

41/5 EMPLOYEE PERFORMANCE APPRAISAL SYSTEM
DATE: 14/05/2008
AGENDA: COUNCIL MEETING: 30/05/2008

REPORT: DIRECTOR CORPORATE SERVICES

PURPOSE

Performance appraisal is the process of giving Employees regular and systematic information about their performance normal information is provided by the employee's immediate supervisor .The purpose of EPAS is:

- To provide the employee with feedback on their workplace performance.
- It provides the organization with a structured period of Employee Performance.
- It helps the municipality to archive and maintain a high-level of performance and harmonious working relationships.
- To build trust and mutual support between management, supervisor and Employees.
- It provides a basis for improvements in employee performance.

BACKGROUND

In line with newly adopted Human Resource Policy Manual the council believes in performance management approach that is transparent, inclusive, fair and participative. It subscribe to the principle of differentiating between excellent and standard work performance .It therefore follows an approach of regular formal performance appraisal and informal work review and feedback that take place on a continuous basis applying the balanced score card methodology .

Ironically, the institution was having two EPAS documents i.e. one appendix of IDP while the other appendix of H.R.P.M adopted in December 2007. The meeting was held between Manager IDP and Manager H.R whereby the two documents were reviewed and thoroughly discussed. After deliberations the two managers agreed that the HRPM appendix version of EPAS should be implemented .The report on the outcome of the meeting was submitted to the management for perusal.

The EPAS document (HRPM appendix) was also tabled before Local Labour Forum on 29 April 2008.

LEGAL IMPLICATION

Non compliance to section 67 of municipal system Act 2000, will lead to audit queries and Labour Disputes.

STAFF IMPLICATION

Introduction of EPAS will motivate the staff to work-harder to achieve the objective of the IDP.

PARTIES CONSULTED

Management
Local Labour Forum

RECOMMENDATIONS:

1. That the council should approve the Employees Performance Appraisal System document that is an appendix to the Human Resource Manual (HRPM).
2. That the EPAS should be effective, simultaneously with Human Resource Policy Manual.
3. That for this Employees Performance Appraisal System to be successful it should be robustly workshopped to all employees.

(FOR RECOMMENDATIONS TO COUNCIL)

MINUTES : Exco Meeting : 20/05/2008

Cllr Zim proposed that the matter be recommended to Council as follows and was seconded by Cllr Tsolo.

RECOMMENDED:

1. That the council should approve the Employees Performance Appraisal System document that is an appendix to the Human Resource Manual (HRPM).
 2. That the EPAS should be effective, simultaneously with Human Resource Policy Manual.
 3. That for this Employees Performance Appraisal System to be successful it should be robustly workshopped to all employees.
-

Minutes: Council Meeting: 30/05/2008

Cllr Zim proposed that the matter be resolved as follows and was seconded by Cllr Marwick

RESOLVED:

1. That the Employees Performance Appraisal System document that is an appendix to the Human Resource Manual (HRPM) be approved.
 2. That the EPAS should be effective, simultaneously with Human Resource Policy Manual.
 3. That for this Employees Performance Appraisal System to be successful it should be robustly workshopped to all employees.
-

INDEX

| NO | ITEM | PAGE |
|----|----------------------------------|------|
| 1 | Background | |
| 2 | Differences between two Policies | |
| 3 | Recommendations | |

Employee Performance Appraisal System

Background

There are two Employee Performance Appraisal System (EPAS) documents that the institution has in its possession. The new Human Resource Policy Manual (HRPM) was adopted by Council in December 2007 (the effective implementation in 2nd June 2008) is inclusive of Employee Performance Appraisal System (EPAS)

As per recommendations of the Corporate Services Departmental Meeting held on the 24 April 2008. The Manager Human Resource did meet with the Manager IDP to discuss the two Employee Performance Appraisal System (EPAS). The purpose of the meeting was to engage each other at the two documents and identify the one that is more suitable for our institution.

During the deliberations between the Manager Human Resource and Manager IDP the following were identical.

The EPAS document in possession of Human Resource differs from the one that was tabled by the Manager IDP.

Difference between the two Employee Performance Appraisal System (EPAS) Policies

Human Resource EPAS Document

- The aforementioned document was compiled by Friday Management Solutions, the provider that also drafted the current Human Resource Policy Manual (HRPM)
- The document supplement the EPAS highlighted on page 56 to page 59 of Human Resource Policy Manual (HRPM), thus making it not a stand alone Policy (but rather a complementary one)
- The score card forms are user friendly and can also be understood by any employees (it makes it simple for the employee to know what He/She is assessed on)
- The primary roles of the immediate Supervisors are clearly outlined in the EPAS Document.

IDP EPAS Document

- The Policy is the stand alone Policy with no relations to the Human Resource Policy Manual (HRPM), but intended to promote Human Resource Development.
- The roles of the Supervisors is not clearly outlined, leaving question like who is the person responsible for Employee Appraisal.
- The score card is not object too complicated to explain what is actually been assessed. EPAS is a Developmental and implies that:
 - The Documents provide two types of Rewards and it is not clear whether it recommend one at the time or implementation of both Rewards (14th Cheque or the increase in the notch salary).

Recommendation

- The Institution should utilize the knowledge of the personnel who are competent assessors to assist the Supervisors with effective implementation of the EPAS.
- The workshop for the Supervisors should be arranged internally (by assessors from within the workplace) and if they need for external provided arise, it can also be the best option.
- The EPAS Document drafted by Friday Management Solution should be the one utilized because of its simplicity and relations to Human Resource Policy Manual (HRPM) and it is goal- driven
- All employees should also be workshopped on EPAS so that by the time it is implemented Employees should clearly understand their roles in the process.

Annexure A

Extract Form Human Resource Policy Manual

6.13 MANAGEMENT OF INDUSTRIAL ACTION

- (a) The Municipality endorses the right of employees to strike and to embark on other forms of industrial action as determined by the law.
- (b) Whenever employees of the Municipality embark on a strike or other industrial action that causes two or more employees to be absent from work, the principle of no work, no pay applies in respect of such absent employees. The full amount of pay forfeited by an employee for her/his absence from work as contemplated in this paragraph shall be done once-off.
- (c) The Municipality shall not grant any application for leave of absence to an employee for the purpose of participating in a strike or other industrial action.
- (d) The Municipality commits itself to protect its property against destruction and damage and the safety and security of its employees, councillors and residents within the Municipality during any strike or other industrial action by employees and shall for this purpose-
 - (i) make appropriate and reasonable security arrangements;
 - (ii) not allow any industrial action to take place on or in any premises of the Municipality; and
 - (iii) take appropriate action, including disciplinary action and litigation, against any employee or union concerned who, whilst participating in a strike or other industrial action, causes damage to or destroys property of the Municipality or who harasses, intimidates, assaults or coerces any person during the course of such action or in preparation thereof.
- (e) Any employee claiming or alleging that she/he was harassed, intimidated, assaulted or coerced into or for not participating in a strike or other industrial action or who claims that she/he feared for her/his life or property during a strike, must submit a sworn written affidavit to that effect to the Director Corporate Services in order for the Municipality to take appropriate action.
- (f) The Municipal Manager must, in consultation with such other managers as she/he may determine, develop and maintain a written strike management plan for the management of strikes and other industrial action by employees of the Municipality.

6.14 EMPLOYEE PERFORMANCE APPRAISAL

- (a) The Council believes in a performance management approach that is transparent, inclusive, fair and participative. It subscribes to the principle of differentiating between excellent and substandard work performance. It therefore follows an approach of regular formal performance appraisals and informal work performance reviews and feedback that take place on a continuous basis applying the balanced scorecard methodology.

system is this EPAS. The municipality's EPAS ensures that-

- ⇒ employees would know exactly what is expected of them,
- ⇒ employees would be involved in setting their own performance objectives,
- ⇒ exceptional performance is consistently rewarded,
- ⇒ the reasons for under performance is determined and
- ⇒ appropriate solutions are implemented to improve performance.

(h) The municipality's EPAS is developmental in nature. The developmental approach to performance appraisal relates to employees as individuals. This approach is concerned with using performance appraisal to contribute to-

- ⇒ employee motivation,
- ⇒ employee development and
- ⇒ human resources planning.

(i) The results of appraisals will be used-

- ⇒ To make promotion, separation and transfer decisions in respect of individual employees
- ⇒ To provide feedback regarding how the municipality viewed an employee's performance
- ⇒ To evaluate the contributions made by an individual employee to achieving departmental and municipal objectives
- ⇒ To evaluate the effectiveness of selection and placement decisions in respect of individual employees
- ⇒ To make reward, recognition and corrective decisions in respect of individual employees
- ⇒ To ascertain training and development needs of an individual employee
- ⇒ To evaluate the impact of training and development programmes on institutional and individual performance
- ⇒ To supply information on which work programmes, budgets and human resources plans (including work place skills plans) can be based

Annexure B
Human Resource EPAS Policy

Employee Performance Appraisal System

Employee Performance Appraisal System

Table of Contents

| | |
|--|----|
| CHAPTER 1: OVERVIEW..... | 4 |
| 1. Introduction..... | 4 |
| 1.1 What is Performance Appraisal? | 4 |
| 1.2 Aims of employee performance appraisal systems..... | 4 |
| 1.3 Policy | 5 |
| 1.4 Purpose and objectives of the EPAS | 5 |
| 1.5 Application of appraisal results | 6 |
| 1.6 Primary role of supervisors | 7 |
| 1.7 Advantages of the EPAS approach..... | 7 |
| CHAPTER 2: EPAS OVERVIEW..... | 8 |
| 1. Introduction..... | 8 |
| 2. Core Factors..... | 8 |
| 3. Rating Scale | 8 |
| 4. Standard factors for measuring job success..... | 9 |
| 5. Appraisal Cycle..... | 9 |
| 6. Supporting Comments | 9 |
| CHAPTER 3: PERFORMANCE APPRAISAL AND REVIEW PROCESS..... | 10 |
| 1. Introduction..... | 10 |
| 2. Scheduling performance planning and review events..... | 10 |
| 3. Appraisal Procedure..... | 11 |
| 3.1 Planning meeting | 11 |
| 3.2 Performance review meetings..... | 12 |
| 3.2.1 Supervisor Completes EPAS1 Form (Step 1)..... | 12 |
| 3.2.2 First Draft to Employee (Step 2)..... | 12 |
| 3.2.3 Appraisal Interview and Draft 2 (Step 3)..... | 12 |
| 3.2.4 Final Copy Produced (Step 4)..... | 12 |
| 3.2.5 Upline Supervisor Reviews (Step 5)..... | 12 |
| 3.2.6 Finish (Step 6)..... | 13 |
| 3.3 Elementary occupations performance review | 13 |
| 3.3.1 Supervisor Completes EPAS2 Form (Step 1)..... | 13 |
| 3.3.2 Appraisal Interview and Draft 2 (Step 2) | 13 |
| 3.3.3 Final Copy Produced (Step 3)..... | 14 |
| 3.3.4 Up line Supervisor Reviews (Step 4)..... | 14 |
| 3.3.5 Finish (Step 5)..... | 14 |
| 4. Building a memory file for each employee | 14 |
| 5. Performance feed back (Using performance notes)..... | 15 |
| 6. Appeal | 15 |
| 7. Arranging and participating in counselling sessions | 16 |
| CHAPTER 4: ROLE OF THE PERSONNEL PRACTITIONER/HUMAN RESOURCES DEPARTMENT | 17 |
| 1. Introduction..... | 17 |

Employee Performance Appraisal System

| | |
|--|----|
| 2. Training in employee performance appraisal..... | 17 |
| 3. Supplying and filling forms | 17 |
| 4. Attending counselling sessions..... | 18 |
| 5. Ensuring performance appraisals are done..... | 18 |
| 6. Processing appeals from employees against appraisal results | 18 |
| 7. Preparing performance recognition certificates and letters..... | 18 |
| CHAPTER 5: REWARD, RECOGNITION AND PERSISTENT POOR WORK PERFORMANCE..... | 19 |
| 1. Introduction..... | 19 |
| PART A: SUPERIOR PERFORMANCE | 19 |
| 2. Recognition..... | 19 |
| 2.1 Procedure for recognition | 20 |
| 2.2 Reward | 20 |
| 2.3 Procedure for reward..... | 20 |
| PART B: INFERIOR PERFORMANCE | 21 |
| 3. Procedure for dealing with poor work performance..... | 21 |
| 3.1 Extension of disciplinary code | 21 |

CHAPTER 1

OVERVIEW

1. INTRODUCTION

1.1 What is Performance Appraisal?

Performance appraisal is the process of giving employees regular and systematic information about their work performance. Normally this information is provided by the employee's immediate supervisor. There are three important outcomes of good performance appraisal –

- ⇒ it provides the employee with feedback on their work performance
- ⇒ it provides the organization with a structured record of employee performance
- ⇒ it provides a basis for improvements in employee performance.

1.2 Aims of employee performance appraisal systems

Performance is the product of using capacity. An employee performance appraisal system (EPAS) therefore aims to establish-

- ⇒ the extent to which an individual employee applies her/his capacity (skills, knowledge and attitude) to perform a particular set of tasks and
- ⇒ ~~what capacities an individual employee needs to perform a particular set of tasks in such a manner~~ and at such a standard that it contributes to the realisation of institutional goals and objectives.

Regular and frequent review and appraisal of, and feedback about, employees' performance are one of the most effective ways to achieve and maintain high quality performance and high employee morale. This employee performance appraisal system (EPAS) aims-

- ⇒ to build trust and mutual support between management, supervisors and employees and
- ⇒ to help the municipality to achieve and maintain a high level of performance and harmonious working relationships.

The EPAS is fundamentally an information system. Many stakeholders in municipalities have specific information needs. For example, employees want to know-

- ⇒ what managers and supervisors expect of them;
- ⇒ how they are doing; and

Employee Performance Appraisal System

⇒ how their contribution assists the municipality to accomplish its overall objectives and mission.

The council, top management and the community want to be assured that the municipality is focused and making progress towards achieving its purpose and objectives. The EPAS provides a means to plan, review and appraise the performance of employees by providing supervisors and employees with measurable performance criteria based on-

- ⇒ specific job responsibilities,
- ⇒ necessary competencies and
- ⇒ performance expectations.

1.3 Policy

The municipality believes that its performance as an institution will only improve if all its employees work smarter and better to achieve the objectives set out in the IDP. Therefore, an important component of the municipality's institutional performance management system is this EPAS. The municipality's EPAS ensures that-

- ⇒ employees would know exactly what is expected of them,
- ⇒ employees would be involved in setting their own performance objectives,
- ⇒ exceptional performance is consistently rewarded,
- ⇒ the reasons for under performance is determined and
- ⇒ appropriate solutions are implemented to improve performance.

1.4 Purpose and objectives of the EPAS

The municipality's EPAS is developmental in nature. The developmental approach to performance appraisal relates to employees as individuals. This approach is concerned with using performance appraisal to contribute to-

- ⇒ employee motivation,
- ⇒ employee development and
- ⇒ human resources planning.

Employee Performance Appraisal System

1.5 Application of appraisal results

The results of appraisals will be used-

- ⇒ To make promotion, separation and transfer decisions in respect of individual employees
- ⇒ To provide feedback regarding how the municipality viewed an employee's performance
- ⇒ To evaluate the contributions made by an individual employee to achieving departmental and municipal objectives
- ⇒ To evaluate the effectiveness of selection and placement decisions in respect of individual employees
- ⇒ To make reward, recognition and corrective decisions in respect of individual employees
- ⇒ To ascertain training and development needs of an individual employee
- ⇒ To evaluate the impact of training and development programmes on institutional and individual performance
- ⇒ To supply information on which work programmes, budgets and human resources plans (including work place skills plans) can be based
- ⇒ To provide employees the opportunity to formally indicate the direction and level of their ambition
- ⇒ To show the municipality's interest in employee development, which may help to retain ambitious, capable employees instead of losing them
- ⇒ To provide a structure for communication between employees and management in order to help clarify management's expectations of employees and the employee's expectations of management
- ⇒ To encourage employees who have been trying to perform well to persist
- ⇒ To convert municipal and departmental objectives into individual job objectives
- ⇒ To coach, guide and direct employees on how to achieve job objectives and satisfy set job requirements
- ⇒ To diagnose an employee's strengths and weaknesses
- ⇒ To determine the kind of development activities that might help an employee to utilize his/her skills to improve performance in her/his current job.

Employee Performance Appraisal System

1.6 Primary role of supervisors

Employee performance appraisal is much more than an annual meeting to assess how well or poorly an employee performed during the past year. It is a continuous process of formal and less formal assessment and observation of performance and adjusting objectives and expectations to ensure realisation of objectives.

Ongoing review and appraisal of employee performance is a core responsibility of every supervisor. It requires her/him-
to make continuous observations and analysis of employee actions and
to have first-hand knowledge of the employee and the employee's work habits.

The performance evaluation process is not a once-a-year activity. It is a continuous process of regular observation and frequent feedback in the formal annual performance appraisal. A continuous appraisal process assures that there are no surprises during the formal annual appraisal session.

1.7 Advantages of the EPAS approach

The EPAS requires of a supervisor to plan, with her/his subordinates, their individual job objectives and targets for a specified period, usually of one year. There are significant advantages to the individual supervisor who prepares, plans for and provides performance feedback to subordinates as a continuous process:

- ⇒ The employee knows in advance the basis on which her/his performance is going to be appraised during the formal appraisal session.
- ⇒ The supervisor and employee both agree to the employee's performance levels for different job duties in advance. The employee therefore knows what is expected of her/him.
- ⇒ The appraisal strengthens the relationship between the supervisor and the employee.
- ⇒ Regular feedback has a self-correcting characteristic that helps employees to set realistic yet challenging objectives and to work to achieve them.
- ⇒ Training and development needs of individual employees can be clearly identified.
- ⇒ The employee's ability to see municipal problems and assist in resolving them or seeing how her/his work fits into achieving the overall objectives of the municipality results in more job satisfaction.

CHAPTER 2

EPAS OVERVIEW

1. Introduction

The Employee Performance Appraisal System (known as EPAS) is a robust general purpose appraisal system. It is based on the rating of seven core factors which are universal indicators of competent performance in all jobs. The system also allows for the creation and monitoring of work and employee development goals, and for various types of open-ended feedback aimed at helping employees to identify and overcome specific performance weaknesses.

2. Core Factors

The core factors that are measured are Job Knowledge, Work Quality, Work Rate, Communications, Interpersonal Relations, Policy Compliance, and Attendance.

3. Rating Scale

The rating scale is behaviourally-anchored, meaning that there are descriptions of typical work behaviour for each performance level. The factors are rated on a five-point scale, ranging from the highest rating of "Exceptional" (5) to the lowest rating of "Unsatisfactory" (1).

The rating scale spans five performance levels. The following comments describe the general nature of the ratings and they should be read in conjunction with the performance descriptions (i.e., the behavioural indications) given for each factor on the EPAS form itself.

⇒ **Exceptional [5]**

Employee demonstrates outstanding work performance, well above the required standard for the job. Relevant skills and abilities tend to be very highly developed and applied with consistent high effort.

⇒ **Above expectations [4]**

Employee demonstrates good to very good performance, generally above the required standard for the job. Relevant skills and abilities tend to be strongly developed and applied with consistent good effort.

⇒ **Competent [3]**

Employee demonstrates acceptable performance, which tends to match the job's required standard. Relevant skills, abilities and effort are appropriate for the job. This is the level most employees perform at. It is the normal or typical standard for the job.

Employee Performance Appraisal System

⇒ Improvement Needed [2]

Employee demonstrates performance below the required standard for the job, but which may be improved with guidance, training or further experience. Skills, abilities or effort may be lacking or applied inconsistently.

⇒ Unsatisfactory [1]

Employee demonstrates performance well below the required standard for the job. A serious performance problem is evident and requires urgent attention. Skills, abilities or effort may be lacking or inconsistently applied.

4. Standard factors for measuring job success

The EPAS include standard factors against which the conduct and performance of employees would be measured. For the purpose of this EPAS, jobs in the municipality had been classified into 2 groups, as follows:

- ⇒ elementary occupations
- ⇒ other employees (excluding section 57 employees)

For each one of these groups standard appraisal criteria had been developed. All employees are evaluated using the same core criteria, some groups have more criteria than others and in some cases the definitions of the criteria had been expanded.

There are four templates, known as, EPAS1 (other employees), EPAS2 (elementary occupations) and PN (short for Performance Note). EPAS1 to 2 is the performance appraisal form, and PN is a brief one page feedback form that supervisors may use throughout the performance period to record and notify incidents, good and bad, in an employee's performance.

5. Appraisal Cycle

The EPAS appraisal cycle can be conducted quarterly, half-yearly, or yearly (we recommend quarterly). The appraisal cycle and year appear on the EPAS form in the top right corner. This lets you know at a glance what stage in the appraisal cycle a completed or partially completed form belongs to.

6. Supporting Comments

Try to add comments that support the appraisal rating. It is advisable to describe specific examples of conduct if possible. Where an employee receives a factor rating of 2 (Improvement needed) or lower, it is important that the appraiser offers supporting remarks.

CHAPTER 3

PERFORMANCE APPRAISAL AND REVIEW PROCESS

1. Introduction

There may be any number of members in your work team. It is therefore important that the supervisor make sure that she/he has enough time to comply with her/his responsibilities in terms of the EPAS. In this Chapter attention is given to those responsibilities. An attempt is made to ensure that the separate duties of a supervisor are discussed more or less in the sequence that the work must be done.

2. Scheduling performance planning and review events

The supervisor must schedule a meeting with all the members in her/his work team to discuss and explain the process of performance planning, continuous performance monitoring, performance review and formal performance appraisal. The whole work team attends this meeting at the same time. Remember that by this time all the members in the work team should have completed the training session on employee performance appraisal.

The purpose of this meeting is to-

- ⇒ refresh the memories of work team members with regard to the employee performance appraisal system
- ⇒ hand out to the employee's copies of their duty sheets and a copy of the relevant appraisal report form and instruct the work team on completing the form prior to their individual planning meetings
- ⇒ schedule personal performance planning meeting for each individual team member, taking into account the team's work programme and
- ⇒ schedule the two interim review and annual formal appraisal meetings for each team member for the next year.

Once the different meetings had been scheduled, it must be diarised. Supervisors must, as far as possible, avoid postponing meetings with employees once they are scheduled. The following simple form could be used to schedule these different meetings:

Employee Performance Appraisal System

| Department: _____ | | | | |
|-------------------|------------------|------------|------------|------------------|
| Section: _____ | | | | |
| Supervisor: _____ | | | | |
| Employee name | Planning meeting | 1st review | 2nd review | Annual appraisal |
| Employee 1 | | | | |
| Employee 2 | | | | |
| Employee 3 | | | | |
| Employee 4 | | | | |
| Employee 5 | | | | |
| Employee 6 | | | | |
| Employee 7 | | | | |
| Employee 8 | | | | |
| Employee 9 | | | | |

3. Appraisal Procedure

The appraisal procedure discussed below does not apply to employees who are section 57 employees and employees who are in elementary occupations. The appraisal of employees in elementary occupations will be discussed in paragraph 4 below.

3.1 Planning meeting

The supervisor and the employee meet at the scheduled meeting. The employee presents the Goals he/she would like to include in Section VIII. The supervisor needs to consider whether the Goals are practical (that is, they can be realistically achieved) and worthwhile (beneficial to both the employee and the municipality). Now is the time to resolve disagreements. Changes should be entered on the EPAS 2 form by the appraiser.

Note the "First Step Plan" in the Goal section. The employee and the supervisor should agree on the first step needed to get progress underway. For example, an employee who says their goal is an educational qualification may have their First Step Plan as "Contact local training colleges to get course information." The First Step Plan is a simple and practical way to focus on what needs to be done to get started.

Naturally, many employee goals may call for more elaborate planning than this. It is the ongoing responsibility of the supervisor to help the employee develop more detailed goal plans and move eventually from the first step, to the second, the third, and so on. The supervisor should monitor the progress of employees in developing more complete plans in the weeks that follow the appraisal.

163.

Employee Performance Appraisal System

3.2 Performance review meetings

A six step procedure for the conduct of performance appraisals is suggested below (other procedural approaches may work equally well.)

3.2.1 Supervisor Completes EPAS1 Form (Step 1)

Advise employees of their upcoming appraisal interview dates, giving them at least seven days notice. The supervisor fills out the EPAS1 form, using their direct knowledge of the employee's work performance and by referring to any relevant information on the employee's file and or his memory file.

3.2.2 First Draft to Employee (Step 2)

The EPAS1 form is given to the employee two to three working days before their appraisal interview. This is to allow the employee adequate time to study and digest what the appraiser has already written and to reflect upon the appraisers comments.

Explain this to the employee. Confirm that they know the time and date for the appraisal interview.

3.2.3 Appraisal Interview and Draft 2 (Step 3)

The appraisal interview is a very important session. The appraiser should arrange to spend one full hour with the employee for this session, without interruption or distraction (have your calls and visitors intercepted!).

General principles of good interview technique apply to the appraisal interview. Be prepared for the interview. Make sure you have thought about what needs to be said and have your notes ready. Be on time. Maintain good eye contact. Listen effectively. Watch your own body language. Remember that the employee is likely to be anxious about their appraisal, even if they show little sign of it. Try to create a more relaxed atmosphere.

Discuss each rating. Try to reach agreement on Improvement Actions for each factor.

The supervisor amends EPAS1 form based on the appraisal interview and the revised EPAS1 form is given to the employee for a day or two to add their comments in the "Employee's Comments" section.

3.2.4 Final Copy Produced (Step 4)

The EPAS1 form is returned to the supervisor, who now alters the EPAS1 form to include the Employee's Comments. The appraiser also adds their own final comments in "Supervisor's Comments" section. The amended form is signed by both the appraiser and the employee.

3.2.5 Up line Supervisor Reviews (Step 5)

The Final EPAS1 goes to the up line supervisor who reviews it, ad their own brief comments by hand if desired, and signs.

Employee Performance Appraisal System

3.2.6 Finish (Step 6)

The Final Copy is returned to the appraiser. If the up line supervisor made any comments, these are now included on the EPAS1. The EPAS1 form is now complete. The Final Copy (the signed one) is filed on the employee's personnel file. It is advisable to also print one more copy of the completed form – this is given to the employee for their own reference.

The abovementioned steps are repeated during every performance review meeting

3.3 Elementary occupations performance review

The same procedure as discussed above is used for elementary occupations with the one difference that it is not required of employees in elementary occupations to prepare performance goals for the planning meeting. During the planning meeting for elementary occupations the process and the EPAS2 form is explained to the employee.

3.3.1 Supervisor Completes EPAS2 Form (Step 1)

Advise employees of their upcoming appraisal interview dates, giving them at least seven days notice. Supervisor fills out the EPAS2 form, using their direct knowledge of the employee's work performance and by referring to any relevant information on the employee's file and his/her memory file.

3.3.2 Appraisal Interview and Draft 2 (Step 2)

The appraisal interview is a very important session. The appraiser should arrange to spend one full hour with the employee for this session, without interruption or distraction (have your calls and visitors intercepted!).

General principles of good interview technique apply to the appraisal interview. Be prepared for the interview. Make sure you have thought about what needs to be said and have your notes ready. Be on time. Maintain good eye contact. Listen effectively. Watch your own body language. Remember that the employee is likely to be anxious about their appraisal, even if they show little sign of it. Try to create a more relaxed atmosphere.

Discuss each rating. Try to reach agreement on Improvement Actions for each factor.

The supervisor amends EPAS2 based on discussions with employee. The amended EPAS2 is given to the employee for a day or two to add their comments in the "Employee's Comments" section. At this stage the employee is entitled to discuss the review with his/her representative to ensure that the comments of the employee are properly reflected in the "Employee Comments" section.

Employee Performance Appraisal System

3.3.3 Final Copy Produced (Step 3)

The EPAS2 with comments is returned to the supervisor, who now alters the EPAS2 form to include the Employee's Comments. Once EPAS2 form is completed both the appraiser and the employee sign it.

3.3.4 Up line Supervisor Reviews (Step 4)

The Final Copy goes to the up line supervisor who reviews it, adds their own brief comments by hand if desired, and signs.

3.3.5 Finish (Step 5)

The Final Copy is returned to the appraiser. If the up line supervisor made any comments, these are now included on the EPAS2. The EPAS2 form is now complete. The Final Copy (the signed one) is filed on the employee's personnel file. It is advisable to also print one more copy of the completed form – this is given to the employee for their own reference.

The abovementioned steps are repeated during every performance review meeting

4. Building a memory file for each employee

The idea of continuous performance monitoring is to ensure that there are no surprises at the end of the review period (which is a period of one year), in other words that the supervisor and employee has already sorted out the performance problems that the employee may have had during the past year. The formal annual performance assessment is therefore nothing more than creating a formal record of the employee's performance or lack thereof.

To make sure that the supervisor and the employee concerned know what will be happening at the annual assessment, the supervisor must create and maintain for each employee in the work team a memory file. If the supervisor has access to a computer it would be the easiest to create such a file for each work team member on computer. If you do not have or use a computer at work, a simple file folder, obtainable from the archives section would do.

The memory file is used to store the following documents in relation to an employee's performance during a year:

- ⇒ a copy of her/his true duty sheet
- ⇒ a copy of the worksheet containing the schedule of dates for the employee's interim and formal performance review dates
- ⇒ a copy of any nomination forms for training programmes that the employee may be required to complete during the next year in terms of her/his personal development plan

Employee Performance Appraisal System

- ⇒ a copy of each performance note (EPAS3) given to the employee whether by the supervisor her/himself or the supervisor's manager
- ⇒ the supervisor's notes of the interim appraisal meetings she/he had with the employee
- ⇒ copies of the counselling forms that may relate to the employee's performance (if any).

5. Performance feed back (Using performance notes)

The Performance Note (PN) is a brief form used to advise an employee about good and poor aspects of their work performance.

The PN (EPAS3) has two purposes. Firstly, it advises the employee that some aspect of their performance has been recognized and noted. This recognition helps to motivate an employee to either change a poor work habit or persist in a good one. Secondly, the PN (EPAS3) provides a systematic method for documenting incidents that may be important to later appraisal decisions.

Performance Notes (EPAS3) should not be issued for every minor incident or they will rapidly lose their effectiveness. They should be used when the supervisor feels that a significant incident has occurred. This is a matter of supervisory discretion.

Ideally the supervisor should speak with the employee first and then fill out the PN (EPAS3). The employee signs the PN (EPAS3) to indicate only that they have seen it - they are not required to agree with its contents. The PN (EPAS3) is included in the employee's personnel file. It remains there until appraisal time.

By giving a work team member immediate notice of any poor or good performance that work team member would-

- ⇒ have adequate opportunity to adjust or change her/his conduct to improve on her/his performance if she/he is informed of poor performance or unacceptable conduct and
- ⇒ receive immediate feedback and recognition of good performance.

6. Appeal

An employee has the right to appeal against-

- ⇒ any rating given by the appraiser;
- ⇒ the basis for rating used by the appraiser;
- ⇒ any comment made by the appraiser in the appraisal report that is, in her/his opinion, prejudicial or

An appeal, stating the reasons for it, must be submitted in writing within 7 working days after the performance review meeting to the personnel department (EPAS4).

Employee Performance Appraisal System

The personnel department must refer the appeal, together with any relevant documentation, to-

- ⇒ the departmental head of the appellant's department and transmit a copy thereof to the appraiser, or
- ⇒ the departmental head must adjudicate the appeal. Whenever the departmental head was the appraiser another departmental head must be appointed to adjudicate the appeal.

The adjudicator must determine a date for hearing the appeal (EPAS5) and must inform the appraiser and the appellant of the date, time and venue of the hearing.

The appellant has the right to-

- ⇒ be assisted during the hearing by a representative in terms of his/her conditions of service. The municipality is not liable for making any arrangements regarding, or carrying any cost in respect of, such representation. Should the appellant elect to be assisted during the hearing and her/his representative is absent, the hearing will continue;
- ⇒ inspect any documents submitted during the hearing by the appraiser and to submit documents in respect of her/his appeal;
- ⇒ present her/his case; and
- ⇒ call and lead witnesses and to cross-examine any witness called by the appraiser.

After having heard the parties, the adjudicator must make a finding and immediately inform the appellant orally thereof. Immediately thereafter, the adjudicator must reduce her/his finding and the reasons therefore to writing and submit it, together with the appraisal report, to the personnel department within three (3) working days. The personnel department must ensure that the adjudicator's report and the appraisal report are submitted to the appellant. The finding of the adjudicator is final and binding.

7. Arranging and participating in counselling sessions

When an employee's score during an interim performance review or an annual performance appraisal is less than 50%, a counselling session must take place. The counselling session involves-

- ⇒ the employee and her/his chosen representative
- ⇒ a representative of the human resources department
- ⇒ the supervisor.

The supervisor must arrange the counselling session.

CHAPTER 4

ROLE OF THE PERSONNEL PRACTITIONER/HUMAN RESOURCES DEPARTMENT

1. Introduction

It is not the job of the human resources practitioner or human resources department to-

- ⇒ perform employee performance appraisals, except of their own subordinates
- ⇒ to "advise" supervisors how to rate employees based on certain events
- ⇒ to manipulate performance appraisal results by insisting that the results in a department or the municipality as a whole must result in the "bell" curve

2. Training in employee performance appraisal

The municipal manager and departmental heads are responsible for ensuring that all employees in the municipality complete the training course on this EPAS before it is implemented. However, after implementation, new employees will be appointed and employees may be promoted to supervisory positions where they would be required to assess the performance of other employees. The human resources practitioner's responsibility for training is in relation to the latter group of employees.

The human resources practitioner must-

- ⇒ develop appropriate learning material to train newly appointed employees (whether they are supervisors or not) with regard to the EPAS and
- ⇒ provide the training to those employees as soon as possible after their appointment/promotion.

3. Supplying and filing forms

The forms accompanying this EPAS were designed to ensure that the system works properly and to ensure its proper administration. The following forms are part of this EPAS:

| Form No | FORM TITLE |
|---------|---|
| EPAS1 | Other employees appraisal form |
| EPAS2 | Elementary occupations appraisal form |
| EPAS3 | Performance note |
| EPAS4 | Employee's appeal against assessment |
| EPAS5 | Notification of appeal hearing against appraisal result |

Employee Performance Appraisal System

The human resources practitioner must ensure that an adequate supply of these forms is available for supervisors and departments to be able to implement the system. It is, however, not advisable to have large volumes of the forms printed beforehand, because one or more of the forms may have to be amended based on experiences with implementing the system.

4. Attending counselling sessions

After an employee's performance had been reviewed during an interim performance review meeting between the employee and her/his supervisor, the supervisor may indicate that a formal counselling session may be warranted because the employee's overall performance score was less than 50%.

5. Ensuring performance appraisals are done

Continuous performance planning, monitoring and review are a key responsibility of each and every supervisor and manager, and not that of the human resources department or the human resources practitioner. However, the human resources department/practitioner must make sure that the performance of each and every employee is planned monitored and review as required by the system.

6. Processing appeals from employees against appraisal results

An employee has the right to appeal, after a formal annual performance appraisal, against-

- ⇒ any rating given by the supervisor;
- ⇒ the basis for rating used by the supervisor;
- ⇒ any comment made by the supervisor in the appraisal report that is, in her/his opinion, prejudicial or

An appeal must be submitted in writing within 7 days after the event that lead to the appeal on form EPAS4. Upon receipt of a properly completed and signed appeal form, the human resources department/practitioner must arrange for the hearing to take place, using form EPAS5.

7. Preparing performance recognition certificates and letters

Once the human resources department/practitioner receives a completed and signed appraisal report form, it must check (audit) the form to ensure that the scores had been calculated correctly, were correctly transferred to the score calculation page of the form and that the scores had been correctly added. If the employee qualifies for a letter or certificate of recognition, the department must make arrangements for ensuring that the letter is written or the certificate is printed/completed, as the case may be.

Please note that an appeal stays the result of an appraisal until after the appeal had been dealt with.

CHAPTER 5

REWARD, RECOGNITION AND PERSISTENT POOR WORK PERFORMANCE

1. Introduction

The municipality believes that its performance will only improve if all its employees work smarter and better. Therefore, an important component of the municipality's performance management system (PMS) is this EPAS. In accordance with the human resource management philosophy articulated in the municipality's integrated development plan, this EPAS is introduced to provide management with an integrated framework and tools for managing individual and team performance effectively.

It is the express policy of the municipality that-

- ⇒ superior performance is recognised and/or rewarded appropriately
- ⇒ poor performance is corrected effectively.

POLICY STATEMENT

No recruitment for any position may proceed unless a comprehensive and detailed performance plan for such position has been developed. The selection of candidates for appointment will focus exclusively on the expertise, skills and behavioural standards specified in the performance plan for the position concerned.

Recognition of superior performance will be-

- ⇒ non-financial in nature but will nevertheless reinforce acceptable behaviour and attitudes;
- ⇒ will be immediate and regular.

Rewards for superior performance will be financial in nature to reinforce exceptional performance by an individual.

PART A: SUPERIOR PERFORMANCE

2. Recognition

When an employee has scored as follows, her/his performance will be recognised as follows:

Employee Performance Appraisal System

| | |
|-----|--|
| 75% | Letter of recognition from the municipal manager |
| 80% | Certificate of recognition handed over during a council meeting |
| 85% | Specialised training course in field of expertise paid for by the municipality to the value of R 5000-00 |

2.1 Procedure for recognition

As soon as a supervisor, the appraised employee and the supervisor's manager have signed the appraisal report form it must be forwarded to the human resources management department. This department must audit the appraisal form and submit it to the first management meeting next ensuing. The management meeting may ratify the score.

If the employee scored -

- ⇒ 75% and no calculation errors are found during the audit a draft recognition letter must be written and forwarded to the municipal manager for signature. The signed recognition letter must be forwarded to the departmental head and he/she must hand over the letter at an appropriate time, e.g. a departmental staff meeting.
- ⇒ 80% and no calculating errors are found during the audit the personnel department will arrange for the certificate of recognition to be printed and signed by the municipal manager and mayor. The personnel department will also arrange for placing an appropriate item on the agenda for the first council meeting next ensuing during which the mayor will hand the certificate to the employee.
- ⇒ 85% and no calculating errors are found during the audit, the municipality's skills development facilitator, together with the employee's departmental head and the employee will decide on a relevant training course that she/he may attend at the municipality's cost in accordance with the municipality's workplace skills plan. The cost of such an event may not exceed R 5000-00 (inclusive of travelling and subsistence). This training course must be within the employee's scope of functions that he/she is performing at the municipality. The skills development facilitator will be responsible for the administrative and logistical arrangements.

2.2 Reward

When an employee during his/her formal appraisal has achieved 90% or more, the employee will receive a certificate of recognition and a 14th cheque handed to her/him during a council meeting. The 14th cheque is issued to the employee without any deduction, except employees' tax.

2.3 Procedure for reward

As soon as the supervisor, the appraised employee and the supervisor's manager have signed the appraisal report form it must be forwarded to the personnel department.

Employee Performance Appraisal System

The personnel department must audit the appraisal form. If no calculating errors are found, the result must be reported formally at the first departmental heads meeting next ensuing. If the departmental heads approve the appraisal report, the personnel department must arrange for a certificate of recognition to be printed and signed by the municipal manager and mayor. The personnel department must include in the agenda for the first council meeting next ensuing an appropriate item during which the mayor will hand the certificate and 14th cheque to the employee.

PART B: INFERIOR PERFORMANCE

3. Procedure for dealing with poor work performance

The statutory provisions regulating the procedures for dealing with employees who perform poorly are contained in Schedule 8 to the Labour Relations Act 1995. The municipality must follow the agreed internal or statutory procedure when dealing with poor work performance.

IMPORTANT NOTE

A counselling meeting does not interfere in any way with an employee's right to appeal against an evaluation. A counselling meeting is also not a "mediation" session where the employee may air grievances relevant to her/his evaluation.

3.1 Extension of disciplinary code

The following should be included in the disciplinary code applicable in the municipality.

Any employee who-

- a) victimises, intimidates or harasses or attempts to victimise, intimidate or harass another employee for making or not making any statement with regard to her/his performance appraisal report, counselling meeting, enquiry into her/his poor work performance or submitting or not submitting an appeal as provided for here-in,
- b) discloses to an unauthorised employee, a councillor or a member of the public any particulars regarding another employee's performance appraisal,
- c) makes a false allegation regarding any matter in paragraphs (a) or (b)

will be liable for disciplinary action and may be dismissed if she/he is found guilty.

| | | |
|----------------|--|-------------------------|
| <h1>EPAS1</h1> | STRICTLY CONFIDENTIAL PERFORMANCE APPRAISAL | YEAR CYCLE OF |
|----------------|--|-------------------------|

| <u>EMPLOYEE DETAILS</u> | <u>PLEASE ANSWER IN THE SPACES BELOW</u> |
|-------------------------|--|
| FIRST NAME | |
| LAST NAME | |
| JOB TITLE/ POSITION | |
| DEPARTMENT | |
| DIVISION | |
| MUNICIPALITY | |
| LOCALITY | |
| STARTED IN MUNICIPALITY | Date: / / |
| STARTED IN JOB | Date: / / |
| TELEPHONE | |

| <u>APPRAISAL MANAGEMENT</u> | <u>PLEASE ANSWER IN THE SPACES BELOW</u> |
|-------------------------------|---|
| TIME PERIOD COVERED | From: / / To: / / |
| IS THIS APPRAISAL COMPLETE? | <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes Date Completed: / / |
| COPY SAVED ON DISK AS? | Filename: |
| SIGNED COPY TO EMPLOYEE FILE? | <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes Date Filed: / / |

Confidential

REPORTING RELATIONSHIPS

Please provide all information. It is important to record the employee's place in the municipality and to provide information regarding line supervisors. It is also important to indicate when supervision started. Employees with less than three (3) months of continuous service in their current job, or less than three (3) months continuous service under the present supervisor, should NOT be evaluated. Where less than twelve (12) months continuous service applies (either in the present job or under the present supervisor) the appraisal results should be treated with particular caution.

| DIRECT SUPERVISOR | | PLEASE ANSWER IN THE SPACES BELOW | |
|--------------------------|--|--|--|
| FIRST NAME | | | |
| LAST NAME | | | |
| JOB TITLE/POSITION | | | |
| DEPARTMENT | | | |
| DIVISION | | | |
| MUNICIPALITY | | | |
| LOCALITY | | | |
| SUPERVISION STARTED | | Date: / / | |
| TELEPHONE | | | |

| UPLINE SUPERVISOR | | PLEASE ANSWER IN THE SPACES BELOW | |
|--------------------------|--|--|--|
| FIRST NAME | | | |
| LAST NAME | | | |
| JOB TITLE/POSITION | | | |
| DEPARTMENT | | | |
| DIVISION | | | |
| MUNICIPALITY | | | |
| LOCALITY | | | |
| TELEPHONE | | | |

I. JOB KNOWLEDGE

How well is the job understood? Job Knowledge is the amount of job-relevant knowledge and skill an employee has. This may include awareness, possession or mastery of special facts, practices, manual skills and techniques, decision-making methods, supervision skills, etc. An employee with a high level of job knowledge would be capable of performing most if not all of the normal tasks in their job independently. An employee with a low level of knowledge would require regular guidance and support from others in order to complete even normal tasks. *Rationale* If employees do not have an acceptable level of job knowledge, they will be unable to complete normal job duties, leading to many difficulties including inefficiencies, rising costs, excessive supervision, risks to safety and risk of harm to client and customer relationships.

| | |
|--------------------------|---|
| <input type="checkbox"/> | <p>[5] Job Knowledge - Exceptional Employee displays a consistently high level of job knowledge that regularly exceeds requirements. Consistently able to complete all of the normal work tasks of the job, as well as unusual and difficult tasks, independently. They are consulted by others often, and are recognised and trusted for their job knowledge. They are aware of the importance of job knowledge and consistently seek out new knowledge - and usually inspire or guide others to do the same.</p> |
| <input type="checkbox"/> | <p>[4] Job Knowledge - Advanced Employee shows a high level of job knowledge, exceeding requirements in some areas, but not consistently and not in all parts of their job. They regularly complete all of the normal work tasks of the job, and at times unusual and difficult tasks, independently. May at times be consulted by others for guidance. They are aware of the importance of job knowledge and usually seek out new knowledge when they can.</p> |
| <input type="checkbox"/> | <p>[3] Job Knowledge - Competent Employees at this level regularly meet the job knowledge requirements for the job. They are able to complete the normal or typical work tasks of the job without guidance and support from others. They may at times need help; for example, when unusual circumstances arise or out-of-the-ordinary problems confront them. They recognise the value of building and maintaining their job knowledge, and make some effort to do so.</p> |
| <input type="checkbox"/> | <p>[2] Job Knowledge - Improvement Needed Employee is showing inconsistency in meeting requirements for job knowledge in this position. At times they are unable to complete normal or typical work tasks without guidance and support. Some tasks may be left incomplete or completed incorrectly. They may not fully recognise the importance of building and maintaining their job knowledge. They may not be making enough effort to acquire needed knowledge and skills.</p> |
| <input type="checkbox"/> | <p>[1] Job Knowledge - Major Improvement Needed Employees at this level regularly fail to meet requirements for job knowledge. They are regularly unable to complete the normal or typical work tasks of the job without considerable guidance and support from others. As a result, many tasks may be left incomplete or completed incorrectly. They may not be aware of how inadequate their knowledge is, and/or may have little appreciation for the importance of improving it.</p> |

JOB KNOWLEDGE *Continued*

Supporting Comments by Supervisor

Where the rating is low (2 or less) or high (4 or higher) the additional feedback sought in this section is considered critical. See the Appendix for further information.

This is the most appropriate Job Knowledge rating because ...

Improvement Action *Supervisor and employee to agree*

Where the rating is low (2 or less) the additional feedback sought in this section is considered critical. See the Appendix for further information.

Job Knowledge may be improved by ...

II. WORK QUALITY

How good is the work produced? Work Quality refers to effort that consistently achieves desired outcomes with a minimum of avoidable errors and problems, as well as a minimum consumption of resources such as time, money and materials. Low quality work fails to achieve its desired or required outcomes and is plagued by avoidable errors, problems, wastage and excessive consumption of resources. High quality work also means being conscious of the need to continuously seek out better ways of working. *Rationale* If work effort does not achieve its desired outcomes, is not free or largely free of avoidable errors and problems, or consumes resources inappropriately, then costs, waste, delays and complaints will increase and service or product quality will fall. As well opportunities may be lost and customer and client relationships put at risk.

| | |
|--------------------------|---|
| <input type="checkbox"/> | <p>[5] Work Quality – Exceptional Employee consistently or frequently exceeds requirements. Their work output always or nearly always achieves intended or required outcomes, with a minimum of waste and expense. Error rate is consistently low and they always or nearly always self-monitor and self-correct for avoidable errors and problems. Their work effectiveness is well-known by their peers and they may have a reputation for setting the "standard" . They consistently seek more effective ways of working.</p> |
| <input type="checkbox"/> | <p>[4] Work Quality – Above expectations Employees at this level produce work that usually exceeds requirements. They show that they have the talent and skill to produce highly effective work (even if that level is not achieved consistently.) Their overall error rate is low and they usually self-monitor and self-correct for errors and problems. As well they generally use resources wisely. They display a keen understanding of the principles of effectiveness and efficiency and they usually will seek more effective ways of working.</p> |
| <input type="checkbox"/> | <p>[3] Work Quality – Competent Employees at this level regularly meet the effectiveness requirements for their job. Their work output regularly achieves its desired or required outcomes, with an error or problem rate that is acceptable or typical for the type of work. Occasionally they may not complete a task well and it may need to be done again. Employees at this level usually show that they can self-correct for errors and problems. Usually consumption of resources is appropriate to the tasks at hand.</p> |
| <input type="checkbox"/> | <p>[2] Work Quality - Improvement Needed Employees at this level may be showing inconsistency in their work effectiveness. The error and problem rate is usually higher than acceptable; this means that a larger than usual quantity of work must be repeated, rejected or corrected by others. They may show a persistent tendency to not achieve, or only partially achieve, desired or required work outcomes. They may show some skill in detecting and self-correcting for errors and problems, but this does not happen often enough. They may show a tendency to excessive resource use.</p> |
| <input type="checkbox"/> | <p>[1] Work Quality – Unsatisfactory At this level, employees regularly fail to meet requirements for work effectiveness. Their work output regularly does not achieve its desired or required outcomes, or only partially achieves them. The error rate is high and work must be regularly repeated, rejected or corrected by others. Where work is completed it usually entails excessive resource consumption and waste. The employee seems to lack the skill or willingness to self-correct for errors and problems. They may even be unaware that their work effectiveness is inadequate or they may be indifferent to the issue.</p> |

WORK QUALITY *Continued*

Supporting Comments by Supervisor

Where the rating is low (2 or less) or high (4 or higher) the additional feedback sought in this section is considered critical. See the Appendix for further information.

This is the most appropriate Work Quality rating because ...

Improvement Action Supervisor and employee to agree

Where the rating is low (2 or less) the additional feedback sought in this section is considered critical. See the Appendix for further information.

Work Quality may be improved by ...

III. WORK RATE

How much work is produced? Every job has an optimal work rate, at which the ordinary duties of the job may be satisfactorily completed within an acceptable time. Yet two employees doing the same job may produce different outputs. All other things being equal, the amount of work each produces will depend on their personal work speed, concentration and endurance. For example, employees with a high work output tend to work quickly but safely, concentrate well, and sustain their effort level. They will also display skill in self-monitoring and regulating their output to ensure needed tasks are completed on time. If the job has a fixed work rate see *Special Note** below. *Rationale* If the work rate of an employee is too low, required tasks and projects will not be finished on time, leading to organizational problems such as the failure of planning and co-ordination efforts, inability to meet obligations, lost opportunities and increased costs.

[5] Work Rate - Exceptional
The employee shows a consistently high and safe work output, with sustained concentration and endurance clearly evident. Assigned tasks and projects are often completed ahead of the required or expected time. The employee will usually seek out extra tasks or projects to undertake, or will help others complete their tasks and projects. The employee always or almost always shows they can self-monitor and self-regulate their own work output to ensure completion of all needed tasks.

[4] Work Rate - Above expectations
The employee usually displays a high level of safe work output. Some work tasks and projects are completed ahead of time and most are completed on time. At times the employee may seek out additional tasks and projects to complete, or help others to complete their tasks and projects. The employee usually shows that they can self-monitor and self-regulate their own work output to ensure the timely completion of all needed tasks.

[3] Work Rate - Competent
At this level employees meet the work output requirements for this job. Their assigned work tasks and projects are usually completed on time. An occasional task or project may be a little late, but not to the point of causing serious difficulties. The employee shows that they are aware of the need to produce an acceptable level of work output, and usually they can self-monitor and self-regulate their own work rate to ensure that needed tasks are completed on time.

[2] Work Rate - Improvement Needed
The employee may be showing inconsistency in work output and may be falling below the acceptable level too often. They may be working too slowly, or showing lack of concentration or consistency of effort. Work tasks and projects are significantly late at times or left incomplete, with serious or potentially serious consequences. The employee may be showing insufficient skill in self-monitoring and self-regulating their work rate. The employee is usually aware that they have a problem and accept the need to improve their output.

[1] Work Rate - Unsatisfactory
Work output is consistently low and the employee regularly fails to complete assigned work tasks on time. The problem may be due to many causes, including apparent indecisiveness, excessive rechecking of work, low work speed, lack of concentration or low effort. The employee may show little if any skill in self-monitoring and self-regulating their work rate, and may not be aware of their work output problem or even accept that it is a problem.

WORK RATE *Continued*

Supporting Comments by Supervisor

Where the rating is low (2 or less) or high (4 or higher) the additional feedback sought in this section is considered critical. See the Appendix for further information.

This is the most appropriate Work Rate rating because ...

Improvement Action Supervisor and employee to agree

Where the rating is low (2 or less) the additional feedback sought in this section is considered critical. See the Appendix for further information.

Work Rate may be improved by ...

~~Special Note~~ While most jobs offer the possibility of a varying work rate, some have a fixed work rate. This occurs where the job consists of inflexible duties, with little or no opportunity for an employee to vary their output. An example of a fixed rate job is the pilot who must fly an aircraft along a set route at a scheduled rate. The pilot cannot finish the job faster than expected and decide to get started early on next week's flights, nor can the pilot fail to finish the flight. Since the work volume is inflexible, the issue of effectiveness (Work Quality) becomes more important as a discriminator of work performance. To reflect this increased importance, the employee in a fixed rate job should be given the same rating for Work Rate as for Work Quality.

IV. COMMUNICATIONS

How well does the employee communicate? Communications refers to the ability to communicate orally and/or in writing, with clarity and good effect. It also means to understand clearly and quickly when communications (such as instructions, orders or complaints) are received. Communications involves the employee's ability to judge what information is important and what is not, and what should be communicated, how, to whom, and when. *Rationale* If an employee fails to communicate effectively when the need arises, or fails to understand or respond appropriately to communications directed at them by others, problems arise including the failure of planning and co-ordination efforts, internal inefficiencies, lost opportunities and increased costs.

| | |
|--------------------------|---|
| <input type="checkbox"/> | <p>[5] Communications - Exceptional The employee shows a consistently high level of communications. They always or nearly always communicate clearly and effectively, in writing and/or orally. They display a very quick grasp of the significance of information communicated, and always or nearly always initiate or respond to communications in an appropriate, timely and comprehensive manner. Their communications style may be vivid and compelling. They often display skill in reducing complex information to simple forms and helping others to understand that information.</p> |
| <input type="checkbox"/> | <p>[4] Communications - Above expectations The employee shows a good to high level of communications. They usually communicate clearly and effectively, both in writing and orally. They usually demonstrate a quick and clear grasp of the significance of information communicated, and they usually initiate or respond to communications in an appropriate, timely and comprehensive manner. They may at times show some skill in reducing complex information to simpler forms, and in helping others to understand that information.</p> |
| <input type="checkbox"/> | <p>[3] Communications - Competent The employee meets the communications requirements for the job. They usually show that they understand the need to initiate or respond to information in an appropriate, timely and complete manner. Their oral and written communications are usually acceptable, being both comprehensible and appropriate. There may be occasions when they have not communicated and/or responded well, but this is not the rule. They usually understand written and/or oral instructions and requests quickly. They usually do not misunderstand or cause others to misunderstand by bad communication.</p> |
| <input type="checkbox"/> | <p>[2] Communications - Improvement Needed The employee shows inconsistency in their communications. For example, they may display a tendency to slowness in passing on important information, or slowness in responding to or understanding information communicated to them. Instructions and requests may require repetition and explanation. Written and/or oral communications can fail to convey their full meaning, and may leave others confused or ill-informed. There may be evidence of low literacy skills, poor listening skills, etc.</p> |
| <input type="checkbox"/> | <p>[1] Communications - Unsatisfactory Employees at this level regularly fail to meet requirements for written and/or oral communications. They regularly fail to communicate, listen to or correctly understand information, instructions, complaints, etc. They do not appear to grasp the significance of information communicated to them nor understand the need to pass on, or respond to information in an appropriate and timely manner. Even routine information may be regularly misunderstood. There may be evidence of low literacy skills, poor listening skills, etc.</p> |

182.

COMMUNICATIONS *Continued*

Supporting Comments by Supervisor

Where the rating is low (2 or less) or high (4 or higher) the additional feedback sought in this section is considered critical. See the Appendix for further information.

This is the most appropriate Communications rating because ...

Improvement Action Supervisor and employee to agree

Where the rating is low (2 or less) the additional feedback sought in this section is considered critical. See the Appendix for further information.

Communications may be improved by ...

183.

V. INTERPERSONAL RELATIONS

How well does the employee get on with others? Interpersonal Relations refers to the effect that the employee has on others, including their ability to establish and maintain positive and productive working relationships. Employees with low skill are often involved in conflict and misunderstandings with peers, clients, supervisors and others. Their "personal style" seems to cause many avoidable problems. They may be described (variously by others) as insensitive, overbearing, undependable, abrasive, etc. By contrast, employees with high levels of interpersonal skill tend to inspire goodwill, co-operation, trust and mutual respect among a wide range of people. *Rationale* If employees lack skills in interpersonal relations, they will be unable to work closely and effectively with co-workers, supervisors, clients, suppliers and others. This can lead to numerous and costly problems, including conflict, distrust, stress, team failure and low morale.

- [5] Interpersonal Relations - Exceptional**
Consistently high level of interpersonal skill in dealing with others. The employee has a wide network of good working relationships with peers, subordinates, supervisors, customers, clients and suppliers. Rarely involved in unnecessary or trivial disputes and misunderstandings. Makes a consistent effort to encourage trust and cooperation, and may take a leading role in fostering a positive and productive team spirit. May show well-developed talent in special areas such as persuasion, conflict resolution, motivation or leadership. Very strong team members.
- [4] Interpersonal Relations - Above expectations**
The employee shows a good to very good level of interpersonal skill and has good working relationships with most of their peers, subordinates, supervisors, customers, clients and suppliers. They are usually not involved in unnecessary or trivial disputes and misunderstandings. At times they may take a leading role in building team spirit and encouraging trust and cooperation among others. May show talents in special areas such as persuasion, conflict resolution, motivation or leadership. They usually make very strong team members.
- [3] Interpersonal Relations - Competent**
Employees at this level meet the interpersonal requirements for their job. They usually have good working relationships with most of their immediate peers, supervisors, suppliers, customers, etc. They generally recognise the importance of building and maintaining positive work and team relationships. They may be involved in the occasional trivial dispute or misunderstanding, but usually they show that they can find ways to resolve interpersonal problems on their own. They usually make reliable and solid team members.
- [2] Interpersonal Relations - Improvement Needed**
The employee may be showing inconsistency in their interpersonal conduct. There may be evidence of problems, for example, excessive complaints from fellow workers, clients or others. The employee may seem continually involved in misunderstandings and trivial squabbles - many of which may be traced to the employee's manner. But they also show some appreciation of the need for good working relationships and usually have a small network of others with whom they work reasonably well. Team performance suffers due to the impact of the employee's interpersonal manner.
- [1] Interpersonal Relations - Unsatisfactory**
Employees at this level fail to meet the interpersonal requirements for their job. Their manner or style of relating to others is generally inappropriate and appears to cause many avoidable - and sometimes quite serious - problems with peers, customers, suppliers and others. Usually the employee shows little or no skill in resolving these matters. General morale may be adversely affected. The employee may seem to be unaware of, or even indifferent to, the effects their manner has on others. Often they will fall into a pattern of denial and may blame others.

Confidential

INTERPERSONAL RELATIONS *Continued*

Supporting Comments by Supervisor

Where the rating is low (2 or less) or high (4 or higher) the additional feedback sought in this section is considered critical. See the Appendix for further information.

This is the most appropriate Interpersonal Relations rating because ...

Improvement Action Supervisor and employee to agree

Where the rating is low (2 or less) the additional feedback sought in this section is considered critical. See the Appendix for further information.

Interpersonal Relations may be improved by ...

185

VI. POLICY COMPLIANCE

Does the employee understand and comply with policies and practices? Every organization has policies and practices dealing with issues such as record-keeping, personal use of organizational property, sexual harassment, work safety, etc. High compliance involves an awareness of the policies and practices, plus the willingness to comply with all reasonable requirements. An employee with low compliance will show that they are unaware, unwilling or indifferent about the need for reasonable compliance, and may appear to "bend the rules" at nearly every opportunity. *Rationale* If an employee fails to comply with policies and practices, the organization, or its members, customers or clients, may be exposed to avoidable risks and harm. The policies and practices of an organization are preventative strategies against anticipated threats and problems. By failing to comply, an employee exposes the organization to the very risks and harms it seeks to avoid.

 [5] Policy Compliance - Exceptional

The employee shows a consistently high and broad knowledge of the organization's policies and practices, including the history, context and rationale that underlies them. They also demonstrate a consistently high level of willingness to comply with all reasonable requirements and show a high level of skill in applying policies and practices. Their high level knowledge may be widely recognised in the organization and others may regularly seek out their help and insight. They may take a leading role in educating or persuading others to comply.

 [4] Policy Compliance - Advanced

The employee shows a good to very good level of knowledge of the organization's policies and practices, including at least some knowledge of their history, context and rationale. They usually demonstrate a high level of willingness to comply with all reasonable requirements. They may display a good level of skill in applying policies and practices. Their expertise may be concentrated in certain specific areas. In these areas they may be consulted by others for help and insight and may at times educate or persuade others to comply.

 [3] Policy Compliance - Competent

Employees at this level meet the organization's policy compliance requirements. They have a satisfactory knowledge of most of the policies and practices that directly affect their job. They demonstrate that they are willing to comply with all reasonable requirements, and usually they can be relied upon to do so without the need for constant supervision or reminders. They can usually apply routine policies independently, but may need help when unusual situations arise. It would be unusual for them to deliberately or carelessly ignore an important policy or practice.

 [2] Policy Compliance - Improvement Needed

The employee may be showing inconsistency in their knowledge and/or application of policies and practices, even of routine ones that apply directly to their job or area. They may comply with some policies and practices, while appearing unable or unwilling to comply with others. They may seek to give the impression of compliance while taking "shortcuts" and other risks that could compromise the organization. Their understanding of the history, context and rationale underlying policies and practices may be limited. There may be an emerging pattern of non-compliance.

 [1] Policy Compliance - Major Improvement Needed

Employees at this level fail to meet requirements for policy compliance. They display an apparent unawareness, denial or reckless disregard for important and reasonable policies and practices, even basic and routine ones. They may not understand or accept the need for compliance and may deliberately seek to avoid compliance, either openly or secretly. They may actively encourage others to ignore policies and practices as well. There may be a pattern of systematic or habitual non-compliance over a considerable time period.

POLICY COMPLIANCE *Continued*

Supporting Comments by Supervisor

Where the rating is low (2 or less) or high (4 or higher) the additional feedback sought in this section is considered critical. See the Appendix for further information.

This is the most appropriate Policy Compliance rating because ...

Improvement Action Supervisor and employee to agree

Where the rating is low (2 or less) the additional feedback sought in this section is considered critical. See the Appendix for further information.

Policy Compliance may be improved by ...

187.

VII. ATTENDANCE

Is the employee available for work when expected? Attendance refers to the consistency that an employee shows in turning up for work and completing their normal work hours. Problems occur where there are unnotified and/or unjustified lateness in starting work, unnotified and/or unjustified absences for partial or whole working days, and unnotified and/or unjustified early departures from work. Where employees have poor attendance there is often a recurring pattern of absenteeism or lateness, and leave allowances may be exceeded. *Rationale* If an employee fails to attend work when required, the normal functioning of the organization will be disrupted and planning and co-ordination breaks down. Other employees may be forced to ignore their own duties to make up for the absences of a co-worker. This is manageable within limits, but becomes a serious problem when absenteeism is excessive, not notified or unjustified.

- | | |
|--------------------------|---|
| <input type="checkbox"/> | <p>[5] Attendance - Exceptional Employees at this level are rarely absent from work and rarely late without an acceptable or plausible reason. Any incident of absence or lateness is always notified to supervisors promptly, together with reasonable explanations or supporting documents if required. Normal leave allowances are rarely if ever exceeded. Their general pattern of absenteeism, in comparison to others, is very low.</p> |
| <input type="checkbox"/> | <p>[4] Attendance - Above expectations Employees at this level are rarely absent from work and rarely late without an acceptable or plausible reason. Any incident of absence or lateness is usually notified to supervisors promptly. Reasonable explanations or supporting documents are usually provided. Normal leave allowances are rarely exceeded. Their general pattern of absenteeism, in comparison to others, is low.</p> |
| <input type="checkbox"/> | <p>[3] Attendance - Competent Employees at this level meet the attendance requirements for their job. They usually provide a prompt notification and reasonable explanation for any absences or lateness. If required to produce documentation, they do so. There may be an occasional incident of absence or lateness that may have been avoidable or appears unjustified, but there is no evidence of systematic or chronic lateness or absence. Their general pattern of absenteeism is moderate and within the organization's accepted limits.</p> |
| <input type="checkbox"/> | <p>[2] Attendance - Improvement Needed Employees at this level may be showing inconsistency in attendance. There may be an <u>emerging absenteeism problem</u>. Leave allowances may be stretched to the limit, or exceeded. Employee may not be providing prompt notifications of absence, or reasonable explanations, or supporting documents. There may be repeated instances of apparently avoidable or unjustified absenteeism. There may be some evidence that the absenteeism is becoming systematic. In comparison to others, the general pattern of absenteeism may be moderate to high.</p> |
| <input type="checkbox"/> | <p>[1] Attendance - Unsatisfactory Employee regularly fails to meet attendance requirements. They may be unwilling or unable to give plausible reasons, or supporting documents, to explain their absences or lateness. Absences may be not notified - the employee simply does not turn up. Normal leave allowances may be exceeded, sometimes substantially. There may be a pattern of systematic or chronic absenteeism over a lengthy time. The employee may not understand or accept that their absenteeism is a problem, and may be indifferent to the effects it has on co-workers and the organization.</p> |

ATTENDANCE *Continued*

Supporting Comments by Supervisor

Where the rating is low (2 or less) or high (4 or higher) the additional feedback sought in this section is considered critical. See the Appendix for further information.

This is the most appropriate Attendance rating because ...

Improvement Action Supervisor and employee to agree

Where the rating is low (2 or less) the additional feedback sought in this section is considered critical. See the Appendix for further information.

Attendance may be improved by ...

189.

VIII. GOALS

(Supervisor and employee to discuss. Goals are selected by the employee, with the advice and support of the supervisor. Both the supervisor and the employee must agree on the goals as being practical and worthwhile.) Goals can be of many types. They should be very specifically work-related – for example, “To complete project X by the end of the year”. Goals should not exceed a one year time frame. If your goals are longer-term than this, it may be useful to break them down into shorter-term components. Goals are prioritised from Goal 1 (More Important) to Goal 3 (Less Important). The First Step Plan (mentioned below) simply means the first thing that needs doing in order to start moving towards the goal. You are not expected to work out a detailed plan of action here.

Notes to Employees: Try to describe goals that you would like to work on or would like help to achieve. Start by asking yourself these questions:

- What specific tasks, projects or activities would I like to accomplish in my job?
- What changes in my work performance are required or desired?
- What training or work experiences would be helpful to me?

It is important that the goals you select are goals you would really like to work on. That is why it is your choice to nominate them. However, you can ask your supervisor for advice and help – this is often wise since your supervisor must agree with your choices in the end.

| Goal 1 - More Important | |
|---|---|
| Description: What is the goal? | |
| First Step Plan: What is the first step towards achieving this goal? | |
| Evaluation: How will we know if the goal is achieved? What will happen or change? | |
| Support: What training or experience, or other support, could help? | |
| Timing: When will the goal be achieved? | Target Date: / / |
| Employee Agreed (Initial) | Supervisor Agreed (Initial) |
| Progress: Supervisor to complete at next appraisal or earlier if required. | <input type="checkbox"/> Exceptional <input type="checkbox"/> Accomplished <input type="checkbox"/> Good Progress <input type="checkbox"/> Some Progress <input type="checkbox"/> No Progress <input type="checkbox"/> Abandoned |
| Comment: Supervisor to comment on the progress evaluation made above | |

190.

Confidential

| Goal 2 | |
|--|--|
| Description: What is the goal? | |
| First Step Plan: What is the first step towards achieving this goal? | |
| Evaluation: How will we know if the goal is achieved? What will happen or change? | |
| Support: What training or experience, or other support, could help? | |
| Timing: When will the goal be achieved? | Target Date: / / |
| Employee Agreed (Initial) | Supervisor Agreed (Initial) |
| Progress: Supervisor to complete at next appraisal or earlier if required. | <input type="checkbox"/> Exceptional <input type="checkbox"/> Accomplished <input type="checkbox"/> Good Progress <input type="checkbox"/> Some Progress <input type="checkbox"/> No Progress <input type="checkbox"/> Abandoned |
| Comment: Supervisor to comment on the progress evaluation made above | |

| Goal 3 | |
|--|--|
| Description: What is the goal? | |
| First Step Plan: What is the first step towards achieving this goal? | |
| Evaluation: How will we know if the goal is achieved? What will happen or change? | |
| Support: What training or experience, or other support, could help? | |
| Timing: When will the goal be achieved? | Target Date: / / |
| Employee Agreed (Initial) | Supervisor Agreed (Initial) |
| Progress: Supervisor to complete at next appraisal or earlier if required. | <input type="checkbox"/> Exceptional <input type="checkbox"/> Accomplished <input type="checkbox"/> Good Progress <input type="checkbox"/> Some Progress <input type="checkbox"/> No Progress <input type="checkbox"/> Abandoned |
| Comment: Supervisor to comment on the progress evaluation made above | |

191

RATING SUMMARY

| PERFORMANCE Level achieved for each factor | Unsatisfactory | Improvement Needed | Competent | Above expectations | Exceptional |
|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| JOB KNOWLEDGE | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| WORK QUALITY | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| WORK RATE | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| COMMUNICATIONS | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| INTERPERSONAL | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| POLICY COMPLIANCE | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ATTENDANCE | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| RATING RANGES | 1 | 2 | 3 | 4 | 5 |

Points are allocated as follows:

| Criterion | Point | Calculation | Total |
|--------------------|-------|------------------------------------|-------|
| Unsatisfactory | 1 | x with number "unsatisfactory" | |
| Improvement needed | 2 | x with number "improvement needed" | |
| Competent | 3 | x with number "Competent" | |
| Above expectations | 4 | x with number "above expectations" | |
| Exceptional | 5 | x with number "exceptional" | |
| | | TOTAL | |

Goals

| Goal | Exceptional | Accomplished | Good Progress | Some Progress | No Progress |
|------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Points are allocated as follows:

| Goal | Point | Calculation | Total |
|---------------|-------|-------------------------------|-------|
| No Progress | 0 | x with number "No progress" | |
| Some progress | 1 | x with number "Some progress" | |
| Good Progress | 2 | x with number "Good progress" | |
| Accomplished | 3 | x with number "Accomplished" | |
| Exceptional | 4 | x with number "Exceptional" | |
| | | TOTAL | |

PART C: SUMMARY OF POINTS SCORED

| | | | |
|---------------|----|--------------|--|
| Core criteria | 60 | | |
| Goals | 40 | | |
| | | TOTAL | |

Confidential

Note to the Appraiser:

Table A.4 is used to convert the score of the appraisee in each of the key performance areas to the relevant weight for that performance area. The following formula is applied:

$$Ws = \frac{Ts1 \times Wf1}{Ps1 \ 100}$$

Where –

Ts1 represents the total score given
Ps1 represents the possible score that could be achieved, and
Wf1 represents the weighing factor

EMPLOYEE

When you have studied your appraisal, please read the statements below and respond -

“The ratings and comments in this appraisal are a fair and reasonable assessment of my work performance and development needs.”

- Strongly Agree Agree Not Sure Disagree Strongly Disagree

“I believe that the goals set are fair and reasonable and I will try to achieve them.”

- Strongly Agree Agree Not Sure Disagree Strongly Disagree

Please include any additional comments you would like to make.

.....

Employee Signature: Date: / /

193.

SUPERVISOR

Please include any additional comments you would like to make.

....

Signed: Date: / /

UPLINE SUPERVISOR

Please add any comments and sign to indicate that you have reviewed the contents.

....

Signed: Date: / /

APPENDIX

GENERAL MEANING OF PERFORMANCE RATINGS

This information is provided in ready-reference form. More complete information may be found in the Appraiser's Manual. The comments describe the general nature of the ratings and they should be read in conjunction with the behavioural indications given for each factor.

Exceptional [5] Employee demonstrates outstanding performance, well above the standard required for the job. Relevant skills and abilities tend to be very highly developed and are applied with consistent good effort.

Advanced [4] Employee demonstrates good to very good performance, above the normal standard for the job. Relevant skills and abilities tend to be strongly developed and are applied with consistent good effort.

Competent [3] Employee demonstrates acceptable performance, which tends to match the job's required standard. Relevant skills, abilities and effort are appropriate, normal or typical for the job.

Improvement Needed [2] Employee demonstrates performance below the required standard for the job, but which may be improved with guidance, training or experience. Skills, abilities or effort may be lacking or applied inconsistently.

Major Improvement Needed [1] Employee demonstrates performance that is well below the required standard for the job. A serious performance problem is evident and requires urgent attention. Skills, abilities or effort may be lacking or applied inconsistently.

SUPPORTING COMMENTS

Extremes. While all employees may benefit from receiving the extra feedback given in the Supporting Comments section, there are two groups for which it is considered particularly important - those with low ratings (2 or less) and those with high ratings (4 or higher). Where extreme ratings are given, it would be both unhelpful and unwise to leave this section blank or inadequately completed, especially where the ratings are adverse. **Volatility.** Similarly, where a factor rating has been markedly volatile over time, it is important to provide extra feedback.

IMPROVEMENT ACTIONS

Again, while all employees may benefit from this extra feedback, it is critical that those with low ratings (2 or less) receive it.

| | | |
|--------------|-------------------------------------|--------------------|
| EPAS2 | STRICTLY CONFIDENTIAL | YEAR |
| | <u>PERFORMANCE APPRAISAL</u> | CYCLE of |

| <u>EMPLOYEE DETAILS</u> | <u>PLEASE ANSWER IN THE SPACES BELOW</u> |
|-------------------------|--|
| FULL NAME | |
| JOB TITLE/ POSITION | |
| DEPARTMENT | |
| STARTED IN MUNICIPALITY | Date: / / |
| STARTED IN JOB | Date: / / |

| <u>APPRAISAL MANAGEMENT</u> | <u>PLEASE ANSWER IN THE SPACES BELOW</u> |
|-------------------------------|---|
| TIME PERIOD COVERED | From: / / To: / / |
| IS THIS APPRAISAL COMPLETE? | <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes Date Completed: / / |
| COPY SAVED ON DISK AS? | Filename: |
| SIGNED COPY TO EMPLOYEE FILE? | <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes Date Filed: / / |

| <u>DIRECT SUPERVISOR</u> | <u>PLEASE ANSWER IN THE SPACES BELOW</u> |
|--------------------------|--|
| FULL NAME | |
| JOB TITLE/POSITION | |
| DEPARTMENT | |
| SUPERVISION STARTED | Date: / / |

| <u>UPLINE SUPERVISOR</u> | <u>PLEASE ANSWER IN THE SPACES BELOW</u> |
|--------------------------|--|
| FULL NAME | |
| JOB TITLE/POSITION | |
| DEPARTMENT | |

I. JOB KNOWLEDGE

How well is the job understood?

Job Knowledge is the amount of job-relevant knowledge and skill an employee has.

- Major Improvement
Needed
- Improvement
Needed
- Competent
- Advanced
- Exceptional

II. WORK QUALITY

How good is the work produced? Work Quality refers to effort that consistently achieves desired outcomes with a minimum of avoidable errors and problems, as well as a minimum consumption of resources such as time, money and materials. Good quality work is effective work.

- Major Improvement
Needed
- Improvement
Needed
- Competent
- Advanced
- Exceptional

III. WORK RATE

How much work is produced? Work Rate refers to the employee's capacity for safe work output. Different employees doing the same job may produce different volumes of work. All other things being equal, the amount of safe output each produces will depend on their personal work speed, concentration and endurance. * Note Some jobs have a fixed work rate. See Appraiser's Manual.

- Major Improvement
Needed
- Improvement
Needed
- Competent
- Advanced
- Exceptional

IV. SAFETY

How well does the employee adhere to the health and safety regulations? Maintains and observes safety and health standards and notifies others when violating safety and health regulations.

- Major Improvement
Needed
- Improvement
Needed
- Competent
- Advanced
- Exceptional

V. INTERPERSONAL RELATIONS

How well does the employee get on with others? Interpersonal Relations refers to the effect that the employee has on others, including their ability to establish and maintain positive and productive working relationships.

- Major Improvement
Needed
- Improvement
Needed
- Competent
- Advanced
- Exceptional

VI. DEPENDABILITY/INITIATIVE

The extent to which an employee effectively and enthusiastically accomplishes assignments with minimal supervision. The employee independently contributes ideas and projects; adapts to change and follows-through on work assignments. The employee demonstrates eagerness and positivism; shares ideas and suggestions takes on new responsibilities and is willing to assist co-workers

- Major Improvement
Needed
- Improvement
Needed
- Competent
- Advanced
- Exceptional

VII. ATTENDANCE

Is the employee available for work when expected? Attendance refers to the consistency that an employee shows in turning up for work and completing their normal work hours. Problems occur where there are unnotified and/or unjustified lateness in starting work, unnotified and/or unjustified absences for partial or whole working days, and unnotified and/or unjustified early departures from work.

- Major Improvement
Needed
- Improvement
Needed
- Competent
- Advanced
- Exceptional

197.

RATING SUMMARY

| PERFORMANCE Level achieved for each factor | Unsatisfactory | Improvement Needed | Competent | Above expectations | Exceptional |
|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| JOB KNOWLEDGE | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| WORK QUALITY | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| WORK RATE | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| SAFETY | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| INTERPERSONAL | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| DEPENDABILITY/INITIATIVE | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ATTENDANCE | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| RATING RANGES | 1 | 2 | 3 | 4 | 5 |

Points are allocated as follows:

| Criterion | Point | Calculation | Total |
|--------------------|-------|------------------------------------|-------|
| Unsatisfactory | 1 | x with number "unsatisfactory" | |
| Improvement needed | 2 | x with number "improvement needed" | |
| Competent | 3 | x with number "Competent" | |
| Above expectations | 4 | x with number "above expectations" | |
| Exceptional | 5 | x with number "exceptional" | |
| | | TOTAL | |

EMPLOYEE TO SIGN

When you have studied your appraisal, read the statement below and respond -

"The ratings and comments in this appraisal are a fair and reasonable assessment of my work performance and development needs."

Strongly Agree
 Agree
 Not Sure
 Disagree
 Strongly Disagree

198.

Confidential

Please include any additional comments you would like to make. (If you disagree with your appraisal results, please explain your reasons for disagreement.)

SUPERVISOR

Please include any additional comments you would like to make.

...

Signed: Date: / /

UPLINE SUPERVISOR

Please include any additional comments you would like to make.

...

Signed: Date: / /

IMPORTANT & CONFIDENTIAL

PERFORMANCE NOTE

TO :

DEPT/SECTION :

As your supervisor, I am aware that you have shown this type of conduct on the job recently - if insufficient space, attach extra sheets

...

This type of conduct could or will have a ... POSITIVE NEGATIVE ... effect on your overall work performance.

Additional Comments by Supervisor (if any) : If insufficient space, attach extra sheets

...

Supervisor to sign and date

Employee's Comments (if any) : If insufficient space, attach extra sheets

I have received and read this Performance Note.

.....
Employee to sign and date

Date: .../.../...

200.

SETSOTO LOCAL MUNICIPALITY

Employee's appeal against performance appraisal

Instructions:

1. This form must be completed and submitted to the human resources department within 7 work days after the event giving rise to the appeal happened.
2. A copy of this appeal must be served on the supervisor concerned.
3. Please provide concise reasons for the appeal in the space provided for it. You may involve your representative in formulating the reasons for your appeal

PART A: APPELLANT'S DETAILS

| | |
|-------------------------------|--|
| Employee's name | |
| Employee's designation | |
| Department | |
| Section | |
| Date of submission | |

PART B: DETAILS OF THE APPEAL

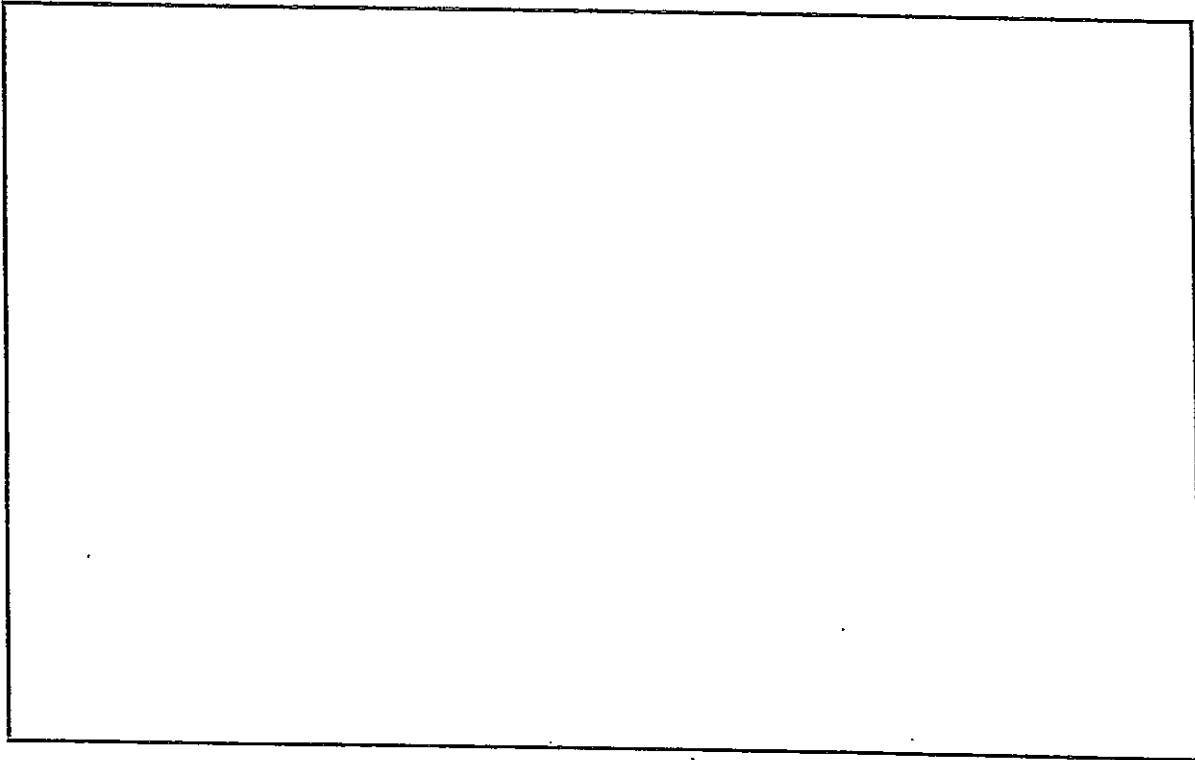
B.1 The appeal involves:

| | | |
|---|---|--|
| 1 | Comment made by the supervisor in the appraisal report that is, in her/his opinion, prejudicial | |
| 2 | The ruling of the presiding officer during an investigation into my alleged poor work performance. | |
| 3 | The basis for rating used by the supervisor, i.e. the supervisor and I disagreed on the definition of "excellent" and "above expectations". | |
| 4 | Any rating given by the supervisor, e.g. my job knowledge should have been rated above average and not merely "adequate" | |

B.2 The supervisor who did the review/appraisal was: _____

B.3 The reasons for/details of the appeal are as follows:

| |
|--|
| |
|--|



Employee signature

A copy of the appeal was serviced on the Supervisor:

Supervisor signature

Date of receipt

202.

SETSOTO LOCAL MUNICIPALITY

Notification of appeal hearing against appraisal result

Instructions

1. This form must be completed by the human resources department/practitioner after determining the date, time and venue of the hearing and appointing a presiding officer for it.
2. The completed form must be transmitted to the presiding officer, the supervisor and the employee concerned.
3. Please attach copies of the appeal form (Form EPAS 5) and the relevant appraisal report form to this form.

PART A: PARTICIPANTS

| | |
|--|--|
| Presiding officer | |
| Supervisor | |
| Supervisor's supervisor | |
| Appellant (Employee) | |
| Human resources department representative | |

PART B: PARTICULARS OF HEARING

| | |
|-------------------------|--|
| Date of hearing | |
| Venue of hearing | |
| Time of hearing | |

PART C: RIGHTS OF THE APPELLANT

The appellant has the right-

- (a) to be represented at the hearing by a co-worker or a shop steward;
- (b) to request the human resources department in writing and not later than 3 work days before the date of the hearing for copies of any further documents relating to the appeal and to have such copies supplied to her/him;
- (c) to call witnesses, in which case she/he must make arrangements for such witnesses to be present at the hearing, and to cross-examine any witness called by the supervisor; and
- (d) to submit documentary evidence relating to the appeal and to examine any documents that may be submitted by the supervisor.

203.

Please note:

- (a) The hearing will continue at the stated time unless the appellant at least 3 days prior to the hearing apply in writing to the presiding officer to postpone the hearing.
- (b) The hearing will continue despite the appellant's representative, if any, not being present at the stated time and place, unless the presiding officer resolved, prior to the hearing to postpone it.

Human resources manager

Date

PRESIDING OFFICER:

Signature

Date

APPELLANT:

Signature

Date

SUPERVISOR:

Signature

Date

SETSOTO LOCAL MUNICIPALITY

EMPLOYEE PERFORMANCE APPRAISAL SYSTEMS

FOR

INDIVIDUAL PERFORMANCE MANAGEMENT FRAMEWORK



EPAS

TABLE OF CONTENTS

1. **FOREWORD**
2. **DEFINITIONS**
3. **APPLICATION**
4. **SETTING OBJECTIVES**
5. **ETHICS**
6. **PERFORMANCE LINKED TO IDP**
7. **INDIVIDUAL WORK PLANS**
8. **PERFORMANCE REVIEWS AND APPRAISALS**
9. **APPEALS**
10. **MANAGING UNSATISFACTORY PERFORMANCE**
11. **REWARDING GOOD PERFORMANCE**

PERFORMANCE MANAGEMENT FORMS

- a. **Operational Plan Forms**
- b. **Individual Work Plan Forms**
- c. **Quarterly Performance Review Forms**
- d. **Annual Performance appraisal Forms**
- e. **Request for Appeal Forms**

Foreword

Overview by the Chief Accounting Officer

My responsibility as a Chief Accounting Officer is to make sure that the municipality always gives an outstanding performance with regard to service delivery to the communities.

Systems of accountability should also be in place in order to achieve this goal, therefore, the Municipal Systems Act, 32 of 2000, chapter 6, section 38 (a)-(c), make provision that such systems should be put in place.

Employee performance appraisal system is the logical extension of the integrated development planning and performance budgeting/ financial management processes. It is a system for monitoring and evaluating the progress made in the implementation of a municipality's development objectives within the required timeframe and budget.

As a formal process, performance management happens on two levels, namely:

- The corporate level, i.e. how the municipality as a whole is achieving its development objectives. This is basically at the level of council, Municipal Manager and the directors who report directly to the Municipal Manager and are on performance contract.*
- The individual level, i.e. how each individual employee is achieving the targets specified in his or her own work plan, and thus how s/he is contributing to the overall performance of the municipality. This focus primarily on the permanent post from head of departments downwards.*

In order to enhance performance of the municipality, the municipality's Strategic plans on performance were redefined in the bosberaad workshops held in March, August and September respectively. During this sessions feedback was given on lesson learnt and progress made during the past financial year. Key objectives and programmes were identified flowing from policy priorities. These were prioritized for resource allocation, performance measures and outputs were also agreed upon, most of the strategic plans are now fully incorporated into the RIDP and other will be during the next review.

The employee appraisal system will also help us to outline the many challenges facing the municipality in ensuring that the municipality's plan and objectives are translated into meaning services to the vulnerable sectors of our communities. We commit ourselves to make a difference to those in need with the human resources at our disposal.

**KAU R S
MUNICIPAL MANAGER**

1. Definitions

Appraisal –

the process during which the quality and quantity of work products generated during a whole year are placed on record by an employee and assessed by a supervisor who makes an overall evaluation and determines recommendations with respect to poor or good performance

Department -

a main operational division within the municipality, headed by a head of department appointed on section 57 level

Integrated Development Plan -

refers to the overall vision, mission, values, and developmental objectives of the municipality, the achievement of which should be the purpose of each departmental plan and also of each individual employee's work plan

Key performance area -

are tasks, duties, functions, and responsibilities of an individual employee or of a department as a whole that are critical in making an effective contribution to the achievement of the municipality's integrated development plan

Operational plan –

refers to the vision, mission, values and developmental objectives of each department. Each department's operational plan should give effect to a clearly defined portion of the municipality's integrated development plan

Overall performance

the final decision by a supervisor, assisted by a human resources human resource practitioner, about the degree to which the quality and quantity of the work products of an individual employee meet that

| | |
|---------------------------------|--|
| | <i>employee's targets and contribute to the operational plan of the department and the integrated development plan of the municipality</i> |
| Performance - | <i>refers to the concrete achievement or outcome when work is performed by an employee in such a manner that the quality and/or quantity may be appraised by a supervisor</i> |
| Review - | <i>the process during which the quality and quantity of work products generated during a 3 – month or 6 – month period are placed on record by an employee and assessed by a supervisor with facilitation from a human resource practitioner</i> |
| Senior Management Team - | <i>the senior management of the municipality, i.e. the Municipal Manager and the Directors who are on performance contracts</i> |
| Supervisor - | <i>the first line manager, or immediate supervisor, of an employee at the level higher</i> |
| Targets - | <i>the work performance goals, specified in either numerical or qualitative terms, that indicate how much and how well an employee's work is to be performed in each of his/ her key performance areas</i> |
| Work Plan - | <i>combination of key performance areas and targets for each individual employee. It specifies how much, of what, by when and individual employee needs to do</i> |
| RIDP- | <i>reviewed integrated development plan</i> |

2. Application

The following performance management system shall apply to all employees up to and including the permanent post level of 1. The council shall manage the performance of the Municipal Manager and Senior Management team in a manner that they deem appropriate.

This performance management system is not exhaustive, and does not cover every conceivable situation that might arise. In any case not specifically and explicitly covered by this performance management system, approval should be obtained from the Municipal Manager

3. Setting Objectives

The municipality acknowledges that the work performance of the Managers and employees is intended to serve and support, both directly and indirectly, the development, legislative, oversight, administrative functions of the councilors, and that the performance management system should add value to this service.

The municipality shall manage performance in a consultative and non – discriminatory manner in order to enhance its effectiveness, productivity, use of resources, achievement of results and to develop a service-oriented culture.

The performance management system is intended to direct the energies of individuals and departments towards achieving the development objectives of the municipality by clarifying to all employees the vision, mission and values of:

- (a) The municipality as a whole; and*
- (b) the department and/or section in which they are employed*

The performance management system is intended to improve the quality of services delivered by the municipality and its employees. The performance management system, like any other policies, is subjected to annual review. In addition, the performance management system provides procedures for:

- (a) The compilation of work plans and setting of performance targets for individual employees and divisions.*
- (b) The monitoring and appraising of the degree to which these targets are achieved.*
- (c) The identification of training needs of individual employees to assist them in achieving their targets; and*
- (d) Appropriate rewards for exemplary performers and corrective actions for unsatisfactory performers*

The performance management system procedures of the municipality should be flexible between departments but consistent within the departments, should minimize the administrative burden on supervisors, and should maintain transparency, the performance management system is developmental in nature and employees will be provided with career opportunities and allowed to be creative and innovative in improving their performance.

4. Ethics

The following performance management system is developed and based on the assumption that:

- (a) The municipality has need of a particular service in order to operate effectively and productively; and*
- (b) The applicants who are appointed into positions within the municipality have the necessary skills and interest to provide these services with an acceptable level of competence.*

The performance management system of the municipality is linked to staff training and development, and attempts to align the potential, strengths, and weaknesses of individuals with priorities of the municipality while ensuring that the services that the municipality is obligated to provide are rendered promptly and with quality.

The performance management system is not to be regarded as an opportunity for a supervisor to invade the privacy, judge the value, or make derogatory remarks about any employee.

The performance management system is to be regarded as a regular and equitable manner for a supervisor to evaluate the degree to which an employee is adding value to the goals and objectives of the municipality as a whole.

5. Performance linked to IDP

The senior management team, assisted by the heads of department when appropriate, shall review the integrated development plan of the municipality shortly before the beginning of the new financial year.

The heads of departments, assisted by their staff when appropriate, shall draw up a new, or revise an existing, operational plan for their own department shortly before the beginning of each new financial plan.

Both the integrated development and the operational plans should contain the vision, mission and values of the municipality as a whole or of each

department respectively as appropriate. The operational plans of each department shall give effect to, support, and fulfill the integrated development plan of the municipality.

6. Individual Work Plans

Each employee shall, together with his or her supervisor and/or head of department and in accordance with his or her job description, compile a new or revised and existing annual work plan shortly before the beginning of each financial year.

The annual work plan should, at the minimum, specify:

- (a) The key performance areas, i.e. official duties/or functions the employee is expected to perform; and
- (b) The level of performance, whether numerical or qualitative targets, required for each key performance area.

Performance targets should be of observable or measurable behavioural outcomes that relate directly to the employee's work performance or service delivery. Targets should not relate to other factors, such as aspect of personality or personal beliefs, for example, that do not result in improved performance on the job.

In addition, the work plan should contain dates for any non-routine duties and/or functions that need to be performed by certain deadline during the year where appropriate. The work plan of individual employees shall give effect to, support, and fulfill the operational plans of the departments in which they are based.

7. Performance reviews and appraisals

The work of each individual employee shall be reviewed and appraised by his or her supervisor on a regular basis in a manner that is both fair to the employee and that holds the employee accountable for the quality and quantity of his or her work performance.

Performance appraisals should be viewed as an opportunity for honest discussion, open communication, clarifying expectations, and problem solution focused negotiation between an employee and his or her supervisor.

Performance reviews shall be conducted quarterly and performance appraisals shall be conducted annually at the end of each financial year. The annual performance appraisal shall be a summary of appraisals from previous four quarters.

The performance reviews and appraisal shall be conducted in consultation between at least the employee's direct supervisor, and a representative from Human Resources. The second line manager may sit in as an observer at his or her discretion.

The employee may be assisted by an interpreter and/or a member or office bearer of his or her trade union during his or her performance appraisal.

The performance appraisal instrument used during the performance appraisal may differ between occupational categories, but shall be reasonably consistent within occupational categories. In all cases, the instrument shall reflect the work plan of the employee concerned.

During the quarterly performance review, the employee and his or her representative shall, using the appropriate form, be offered the opportunity to place on record all the work products that s/he has produced and all the official functions that s/he has performed during the period under review.

During the annual performance appraisal, the supervisor of the employee shall, using the appropriate form, compile the work performance recorded on the employee's quarterly performance appraisals from the previous year under review.

For both quarterly and annual performance appraisals, the supervisor of the employee must review and score the sufficient and quality of work products and performance by the employee for each of his or her performance targets on a three point-scale consisting of:

- (a) 0 – did not achieve target*
- (b) 1 – achieved target*
- (c) 2 – exceeded target*

After assessing each performance target, the employee's supervisor must, for both quarterly and annual performance appraisals, calculate the overall work performance of the employee, and the following formula should be used:

- (a) Add all the 0s, 1s and 2s from all the specific performance targets;*
- (b) Divide this total by the number of performance targets; and*
- (c) Multiply the resulting fraction by 100 to obtain the final score.*

At the end of both quarterly and annual performance appraisals, the supervisor of the employee must express an overall evaluation of the employee's work performance for the period under review. This overall evaluation must be expressed on a three-point scale based on the final score calculated according to the above formula, as follows:

- (a) 0 – 90 > Unsatisfactory
- (b) 91 – 120 > Satisfactory
- (c) 121 – 200 > Outstanding

The significant details of both the quarterly and annual performance appraisals shall be captured in writing and must be signed by all parties. Apart from the signatories, performance appraisals are to be treated as confidential. The record of the performance appraisal shall be kept on the employee's personal file in Human Resources.

8. Appeals

If an employee receives an overall evaluation with which s/he does not agree during either a quarterly or annual performance appraisal, s/he is still required to sign the appraisal. In this case, the signature indicates that the employee participated in the appraisal and has had the results of the appraisal communicated to him or herself.

The employee has the right to request for an appeal against his or her supervisor's overall evaluation, for either quarterly or annual performance appraisal, to his or her second line manager on the following conditions:

- (a) The request for appeal shall be submitted within five working days after receipt of the outcome of the performance appraisal;
- (b) The employee must attached a copy of his or her performance appraisal;
- (c) The employee must specify the grounds of his or her request for appeal; and
- (d) The employee must state what outcomes s/he desires to achieve through the request for appeal.

Any request for an appeal arising from a performance appraisal must be considered within five (5) working days after receipt of the request for appeal by the second line manager, who must decide if the request for an appeal is to be granted or not.

If the request for appeal is not granted, the performance appraisal stands as is, and must be kept on the employee's personal file. If the request for appeal is granted, the second line manager must convene an investigation into the matter within seven (7) working days. At such an investigation, the employee together with his or her representative, if any, the supervisor, and the representative from human resources who was present during the performance appraisal must all be present.

The second line manager must hear evidence and opinions from all parties, and may then:

- (a) Raise, lower, or retain the ratings for any specific performance targets; and
- (b) Recalculate the employee's overall evaluation if necessary.

The decision by the second line manager is final and binding on all parties, and, if any amendments to the performance appraisal are required as a result of his or her decision, the amended version must be kept on the employee's personal file in the Human Resources.

9. Managing unsatisfactory performance

The unsatisfactory work of performance of employees of the municipality is to be managed in a manner that is developmental, progressive and equitable for employees in the same job categories or departments.

For any quarterly performance review for which the employee's overall evaluation is unsatisfactory, the supervisor must provide the employee with a fair opportunity to improve his or her performance. This may include:

- (a) Conducting corrective counseling;
- (b) Arranging specific training;
- (c) Referring, with sensitivity, the employee to the workplace wellness programme for an assessment as to whether or not personal problems might be contributing to poor performance;
- (d) Setting specific performance targets; and/or
- (e) Giving a verbal warning for poor performance.

The supervisor, at this stage, should play the role of coach or mentor in order to offer the support the employee may require in order to achieve his or her targets. The supervisor thus attempts to motivate and tutor the employee.

For the second quarterly performance review for which the employee's overall evaluation is unsatisfactory, the supervisor shall issue the employee with a written warning. This warning shall specify how and why the employee's work performance was unsatisfactory during the quarter under review. This written warning shall be placed on the employee's personal file in Human Resources, where it shall remain a valid warning for a period of twelve (12) months. After twelve (12) months, the written warning may be removed from the employee's personal file and destroyed.

For the third quarterly performance review for which the employee's overall evaluation is unsatisfactory, provided that it is within the twelve (12) months of any previous evaluation of unsatisfactory and the employee

still has a valid written warning for poor work performance on his or her file, then the supervisor shall issue the employee with final written warning. This final written warning shall specify how and why the employee's work performance was unsatisfactory during the quarter under review. This final written warning shall be placed on the employee's personal file in Human Resources, where it shall remain a valid warning for a period of twelve (12) months. After twelve (12) months, the final written warning may be removed from the employee's personal file and destroyed.

For either the fourth quarterly performance review for which the employee's overall evaluation is unsatisfactory, provided that it is within the twelve (12) months of any previous evaluation of unsatisfactory and the employee still has a valid written warning for poor work performance on his or her file, or for the first annual performance appraisal for which the employee received an overall evaluation of unsatisfactory, the supervisor of the employee shall initiate proceedings to dismiss the employee on the grounds of incapacity or poor work performance in terms of Section 2(2), 8 and 9 of Schedule 8 of the Labour Relations Act No 66 of 1995. Such proceedings shall comply with the internal procedures prescribed by the municipality.

During any such proceedings contemplated in terms of the above, the employer shall follow a fair procedure, which shall include giving the employee a fair hearing. For the purpose of such a hearing, all the necessary disciplinary procedure shall apply.

If as a result of any hearing, the disciplinary hearing panel find an employee guilty of incapacity or poor work performance and determines that dismissal is an appropriate sanction, such a decision must first be sent to the Municipal Manager for final review and approval before being implemented.

10. Rewarding good performance

The unsatisfactory work performance of employees of municipality, as recorded in an annual performance appraisal, is not to be financially rewarded in any way.

The satisfactory work performance of employees of municipality, as recorded in an annual performance appraisal, is to be rewarded with a personal salary notch increase with effect from the beginning of the following financial year.

The outstanding work performance of employees of the municipality, as recorded in an annual performance appraisal, is to be rewarded with:

- ✓(a) A personal salary notch increase with effect from the beginning of the following financial year; and*
- ✓(b) A non-retirement funding cash bonus equal to one (1) month's salary at the point in time of the annual appraisal*

At the start of each new financial year, a supervisor is to recommend to Human Resources whether or not an employee in his or her department or division is to be awarded a notch increase on his/her salary scale and/or a cash bonus

The recommendation is to be made with specific reference to the employee's overall evaluation on his or her annual performance appraisal for preceding financial year.

Note: *It is critical to have a policy that accommodates all different categories of staff appropriately. For example, some municipal workers might be classified as "essential services" while others might be "no-essential services". The policy for management of unsatisfactory performance of workers providing "essential services" might be different to, and tougher than, that of workers providing "non-essential services"*

A personal salary notch increase is NOT the same as a general salary adjustment. A worker whose performance is outstanding could, theoretically, receive three financial increases or rewards in one year, namely:

- General salary adjustment, negotiated in the bargaining council,*
- Personal salary notch increase; and*
- Cash bonus*

Rewards for outstanding performance need not be restricted to personal salary notch increases and cash bonuses. Some rewards should include offers like air tickets,

OPF001

Operational Plan Form

| | | | |
|-------------------|--|----------------|--|
| <i>Department</i> | | <i>Section</i> | |
| <i>For Period</i> | | <i>Date</i> | |

| | |
|-----------------------------------|--|
| <i>Vision, Mission and Values</i> | <i>Which of the municipality's development objectives is our department responsible for achieving, and how are we going to achieve them?</i> |
| <i>Vision</i> | |
| <i>Mission</i> | |
| <i>Values</i> | |

| | | | | |
|--|---|---|--|--|
| <i>Project #1</i> | | | | |
| <i>What is our main task?</i> | | | | |
| <u><i>Outputs</i></u> <i>What must we do to achieve this objective?</i> | <u><i>Targets</i></u> <i>How much or how well must we do this?</i> | <u><i>Time Frame</i></u> <i>By when must we finish</i> | <u><i>Budget</i></u> <i>How much do we have to spend on this?</i> | <u><i>Responsibility</i></u> <i>Who is responsible for this output?</i> |
| | | | | |
| <i>Project #2</i> | | | | |
| <i>What is our main task?</i> | | | | |
| <u><i>Outputs</i></u> | <u><i>Targets</i></u> | <u><i>Time Frame</i></u> | <u><i>Budget</i></u> | <u><i>Responsibility</i></u> |
| | | | | |
| <i>Signatures</i> | <i>Has everyone in this section has this plan communicated to him/her</i> | | | |
| | | | | |
| <i>Head</i> | <i>Supervisor</i> | <i>Supervisor</i> | <i>Employee</i> | <i>Employee</i> |
| <i>Employee</i> | <i>Employee</i> | <i>Employee</i> | <i>Employee</i> | <i>Date</i> |

Weekly Individual Work Plan

| | | | |
|--------------------|--|--------------|--|
| <i>Department:</i> | | <i>Unit:</i> | |
|--------------------|--|--------------|--|

IWP001

| | | | |
|--------------|--|-------------|------------------------|
| Name: | | Sec: | |
| | | | Date Submitted: |

| <i>Date</i> | <i>Description of activity performed</i> | <i>Start Time</i> | <i>End Time</i> | <i>Achieved Target</i> | <i>Signature</i> |
|-------------|--|-------------------|-----------------|------------------------|------------------|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

Comment(any follow up)

Certified as correct activities performed for the week dated from-----to-----

| | | | |
|-------------------|-------------|------------------|-------------|
| Supervisor | | HOD | |
| Signature | Date | Signature | Date |

Individual Work Plan Form

| | | | |
|-------------|--|----------------|--|
| Name | | Section | |
|-------------|--|----------------|--|

| | | | |
|-------------------|--|-------------------|--|
| <i>Department</i> | | <i>Post Level</i> | |
|-------------------|--|-------------------|--|

| | | | |
|---|---|---|---|
| <i>Project #1</i> <i>What is my main Task?</i> | | | |
| <u><i>Outputs</i></u> <i>What must I do to achieve this objective?</i> | <u><i>Targets</i></u> <i>How much/how well must I do this?</i> | <u><i>Time Frame</i></u> <i>By when must I finish?</i> | <u><i>Budget</i></u> <i>How much do I have to spend?</i> |
| | | | |

| | | | |
|---|-----------------------|--------------------------|----------------------|
| <i>Project #2</i> <i>What is my main Task?</i> | | | |
| <u><i>Outputs</i></u> | <u><i>Targets</i></u> | <u><i>Time Frame</i></u> | <u><i>Budget</i></u> |
| | | | |

| | |
|--|--------------------------------|
| <i>Requirements for all Employees</i> | <i>I know that I must also</i> |
| <ol style="list-style-type: none"> 1. Attend workshops, conferences or courses in line of my official duties where possible 2. Provide good, high quality services to the people I serve 3. Develop better verbal and/or written communication skills and learn how to solve problems peacefully 4. Be reliable, punctual, and attend my meetings 5. Have a professional appearance, be presentable, and friendly 6. Co-operate well with others, work in a team, and have good relationship with my colleague 7. Work hard, show commitment, drive and energy 8. Use my initiative, be resourceful, work creatively, and make | |

Signatures

| | | |
|-------------------------|-----------------|-------------|
| | | |
| Head of Division | Employee | Date |

Quarterly Performance Review Form

| | | | |
|-------------------|--|-------------------|--|
| <i>Name</i> | | <i>Section</i> | |
| <i>Department</i> | | <i>Post Level</i> | |

| | |
|-----------------------------|--------------------------|
| <i>Quarter Under Review</i> | <i>Date of Appraisal</i> |
|-----------------------------|--------------------------|

| <i>Project #1</i> | <i>Targets</i> | | | | <i>Budgets</i> | | | |
|---|---------------------------|-------------------|---------------------|---------------|---------------------------|-------------------|---------------------|---------------|
| <i>Outputs and Location (What?Where?)</i> | <i>Plan (year)</i> | <i>Plan (YTD)</i> | <i>Actual (YTD)</i> | <i>Rating</i> | <i>Plan (year)</i> | <i>Plan (TTD)</i> | <i>Actual (TTD)</i> | <i>Rating</i> |
| | | | | 0 1 2 | | | | 0 1 2 |
| | | | | 0 1 2 | | | | 0 1 2 |
| | | | | 0 1 2 | | | | 0 1 2 |
| | | | | 0 1 2 | | | | 0 1 2 |
| | <i>Overall Evaluation</i> | | | 0 1 2 | <i>Overall Evaluation</i> | | | 0 1 2 |

Explanation for any delays or over-expenditure/Corrective action needed (if any)

*Note1: YDT=year to date(based on time),TTD=targets to date(based on unit price)

*Note2:For rating, 0=did not meet target; 1=achieved target; 2=exceeded target

| <i>Project #2</i> | <i>Targets</i> | | | | <i>Budgets</i> | | | |
|---|---------------------------|-------------------|---------------------|---------------|---------------------------|-------------------|---------------------|---------------|
| <i>Outputs and Location (What?Where?)</i> | <i>Plan (year)</i> | <i>Plan (YTD)</i> | <i>Actual (YTD)</i> | <i>Rating</i> | <i>Plan (year)</i> | <i>Plan (TTD)</i> | <i>Actual (TTD)</i> | <i>Rating</i> |
| | | | | 0 1 2 | | | | 0 1 2 |
| | | | | 0 1 2 | | | | 0 1 2 |
| | | | | 0 1 2 | | | | 0 1 2 |
| | | | | 0 1 2 | | | | 0 1 2 |
| | | | | 0 1 2 | | | | 0 1 2 |
| | <i>Overall Evaluation</i> | | | 0 1 2 | <i>Overall Evaluation</i> | | | |

Corrective action needed (if any)

| GENERAL REQUIREMENTS | COMMENT |
|---|----------------|
| 1. Attend workshops, conference or courses in line of my official duties where possible | |
| 2. Provide good, high quality services to | |

| | |
|--|---|
| <i>the people I serve</i> | |
| 3. <i>Develop better verbal and/ written communication skills and learn how to solve problems peacefully</i> | |
| 4. <i>Be reliable, punctual, and attend my meetings</i> | |
| 5. <i>Have professional appearance, be presentable, and be friendly</i> | |
| 6. <i>Co-operation well with others, work in a team, and have good relationships with my colleagues</i> | |
| 7. <i>Work hard, show commitment, drive and energy</i> | |
| 8. <i>Use my initiative, be resourceful, work creatively, and make positive contributions</i> | |
| 9. <i>Follow our code of conduct at all times and under all circumstances</i> | |
| Action | The Supervisor must select ONLY ONE: no alternatives or erasures are allowed |
| <input type="checkbox"/> | This is the first unsatisfactory quarterly review for this employee; s/ he must receive corrective counseling, coaching, and training |
| <input type="checkbox"/> | This is the second unsatisfactory quarterly review for this employee; s/ he must receive written warning |
| <input type="checkbox"/> | This is the third unsatisfactory quarterly review for this employee; s/ he must receive final written warning |
| <input type="checkbox"/> | This is the fourth unsatisfactory quarterly review for this employee; s/ he must be charged with incapacity and consistent poor performance |
| <input type="checkbox"/> | This is a satisfactory or outstanding quarterly review for this employee; s/ he must be motivated and encouraged |

Comments/Targets/Remediation

| | |
|---------------------------|-----------------|
| Overall Evaluation | 0 1 2 |
| _____ | _____ |
| Head of Division | Employee |
| | Date |

Annual Performance Appraisal

| | | | |
|--------------------------|--|--------------------------|--|
| <i>Name</i> | | <i>Section</i> | |
| <i>Department</i> | | <i>Post Level</i> | |
| <i>Year Under Review</i> | | <i>Date of Appraisal</i> | |

| Annual Appraisal | | | |
|--|---|---|----------|
| 1. Overall evaluation from 1 st quarter | 0 | 1 | 2 (Link) |
| 2. Overall evaluation from 2 nd quarter | 0 | 1 | 2 |
| 3. Overall evaluation from 3 rd quarter | 0 | 1 | 2 |
| 4. Overall evaluation from 4 th quarter | 0 | 1 | 2 |
| TOTAL | | | |

| Overall Evaluation | Unsatisfactory 0 - 3 | Satisfactory 4 - 5 | Outstanding 6 - 8 |
|--------------------------|--|-----------------------|----------------------|
| Action | The Supervisor must select ONLY ONE; no alteration or erasures are allowed | | |
| <input type="checkbox"/> | This employee must be charged with incapacity and consistently poor work performance | | |
| <input type="checkbox"/> | This employee must be awarded a salary notch increase in the next financial year | | |
| <input type="checkbox"/> | This employee must be awarded both cash bonus at the end of a financial year and a salary notch increase next year | | |

| | | |
|-------------------------|-----------------|-------------|
| | | |
| Head of Division | Employee | Date |

Request for Appeal Form

| | | | |
|--|--|----------------|--|
| Name | | Section | |
| Department | | Post Level | |
| Date of Appraisal | | Date of Appeal | |
| 1. REQUEST FOR APPEAL | | | |
| Which performance appraisal do you want to appeal against? | | | |

| | |
|--|-------------|
| | |
| 2. GROUNDS OF APPEAL <i>Why do you think that you should receive a and appeal? What was wrong with the Appraisal?</i> | |
| | |
| 3. DESIRED OUTCOMES OF APPEAL <i>What do you want to achieve by appealing?</i> | |
| | |
| 4. ATTACHMENTS <i>I have attached a copy of...</i> | |
| | |
| Signature | |
| | |
| _____ | _____ |
| <i>Employee</i> | <i>Date</i> |
| | |