municipality prepares a strategic development plan, for five-year period. The Integrated Development Plan (IDP) is the product of this integrated development planning process.
10	<b>SDBIP:</b>	Service Delivery & Budget Implementation Plan (applicable per department).
11	<b>KPI :</b>	Key Performance Indicator used as a unit of measurement to determine whether individuals' performance is according to standards / targets set.
12	<b>Annual &amp; Quarterly Targets:</b>	The values assigned to units of measurement stipulated in KPIs and designed to project the quality or quantity of performance expected.
13	<b>Audit Committee:</b>	A committee of the municipality established in terms of the relevant provisions of the Municipal Finance Management Act, No 56 of 2003
14	<b>COGTA:</b>	Provincial Department of Cooperative Governance and Traditional Affairs
15	<b>KPA:</b>	Key Performance Area: this is a key component of the performance agreements and work plans which will be utilized in performance assessment through percentage weightings.

<b>NUMBER</b>	<b>ACRONOMYNS</b>	<b>DESCRIPTION</b>
16	<b>Performance Audit Committee:</b>	An independent committee appointed to assess the annual performance of the Municipality and to report findings.
17	<b>Performance Agreement:</b>	A performance agreement is an agreement between two or more persons with similar obligations and it defines expected performance levels. The elements of performance agreement include mutual assent, offer and acceptance and consideration of the contents thereof. A performance agreement shall include a code of conduct, financial disclosure form, personal development plan and a performance workplan for the financial year
18	<b>OC, P &amp; KM</b>	Organizational Compliance, Performance & Knowledge Management
19	<b>OP</b>	Operational Plan (applicable per department).

### **3. SCOPE AND APPLICATION**

This framework applies to:

- 3.1 The City Manager
- 3.2 Section 57 Managers – General Managers & the Chief Financial Officer
- 3.3 Section 58 Managers/Senior Managers and/or equivalent level posts,
- 3.4. Managers in Strategic Positions: The head of a unit or section within a department reporting directly to the City Manager – Senior Manager: Office of the City Manager, Senior Manager: Political Support, Senior Manager: Strategic Planning, Head: IRPTN & the Chief Audit Executive.

### **4. POLICY OBJECTIVES**

- 4.1 To give effect to chapter 6 of the Local Government: Municipal Systems Act (32 of 2000).
- 4.2 To effect compliance with the Municipal Planning and Performance Management Regulations of 2001 and Performance Management Regulations, 2006.
- 4.3 To conform to the Performance Regulations for Section 57 employees of 2006 and cascade these down to defined lower levels of management stipulated at Section 3 of this framework above.
- 4.4 To give effect to other legislative, regulatory and policy requirements including but not limited to IDP, MFMA, Batho Pele principles and 1998 White Paper on local government.
- 4.5 To set the platform for management and monitoring of individual managers' performance specifically.
- 4.6 To set rules, regulations and standards for effective and successful management of individual managers' performance in the work place.
- 4.7 To provide a framework for managing individual managers' performance with the purpose of paying performance bonuses where applicable.
- 4.8 To provide for handling individual managers' disputes arising from the performance management process.
- 4.9 To provide a mechanism for managing and dealing with individual managers' sub-standard work or poor performance in the workplace.



## 5. POLICY STATEMENT

The Individual Performance Management System (IPMS) is designed to maximize outputs of individual managers in the work place. IPMS is established and operated in order to unlock potential for both organizational growth; but more specifically - individual managers' development. It is intended to generate organizational focus through individual managers' motivation in rendering services. Individual managers' performance assessments will be conducted with the maximum honesty and confidentiality. There will be no favoritism and bias in assessing individual managers' performance. Tracking and managing individual managers' performance is the most important principle. Identification of individual managers' performance gaps and provision of intervention measures are cornerstones of performance improvement. Excellent performance will be rewarded accordingly. Intervention measures to address bad performance will be effected without delay. Disputes will be resolved as soon as possible, in a transparent though confidential manner.

## 6. LEGISLATIVE FRAMEWORK

The municipality is committed to IPMS. This commitment will also help in fulfilling the requirements of the following legislation:

- Chapter 6 of the Local Government: Municipal Systems Act (32 of 2000)
- Municipal Planning and Performance Management Regulations of 2001
- Performance Management Regulations of 2006
- The Municipal Systems Act No 32 of 2000
- The Municipal Structures Act No 117 of 1998 as amended
- Local Government Municipal Finance Management Act, 2003.
- Labour Relations Act 66 of 1995

## 7. PRINCIPLES OF IPMS

The municipality's IPMS Framework is underpinned by the following principles:

NUMBER	PRINCIPLES	DESCRIPTION
1	<b>Transparency</b>	Promoting openness, sincerity and honesty among all the role players in the IPMS process.
2	<b>Flexibility:</b>	The ability to make room for change for the benefit of the IPMS process.
3	<b>Accountability:</b>	The assumption by all the participant managers in the IPMS process of full responsibility for their individual actions and conduct as well as a willingness and commitment to implement, abide by and communicate as necessary all measures and decisions in the course of the process.
4	<b>Integration:</b>	IPMS processes are integrated into mainstream policies and services, such as the IDP process, service delivery planning and budgeting
5	<b>Linking OPMS and IPMS:</b>	The organizational performance management system and departmental SDBIPs shall constitute a basis for development and management of individual performance standards from the Municipal Manager down to the work teams under Process Managers.
6	<b>Targeting</b>	The municipality shall set targets and monitor and review the performance of individual managers based on indicators linked to the IDP.
7	<b>Community Participation</b>	The community shall be involved in setting indicators and targets and reviewing individual managers' performance.

NUMBER	PRINCIPLES	DESCRIPTION
8	<b>Overall Auditing</b>	The municipality shall on a continuous basis review individual managers' performance standards preferably on an annual basis as part and parcel of an overall audit and assessment of performance measures.
9	<b>Specific Auditing</b>	The performance of individual managers shall be subjected to audit by the municipality's Audit Committee and the Auditor-General.
10	<b>Stakeholders</b>	
11	<b>Ongoing Monitoring</b>	The continual collection, analyzing and reporting on inputs, activities, outputs and outcomes in a way that supports effective management: regular feedback on progress of actual performance against what was planned or expected.

## 8. PROCEDURES TO CONSIDER FOR THE IPMS

- 8.1 The individual performance management system will be largely informed by and based on the Organizational and Departmental Performance Management System – captured in departmental SDBIPs & OP's Individuals' performance Work plans capture greater detail.
- 8.2 Appointment of individual managers shall be based on performance contracts so as to enhance a culture of accountability and performance within the municipality.
- 8.3 Managers/Employees shall be informed both verbally and in writing of what is expected of them in their Performance agreements before signing off.
- 8.3 The signing of performance agreements shall be between the Supervisor and the incumbent; The Mayor will sign for the City Manager, The City Manager will sign for General Managers as well as the Managers in Strategic Positions, The General Managers will sign for Senior Managers or any manager reporting directly to the General Manager.
- 8.5 Performance of Section 57 employees shall be strictly managed according to the 2006 Performance Management Regulations issued by the national Department of Provincial and Local Government.
- 8.6 Performance standards and measures for each manager below Section 57 shall be set according to the predetermined performance values and criteria for the Unit and the post. Individual managers will have Performance Agreements developed, against which they will sign: indicating their respective acceptance of the targets contained therein.
- 8.7 Performance management shall be pursued in order to identify performance gaps, deficiencies, and good performance for the purpose of making interventions and awarding rewards where necessary and if budgeted for.
- 8.8 In the absence of an incentive policy and a senior manager has performed exceedingly during an assessment the General Manager may recommend to The City Manager who in turn reserves the right to determine a form of an incentive.
- 8.9 Managers/Employees shall be assessed according to the competency model which entails job knowledge, skills, attributes and set performance standards, objectives and targets. Core competencies appropriate to local government management functioning specifically, will be enumerated up-front at the beginning of the financial year. The following competencies are considered critical – and cannot be delegated to other units that may have the coordination role overall:

- Managers' Performance Management of their subordinates
  - Managers' Resource Management of the budgets, vehicles and equipment directly under their control
  - Managers' Risk Management of processes within their authority and
  - Managers' Human Resource Management of the personnel reporting to them: including capacity building and training of their subordinates.
- 8.10 Critical training needs for the three levels of managers contemplated in this framework will also be established through this process in the Personal Development Plan contained in the Performance Agreement.
- 8.11 Managers will be entitled to receive regular feedback on their performance from their seniors through Monthly monitoring – not only in quarterly appraisals
- 8.12 Managers will have a duty and obligation to perform their duties in terms of the set performance standards, job description and details captured in performance Agreements.
- 8.13 Individual performance assessments shall be done quarterly in respect of all managers in the system (CM down to Level 3 Employees and Senior Managers in Strategic Positions reporting directly to the CM). Employee Levels 1 – 3 will be managed by the Office of the City Manager – RE: the OC, P & KM unit, levels 4 and below will be managed by the Corporate Services Business Unit.
- 8.14 Performance assessments shall be based on a set of performance standards, objectives and targets contained in these agreed plans
- 8.18. The OC, P & KM Unit in the Office of the CM and the Unit/Function of the Corporate Services Unit specific to their levels of control as mentioned above shall be responsible for recording the proceedings of performance assessment scoring of individual managers at all times.
- 8.19 The OC, P & KM Unit in the Office of the CM and the Unit/Function of the Corporate Services Unit specific to their levels of control as mentioned above shall be the custodian and point of reference for all working and current records of individual performance management subject to compliance with the requirements of the municipality's records and information management policy.
- 8.20 The OC, P & KM Unit in the Office of the CM and the Unit/Function of the Corporate Services Unit specific to their levels of control as mentioned above shall be responsible for institution of poor performance counseling proceedings as may be required in terms of feedback from various user departments from time to time.
- 8.21 The institution of disciplinary proceedings arising from poor work performance will be the exclusive preserve of the Human Resources Unit within the Corporate Services Department of the municipality.

## **9. INDIVIDUAL PERFORMANCE MANAGEMENT CYCLE**

### **9.1 PLANNING**

- 9.1.1 Performance targets and expectations for all managers shall be set once in a financial year prior to the commencement of the new financial year.
- 9.1.2 Performance targets can be amended during the Mid-year review. In conjunction with the development of the SDBIP, the OC, P & KM unit located in the Office of the CM will also commence with the development and customization of the Performance Agreements for the CM, General

Managers (GMs), Senior Managers (SM) & Managers in Strategic Positions reporting directly to the CM.

## 9.2 IMPLEMENTATION

9.2.1 The fundamental aspect of individual performance management remains the discussion between the **Supervisor & Supervisee**, as a performance agreement is not set in stone and as per discussion and agreement between Supervisor & Supervisee, amendments can be made prior to the signing of a performance agreement **except KPIs adapted from the SDBIP & RPI as they are approved by Council. Amendments to Targets for these reports can only be done by way of a Council Resolution.**

Several matters can be discussed prior to the signing of a performance agreement:

- Contents of the performance agreement and workplan (performance targets)
- Choice of Key Performance Areas (KPAs) & respective Weighting
- Choice of Core Managerial Competencies (CMCs) & respective Weighting.

9.2.3 Any other matter may be discussed between Supervisor & Supervisee, prior to the signing of a performance agreement. Any amendments recommended need to be made before the signing of the performance agreement. No amendments can be made after a performance agreement has been signed. Only during mid-year review will any amendment be made, this however has to be accompanied by a Council resolution authorizing same. Any amendment must be verified by the respective OC, P & KM unit

9.2.4 Having completed the above process of template development and customization, the OC, P & KM unit in the Office of the CM will then begin the process of populating the performance agreements and work plans with the relevant performance data for all Managers up to level 3 (CM, GMs, SMs & SMs reporting directly to the CM).

## 9.3 MONITORING & REPORTING

9.3.1 Managers shall report their performance targets on a monthly and quarterly basis

9.3.2 Performance of the all managers shall be assessed four times in a financial year, that is, quarterly. Performance of managers shall be assessed on a quarterly basis by their individual supervisors according to these set performance standards and objectives.

9.3.3 Each manager shall prepare a performance report according to the performance indicators and targets set out in their Performance Agreement, within a month of the end of each three month-period. – Reporting

9.3.4 The performance work plan which shall be utilized in the Assessment and shall be populated with performance information contained in the Quarterly as prepared by the manager.

## 9.4 EVALUATION & REPORTING

9.4.1 The OC, P & KM unit in the Office of the CM will attend the assessment of the CM and GMs and will provide support to the Chairpersons of the assessments. Human Resources Support Services Managers (HRSSMS) will also be requested to attend the CM and GMs assessments.

- 9.4.2 Level 3 assessments will be conducted between the Supervisor and Supervisee, with the Supervisor being the Chairperson for the assessment. The OC, P & KM unit in the Office of the CM will attend the assessment of the Level 3 Employees and will provide support to the Chairpersons of the assessments. The Human Resources Support Services Managers (HRSSMS) will also be requested to attend the Level 3 assessments.
- 9.4.3 The OC, P & KM unit will call sessions to assist the chairpersons in verifying the assessment process scoring and portfolios of evidence, however the relevant Supervisor & Supervisor should have already completed the assessment templates before the verification sessions.
- 9.4.4 Performance reports or records of performance shall be subjected to ratification and acceptance with or without alterations by the respective performance evaluation panel.
- 9.4.5 The Performance Assessment Panel for section 57 Managers for the annual and mid-year performance appraisals shall be constituted in terms of *Section 27 of Local Government: Municipal Performance Regulations for Municipal Managers and Managers directly accountable to Municipal Managers*.
- 9.4.6 The annual and mid-year performance review for the City Manager and General Managers shall consist in terms of panel members as per 9.4.5 above.
- 9.4.7 The annual and mid-year performance review for Senior managers shall consist of the Following Panel:
- Section 57 Manager: GM (Chairperson of the Assessment Process)) of respective unit
  - IPMS representative, and HRSSM (for each respective unit)
- 9.4.8 The quorum for each performance assessment for panel to sit and conduct its business in terms of the 2001 regulations and this policy shall be 50% plus one, in any given situation.
- 9.4.9 In this performance assessment meeting, agreements and disagreements around performance issues between the manager and senior will be recorded.
- 9.4.10 Disagreements and disputes pertaining to performance for Section 57 employees will be dealt with in terms of the 2006 Regulations for Municipal Managers and Managers directly accountable to the Municipal Managers.
- 9.4.11 Any performance dispute/disagreement affecting lower level managers shall be referred to Performance Assessment Appeal Panel (AAP) set up by the City Manager for the purpose of resolving that particular dispute.

## **10. INDIVIDUAL PERFORMANCE CONTRACT SIGNING AND REPORTING**

- 10.1 Once the Supervisor & Supervisee, have had discussions pertaining to the above-mentioned matters in 9.2, and agreed amendments need to be made and communicated with the relevant OC, P & KM unit.
- 10.1.2 Section 56/57 managers will be required to sign Employment contracts with the Municipality prior to the commencement of duties. Section 56/57 managers will be required to sign performance agreements within 60 days of commencement of duties and within 14 days after the approval of the Service Delivery & Budget Implementation Plan (SDBIP) annually thereafter. Section 58 Managers will be required to sign performance agreements within 14 days of the beginning of a new financial year on an annual basis. All Managers in Strategic Positions reporting directly to the City Manager

will be required to sign performance agreements within 14 days of the beginning of a new financial year on an annual basis.

- 10.2. Performance Agreements for the above mentioned Managers are compulsory. Any contractual dispute emanating from the non-signing of a performance agreement / and or dispute arising out of the contents of the performance agreement should be addressed as per 11 below.
  - 10.2.1 The employee shall choose a minimum of three national KPAs, to sign against: with a total weight of 100%.
- 10.3 The employee will choose a maximum of twelve core management competencies (CMC's) which weigh 20%. The following illustrates the CMC's managers can choose from as per the **Local Government: Competency Framework for Senior Managers**.
  - 10.3.1 "core competencies" are competencies that cut across all levels of work in a municipality and enhance contextualised leadership that guarantees service delivery impact, and "leading competencies" means competencies that are required to develop clear institutional strategy, initiate, drive and implement programs to achieve long-term sustainable and measurable service delivery performance results.
  - 10.3.2 The competency framework consists of six leading competencies which comprise of twenty (20) driving competencies that communicate what is expected for effective performance in local government. The competency framework further involves six (6) core competencies that act as drivers to ensure that the leading competencies are executed at an optimal level. There is no hierarchical connotation to the structure and all competencies are essential. All competencies must therefore be considered as measurable and critical in assessing the level of a senior manager's performance.
  - 10.3.3 The competency framework is underscored by four (4) achievement levels that act as benchmark and minimum requirements for other human capital interventions, which are, recruitment and selection, learning and development, succession planning, and promotion.
  - 10.3.4 The competencies that appear in the competency framework are detailed in **Annexure 2**.
- 10.4 Scoring will only be done on the national KPAs being 80%, and CMCs being 20%.
- 10.5 It is incumbent upon individual managers to ensure that a performance agreement is adequately completed and signed on time without errors.
- 10.6 Managers on performance agreements shall report their performance in a prescribed template in all performance review intervals. These templates may be reviewed from time to time.
- 10.7 All individual quarterly performance reports shall be due for submission by managers to their immediate seniors and the respective OC, P & KM Unit within one month after the end of each quarter.
- 10.8 Mid-year and annual performance reports, per department, will be due for submission to the OC, P & KM Unit (Up to level 3) within one month after the end of first six month-period and financial year respectively.

- 10.9 Each Manager will be responsible for keeping his or her personal copies of their' performance agreement as well as individual performance reports in a safe place for reference purposes.
- 10.10 The OC, P & KM will be responsible for distributing performance agreements with: performance review and individual performance reporting to the respective managers before the commencement of the performance assessment period.
- 10.11 Signed copies of the Performance Agreements will be presented to Sector Departments and Placed on Municipal Websites as evidence of compliance, as a matter of due diligence on the part of the municipality.

## **11. PERFORMANCE AGREEMENT SIGNING DISPUTE RESOLUTION**

- 11.1. A performance agreement signing dispute that arises out of a dispute pertaining to the contents of the performance agreement, the weighting of the Workplans, the weighting of the Core Managerial Competencies must be declared in writing by an affected S56/57 manager within 7 working days of the occurrence if the need to do so arises to the City Manager.
- 11.2. The City Manager will then refer the Dispute to the Mayor.
- 11.3. A Performance Agreement Signing Dispute Panel will be appointed within 5 working days by the Mayor after receipt of such complaint.
- 11.4. The Performance Agreement Signing Dispute Panel will be made up of not less than 3 members and not more than 5 members.
- 11.5. The members of the Performance Agreement Signing Dispute Panel will be drawn from municipal officials serving in the Senior Managerial Positions within Council and Corporate Services Unit.
- 11.6. The Performance Agreement Signing Dispute Panel will have a chairperson appointed by the Mayor.
- 11.7. The Performance Agreement Signing Dispute Panel Chairperson shall convene a meeting within 7 working days of the receipt of the dispute to hear the dispute.
- 11.8. The affected manager will be afforded representation rights and other rights as is applicable as per the regulations for Senior Managers (S56/57).
- 11.9. The proceedings of the Performance Agreement Signing Dispute Panel shall be recorded by means of a mechanical device.
- 11.10. The Performance Agreement Signing Dispute Panel shall deliver its verdict within 7 working days after completion of the proceedings to the Mayor. The Mayor or his/her designated official given authority to decide for or against the disputing manager / staff member, shall have the final say.
- 11.11. The manager shall be advised about the decision by the Office of the CM within five working days of receipt of the verdict of the Performance Agreement Signing Dispute Panel.
- 11.12. If the manager is still not satisfied with the outcome of the performance dispute resolution, the matter can then be treated in terms of the normal grievance procedure of the municipality.
- 11.13. If the matter is not resolved in terms of the grievance procedure, the matter may be escalated to the Municipal Bargaining Council.

## **12. QUARTERLY, MID YEAR AND ANNUAL PERFORMANCE REVIEWS**

- 12.1 Individual managers shall undergo the mid-year performance review after the first six months of the financial year.
- 12.2 The mid-year performance review will deal with the assessment of achievement of all job objectives as well as performance targets as outlined in the performance agreement.
- 12.3 The mid-year performance review will be used to revise work objectives and performance targets in view of any prevailing circumstances warranting such revision. Targets may be amended downwards or to a lesser value only in instances where anticipated budget towards the completion of the original, specified target is not available or through Council Resolution.
- 12.4 Managers shall be at liberty to amend the performance agreement for the remaining six months of the financial year with no punitive consequences – subject to a negotiated agreement with their immediate senior. In the case of CM, alterations should be approved by the Mayor.
- 12.5 Normal quarterly performance reviews will not be affected by the provisions for revision accorded mid-year performance reviews.
- 12.6 There will be scoring for mid-year performance reviews and annual performance reviews. Only annual performance reviews will count for the payment of a performance bonus or the giving of an award.
- 12.7 The annual performance review shall be conducted at the end of the financial year, within legislated timeframes.
- 12.8 The annual performance review shall entail overall assessment of the employee for the entire 12 month-performance period.
- 12.9. This particular performance review will not replace any of the regular performance appraisals in terms of this policy framework.
- 12.10 The main purpose of the annual evaluation will be to determine a final score which may lead to payment of performance bonus or reward to the deserving manager/employee.
- 12.11 A pre-assessment of the General Managers for the Mid-year assessment and Annual Assessment shall be conducted by the City Manager at his/her discretion and is not compulsory, with the OC, P & KM unit in attendance to provide administrative support. This is to ensure alignment between the assessments scoring of the Senior Managers under the GMs control to the GMs assessment template as well as to document any areas of concern that is for the attention of the Evaluation panel. The Pre assessment must also be used to ensure the adequacy of the POE to be presented to the Evaluation panel.
- 12.12 A pre-assessment of the City Manager for the Mid-year assessment and Annual Assessment shall be conducted by the Mayor at his/her discretion and is not compulsory. The OC, P & KM unit in the Office of the City Manager will be present at the pre-assessment to provide administration support.
- 12.13 HRSSMs shall be part of the pre-assessments for General Managers and the City Manager.
- 12.14 On an annual basis prior to the commencement of a new financial year, the OC, P & KM unit in the Office of the CM, will develop an annual assessment schedule with dates and times of assessments for the SMs, GMs and Senior Managers reporting directly to the CM for the Quarterly Assessments,



Mid-Year Assessment and Annual Assessments for approval by the Strategic Management Committee.

- 12.15 Once the above mentioned annual assessment schedule has been approved, the onus is upon the CM & GM to ensure availability for the date of the assessment that will be confirmed in liaison with the office of the GM and the OC, P & KM Unit.
- 12.16 Attendance to all Assessment is compulsory, if a Manager for some reason fails to attend these assessments without notifying his/her Supervisor in writing; the Supervisor is entitled to institute disciplinary actions against that particular employee.
- 12.17 Even Though the OC, P & KM unit has developed a performance Assessment Schedule, The City Manager Reserves the right to call Performance Assessments at any given time in the financial year.
- 12.18.1 The Quarter 2 assessments & Annual Assessments of the GMs & the CMs has to be done with the assessment panel, whereas Quarters 1 & 3 are between the supervisor and supervisee and could be verbal in nature.
- 12.19.2 The City Manager & General Managers, however do not need to wait for a Quarter to end in order to assess Managers under their supervision.
- 12.18.3 The City Manager is the Chairperson of the monthly Operational Management Committee (OMC) meeting where the SDBIP & OP and any other performance reporting templates are interrogated. The City Manager is the Chairperson of the Strategic Management Committee which meets weekly to discuss all budget and performance related reports. The City Manager further calls capex meetings weekly to interrogate expenditure against projects. At any instance, should the CM identify areas of concern and poor performance either in the KPI's or Core Managerial Competencies of the individual, may call for an assessment to take place. The assessment outcomes will determine the corrective actions needed to ensure the particular manager is equipped and supported to achieve their targets.
- 12.18.4 Similarly, GMs as the accountable person for all performance related reporting documents, at their MANCO's can identify areas of concern and poor performance related to KPI's and/or CMCs. At this junction they can call performance assessments to understand the challenges managers are facing and come up with possible solutions to prevent further poor performance. These adhoc assessments could further be used to identify training needs of managers. It will also serve as an early warning system to prevent poor performance. It will allow the CM & GMs to be able to take executive decisions to ensure all bases are covered in the delivery of KPIs and performance targets contained in the SDBIP & OP and signed performance agreements.
- 12.18.5 Where a post is vacant and an Incumbent is appointed to Act for the entire Financial Year, the incumbent will be assessed, however where an incumbent acts; for less than a Financial year the post will be assessed and not the actual incumbent, the incumbent will be called upon to account for the achievements / non achievements of the post.
- 12.18.6 However, whilst acting incumbents are not assessed if they acted for any time period less than a year, the Supervisors being either the CM or GMs on the basis of the scoring of the assessments could use the data to determine if the incumbent qualifies to act for a further period, and/or if the person is unsuitable and requires training in areas to allow for an acting appointment in future. If an incumbent has completed up to a full 6 months of acting in a post, the assessment could be used to determine if council should apply to have the acting renewed for a further 6 months at SM level and 3 months respectively for GMs.

12.18.7 Further where the target success criteria as per 15.1 below for assessments reflects the scoring of the incumbent to be a 1 (69% and below – unacceptable performance) or a 2 (70% - 99% - not fully effective), the CM or GMs may reserve the right to terminate the acting appointment on the basis they were not satisfied with the reasons for deviation and /or where not convinced the incumbent even with being given more time would be able to be fully effective and achieve the KPIs & performance targets.

### **13. TOOLS OF INDIVIDUAL PERFORMANCE MANAGEMENT**

13.1 The Work plan contained in The Performance Agreement shall be used as the central tool for capturing critical performance information like performance objectives, indicators and targets for all performance contract managers

13.2 Standard Core Competency documentation will be provided by the OC, P & KM unit (employees up to level 3), from which individual managers/employees negotiate agreements with their immediate seniors regarding those competencies required for their function.

13.3 General Managers must also produce a Narrative Summary on their Core Competencies Achievements to justify their personal CMC scoring. There are four levels associated with the CMCs, Basic, Competent, Advanced and Superior, the levels indicate what the incumbent must achieve in order to score themselves as having achieved on that particular level. In order to further strengthen the narrative provided the incumbent being assessed should must also bring forward a |Portfolio of evidence to further support the scoring they have allocated to themselves.

13.4 At the Assessment the supervisor along with the panel will either confirm the scoring of the incumbent or provide a different scoring for the incumbent being assessed after having gone through the narrative and any Portfolio of Evidence that was provided by the incumbent.

13.5 The SDBIP shall also be utilized in the Assessment to ensure alignment of targets and scoring.

13.6 The following tools shall also be needed for the Assessments;

- Risk Register
- Capex Expenditure
- Internal Audit Report (if available at the time Assessments are set)
- AG Action Plan

### **14. ELEMENTS OF PERFORMANCE PLANNING AND ASSESSMENT**

14.1 The elements of performance planning and assessment are as follows:

- Job objective
- Tasks to be completed to achieve job objective
- Target/Success criteria which measure effectiveness of job objective achievement
- Evidence of performance to illustrate examples of work achievement
- Proficiency rating scale of 1 to 5 measuring effectiveness of target/success criteria achievement, and
- Average rating for all scores assigned to targets/success criteria.

14.2 The performance planning and assessment system for Section 57 employees will apply according to the provisions of the 2006 Local Government Performance Regulations for Municipal Managers and Managers Directly Accountable to Municipal Manager. These will be cascaded to Section 58 Managers & Managers in strategic positions.

14.3 Both senior and the subordinate managers on performance contracts will be required to agree on the elements of the performance planning and assessment process up-front at the beginning of the financial year. In a case where the supervisor adds any other target over and above what has been agreed upon, there has to be a discussion and an agreement with the subordinate.

**15. MID-YEAR / ANNUAL PERFORMANCE ASSESSMENT PROCEEDINGS**

15.1 The OC, P & KM unit shall be responsible for issuing invites to the members of the performance review panel to attend the planned performance review sessions.

15.2 The OC, P & KM unit shall be responsible for inviting managers to attend the planned performance review sessions.

15.3 A notice of not less than 7 calendar working days shall be given to stakeholders to attend the performance review proceedings.

15.4 All stakeholders attending the performance review proceedings will be required to sign an attendance register.

15.5 The venue and time for the performance review sessions shall be identified and decided by the OC, P & KM unit in consultation with other relevant stakeholders.

15.6 The outcome of the annual and final performance review will be submitted to the Audit Committee for review prior to submission to full Council.

15.7 Performance scoring shall be in line with performance management regulations (2006).

**16. TARGET SUCCESS CRITERIA AND CALCULATION OF SCORES FOR AWARDED PERFORMANCE BONUS/REWARD**

16.1 The target success criteria will be assessed on a scale of 1 to 5 as follows:

Rating	Category	%	Description
1	UNACCEPTABLE PERFORMANCE	69% & Below	Performance does not meet the standard expected for the job. The review/assessment indicates that the jobholder has achieved <b><i>less than fully effective results against almost all</i></b> of the performance criteria and indicators as specified in the Performance Agreement
2	PERFORMANCE NOT FULLY EFFECTIVE	70% - 99%	Performance meets some of the standards expected for the job. The review/assessment indicates that the jobholder has achieved <b><i>less than fully effective results against more than half</i></b> of the performance criteria and indicators as specified in the Performance Agreement.

Rating	Category	%	Description
3	PERFORMANCE FULLY EFFECTIVE	100% - 129%	Performance fully meets the standard expected in all areas of the job. The review/assessment indicates that the jobholder has achieved as a minimum <b><u>effective results against all</u></b> of the performance criteria and indicators as specified in the Performance Agreement.
4	PERFORMANCE SIGNIFICANTLY ABOVE EXPECTATION	130% - 149%	Performance is significantly higher than the standard expected in the job. The review/assessment indicates that the jobholder has achieved <b><u>better than fully effective results against more than half</u></b> of the performance criteria and indicators as specified in the Performance Agreement and fully achieved all others <b>throughout the performance cycle.</b>
5	OUTSTANDING PERFORMANCE	150% - 167%	Performance far exceeds the standard expected of a jobholder at this level. The review/assessment indicates that the jobholder has achieved <b><u>better than fully effective results against all</u></b> of the performance criteria and indicators as specified in the Performance Agreement and maintained this in all areas of responsibility <b>throughout the performance cycle.</b>

16.2 This rating and scoring mechanism will apply to all managers on performance contracts as per this policy

16.3 The following will be used to determine payment of performance bonuses to performance contract managers up to level 2 if it has been budgeted for.

Score of 150 % and above: 10% - 14% of the annual total remuneration package  
Score of 130 to 149%: 5% - 9% of the annual total remuneration package  
Score of 99% and below: Performance counseling.

16.4 In a case of outstanding Performance of Senior Managers or managers in strategic positions, In the absence of an incentives Policy the City Manager shall determine an appropriate incentive.

16.5 The final rating, scoring and the payment of a performance bonus/reward shall be based on the Annual Performance Review and Assessment, the Auditor Generals Audit Opinion, as well as the overall opinion of the Municipal Public Accounts Committee Oversight Report on the Annual Report.

16.6 Such final rating and scoring will be verified and ratified by the respective performance review panel (subject to the AAP process) as set out in this policy and finally the Audit Committee.

16.7 The legislated formula in the August 2006 Performance Management Regulations shall be used to calculate total scores for awarding the performance bonus.

## **17. ORGANIZATIONAL PERFORMANCE MANAGEMENT SCORING VS INDIVIDUAL PERFORMANCE MANAGEMENT SCORING – MATERIAL DEVIATIONS**

- 17.1 In all instances the City Manager & the General Managers must ensure alignment of scoring between the Key Performance Indicators & Targets on the SDBIP & OP (Organizational) and the assessments of Senior Managers / Managers (Individual).
- 17.2 There may be special circumstances where the individual should not be prejudiced in that he/she did all they could possibly do to achieve Key Performance Indicators & Targets, however due to matters beyond their control they were unable to achieve them.
- 17.3 In these instances, the City Manager / General Manager when assessing Senior Managers, may encounter a situation whereby organizationally a Business unit/unit reports Key Performance Indicators & Targets as having not been achieved and scored either a 1 (69% & lower) or a 2 (70%-99%); during the assessment the Senior Manager raises material reasons as to why he/she should be scored higher as the reasons for not achieving the Key Performance Indicators & Targets were beyond their control.
- 17.4 The CM & GMs need to exercise caution herein, as any upgrade of a scoring e.g. a 1 is upgraded to a 2 and a 2 is upgraded to a 3, the organizational score will remain the same. Only the individual scoring will be amended. In order for the CM or GM to upgrade the individual scoring, the onus will rest on the incumbent to prove that the matters pertaining to non-achievement were beyond his/her control. A portfolio of evidence in respect of the reasons for deviation must be brought by the incumbent to the assessment for the supervisor to assess. The POE must be fully completed and include all information to be considered by the CM / GM for an upgrade on particular Key Performance Indicators & Targets. The POE must also include documentation clearly indicating that the matter was escalated to the Level of the GM & CM, and/or produce something that shows the City Manager was duly informed and briefed of such matters.
- 17.5. GMs must note that if they upgrade the scoring of the Senior Managers, they will still have to prove same to the CM at their respective assessments, and provide the POE as well. It's not a given that if the SM scoring is upgraded by the GM, that the CM will automatically upgrade the scoring of the GMs.
- 17.6 Likewise, it will be incumbent upon the GM and/ or the CM to present a motivation to the assessment panel for any upgrade to scoring and produce the relevant POE in this regard.

## **18. MANAGEMENT OF SUB-STANDARD / POOR PERFORMANCE**

- 18.1 All endeavors shall be made to provide support in the form of coaching, guidance, mentoring, training and counseling to any manager displaying signs of sub-standard performance.
- 18.2 These managers shall be given an adequate period ranging from three to six months to improve performance.
- 18.3 Revised performance targets with a succinct corrective action plan shall be drawn up for such managers with clear results to be achieved.
- 18.4 The time needed for a manager to improve their performance will be dictated by the nature and level of the job.
- 18.5 Any form of punitive action responding to the manager's poor performance shall be preceded by a comprehensive package of assistance within a reasonable time frame.
- 18.6 The Manager shall seek advice from HRSSM for the points mentioned above.

## **19. PERFORMANCE DISPUTE RESOLUTION**

- 19.1 A performance dispute must be declared in writing by an affected manager within 10 working days of the occurrence if the need to do so arises.
- 19.2 The Performance Assessment Appeal Panel will be appointed within 10 working days by the City Manager after receipt of such complaint.
- 19.3 The Performance AAP will be made up of not less than 3 members and not more than 5 members.
- 19.4 The members of the Performance AAP will be drawn from municipal officials serving in the managerial and supervisory positions, whose post levels are above that of the disputing manager including: expertise from the line function, performance management and HR.
- 19.5 The Performance AAP will have a chairperson appointed by the City Manager.
- 19.6 The Performance AAP chairpersons shall convene a meeting within 14 working days of the receipt of the dispute to hear the dispute.
- 19.7 The affected manager will be afforded representation rights and other rights as accorded in the disciplinary procedure.
- 19.8 The proceedings of the AAP shall be recorded by means of a mechanical device.
- 19.9 The manager shall lead evidence in chief and the supervisor or senior manager shall reply in stating the municipality's side of the story.
- 19.10 The disputing manager and his/her representative shall be entitled to cross-examine the supervisor.
- 19.11 The AAP shall deliver its verdict within 10 working days after completion of the proceedings to the City Manager. The CM or his/her designated official given authority to decide for or against the disputing manager / staff member, shall have the final say.
- 19.12 The manager shall be advised about the decision by the Office of the CM within five working days of receipt of the verdict of the AAP - by the City Manager.
- 19.13 If the manager is still not satisfied with the outcome of the performance dispute resolution, the matter can then be treated in terms of the normal grievance procedure of the municipality.
- 19.14 If the matter is not resolved in terms of the grievance procedure, the matter may be escalated to the Municipal Bargaining Council.

## **20. COMMENCEMENT**

- 20.1 This reviewed policy will come into effect once Full Council has approved it.

## **21. INTERPRETATION OF THIS POLICY**

- 21.1 All words contained in this policy shall have an ordinary meaning attached thereto, unless the definition or context indicates otherwise.

- 21.2 Any dispute on interpretation of this policy shall be declared in writing by any party concerned.
- 21.3 The City Manager shall give a final interpretation of this policy in the case of a written dispute.
- 21.4 If the party concerned is not satisfied with the interpretation, a dispute may then be pursued with the South African Local Government Bargaining Council/Arbitration.

## **22. PERMANENT/TEMPORARY WAIVER OR SUSPENSION OF THIS POLICY**

- 22.1 This policy may be partly or wholly waived or suspended by the Municipal Council on a temporary or permanent basis, after consultation with Management and Trade Unions.
- 22.2 The City Manager may under circumstances of emergency temporarily waive or suspend this policy subject to reporting of such waiver or suspension to Council and Trade Unions.

## **23. AMENDMENT AND/OR ABOLITION OF THIS POLICY**

- 23.1 This policy may be amended or repealed by the Council after consultation and interaction with Management and Trade Unions.

## **24. COMPLIANCE AND ENFORCEMENT**

- 24.1 Violation of or non-compliance with this policy will give just cause for the Mayor / City Manager to reserve the right to institute Consequence Management for all breaches.
  - 24.1.1 The City Manager and the General Managers, must institute Consequence Management on any incumbent that fails to honour the invitation to an assessment without a valid reason.
  - 24.1.2 The City Manager and the General Managers, must institute Consequence Management on any incumbent that fails to submit a signed performance agreement within the prescribed timeframes and/or submits the performance agreement late, and/or with incomplete information, and/or does not complete the financial declaration section thoroughly and truthfully and thus when audited results in an Audit Query.
- 24.2 It will be the responsibility of all Managers, Supervisors, and the Executive Committee with Council to enforce compliance with this policy.

## **25. IPMS STANDARD OPERATING PROCEDURE**

- 25.1 In order to give effect to the above policy and ensure compliance is at an optimum level, a Standard Operating Procedure has been developed. The following Standard Operating Procedure will be descriptive in nature, narrative where necessary and also inclusive of adaptations of the full templates to be used for the IPMS process in the 2020/2021 financial year. The detailed Standard Operating Procedure is attached with this policy as **Annexure 3**.

## CORE MANAGERIAL COMPETENCIES

<b>LEADING COMPETENCIES</b>	
<b>Strategic Direction and Leadership</b>	<ul style="list-style-type: none"> <li>• Impact and Influence</li> <li>• Institutional Performance Management</li> <li>• Strategic Planning and Management</li> <li>• Organizational Awareness</li> </ul>
<b>People Management</b>	<ul style="list-style-type: none"> <li>• Human Capital Planning and Development</li> <li>• Diversity Management</li> <li>• Employee Relations Management</li> <li>• Negotiation and Dispute Management</li> </ul>
<b>Program and Project Management</b>	<ul style="list-style-type: none"> <li>• Program and Project Planning and Implementation</li> <li>• Service Delivery Management</li> <li>• Program and Project Monitoring and Evaluation</li> </ul>
<b>Financial Management</b>	<ul style="list-style-type: none"> <li>• Budget Planning and Execution</li> <li>• Financial Strategy and Delivery</li> <li>• Financial Reporting and Monitoring</li> </ul>
<b>Change Leadership</b>	<ul style="list-style-type: none"> <li>• Change Vision and Strategy</li> <li>• Process Design and Improvement</li> <li>• Change Impact Monitoring and Evaluation</li> </ul>
<b>Governance Leadership</b>	<ul style="list-style-type: none"> <li>• Policy Formulation</li> <li>• Risk and Compliance Management</li> <li>• Cooperative Governance</li> </ul>
<b>CORE COMPETENCIES</b>	
<b>Moral Competence</b>	
<b>Planning and Organising</b>	
<b>Analysis and Innovation</b>	
<b>Knowledge &amp; Information Management</b>	
<b>Communication</b>	
<b>Results and Quality Focus</b>	



## Competency Descriptions

<b>Cluster</b>	<b>Leading Competencies</b>		
<b>Competency Name</b>	<b>Strategic Direction and Leadership</b>		
<b>Competency Definition</b>	Provide and direct a vision for the institution, and inspire and deploy others to deliver on the strategic institutional mandate		
<b>ACHIEVEMENT LEVELS</b>			
<b>BASIC</b>	<b>COMPETENT</b>	<b>ADVANCED</b>	<b>SUPERIOR</b>
<ul style="list-style-type: none"> <li>• Understand institutional and departmental strategic objectives, but lacks the ability to inspire others to achieve set mandate</li> <li>• Describe how specific tasks link to institutional strategies but has limited influence in directing strategy</li> <li>• Has a basic understanding of institutional performance management, but lacks the ability to integrate systems into a collective whole.</li> <li>• Demonstrate a basic understanding of key decision-makers</li> </ul>	<ul style="list-style-type: none"> <li>• Give direction to a team in realising the institution's strategic mandate and set objectives</li> <li>• Has a positive Impact and Influence on the morale, engagement and participation of team members</li> <li>• Develop actions plans to execute and guide strategy implementation</li> <li>• Assist in defining performance measures to monitor the progress and effectiveness of the institution</li> <li>• Displays an awareness of institutional structures and political factors</li> <li>• Effectively communicate barriers to execution to relevant parties</li> <li>• Provide guidance to all stakeholders in the achievement of the strategic mandate</li> <li>• Understand the aim and objectives of the institution and relate it to own work</li> </ul>	<ul style="list-style-type: none"> <li>• Evaluate all activities to determine value and alignment to strategic intent</li> <li>• Display In-depth knowledge and understanding of strategic planning</li> <li>• Align strategy and goals across all functional areas</li> <li>• Actively define performance measures to monitor the progress and effectiveness of the institution</li> <li>• Consistently challenge strategic plans to ensure relevance</li> <li>• Understand institutional structures and political factors, and the consequences of actions</li> <li>• Empower others to follow strategic direction and deal with complex situations</li> <li>• Guide the institution through complex and ambiguous concern</li> <li>• Use understanding of power relationships and dynamic tensions among key players to frame communications and develop strategies, positions and alliances</li> </ul>	<ul style="list-style-type: none"> <li>• Structure and position the institution to local government priorities.</li> <li>• Actively use in-depth Knowledge and understanding to develop and implement a comprehensive institutional framework</li> <li>• Hold self-accountable for strategy execution and results</li> <li>• Provide impact and influence through building and maintaining strategic relationships</li> <li>• Create an environment that facilitates loyalty and innovation Display a superior level of self-discipline and integrity in actions</li> <li>• Integrate various systems into a collective whole to optimise institutional performance management</li> <li>• Uses understanding of competing interests to manoeuvre successfully to a win/win outcome</li> </ul>

<b>Cluster</b>	<b>Leading Competencies</b>		
<b>Competency Name</b>	<b>People Management</b>		
<b>Competency Definition</b>	Effectively manage, inspire and encourage people, respect diversity, optimise talent and build and nurture relationships in order to achieve institutional objectives		
<b>ACHIEVEMENT LEVELS</b>			
<b>BASIC</b>	<b>COMPETENT</b>	<b>ADVANCED</b>	<b>SUPERIOR</b>
<ul style="list-style-type: none"> <li>• Participate in team goal-setting and problem solving</li> <li>-Interact and collaborate with people of diverse backgrounds</li> <li>• Aware of guidelines for employee development but requires support in implementing development initiatives</li> </ul>	<ul style="list-style-type: none"> <li>-Seek opportunities to increase team contribution and responsibility</li> <li>• Respect and support the diverse nature of others and be aware of the benefits of a diverse approach</li> <li>- Effectively delegate tasks and empower others to increase contribution and execute functions optimally</li> <li>Apply relevant employee legislation fairly and consistently</li> <li>- Facilitate team goal- setting and problem- solving</li> <li>-Effectively identify capacity requirements to fulfil the strategic mandate</li> </ul>	<ul style="list-style-type: none"> <li>-Identify ineffective team and work processes and recommend remedial interventions</li> <li>- Recognise and reward effective and desired behaviour</li> <li>- Provide mentoring and guidance to others in order to increase personal effectiveness</li> <li>-Identify development and Learning needs within the team</li> <li>-Build a work environment conducive to sharing, innovation, ethical behaviour and professionalism</li> <li>• Inspire a culture of performance excellence by giving positive and constructive feedback to the team</li> <li>-Achieve agreement or consensus in adversarial environments</li> <li>- lead and unite diverse teams across divisions to achieve institutional objectives</li> </ul>	<ul style="list-style-type: none"> <li>-Develop and incorporate best practice people management processes, approaches and tools across the institution</li> <li>- Foster a culture of discipline, responsibility and accountability</li> <li>- Understand the impact of diversity in performance and actively incorporate a diversity strategy in the institution</li> <li>- Develop comprehensive integrated strategies and approaches to human capital development and management</li> <li>-Actively identify trends and predict capacity requirements to facilitate unified transition and performance management</li> </ul>

<b>Cluster</b>	<b>Leading Competencies</b>		
<b>Competency Name</b>	<b>Program and Project Management</b>		
<b>Competency Definition</b>	Able to understand program and project management methodology; plan, manage, monitor and evaluate specific activities in order to deliver on set objectives		
<b>ACHIEVEMENT LEVELS</b>			
<b>BASIC</b>	<b>COMPETENT</b>	<b>ADVANCED</b>	<b>SUPERIOR</b>
<ul style="list-style-type: none"> <li>• Initiate projects after approval from higher authorities</li> <li>• Understand procedures of program and project management Methodology, implications and stakeholder involvement</li> <li>• Understand the rationale of projects in relation to the institution's strategic objectives</li> <li>• Document and communicate factors and risk associated with own work</li> <li>• Use results and approaches of successful project implementation as guide</li> </ul>	<p>Establish broad stakeholder involvement and communicate the project status and key milestones</p> <p>Define the roles and responsibilities of the project team and create clarity around expectations</p> <p>Find a balance between project deadline and the quality of deliverables</p> <p>Identify appropriate project resources to facilitate the effective completion of the deliverables</p> <p>Comply with statutory requirements and apply policies in a consistent manner</p> <p>Monitor progress and use of resources and make needed adjustments to timelines, steps, and resource allocation</p>	<ul style="list-style-type: none"> <li>• Manage multiple programs and balance priorities and conflicts according to institutional goals</li> <li>• Apply effective risk management strategies through impact assessment and resource requirements</li> <li>• Modify project scope and budget when required without compromising the quality and objectives of the project</li> <li>• Involve top-level authorities and relevant stakeholders in seeking project buy-in</li> <li>• Identify and apply contemporary project management methodology</li> <li>• Influence and motivate project team to deliver exceptional results</li> <li>• Monitor policy implementation and apply procedures to manage risks</li> </ul>	<ul style="list-style-type: none"> <li>• Understand and conceptualise the long-term implications of desired project outcomes</li> <li>• Direct a comprehensive strategic macro and micro analysis and scope projects accordingly to realise institutional objectives</li> <li>• Consider and initiate projects that focus on achievement of the long-term objectives</li> <li>• Influence people in positions of authority to implement outcomes of projects</li> <li>• Lead and direct translation of policy into workable actions plans</li> <li>• Ensures that programs are monitored to track progress and optimal resource utilisation, and that adjustments are made as needed</li> </ul>

<b>Cluster</b>	<b>Leading Competencies</b>		
<b>Competency Name</b>	<b>Financial Management</b>		
<b>Competency Definition</b>	Able to compile, plan and manage budgets, control cash flow, institute financial risk management and administer procurement processes in accordance with recognised financial practices, Further to ensure that all financial transactions are managed in an ethical manner		
<b>ACHIEVEMENT LEVELS</b>			
<b>BASIC</b>	<b>COMPETENT</b>	<b>ADVANCED</b>	<b>SUPERIOR</b>
<ul style="list-style-type: none"> <li>Understand basic financial concepts and methods as they relate to institutional processes and activities</li> <li>Display awareness into the various sources of financial data, reporting mechanisms, financial governance, processes and systems</li> <li>Understand the importance of financial accountability</li> <li>Understand the importance of asset control</li> </ul>	<ul style="list-style-type: none"> <li>Exhibit knowledge of general financial concepts, planning, budgeting, and forecasting and how they interrelate</li> <li>Assess, identify and manage financial risks</li> <li>Assume a cost- saving approach to financial Management.</li> <li>Prepare financial reports based on specified formats</li> <li>Consider and understand the financial implications of decisions and suggestions</li> <li>Ensure that delegation and instructions as required by National Treasury guidelines are reviewed and updated</li> <li>Identify and implement proper monitoring and evaluation practices to ensure appropriate spending against budget</li> </ul>	<ul style="list-style-type: none"> <li>Take active ownership of planning, budgeting, and forecast processes and provides credible answers to queries within own responsibility</li> <li>Prepare budgets that are aligned to the strategic objectives of the institution</li> <li>Address complex budgeting and financial management concerns</li> <li>Put systems and processes in place to enhance the quality and integrity of financial management practices.</li> <li>Advise on policies and procedures regarding asset control</li> <li>Promote National Treasury's regulatory framework for Financial Management</li> </ul>	<ul style="list-style-type: none"> <li>Develop planning tools to assist in evaluating and monitoring future expenditure trends</li> <li>Set budget frameworks for the institution</li> <li>Set strategic direction for the institution on expenditure and other financial processes</li> <li>Build and nurture partnerships to Improve financial management and achieve financial savings</li> <li>Actively identify and implement new methods to improve asset control</li> <li>Display professionalism in dealing with financial data and processes</li> </ul>

<b>Cluster</b>	<b>Leading Competencies</b>		
<b>Competency Name</b>	<b>Change leadership</b>		
<b>Competency Definition</b>	Able to direct and initiate institutional transformation on all levels in order to successfully drive and implement new initiatives and deliver professional and quality services to the community		
<b>ACHIEVEMENT LEVELS</b>			
<b>BASIC</b>	<b>COMPETENT</b>	<b>ADVANCED</b>	<b>SUPERIOR</b>
<ul style="list-style-type: none"> <li>• Display an awareness of change interventions, and the benefits of transformation initiatives</li> <li>• Able to identify basic needs for change</li> <li>• Identify gaps between the current and desired state</li> <li>• Identify potential risk and challenges to transformation, including resistance to change factors</li> <li>• Participate in change programs and piloting change interventions</li> <li>• Understand the impact of change interventions on the institution within the broader scope of local government.</li> </ul>	<ul style="list-style-type: none"> <li>• Perform an analysis of the change impact on the social, political and economic environment</li> <li>• Maintain calm and focus during change</li> <li>• Able to assist team members during change and keep them focused on the deliverables</li> <li>• Volunteer to lead change efforts outside of own work team</li> <li>• Able to gain buy-in and approval for change from relevant stakeholders</li> <li>• Identify change readiness levels and assist in resolving resistance to change factors</li> <li>• Design change interventions that are aligned with the institution's strategic objectives and goals</li> </ul>	<ul style="list-style-type: none"> <li>• Actively monitor change impact and results and convey progress to relevant stakeholders</li> <li>• Secure buy-in and sponsorship for change initiatives</li> <li>• Continuously evaluate change strategy and design and introduce new approaches to enhance the institution's effectiveness.</li> <li>• Build and nurture relationships with various stakeholders to establish strategic alliance in facilitating change</li> <li>• Take the lead in impactful change programs</li> <li>• Benchmark change interventions against best change practices</li> <li>• Understand the impact and psychology of change, and put remedial interventions in place to facilitate effective transformation</li> <li>• Take calculated risk and seek new ideas from best practice scenarios, and identify the potential for implementation</li> </ul>	<ul style="list-style-type: none"> <li>• Sponsor change agents and create a network of change leaders who support the interventions</li> <li>• Actively adapt current structures and processes to incorporate the change interventions</li> <li>• Mentor and guide team members on the effects of change, resistance factors and how to integrate change</li> <li>• Motivate and inspire others around change initiatives</li> </ul>

<b>Cluster</b>	<b>Leading Competencies</b>		
<b>Competency Name</b>	<b>Governance Leadership</b>		
<b>Competency Definition</b>	Able to promote, direct and apply professionalism in managing risk and compliance requirements and apply a thorough understanding of governance practices and obligations. Further, able to direct the conceptualisation of relevant policies and enhance cooperative governance relationships		
<b>ACHIEVEMENT LEVELS</b>			
<b>BASIC</b>	<b>COMPETENT</b>	<b>ADVANCED</b>	<b>SUPERIOR</b>
<ul style="list-style-type: none"> <li>• Display a basic awareness of risk, compliance and governance factors but require guidance and development in implementing such requirements</li> <li>• Understand the structure of cooperative government but requires guidance on fostering workable relationships between stakeholders</li> <li>• Provide input into policy formulation</li> </ul>	<ul style="list-style-type: none"> <li>• Display a thorough understanding of governance and risk and compliance factors and implement plans to address these</li> <li>• Demonstrate understanding of the techniques and processes for optimising risk taking decisions within the institution</li> <li>• Actively drive policy formulation within the institution to ensure the achievement of objectives</li> </ul>	<ul style="list-style-type: none"> <li>• Able to link risk initiatives into key institutional objectives and drivers</li> <li>• Identify, analyse and measure risk, create valid risk forecasts, and map risk profiles</li> <li>• Apply risk control methodology and approaches to prevent and reduce risk that impede on the achievement of institutional objectives</li> <li>• Demonstrate a thorough understanding of risk retention plans</li> <li>• Identify and implement comprehensive risk management systems and processes</li> <li>• Implement and monitor the formulation of policies, identify and analyse constraints and challenges with implementation and provide recommendations for improvement</li> </ul>	<ul style="list-style-type: none"> <li>• Demonstrate a high level of commitment in complying with governance requirements</li> <li>• Implement governance and compliance strategy to ensure achievement of institutional objectives within the legislative framework</li> <li>• Able to advise Local Government on risk management strategies, best practice interventions and compliance management.</li> <li>• Able to forge positive relationships on cooperative governance level to enhance the effectiveness of Local Government</li> <li>• Able to shape, direct and drive the formulation of policies on a macro level</li> </ul>

<b>Cluster</b>	<b>Core Competencies</b>		
<b>Competencies Name</b>	<b>Moral Competencies</b>		
<b>Competency Definition</b>	Able to identify moral triggers, apply reasoning that promotes honesty and integrity and consistently display behaviour that reflects moral competence		
<b>ACHIEVEMENT LEVELS</b>			
<b>BASIC</b>	<b>COMPETENT</b>	<b>ADVANCED</b>	<b>SUPERIOR</b>
<ul style="list-style-type: none"> <li>Realise the impact of acting with integrity, but requires guidance and development in implementing principles</li> <li>Follow the basic rules and regulations of the institution</li> <li>Able to identify basic moral situations, but requires guidance and development in understanding and reasoning with moral intent</li> </ul>	<ul style="list-style-type: none"> <li>Conduct self in alignment with the values of Local Government and the institution</li> <li>Able to openly admit own mistakes and weaknesses and seek assistance from others when unable to deliver</li> <li>Actively report fraudulent activity and corruption within local government</li> <li>Understand and honour the confidential nature of matters without seeking personal gain</li> <li>Able to deal with situations of conflict of interest promptly and in the best interest of local government</li> </ul>	<ul style="list-style-type: none"> <li>Identify, develop, and apply measures of self-correction</li> <li>Able to gain trust and respect through aligning actions with commitments</li> <li>Make proposals and recommendations that are transparent and gain the approval of relevant stakeholders</li> <li>Present values, beliefs and ideas that are congruent with the institution's rules and regulations</li> <li>Takes an active stance against corruption and dishonesty when noted</li> <li>Actively promote the value of the institution to internal and external stakeholders</li> <li>Able to work in unity with a team and not seek personal gain</li> <li>Apply universal moral principles consistently to</li> <li>achieve moral decisions</li> </ul>	<ul style="list-style-type: none"> <li>Create an environment conducive of moral practices</li> <li>Actively develop and implement measures to combat fraud and corruption</li> <li>Set integrity standards and shared accountability measures across the institution to support the objectives of local government</li> <li>Take responsibility for own actions and decisions, even if the consequences are unfavourable</li> </ul>

<b>Cluster</b>	<b>Core Competencies</b>		
<b>Competency Name</b>	<b>Planning and organising</b>		
<b>Competency Definition</b>	Able to plan, prioritise and organise information and resources effectively to ensure the quality of service delivery and build efficient contingency plans to manage risk		
<b>ACHIEVEMENT LEVELS</b>			
<b>BASIC</b>	<b>COMPETENT</b>	<b>ADVANCED</b>	<b>SUPERIOR</b>
<ul style="list-style-type: none"> <li>• Able to follow basic plans and organise tasks around set objectives</li> <li>• Understand the process of planning and organising but requires guidance and development in providing detailed and comprehensive plans</li> <li>• Able to follow existing plans and ensure that objectives are met.</li> <li>• Focus on short- term objectives in developing plans and actions</li> <li>• Arrange information and resources required for a task, but require further structure and organisation</li> </ul>	<ul style="list-style-type: none"> <li>• Actively and appropriately organise information and resources required for a task</li> <li>• Recognise the urgency and importance of tasks</li> <li>• Balance short and long-term plans and goals and incorporate into the team's performance objectives</li> <li>• Schedule tasks to ensure they are performed within budget and with efficient use of time and resources</li> <li>• Measures progress and monitor performance results</li> </ul>	<ul style="list-style-type: none"> <li>• Able to define institutional objectives, develop comprehensive plans, integrate and coordinate activities, and assign appropriate resources for successful implementation</li> <li>• Identify in advance required stages and actions to complete tasks and projects</li> <li>• Schedule realistic timelines, objectives and milestones for tasks and projects</li> <li>• Produce clear, detailed and comprehensive plans to achieve institutional objectives</li> <li>• Identify possible risk factors and design and implement appropriate contingency plans</li> <li>• Adapt plans in light of changing circumstances</li> <li>• Prioritise tasks and projects according to their relevant urgency and importance</li> </ul>	<ul style="list-style-type: none"> <li>• Focus on broad strategies and initiatives when developing plans and actions</li> <li>• Able to project and forecast short, medium and long term requirements of the institution and local government</li> <li>• Translate policy into relevant projects to facilitate the achievement of institutional objectives</li> </ul>



<b>Cluster</b>	<b>Core Competencies</b>		
<b>Competency Name</b>	<b>Knowledge and Information Management</b>		
<b>Competency Definition</b>	Able to promote the generation and sharing of knowledge and Information through various processes and media, in order to enhance the collective knowledge base of local government		
<b>ACHIEVEMENT LEVELS</b>			
<b>BASIC</b>	<b>COMPETENT</b>	<b>ADVANCED</b>	<b>SUPERIOR</b>
<ul style="list-style-type: none"> <li>• Collect categorise and track relevant information required for specific tasks and projects</li> <li>• Analyse and interpret information to draw conclusions</li> <li>• Seek new sources of information to increase the knowledge base</li> <li>• Regularly share Information and knowledge with internal stakeholders and team members</li> </ul>	<ul style="list-style-type: none"> <li>• Use appropriate information systems and technology to manage institutional knowledge and information sharing</li> <li>• Evaluate data from various sources and use information effectively to influence decisions and provide solutions</li> <li>• Actively create mechanisms and structures for sharing of information</li> <li>• Use external and internal resources to research and provide relevant and cutting-edge knowledge to enhance institutional effectiveness and efficiency</li> </ul>	<ul style="list-style-type: none"> <li>• Effectively predict future information and knowledge management requirements and systems</li> <li>• Develop standards and processes to meet future knowledge management needs</li> <li>• Share and promote best- practice knowledge management across various institutions</li> <li>• Establish accurate measures and monitoring systems for knowledge and information management</li> <li>• Create a culture conducive of learning and knowledge sharing</li> <li>• Hold regular knowledge and information sharing sessions to elicit new ideas and share best practice approaches</li> </ul>	<ul style="list-style-type: none"> <li>• Create and support a vision and culture where</li> <li>• team members are empowered to seek, gain and share knowledge and information</li> <li>• Establish partnerships across local government to facilitate knowledge management</li> <li>• Demonstrate a mature approach to knowledge and information sharing with an abundance and assistance approach</li> <li>• Recognise and exploit knowledge points in interactions with internal and external stakeholders</li> </ul>

<b>Cluster</b>	<b>Core Competencies</b>		
<b>Competency Name</b>	<b>Analysis and Innovation</b>		
<b>Competency Definition</b>	Able to critically analyse information, challenges and trends to establish and implement fact-based solutions that are innovative to improve institutional processes in order to achieve key strategic objectives		
<b>ACHIEVEMENT LEVELS</b>			
<b>BASIC</b>	<b>COMPETENT</b>	<b>ADVANCED</b>	<b>SUPERIOR</b>
<ul style="list-style-type: none"> <li>Understand the basic operation of analysis, but lack detail and thoroughness</li> <li>Able to balance independent analysis with requesting assistance from others</li> <li>Recommend new Ways to perform tasks within own function</li> <li>Propose simple remedial interventions that marginally challenges the status quo</li> <li>Listen to the ideas and perspectives of others and explore opportunities to enhance such innovative thinking</li> </ul>	<ul style="list-style-type: none"> <li>Demonstrate logical problem solving techniques and approaches and provide rationale for recommendations</li> <li>Demonstrate Objectivity, insight, and thoroughness when analysing problems</li> <li>Able to break down complex problems into manageable parts and identify solutions</li> <li>Consult internal and external stakeholders on opportunities to improve processes and service delivery</li> <li>Clearly communicate the benefits to new opportunities and innovative solutions to stakeholders</li> <li>Continuously Identify opportunities to enhance internal processes</li> <li>Identify and analyse opportunities conducive to innovative approaches and propose remedial intervention</li> </ul>	<ul style="list-style-type: none"> <li>Coaches team members on analytical and innovative approaches and techniques</li> <li>Engage with appropriate individuals in analysing and resolving complex problems</li> <li>Identify solutions on various areas in the institution</li> <li>Formulate and implement new ideas throughout the institution</li> <li>Able to gain approval and buy- in for proposed interventions from relevant stakeholders</li> <li>Identify trends and best practices in process and service delivery and propose institutional application</li> <li>Continuously engage in research to identify client needs</li> </ul>	<ul style="list-style-type: none"> <li>Demonstrate complex analytical and problem solving approaches and techniques</li> <li>Create an environment conducive to analytical and fact-based problem-solving</li> <li>Analyse, recommend solutions and monitor trends in key challenges to prevent and manage occurrence</li> <li>Create an environment that fosters innovative thinking and follows a learning organisation approach</li> <li>Be a thought leader on innovative customer service delivery, and process optimisation</li> <li>Play an active role in sharing best practice solutions and engage in national and international local government seminars and conferences</li> </ul>

<b>Cluster</b>	<b>Core Competencies</b>		
<b>Competency Name</b>	<b>Communication</b>		
<b>Competency Definition</b>	Able to share information, knowledge and ideas in a clear, focused and concise manner appropriate for the audience in order to effectively convey, persuade and influence stakeholders to achieve the desired outcome		
<b>ACHIEVEMENT LEVELS</b>			
<b>BASIC</b>	<b>COMPETENT</b>	<b>ADVANCED</b>	<b>SUPERIOR</b>
<ul style="list-style-type: none"> <li>• Demonstrate an understanding for communication levers and tools appropriate for the audience, but requires guidance in utilising such tools</li> <li>• Express ideas in a clear and focused manner, but does not always take the needs of the audience into consideration</li> <li>• Disseminate and convey information and knowledge adequately</li> </ul>	<ul style="list-style-type: none"> <li>• Express ideas to individuals and groups in formal and informal settings in a manner that is interesting and motivating</li> <li>• Able to understand, tolerate and appreciate diverse perspectives, attitudes and beliefs</li> <li>• Adapt communication content and style to suit the audience and facilitate optimal information transfer</li> <li>• Deliver content in a manner that gains support, commitment and agreement from relevant stakeholders</li> <li>• Compile clear, focused, concise and well-structured written documents</li> </ul>	<ul style="list-style-type: none"> <li>• Effectively communicate high risk and sensitive matters to relevant stakeholders</li> <li>• Develop a well- defined communication strategy</li> <li>• Balance political perspectives with institutional needs when communicating viewpoints on complex issues</li> <li>• Able to effectively direct negotiations around complex matters and arrive at a win-win situation that promotes Batho Pele principles</li> <li>• Market and promote the institution to external stake holders and seek to enhance a positive image of the institution</li> <li>• Able to communicate with the media with high levels of moral competence and discipline</li> </ul>	<ul style="list-style-type: none"> <li>• Regarded as a specialist in negotiations and representing the institution</li> <li>• Able to inspire and motivate others through positive communication that is impactful and relevant</li> <li>• Creates an environment conducive to transparent and productive communication and critical and appreciative conversations</li> <li>• Able to coordinate negotiations at different levels within local government and externally</li> </ul>

<b>Cluster</b>	<b>Core Competencies</b>		
<b>Competency Name</b>	<b>Results and Quality Focus</b>		
<b>Competency Definition</b>	Able to maintain high quality standards focus on achieving results and objectives while consistently striving to exceed expectations and encourage others to meet quality standards. Further. to actively monitor and measure results and quality against identified objectives		
<b>ACHIEVEMENT LEVELS</b>			
<b>BASIC</b>	<b>COMPETENT</b>	<b>ADVANCED</b>	<b>SUPERIOR</b>
<ul style="list-style-type: none"> <li>• Understand quality of work but requires guidance in attending to Important matters</li> <li>• Show a basic commitment to achieving the correct results</li> <li>• Produce the minimum level of results required in the role</li> <li>• Produce outcomes that is of a good standard</li> <li>• Focus on the quantity of output but requires development in incorporating the quality of work</li> <li>• Produce quality Work in general circumstances, but fails to meet expectation when under pressure</li> </ul>	<ul style="list-style-type: none"> <li>• Focus on high-priority actions and does not become distracted by lower-priority activities</li> <li>• Display firm commitment and pride in achieving the correct results</li> <li>• Set quality standards and design processes and tasks around achieving set standards</li> <li>• Produce output of high quality</li> <li>• Able to balance the quantity and quality of results in order to achieve objectives</li> <li>• Monitors progress, quality of work, and use of resources; provide status updates. and make adjustments as needed</li> </ul>	<ul style="list-style-type: none"> <li>• Consistently verify own standards and outcomes to ensure quality output</li> <li>• Focus on the end result and avoids being distracted</li> <li>• Demonstrate a determined and committed approach to achieving results and quality standards</li> <li>• Follow task and projects through to completion</li> <li>• Set challenging goals and objectives to self and team and display commitment to achieving expectations</li> <li>• Maintain a focus on quality outputs when placed under pressure</li> <li>• Establishing institutional systems for managing and assigning work, defining responsibilities, tracking, monitoring and measuring success, evaluating and valuing the work of the institution</li> </ul>	<ul style="list-style-type: none"> <li>• Coach and guide others to exceed quality standards and results</li> <li>• Develop challenging, client-focused goals and sets high standards for personal performance</li> <li>• Commit to exceed the results and quality standards, monitor own performance and implement remedial interventions when required</li> <li>• Work with team to set ambitious and challenging team goals, communicating long- and short- term expectations</li> <li>• Take appropriate risks to accomplish goals</li> <li>• Overcome setbacks and adjust action plans to realise goals</li> <li>• Focus people on critical activities that yield a high impact</li> </ul>

ACHIEVEMENT LEVELS	DESCRIPTION
Basic	Applies basic concepts, methods, and understanding of local government operations, but requires supervision and development intervention
Competent	Develops and applies more progressive concepts, methods and understanding. Plans and guides the work of others and executes progressive analyses
Advanced	Develops and applies complex concepts, methods and understanding. Effectively directs and leads a group and executes in-depth analyses
Superior	Has a comprehensive understanding of local government operations, critical in shaping strategic direction and change, develops and applies comprehensive concepts and methods



MSUNDUZI MUNICIPALITY  
2020/2021 FINANCIAL YEAR

STANDARD OPERATING PROCEDURE FOR THE INDIVIDUAL PERFORMANCE  
MANAGEMENT SYSTEM POLICY

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## LIST OF ABBREVIATIONS

1	B2B	Back to Basics
2	GM	General Manager
3	CM	City Manager
4	OP	Operational Plan
5	IPMS	Individual Performance Management System
6	SM	Senior Manager
7	PMS	Performance Management System
8	SBU	Strategic Business Unit
9	SDBIP	Service Delivery & Budget Implementation Plan
10	SMC	Strategic Management Committee
11	SOCA	State of the City Address
12	SOP	Standard Operating Procedure
13	KPA	Key Performance Area
14	HRSSM	Human Resources Support Services Manager
15	IA	Internal Audit
16	KPI	Key Performance Indicator
17	OC, P & KM	Organizational Compliance, Performance & Knowledge Management



## **INTRODUCTION**

The Msunduzi Municipality recognizes the significance of having an individual performance management system not only as a legal requirement in terms of the applicable laws, but as an important instrument of corporate governance which aims at ensuring that a process of goal setting for individual managers in the work place is followed by a systematic success measuring process.

This framework has been formulated against a need for formalizing the process and strategy for managing both organizational and individual performance, with the focus on individual performance hereunder. The goal of achieving excellent standards of performance will be realized through introduction and injection of a systematic set of rules and standards of performance in the work place.

**The IPMS Cycle has 5 steps as per below;**

- 1. Planning**
- 2. Implementation**
- 3. Monitoring and Reporting**
- 4. Evaluation and Reporting**
- 5. Performance Auditing & Reporting**

**This SOP will seek to describe how the following outputs fit into the 5 step cycle mentioned above:**

- 1. Development of the Performance Agreement & Workplan Templates**
- 2. Population of the Performance Agreement & Workplan Templates with Performance Data**
- 3. Discussion between Supervisor & Supervisee**
- 4. Signing of Performance Agreements**
- 5. Assessments**
- 6. Assessment Reports**
- 7. Auditing of Results**

## 1. BACKGROUND

A good performance management system works towards the improvement of the overall organizational performance by managing the performances of teams and individuals for ensuring the achievement of the overall organizational ambitions and goals. **An effective performance management system can play a very crucial role in managing the performance in an organization by:**

- Ensuring that the employees understand the importance of their contributions to the organizational goals and objectives.
- Ensuring each employee understands what is expected from them and equally ascertaining whether the employees possess the required skills and support for fulfilling such expectations.
- Ensuring proper aligning or linking of objectives and facilitating effective communication throughout the organization.
- Facilitating a cordial and a harmonious relationship between an individual employee and the line manager based on trust and empowerment.

**Performance management practices can have a positive influence on the job satisfaction and employee loyalty by:**

- Regularly providing open and transparent job feedbacks to the employees.
- Establishing a clear linkage between performance and compensation
- Providing ample learning and development opportunities by representing the employees in leadership development programmes, etc.
- Evaluating performance and distributing incentives and rewards on a fair and equated basis.
- Establishing clear performance objectives by facilitating an open communication and a joint dialogue.
- Recognizing and rewarding good performance in an organization.
- Providing maximum opportunities for career growth.

An effectively implemented performance management system can benefit the organization, managers and employees in several ways as depicted in the table given below:

<b>Organization's Benefits</b>	Improved organizational performance, employee retention and loyalty, improved productivity, overcoming the barriers to communication, clear accountabilities, and cost advantages.
<b>Manager's Benefits</b>	Saves time and reduces conflicts, ensures efficiency and consistency in performance.
<b>Employee's Benefits</b>	Clarifies expectations of the employees, self-assessment opportunities clarifies the job accountabilities and contributes to improved performance, clearly defines career paths and promotes job satisfaction.

Clearly defined goals, regular assessments of individual performance and the organizational wide requirements can be helpful in defining the corporate competencies and the major skill gaps which may in turn serve as a useful input for designing the training and development plans for the employees. A sound performance management system can serve two crucial objectives:

### Evaluation Objectives

- By evaluating the readiness of the employees for taking up higher responsibilities.
- By providing a feedback to the employees on their current competencies and the need for improvement.
- By linking the performance with scope of promotions, incentives, rewards and career development.

### **Developmental Objectives**

The developmental objective is fulfilled by defining the training requirements of the employees based on the results of the reviews and diagnosis of the individual and organizational competencies. Coaching and counselling helps in winning the confidence of the employees and in improving their performance, besides strengthening the relationship between the superior and the subordinate.

## **2. DEFINITION OF STANDARD OPERATING PROCEDURES**

By definition, Standard Operating Procedures (SOPs) within the context of Individual Performance Management, is a written description of steps for all significant activities relating to the practice of Individual Performance Management. SOPs should accurately reflect the methodology for processes required for implementation of the IPMS Policy, be sufficiently practical and be usable in the municipal environment. The good individual performance management serves as an important tool for realizing organizational goals by implementing competitive human resources management strategies. It helps in aligning and integrating the objectives with the KPI's in an organization both vertically and horizontally across all job categories and the levels and thus helps in driving all the activities right from the bottom level towards one single goal.

### 3. JUSTIFICATION FOR STANDARD OPERATING PROCEDURES

There are several challenges the existing Individual Performance Management System is facing; these include the following among others;

- Poor and incomplete recording of data needed for Performance Management,
- Use of non-standardized Portfolio of Evidence templates by business units, has been happening owing to lack of or failure to use existing Portfolio of Evidence templates (POEs) for setting up portfolios of evidence,
- Lack of guidance on how to determine the source documents for a respective target, and;
- Lack of guidance on how to Develop Portfolios of Evidence (POEs) e.g. that was generated through service delivery implementation.
- For a number of financial years Internal Audit (IA) as well as the Auditor General (AG) have raised queries in respect of Performance Information (Source Documents / Portfolios of Evidence) being inadequate. The development and implementation of Standard Operating Procedures for the development of Portfolios of Evidence if implemented correctly should eliminate further queries.

#### 4. ANTICIPATED BENEFITS OF HAVING STANDARD OPERATING PROCEDURES FOR INDIVIDUAL PERFORMANCE MANAGEMENT

- A good SOP on performance management systems works towards the improvement of the overall organizational performance by managing the performances of teams and individuals for ensuring the achievement of the overall organizational ambitions and goals.
- An effective SOP on performance management systems can play a very crucial role in managing the performance in an organization by:
  - Ensuring that the employees understand the importance of their contributions to the organizational goals and objectives.
  - Ensuring each employee understands what is expected from them and equally ascertaining whether the employees possess the required skills and support for fulfilling such expectations.
  - Ensuring proper aligning or linking of objectives and facilitating effective communication throughout the organization.
  - Facilitating a cordial and a harmonious relationship between an individual employee and the line manager based on trust and empowerment.

## **5. STANDARD OPERATING PROCEDURES (SOP) PER LEVEL**

The general standard operating procedures for Organizational Performance Management at all levels will include amongst others, the following:

- Data sources must be clearly defined at each level of collection to allow traceability of performance by the Strategic Business Unit head (GM) / Senior Manager reporting directly to the CM,
- Data verification and validation must be done at a source point (between supervisors and incumbents), and;
- At each level of data flow, there must be data sign-off to indicate that responsible managers agree with the reported data and that the report reflects true activities in their area of responsibility.

## 6. PERFORMANCE MANAGEMENT & PORTFOLIO OF EVIDENCE CRITERIA

*Each Strategic Business Unit (SBU) must make sure that its records meet the following criteria:*

- **Authenticity** - are created, stored and are able to prove beyond doubt that the record is 'what it claims to be' and identifies the individual who created it, by maintaining a record of its management through time,
- **Accuracy** - have to accurately reflect the transactions/event they document,
- **Accessibility** - must be readily available as and when required,
- **Complete** - must be adequate in content, context and structure to recreate the pertinent activities and transactions/events they document,
- **Comprehensive** - must document the entire range of the SBUs business,
- **Compliant** - must act in accordance with any record keeping requirements from legislation, audit rules and other applicable regulations,
- **Effective** - should be maintained for the specific purposes for which it was gathered, and the information contained must meet those purposes, and;
- **Secure** - have got to be securely stored and maintained preventing unauthorized access, modification, damage or removal. They have to be stored in an administered, secure environment, the degree of security relevant to the sensitivity and significance of the content.



## **7. STANDARD OPERATING PROCEDURE FOR INDIVIDUAL PERFORMANCE MANAGEMENT**

### **HIGH LEVEL SUMMARY**

The process being outlined hereunder is at the Strategic level of the Municipality whereby it will determine how Employees on Performance contracts in terms of the approved IPMS policy are responsible for the **Planning, Implementation, Monitoring and Reporting, Evaluation and Reporting & Performance Auditing & Reporting** in order to complete the following; **Development of the Performance Agreement & Workplan Templates, Population of the Performance Agreement & Workplan Templates with Performance Data, Discussion between Supervisor & Supervisee, Signing of Performance Agreements, Assessments, Assessment Reports and Auditing of Results.**

The IPMS Cycle has 5 steps as per below;

- 1. Planning**
- 2. Implementation**
- 3. Monitoring and Reporting**
- 4. Evaluation and Reporting**
- 5. Performance Auditing & Reporting**

This SOP will seek to describe how the following outputs fit into the 5 step cycle mentioned above:

- 1. Development of the Performance Agreement & Workplan Templates**
- 2. Population of the Performance Agreement & Workplan Templates with Performance Data**
- 3. Discussion between Supervisor & Supervisee**
- 4. Signing of Performance Agreements**
- 5. Assessments**
- 6. Assessment Reports**
- 7. Auditing of Results**

## 1. Planning

### Development of the Performance Agreement & Workplan Templates

- IPMS will be cascaded to Level 3 employees in the 2020/2021 financial year. The Office of the CM: Organizational Compliance, Performance & Knowledge Management (OC, P & KM) unit will be responsible for IPMS up to level 3 employees.
- During the month of June annually the OC, P & KM unit located in the Office of the City Manager (CM) will develop the Service Delivery & Budget Implementation Plan (SDBIP) & Operational Plan (OP) for the respective new financial year in consultation with the Strategic Business Units (SBUs); for onwards transmission to the Mayor for approval.
- This process can only be completed once the Budget & Integrated Development Plan (IDP) has been approved by the end of May annually. These timeframes are subject to change as per the Strategic Management Committees (SMC) approved Strategic Planning dates for the municipality for a financial year.
- In conjunction with the development of the SDBIP, the OC, P & KM unit located in the Office of the CM will also commence with the development and customization of the Performance Agreements for the City Manager (CM), General Managers (GMs), Senior Managers (SMs) & Managers in Strategic Positions reporting directly to the CM.
- The following templates overleaf are adaptations of the full performance agreement and workplan templates to be implemented in the 2020/2021 Financial Year (FY) and are included here for ease of reference.
  1. PERFORMANCE AGREEMENT
  2. ANNEXURE A: CODE OF CONDUCT
  3. ANNEXURE B: FINANCIAL DECLARATION
  4. ANNEXURE C: PERSONAL DEVELOPMENT PLAN
  5. ANNEXURE D: WORKPLAN

Performance Agreement Template 2020/2021 FY

PERFORMANCE AGREEMENT



ENTERED INTO BY AND BETWEEN:

Herein represented by:

*(Insert name of Supervisor)* **(Full Name)**

In his/her capacity as: *(Insert position of supervisor)* **(Supervisor)**

**AND**

*(Insert name of Jobholder)* **(Full Name)**

As the *(Insert position of Jobholder)* **(Jobholder)**

**PERIOD OF AGREEMENT: 1 July (Year) to 30 June (Year)**

Following completion of this form, it must be forwarded to the Section:  
CORPORATE SERVICES IPMS UNIT / OFFICE OF THE MM: PMS UNIT

# MSUNDUZI MUNICIPALITY

## CODE OF CONDUCT FOR MUNICIPAL STAFF MEMBERS

### SCHEDULE 2



# MSUNDUZI MUNICIPALITY

## FINANCIAL DISCLOSURE FORM



**PERSONAL DEVELOPMENT PLAN**

**ENTERED INTO BY AND BETWEEN:**

**MSUNDUZI MUNICIPALITY**

**Herein represented by:**

*(Insert name of Supervisor) (Full Name)*

In his/her capacity as: *(Insert position of supervisor) (Supervisor)*

**AND**

*(Insert name of Jobholder) (Full Name)*

As the *(Insert position of Jobholder) (Jobholder)*

**PERIOD OF AGREEMENT: 1 July (Year) to 30 June (Year)**

Following completion of this form, it must be forwarded to the Section:  
CORPORATE SERVICES IPMS UNIT / OFFICE OF THE MM: PMS UNIT

**MSUNDUZI MUNICIPALITY  
PERFORMANCE WORKPLAN**



**EMPLOYEE NUMBER  
SURNAME & INITIALS:  
DESIGNATION:  
COMPONENT:  
UNIT:  
MANAGEMENT LEVEL:  
OCCUPATIONAL CLASSIFICATION:  
LOCATION:**

This performance workplan has been agreed between the parties hereunder and shall be revised and assessed during the 1st Quarter (Orally), 2nd Quarter (Written), 3rd Quarter (Orally) and Annual Quarter (Written)

**Signatures (WE AGREE WITH THE CONTENTS OF THIS PERFORMANCE WORKPLAN)**

**EMPLOYEE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**SUPERVISOR:** \_\_\_\_\_

**DATE:** \_\_\_\_\_





## Population of the Performance Agreement & Workplan Templates with Performance Data

- Having completed the above process of template development and customization, the OC, P & KM unit in the Office of the CM will then begin the process of populating the performance agreements and workplans with the relevant performance data.
- Personal information like, Employee Names, Designation, Employee Numbers, Place of Work etc. will be inserted on all relevant templates prior to being sent to the relevant employee.
- The OC, P & KM unit will then begin the process of inserting performance information from the approved SDBIP & OP and any other approved performance reporting template for the relevant financial year onto the employee's workplan.

## 2. Implementation

### Discussion between Supervisor & Supervisee

- The fundamental aspect of individual performance management remains the discussion between the **Supervisor & Supervisee**, as a performance agreement is not set in stone and as per discussion and agreement between Supervisor & Supervisee, amendments can be made prior to the signing of a performance agreement **except KPIs adapted from the SDBIP & RPI as they are approved by Council. Amendments to Targets for these reports can only be done by way of a Council Resolution.**
- Several matters can be discussed prior to the signing of a performance agreement:
  - Contents of the performance agreement and workplan (performance targets)
  - Choice of Key Performance Areas (KPAs) & respective Weighting
  - Choice of Core Managerial Competencies (CMCs) & respective Weighting.
- Any other matter may be discussed between Supervisor & Supervisee, prior to the signing of a performance agreement. Any amendments recommended need to be made before the signing of the performance agreement. No amendments can be made after a performance agreement has been signed. Only during mid-year review will any amendment be made, this however has to be accompanied by a Council resolution authorizing same. Any amendment must be verified by the respective OC, P & KM unit.

### Signing of Performance Agreements

- Once the Supervisor & Supervisee, have had discussions pertaining to the above-mentioned matters, and agreed amendments need to be made and communicated with the relevant OC, P & KM unit depending on the level of employee signing the Performance Agreement (Levels 1 – 3 OC, P & KM: Office of the CM).
- Once all matters have been discussed the relevant employee must go through the entire Performance agreement to ensure it is error free as changes are not permitted prior to Mid-Year.
- The following timeframes are applicable for the signing and concluding of performance agreements:
  - Section 56/57 managers will be required to sign Employment contracts with the Municipality prior to the commencement of duties. Section 56/57 managers will be required to sign performance agreements within 60 days of commencement of duties and within 14 days

after the approval of the Service Delivery & Budget Implementation Plan (SDBIP) annually thereafter.

- Section 58 Managers will be required to sign performance agreements within 14 days of the beginning of a new financial year on an annual basis.
- All Managers in Strategic Positions (Senior Managers) reporting directly to the City Manager will be required to sign performance agreements within 14 days of the beginning of a new financial year on an annual basis.
- A performance Agreement has 5 critical areas that need to be completed prior to conclusion and signing:
  1. PERFORMANCE AGREEMENT
  2. ANNEXURE A: CODE OF CONDUCT
  3. ANNEXURE B: FINANCIAL DECLARATION
  4. ANNEXURE C: PERSONAL DEVELOPMENT PLAN
  5. ANNEXURE D: WORKPLAN
- **Performance Agreement** – contains the following: PURPOSE, VALIDITY OF THE AGREEMENT, JOB DETAILS, JOB PURPOSE, JOB FUNCTIONS, REPORTING REQUIREMENTS/LINES & ASSESSMENT LINES, PERFORMANCE ASSESSMENT/APPRaisal FRAMEWORK, PERFORMANCE ASSESSMENT, FEEDBACK, DEVELOPMENTAL REQUIREMENTS, TIMETABLE AND RECORDS OF REVIEW DISCUSSIONS AND ANNUAL ASSESSMENT, DISPUTE RESOLUTIONS, AMENDMENT OF AGREEMENT and SIGNATURES OF PARTIES TO THE AGREEMENT.
- In a particular workplan, under number 7 headed - **PERFORMANCE ASSESSMENT/APPRaisal FRAMEWORK** the following **Key Performance Areas and Core Managerial Competencies tables are located**. The employee must discuss the contents of them and in agreement with the Supervisor sign off on the Performance Agreement.

**NOTE: WEIGHTING OF KPAs MUST TOTAL 100%**

Key Performance Areas (KPAs)	Weight
1. NKPA 1: MUNICIPAL TRANSFORMATION AND ORGANISATION DEVELOPMENT	%
2. NKPA 2: BASIC SERVICE DELIVERY	%
3. NKPA 3: LOCAL ECONOMIC DEVELOPMENT	%
4. NKPA 4: FINANCIAL VIABILITY & MANAGEMENT	%
5. NKPA 5: GOOD GOVERNANCE & PUBLIC PARTICIPATION	%
<b>TOTAL</b>	<b>100%</b>

**NOTE: WEIGHTING OF CMCs MUST TOTAL 100%**

<b>Core Managerial Competencies</b>		<b>Weight</b>
1	Strategic Direction and Leadership	%
2	People Management	%
3	Programme and Project Management	%
4	Financial Management	%
5	Change Leadership	%
6	Governance Leadership	%
7	Moral Competence	%
8	Planning & Organizing	%
9	Analysis & Innovation	%
10	Knowledge & Information Management	%
11	Communication	%
12	Results & Quality Focus	%
<b>Total</b>		<b>100%</b>

**KPAs shall contribute 80% and CMCs 20% of the final assessment score. Please refer to Annexure 1 for the full description of the CMCs.**

- **Code of Conduct** – All performance agreements contain the code of conduct for employees. By signing the code, employees bind themselves to always act in the interest of Council and to ensure their action do not bring Council into disrepute.
- **Financial Declaration** – All performance agreements contain the financial declarations for employees. The Performance agreement contains a section in the Financial Declaration section headed - INFORMATION SHEET FOR THE GENERIC FINANCIAL DISCLOSURE FORM, it explains in detail how the financial declaration form should be completed. By law all employees remunerated outside of Council, must on an annual basis declare such remuneration.
- **Personal Development Plan** – All performance agreements contain the Personal Development Plan for employees. The PDP is designed to help employees to meet minimum competency levels for the post; or any form of further training and developed earmarked as the result of performance in key managerial areas.
- **Workplan** – All performance agreements contain the Workplan for employees. Workplans for Employees from level 1 – 3 are prepopulated with information contained in the SDBIP, SOCA and B2B as well as Key Performance Indicators relating to Performance Management at a Strategic Level. Performance Agreements for level 4 employees will contain Key Performance Indicators that they are directly responsible for in terms of the SDBIP, SOCA & B2B as well as Performance Management. It will also contain Key Performance Indicators as per the employees Job Descriptions – at activity level (day to day duties).

## Assessments

The Assessments for the CM & GMs have to be conducted in accordance with the relevant legislation. The CM & GMs assessments will be conducted by the Assessment Evaluation Panels that are already approved by Council and is as follows:

Assessment Evaluation Panel for the City Manager:

- Mayor from the Municipality
- Municipal Manager from another municipality
- Audit Committee Chairperson
- Chairperson of the Corporate Services Portfolio Committee
- Ward Committee Representative as recommended by the Mayor

Assessment Evaluation Panel for the General Managers:

- City Manager – Chairperson for GMs assessments
- Municipal Manager from another municipality
- Audit Committee Chairperson
- Chairperson of the Respective Portfolio Committee to which the GM reports

The OC, P & KM unit in the Office of the CM will attend the assessment of the CM and GMs and will provide support to the Chairpersons of the assessments. Human Resources Support Services Managers (HRSSMS) will also be requested to attend the CM and GMs assessments.

Level 3 assessments will be conducted between the Supervisor and Supervisee, with the Supervisor being the Chairperson for the assessment. The OC, P & KM unit in the Office of the CM will attend the assessment of the Level 3 Employees and will provide support to the Chairpersons of the assessments. The Human Resources Support Services Managers (HRSSMS) will also be requested to attend the Level 3 assessments.

The OC, P & KM unit will call sessions to assist the chairpersons in verifying the assessment process scoring and portfolios of evidence, however the relevant Supervisor & Supervisor should have already completed the assessment templates before the verification sessions.

The following will aim to describe the assessment processes to be followed:

- Purpose
- Principles of assessments
- Assessment frequencies
- Tools for assessments
- Guidelines for conducting a performance review
- Pitfalls to avoid in performance review
- Conducting the assessment interview
- Assessing workplan
- Feedback on performance
- Dynamics in assessments

## 1. PURPOSE

Performance review is the discussion between the supervisor and staff members on performance targets set at the beginning of the year. The purpose of these assessment discussions is to determine:

- a) Performance exceeded, met or fell below expectations;
- b) The learning and development needed and received;
- c) Goals that were set and achieved by the staff member; and
- d) Feedback from others affected by the staff member's performance.

The emphasis is on shared understanding. Reviews are not a one-way street, they are a two-way street as you need to listen, accept feedback about yourself as well as provide feedback. Often at times, these assessments determine your job placement and possibly whether you get promotion, get a raise, get confirmed (*if on probation*) or in extreme cases losing your job. Because of the varied nature of the jobs and activities, it is expected that assessment processes will be adapted to fit the unique purpose and operating environment of each component/unit in the organization.

The purpose of this manual is to ensure sustainable, effective and standard assessment process at Msunduzi Municipality. This will be achieved by capacitating both the supervisor and the staff member on how these assessments should be done in compliance with the Msunduzi Municipality IPMS Policy.

## 2. PRINCIPLES OF ASSESSMENTS

The IPMS principles of assessments are:

Principles	
<b><i>Appropriateness</i></b>	<b><i>Feedback on performance</i></b>
<b><i>Fairness</i></b>	<b><i>Authenticity</i></b>
<b><i>Manageability</i></b>	<b><i>Efficient</i></b>
<b><i>Time efficient</i></b>	<b><i>Systematic</i></b>
<b><i>Integration into work or learning</i></b>	<b><i>Validity</i></b>
<b><i>Open and transparent</i></b>	<b><i>Consistent</i></b>
<b><i>Objectivity</i></b>	<b><i>Enhance Job Clarity</i></b>

## 3. ASSESSMENT FREQUENCIES

In the Performance Management Process, it is an expectation that every staff member will receive, at minimum, a half yearly and an annual review that will be discussed, documented and filed within the unit. In terms of the Msunduzi Municipality IPMS and as stated in each employee's Performance Agreement<sup>1</sup>, there needs to be 4 assessments within a financial year.

There are cases where assessments can be done at any time during the year. These include instances where an employee could be put on the incapacity programme. In these cases, the supervisor should initially conduct a performance assessment of the said employee. This assessment can be carried out at any time during the year irrespective of which quarter the organization might be in and the employee should be informed in writing.

Supervisors are encouraged to do informal assessments as often as possible. Informal assessments are usually unscheduled and immediate and can take the form of casual conversation, a compliment, or an expression of concern. Getting in the habit of providing and receiving informal performance feedback has several benefits:

- a) It is a reminder of performance expectations;
- b) Informal assessment feedback lessens the anxiety that often surrounds the appraisal process, there are usually no surprises as to how the employee is doing;
- c) The manager becomes more observant of the day to day quality of the employee's work;
- d) It helps build a good relationship between the manager and the employee based on trust and respect; and
- e) It increases trustworthiness and enhances on the job empowerment.

Even during these informal discussions, it is advisable to record brief notes to remind the supervisor and employee of important performance factors to be referenced during the formal performance review. These written comments should be factual, specific and directly related to the job.

#### **4. TOOLS FOR ASSESSMENTS**

When conducting or preparing for an assessment, it is advisable to have the following tools.

##### **4.1 Assessment documents**

- a) Assessment Form (quarterly, probation and annual depending on the time);
- b) Workplan;
- c) Evidence files, incident form or document i.e. any documentation which is used by either the employee or supervisor to support performance decision;
- d) Assessment calculator; and
- e) CMC assessment criteria.

##### **4.2 Assessment criteria for KPA's (i.e. Workplan)**

When assessing an employee's KPA's using the workplan, the supervisor will use the assessment criteria as stated below:

Rating	Category	%	Description
1	UNACCEPTABLE PERFORMANCE	69% & Below	Performance does not meet the standard expected for the job. The review/assessment indicates that the jobholder has achieved <b><u>less than fully effective results against almost all</u></b> of the performance criteria and indicators as specified in the Performance Agreement
2	PERFORMANCE NOT FULLY EFFECTIVE	70% - 99%	Performance meets some of the standards expected for the job. The review/assessment indicates that the jobholder has achieved <b><u>less than fully effective results against more than half</u></b> of the performance criteria and indicators as specified in the Performance Agreement.
3	PERFORMANCE FULLY EFFECTIVE	100% - 129%	Performance fully meets the standard expected in all areas of the job. The review/assessment indicates that the jobholder has achieved as a minimum <b><u>effective results against all</u></b> of the performance criteria and indicators as specified in the Performance Agreement.
4	PERFORMANCE SIGNIFICANTLY ABOVE EXPECTATION	130% - 149%	Performance is significantly higher than the standard expected in the job. The review/assessment indicates that the jobholder has achieved <b><u>better than fully effective results against more than half</u></b> of the performance criteria and indicators as specified in the Performance Agreement and fully achieved all others <b>throughout the performance cycle.</b>
5	OUTSTANDING PERFORMANCE	150% - 167%	Performance far exceeds the standard expected of a jobholder at this level. The review/assessment indicates that the jobholder has achieved <b><u>better than fully effective results against all</u></b> of the performance criteria and indicators as specified in the Performance Agreement and maintained this in all areas of responsibility <b>throughout the performance cycle.</b>

#### 4.3 Assessment criteria for CMC's

The assessment criteria for the CMC's are found in the Msunduzi Municipality IPMS Policy.

#### 4.4 User-friendly description of the 5 point-rating scale

To simplify the rating scale description (4.2 above), supervisors and employees can use the following user-friendly explanation of the rating scale.

Rating	Category	Description
1	UNACCEPTABLE PERFORMANCE	After assessing the targets in the workplan, the supervisor has found that <b>more than half</b> of the targets were NOT achieved e.g. workplan had 10 targets and more than 5 (five) of the targets were not achieved.
2	PERFORMANCE NOT FULLY EFFECTIVE	After assessing the targets in the workplan, the supervisor has found that <b>more than half</b> of the targets were achieved however <b>not all</b> of the total workplan target were achieved e.g. workplan had 10 targets and more than 5 (five) were achieved but <b>less than 10</b> (ten) of the targets were achieved.
3	PERFORMANCE FULLY EFFECTIVE	After assessing the targets in the workplan, the supervisor has found that <b>all</b> of the targets were achieved e.g. workplan had 10 targets and 10 (ten) targets were achieved.  <b>Note:</b> even if a person has over achieved on all targets but failed to achieve one target, they will not get 3 or more.
4	PERFORMANCE SIGNIFICANTLY ABOVE EXPECTATION	After assessing the targets in the workplan, the supervisor has found that all the targets were achieved and in addition <b>more than half</b> of the targets were OVER achieved e.g. workplan had 10 targets, 10 were achieved and more than 5 (five) of the targets were over achieved.
5	OUTSTANDING PERFORMANCE	After assessing the targets in the workplan, the supervisor has found that all the targets were achieved and in addition <b>ALL</b> of these targets were OVER achieved e.g. workplan had 10 targets, 10 were achieved and 10 (ten targets were over achieved.

## 5. GUIDELINES FOR CONDUCTING A PERFORMANCE REVIEW

- 5.1 Make it “priority time.”
  - o Create an agenda for the meeting; and
  - o Minimize interruptions.
- 5.2 Set a tone of collaboration.
  - o Start the discussion on a positive note; and
  - o Encourage your employee’s participation.



- 5.3 Be clear about your purpose.
  - Reinforce that the discussion will address strengths and areas for improvement.
- 5.4 Review performance expectations.
  - Discuss the workplan(s), position objectives, goals, and critical job tasks; and
  - Be clear about performance standards within your component/unit.
- 5.5 Discuss performance that is below, meets, and exceeds expectations.
  - Use language that is clear and specific; use examples; and
  - Describe performance, not personality.
- 5.6 Ask your employee what he/she thinks.
  - Allow your employee to speak freely before responding to his/her comments;
  - Actively listen to your employee; and
  - Clarify your employee's concerns, then address them.
- 5.7 Set goals to:
  - Improve performance in targeted areas;
  - Build on strengths;
  - Develop the employee's knowledge, skills, and abilities; and
  - Align the employee's work with the needs of the component/unit.
- 5.8 Agree to follow up.
  - Schedule at least five interim check-ins on performance during the year;
  - Schedule at least one informal check-in on performance during a week; and
  - Discuss how your employee likes to be recognized for good work (none monetary rewards).
- 5.9 Close with encouragement.
  - Offer your help and support; and
  - End on a positive note by summarizing employee strengths and contributions.

## 6. PITFALLS TO AVOID IN PERFORMANCE REVIEW

When conducting an assessment, supervisors are cautioned against the following pitfalls.

Halo error	Appraiser giving favorable ratings to all job duties based on impressive performance in just one job function
Horns error	(Opposite of halo error) Downgrading an employee across all performance dimensions exclusively because of poor performance on one dimension
First impression error	Developing a negative or positive opinion of an employee early in the review period and allowing that to negatively or positively influence all later perceptions of performance

Recency error	(The opposite of first impression error) Allowing performance, either good or bad, at the end of the review period to play too large a role in determining an employee's ratings for the entire period.
Leniency error	Consistently rating someone higher than is deserved
Severity error	(Opposite of leniency error) Rating someone consistently lower than is deserved
Central tendency error	Avoiding extremes in ratings across employees
Clone error	Giving better ratings to individuals who are like the rater in behavior and/or personality
Spillover error	Continuing to downgrade an employee for performance errors in prior rating periods

To avoid the above-mentioned errors, supervisors can use the following tips:

TIP	DESCRIPTION
Documentation/ performance evidence	Keep documentation (notes, e-mail, etc.) throughout the year, both on accomplishments and needs for improvement
	Ask your employee to keep documentation,
Timing	Allow enough time before the review meeting to think and reflect on the events of the past year
360 degree assessment	Ask others familiar with the person's work, to add input (making sure your employee knows about this beforehand)
Self-assessment	Ask the employee to review his/her own performance as additional input to the discussion

## 7. CONDUCTING THE ASSESSMENT INTERVIEW

The purpose of designing this Assessment Manual lies squarely on the ability of each supervisor and employee to understand the following sub-sections. These are considered to be the most important areas to understand in this manual. Even though Committees are put in place to conduct the assessment, this manual will focus on the two most important people in an Assessment I.e. Employee and Supervisor. As it is

important to conduct an assessment session, it is equally important to properly prepare for one. It is therefore essential for both parties to review the prior periods' goals and objectives. As part of this process, both parties (and Committee members for **half yearly** and **annual assessments**) should gather available information that will indicate the degree of accomplishment and performance. This information may be obtained by soliciting inputs from peers, subordinates and others directly familiar with the employees' performance, reviewing their past delivery, their past assessments etc. Preparation should also be made to set goals and objectives for the upcoming review period.

It is very important for the supervisor and employee to follow the below listed process guides. The processes as listed below do not follow a particular order.

a. Supervisor Role

**BEFORE** the performance review:

- a) Consult with HRM on the schedule for the place and time of the review discussion.
- b) Notify the employee in advance.
- c) Arrange for work coverage for your staff member; reviews should preferably be conducted during regular business hours, not during break, lunch or after the workday is over.
- d) Review the employee's workplan and the expectations that were set during the performance planning discussion.
- e) Review the employee's completed self-evaluation.
- f) Review the documentation you have collected throughout the year (letters, files, etc.).
- g) Plan for two-way communication during the review meeting; think of questions that you can use to help your employee "open up."
- h) Remind your employee to bring appropriate materials (self-evaluation, copies of letters, evidence file, etc.)

**DURING** the performance review:

- a) Offer the employee an opportunity to share his/her self-evaluation.
- b) Provide specific feedback on the employee's performance, including priority areas targeted during Performance Planning. Include performance that exceeded, met or fell below expectations.
- c) Set targets for improvement.
- d) Discuss learning and development needs of the employee.
- e) Answer employee questions with regard to the performance review.
- f) When **both** parties **agree**, sign the performance review and obtain the employee's signature.

**AFTER** the performance review:

- a) Make a copy of the review for the employee, yourself and submit assessment form to the next person in hierarchy or Human Resources.

b) Employee Role

**BEFORE** the performance review:

- a) Confirm the meeting with your supervisor. (*Confirmation and taking place of meeting are joint responsibility*)
- b) Gather any documentation regarding your performance that you have collected throughout the year (letters, notes, etc.).
- c) Complete your self-evaluation; review your workplan and expectations that were set during the performance planning discussion.
- d) Write down questions that you want to ask your supervisor.
- e) Be prepared to talk about your performance--what you do well, how you could improve, what you would like to learn.

**DURING** the performance review:


- a) Listening to feedback from the supervisor and asking questions to clarify information
- b) Sharing information from the self-evaluation
- c) Offering suggestions and ideas for improving performance, if needed
- d) Identifying areas for learning and development
- e) Identifying obstacles to performance and suggesting solutions
- f) Signing the performance review form, attaching comments if desired. (*signing should be done only if there is agreement on content*)

**AFTER** the performance review includes:

- a) Keeping a copy of the performance review for future reference.
- b) Using the information gained in the performance review to build on strengths and improve areas for growth.

## 8. ASSESSING WORKPLAN

When conducting an assessment, the workplan is the single most important document used for assessment. On each Performance Agreement, section seven (7) lists an employee's KPA's and these are explained further on each KPA's workplan. The KPA information on the workplan (*Performance Standards i.e. target and time*) is used to determine achievement or not. It is critical to note that you are only assessing performance standards and not activities. This means that each target in the workplan is assessed individually.

In cases where the employee has achieved the exact target (e.g. 100 houses to build and 100 houses **completed**), the supervisor will mark that target with a  (tick). In cases where the employee has **not** achieved the target (e.g. 100 houses to build and 99 or less houses **completed**), the supervisor will mark the

target with a ✘. In cases where the employee has more than achieved the target (e.g. 100 houses to build and 101 or more houses **completed**), the supervisor will mark with a ✔✔ (double tick).

**NOTE:** the five-point rating scale i.e. 1-5 is not used for assessing targets.

When all the targets in each workplan have been assessed using the relevant sign (*see paragraph above*) the supervisor will then use the five-point rating scale (*see section 3.1 above*) to determine the KPA rate. Only when all the KPA's have been assessed and given a rate i.e. 1-5, will the supervisor use the assessment calculator. In cases of disputes during and after assessments, please refer to HRM for internal regulations in line with the Municipal Regulations on such.

## 9. FEEDBACK ON PERFORMANCE

Feedback is another important aspect of performance assessment as it is objective and timely information by the supervisor on the employee's performance against set expectations and standards, understood by staff member, and aimed at improving performance. The IPMS principles of feedback are:

**Constructive:** so that employees feel encouraged and motivated to improve on their performance

**Timely:** so that employees can use it for subsequent learning and work to be submitted

**Prompt:** so that employees can recall what they did and thought at the time

**Supportive of learning:** should be linked to a clear statement of orderly progression of learning so that employees have clear indications of how to improve their performance

**Focused:** On achievement (also consider effort). The work should be assessed, not the employee

**Specific to the performance targets:** so that assessment is clearly linked to delivery

**Consequential:** so that it engages employees on receiving and attending to performance feedback, removing the need for continually giving the same employee the same advice


**Fostering of independence:** so that it leads employees to being capable of assessing their own work during delivery

**Efficient:** in relation to timing, duration and content of assessment. DYNAMICS IN ASSESSMENTS

## 10. DYNAMICS IN ASSESSMENTS

Merely following the said protocols of IPMS implementation might not result in effective results due to the dynamics in the work environment. This section does not aim to annul these protocols; however, it seeks to enhance the alignment between these protocols and “practical on the job” experience. It should also be noted that proper implementation of assessments relies on the supervisors’ discretion. Noted below are some dynamics to understand when doing assessments and suggested ways to consider when dealing with these dynamics.


### ASSESSING EXPENDITURE

When assessing over and under-expenditure using the IPMS assessment protocols, the supervisor could ascertain unfair assessment of performance. In the project management sphere, under and over expenditure is assessed as failure. However, if you consider over expenditure in line with IPMS, it will be noted as an overachievement. It is critical for the supervisor to understand the dynamics that led to this over/under-expenditure (*5% variance considered*) before assigning an assessment mark for the target. In normal circumstances, exact expenditure (*quality and quantity of delivery up to standard with proof*) will be noted as achievement and the target marked with a  (tick).

### Individual output vs. process or project output

There needs to be a clear understanding of the role an individual plays in a project or process vs. the final achievement of that project/process. When assessing an individual’s role in a project, the project’s success/failure should not impact them positively/negatively. To avoid this, when planning, people should avoid listing project/process targets as individual e.g. approval of a submission might be the desired output however for a person who “only” does research on the submission and attaches a report before passing it to another section, their role (*i.e. research, report writing and submission*) will be the only area of assessment. Whether the submission was approved or not does not directly impact on their performance assessment.

### Lack of Resources vs. Delivery

In cases where performance has not happened due to lack of resources given to an employee; assessment of the target should be noted as achieved with a  (tick) e.g. builder could not build because building sand was not on site, even though the house was not built, the builders assessment will assign achievement for the target. However, it should be noted that the employee in this case should timeously alert the supervisor of this factor as it could preclude the achievement of performance agreement undertakings, including the contingency measures that she/he proposes to take to ensure the impact of such deviation from the original agreement is minimized.

### **360-degree assessment**

This happens when other factors of performance have to be considered during the assessment of an individual. This could be in a case of two supervisors or in cases where other people's inputs are required during the assessment of an employee. These factors should be considered by the supervisor assessing the employee.

In cases where there is more than one supervisor for one employee there are two ways of effectively assessing that employee's performance:

- a) Both supervisors form a panel when the assessment is done; or
- b) Each supervisor will assess areas of performance that they supervised.

### **Assessing "unavailable" people**

This is merely to emphasize what is already on the IPMS Policy.

- a) Before an individual goes on leave/retires/resigns/changes positions, they should first be assessed and in cases where they have employees reporting to them, they should assess them before leaving.
- b) In cases of death of a supervisor, the deceased supervisors' supervisor will form a panel that may include a supervisor on the same level/ who has similar responsibilities with the deceased person. This panel will then assess the employees that reported to the deceased supervisor.
- c) Even though the policy clearly states that only people that are away for 3 months or above and their absence was not planned, should have their Workplans renegotiated, it is however important for the supervisor to consider other dynamics for that renegotiation e.g. person was away for a month but that was the most important delivery period and thus the Workplan might be renegotiated or in cases where a person was away for 2 and a half months and both the employee and supervisor agree that the Workplan must be renegotiated.

### **Assessing areas beyond job description**

Job descriptions may be misleading or may not be in-line with project operations. It may possibly happen that the employee positively goes beyond the scope of his or her job description in order to achieve the project. When assessing that employee, their CMC for Acceptance of Responsibility, Initiative would be given a high mark. The most important factor to consider however, especially at Housing, is that Job Descriptions are in the process of being reviewed and therefore the KPA's in an employee's PA could not be directly influenced by the Job Description functions.

**QUARTERLY REVIEW FORM TO BE USED WHEN CONDUCTING QUARTERLY ASSESSMENTS**

**QUARTERLY REVIEW FORM**

**Purpose:** To review, summarize and develop the work performance off all employees.

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

<b>NAME:</b>		<b>SUPERVISOR/PROJECT LEADER:</b>			
<b>JOB TITLE:</b>		<b>COMPONENT:</b>			
<b>Quarter Reviewed</b> (mark with x and date)	<b>1<sup>st</sup></b>	<b>2<sup>nd</sup></b>	<b>x</b>	<b>3<sup>rd</sup></b>	<b>4<sup>th</sup></b>

**A. KEY PERFORMANCE AREAS (KPAs)**

(Rate all the KPAs included in the performance agreement)

<b>KPAs</b>	<b>Weighting</b>	<b>Own Assessment (1-5)</b>	<b>Supervisor's Assessment (1-5)</b>

**NOTE: WEIGHTING OF KPAs MUST TOTAL 100%**

This KPA rating is based on my personal knowledge and observation of the employee's Performance.

This KPA rating has been discussed with me.





**C. DEVELOPMENTAL AREAS**

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

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**D. MANAGING UNSATISFACTORY PERFORMANCE**

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

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

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**F  
F.1 SUPERVISOR'S COMMENTS**

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**Signature:**

**DATE:**

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**ANNUAL REVIEW FORM TO BE USED WHEN CONDUCTING ANNUAL ASSESSMENTS**

**Annual Performance Assessment Instrument**

*FOLLOWING THE COMPLETION OF THIS FORM, A COPY MUST BE FORWARDED TO THE DEVELOPMENTAL UNIT*

**CONFIDENTIAL**  
**PERFORMANCE APPRAISAL**

Period under review .....

Surname and initials .....

Job title .....

Management/Salary level .....

Employee No. ....

Component .....

Date of appointment to current remuneration level .....

Race African ..... Coloured ..... Indian ..... White .....

Gender Male ..... Female .....

Disability (Specify, if applicable) .....

(Tick the appropriate box)

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

**PART 1 – COMMENTS BY RATED EMPLOYEE**

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

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

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

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**PART 2 – PERFORMANCE APPRAISAL**

**Standard Rating Schedule for KPAs and CMCs**

RATING	CATEGORY	%	DESCRIPTION
1	UNACCEPTABLE PERFORMANCE	69% and below	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	70% - 99%	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	FULLY EFFECTIVE	100% - 129%	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	130% - 149%	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	150% - 167%	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</u> of the performance criteria and indicators as specified in the Performance Agreement and Workplan and maintained this in all areas of responsibility throughout the performance cycle.

**Rating of KPAs by Supervisor and Employee:**

KEY PERFORMANCE AREAS	Weight (%)	Own rating (1- 5)	Supervisor Rating (1- 5)	Committee Rating (1- 5)	Score
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
<b>TOTAL (NOTE: Weighting of KPAs must total 100%)</b>	<b>100%</b>				<b>80%</b>

**Rating of CMCs by Supervisor and Employee:**

CORE MANAGERIAL COMPETENCIES – (CMCs)	Weight (%)	Own rating (1- 5)	Supervisor Rating (1- 5)	Committee rating (1- 5)	Score
People Management and Empowerment					
Client Orientation and Customer Focus					
Financial Management					
<b>Total (NOTE: Weighting of CMCs must total 100%)</b>	<b>100%</b>				<b>20%</b>



**PART 5: CONFIRMATION/EXTENSION/TERMINATION OF PROBATION**

**Supervisor's recommendation**

1. I recommend the confirmation of the probation of Ms./Mr..... in view of member's diligence and as his/her conduct has been uniformly satisfactory

OR

2. I recommend the confirmation of the probation of Ms./Mr..... be extended for a period of ..... months for the following reasons:

3. I recommend that ..... probation be terminated for the following reasons:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Date

**Member's Comments:**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Date



**Comments of Chairperson of Assessment Committee:**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Date

**Decision of Mayor or her/his delegate:**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Date

**ASSESSMENT SCORING CALCULATOR**

ANNUAL PERFORMANCE ASSESSMENTS 2020/2021 FY (1 JULY 2020 - 30 JUNE 2021)							
NAME:							
Annual Performance Assessment							
KPA	Weight	Rating	Score	CMC	Weight	Rating	Score
1	30%	3	0.9	1	15%	3	0.45
2	15%	3	0.45	2	10%	3	0.3
3	30%	2	0.6	3	15%	2	0.3
4	15%	3	0.45	4	15%	3	0.45
5	10%	2	0.2	5	10%	4	0.4
				6	5%	3	0.15
				7	5%	3	0.15
				8	10%	3	0.3
				9	5%	5	0.25
				10	10%	3	0.3
	100%		2.6		100%		3.05
	KPA weight		0.8	CMC weight			0.2
	KPA SCORE		2.08	CMC SCORE			0.61
	FINAL SCORE						2.69
							89.66%

### **3. Monitoring and Reporting**

Assessments conducted for Quarters 1 & 3 of a financial year are for monitoring purposes and are not considered to be of a formal nature. The scoring outcomes are informative in nature and will be used by supervisor and supervisee to gauge performance for that quarter as well as the following quarters. Where the scoring is low, employees will use this as an early warning signal indicating an eventual outcome of target not met, if the necessary corrective measure are not put in place. Whilst these assessments are not formal in no way should they be taken likely and disregarded as by virtue of the IPMS policy 4 assessments must be conducted annually for any employee on a performance contract. Internal Audit will audit the outcomes for compliance and validity.

Employees are urged to familiarize themselves with the Portfolio of Evidence Cover Template for a POE File requiring sign of by the supervisor and supervisee. Also the SOP on the Development of Portfolios of Evidence has been approved by SMC and has been circulated to all Employees up to level. Employees are urged to use the SOP when developing their respective POEs.

### **4. Evaluation and Reporting**

Assessments conducted for Quarters 2 & 4 of a (mid-year & annual) financial year are for evaluation purposes and are considered to be of a formal nature.

The scoring outcomes for mid-year will be used to determine progress on a particular KPI for the 6-month period. The scoring outcomes for the annual assessment will be used to determine the total progress on a particular KPI. The scoring outcome once validated by Internal Audit will be used to determine if a Performance Bonus or Incentive is due to the particular employee for having performed in the targets exceeded category.

Where the scoring is low, employees will use this as an early warning signal indicating an eventual outcome of target not met, if the necessary corrective measure are not put in place. Whilst these assessments are not formal in no way should they be taken likely and disregarded as by virtue of the IPMS policy 4 assessments must be conducted annually for any employee on a performance contract. Internal Audit will audit the outcomes for compliance and validity.

## **5. Performance Auditing & Reporting**

### **Assessment Reports**

The OC, P & KM unit in the Office of the CM will be responsible for developing the Assessment Report for the particular Quarter or the Annual Assessment report for Levels 1-3.

The Assessment report must contain all the information pertaining to the assessments conducted. The Scoring for KPA's as well as CMCs must be included as well as the overall scoring. The report must also indicate whether the assessment is conducted for the incumbent appointed to a post or if the assessment was conducted against a post in the case of an Acting Employee.

### **Auditing of Results**

The assessment report once finalised will be sent to SMC, the Corporate Services Portfolio Committee, EXCO and Full Council, Municipal Public Accounts Committee and the Audit Committee. Copies of all the assessment documentation (Assessment form & Workplan Assessment Template) along with the annual assessment report will be forwarded to Internal Audit for Audit Purposes.

Internal Audit will conduct an Audit on the validity of the scoring. Internal Audit will then circulate the audit report on the Assessment to the Portfolio Committee of Council having solicited responses from the relevant GMs and the Manager in the Office of the CM.

The Key to Internal Audit completing the Audit on time is the provision of credible Portfolios of Evidence (POEs) which are a fundamental requirement for all assessment; be it formal or informal.



**EXTRACT FROM THE UNCONFIRMED MINUTES OF THE FULL COUNCIL MEETING HELD VIA MICROSOFT TEAMS ON WEDNESDAY, 29 JULY 2020 AT 09H00.**

**REVIEW OF THE INDIVIDUAL PERFORMANCE MANAGEMENT SYSTEM POLICY 2020/2021 FINANCIAL YEAR (4.6)**

Report dated 4 May 2020 by the Acting Manager: Organizational Compliance, Performance and Knowledge Management.

(Page 93 of Volume A agenda)

It was

**RESOLVED**

That the Review of the Individual Performance Management System Policy 2020/2021 financial Year be APPROVED.

*CERTIFIED A TRUE COPY*

*Nokwanda Mbanjwa*

.....  
**For GENERAL MANAGER: CORPORATE SERVICES**

03 August 2020

Municipal Manager's Representative: Mr S Dubazana (Tel.033-392763)  
Enquiries: Committee Officer: Nokwanda Mbanjwa (Tel: 033-3922775)  
Email: [nokwanda.mbanjwa@msunduzi.gov.za](mailto:nokwanda.mbanjwa@msunduzi.gov.za)