

NATIONAL INSTRUCTION 1/2005

PERFORMANCE ENHANCEMENT PROCESS FOR THE SOUTH AFRICAN POLICE SERVICE

1. Purpose

- (1) The purpose of this Instruction is to regulate the management of the performance and development of employees who are on salary levels 1 to 12 and Band A to MMS.
- (2) This Instruction does not apply to a trainee before he or she has completed his or her training and has been certified competent.

2. Definitions

In this Instruction, unless the context otherwise indicates, —

- (a) “*competency*” means the knowledge, skills, attitude and personal characteristics that an employee requires in order to perform a particular *task* at a specific level;
- (b) “*counter signing officer*” means the superior of the *supervisor* of the employee whose performance is managed and assessed in accordance with this Instruction;
- (c) “*feedback*” means factual information on the progress made and *outputs* achieved by an employee, whether positive or negative, written or verbal and which is provided by the *supervisor* and the employee to one another, taking into account the standard relating to the quantity, quality, timeousness and cost efficiency of the *outputs*, agreed upon and reflected in the Performance Enhancement Process Instrument (SAPS 557) of such an employee;
- (d) “*historical information and forecasting*” means past achievements (*outputs* achieved) which may be contained in records, registers, data, etc., that can be used to determine the average performance standard within the available resources to determine the quantity and other standards. Forecast information relates to what is likely to be achieved during a cycle considering past achievements and what had an impact thereon;
- (e) “*inputs*” mean the human resources, materials, equipment and supplies that are necessary to produce *outputs* that will contribute towards the achievement of the objectives of the Service;

- (f) “*job description*” means a written description of the duties, *tasks*, functions, *competency* requirements and responsibilities attached to a post and includes the purpose, key performance areas, inherent requirements and performance indicators of the post;
- (g) “*Key Performance Area (KPA)*” means a function that includes *tasks* that an employee is required to perform;
- (h) “*outputs*” means products and services complying with required standards that the employee has agreed to deliver in performing required *tasks*;
- (i) “*output standard*” means the number of products produced or services rendered, the quality that each product or service must comply with, within which time period products or services must be completed and the resources that may be utilised for that purpose;
- (j) “*Performance Enhancement Process (PEP)*” means the process that defines, assesses, reinforces and promotes the job related behaviour and *outputs* expected of an employee;
- (k) “*PEP cycle*” means the cycle, commencing on 1 April and ending on 31 March of the following calendar year and consists of the following three phases:
 - (i) Phase 1: Planning: Preferably conducted during April to July but not later than August to discuss and agree on the outputs to be achieved by the employee during the PEP cycle;
 - (ii) Phase 2: First *written performance appraisal*: Preferably conducted during October to January but not later than February to measure the employee’s performance during the period 1 April to 30 September; and
 - (iii) Phase 3: Second *written performance appraisal*: Preferably conducted during April to July but not later than August to measure the employee’s performance for the period 1 October to 31 March and determine the annual performance rating;
- (l) “*PEP Instrument (SAPS 557)*” means form SAPS 557 in which the assessment and appraisal of an employee’s performance, *competencies*, developmental needs and the agreement between the *supervisor* and the

employee with regard to their respective roles and responsibilities during a performance period, are recorded;

- (m) "*rating*" means a score on a scale of 1-5, 1 being the lowest *rating* and 5 the highest *rating*, allocated to the performance of an employee in accordance with the *outputs* required from such employee;
- (n) "*supervisor*" means an employee responsible for the supervision of an employee who functions under her or his supervision;
- (o) "*task*" means an action or related group of activities that has a definite beginning and end and which is or are intended to produce *outputs* in the form of products or services;
- (p) "*verbal review and feedback*" means the objective verbal feedback at the discretion of the supervisor between the *supervisor* and employee on the performance of the employee against the predetermined *output standards* as agreed to in the *PEP Instrument (SAPS 557)* of the employee; and
- (q) "*written performance appraisal*" means determining in writing the employee's overall performance by discussing and agreeing on the allocated *ratings* of the employee's *outputs* achieved as agreed to in the *PEP Instrument (SAPS 557)* of the employee.

3. Commencement of a PEP cycle

- (1) A *supervisor* must ensure that every employee under his or her supervision at post levels 1-12 and Bands A to MMS has a completed *PEP Instrument (SAPS 557)* not later than August every year.
- (2) If an employee is appointed, transferred or promoted, the employee together with the *supervisor* at the station, unit or component at or to which an employee was appointed, transferred or promoted, must complete a new *PEP Instrument (SAPS 557)* for such employee, based on his or her new *job description* which must be completed within four months after the employee has reported for duty at that station, unit or component.

4. Discussion and compilation of the PEP Instrument (SAPS 557)

- (1) The personal details of the employee must be recorded on the *PEP Instrument (SAPS 557)*.
- (2) During Phase 1 of the *PEP cycle*, the *supervisor* and employee must follow the following procedure during the discussion:

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Step	Action
1	The <i>KPA's</i> , <i>tasks</i> and <i>outputs</i> that the employee will be required to perform and achieve during the <i>PEP cycle</i> are determined based on the <i>job description</i> of the employee and the Operational Plan or Planning Information for the relevant province, division, component, section, station etc.
2	Determine and agree on any additional <i>KPA's</i> and <i>tasks</i> that the employee is required to perform.
3	Agree on the <i>outputs per task</i> that the employee must deliver, as applicable to the post and discuss obstacles or barriers which may hinder the performance of the employee.
4	Select the most important <i>output standards</i> that will describe whether the <i>outputs</i> have been achieved satisfactorily. In determining the <i>output standards</i> of the employee, the <i>supervisor</i> should use his or her own discretion taking into consideration the resources, working environment and complexity of the job when compared to that which normally would be expected of an employee performing that job. <i>Output standards</i> should provide for quantity, quality, time and cost efficiency. (See sub-paragraph (3) below)
5	Agree on the following: <ul style="list-style-type: none"> - what records (if any) must be kept as proof of what has been done (achievements) e.g. diaries, pocket book, production sheet, reports, returns etc.; and - in which circumstances (phases 2 to 5), additional <i>feedback</i> as mentioned in paragraph 5, must be given.
6	The <i>supervisor</i> should discuss the acquiring of <i>competencies</i> that would enable the employee to effectively perform his or her current job and complete the development plan and the <i>career plan</i> (if necessary). Note: Upon request by the skills development facilitator (SDF), the <i>supervisor</i> must communicate the identified developmental needs of every employee under his or her command to the SDF for incorporation into the relevant Work Place Skills Plan.

- (3) In determining the *output standards* in accordance with step 4 above, the following four dimensions must (where applicable) be included against the background of the *historical information and forecasting*:

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QUANTITY	Determine what will be measured in terms of the number or amount (how many) of the <i>outputs</i> agreed upon. This statement should begin with the physical number eg. 10 statements or returns, etc.
QUALITY	Describe how well the <i>tasks</i> must be performed and how it will be measured in accordance with the quality indicators included in Standing Orders, Regulations, National Instructions, Provincial Instructions and other <i>output standards</i> . If no <i>output standards</i> are prescribed in any of the aforementioned documents, the expected quality <i>output standards</i> must be agreed upon between the <i>supervisor</i> and employee.
TIME	The period of time within which, or date by which, a <i>task</i> should be completed, must be agreed upon when determining the time frames for <i>outputs</i> . The geographical area may, for example, affect response times for attending to complaints. A specific time frame must be provided for the completion of every <i>task</i> . The time frame must, where applicable, be clearly stated, for example, in minutes, hours, days, weeks, months, quarterly, annually, etc.
COST EFFICIENCY	The reasonable usage of resources or <i>inputs</i> (including acting in terms of the code of conduct) that will be needed to achieve the <i>output</i> in the best possible way and which, in general will not result in the misuse, abuse or wastage of resources or <i>inputs</i> (as informed by prescripts and practice).

- (4) The composition of the *PEP Instrument (SAPS 557)* of the employee must be initiated as follows:
- (a) the employee must draft his or her own performance plan based on the discussion as per paragraphs 4(2) and (3) above;
 - (b) the *supervisor* must complete the development plan, if necessary; and
 - (c) the *supervisor* and employee must both verify the completed *PEP Instrument (SAPS 557)* and confirm the content by signing the relevant column.

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5. Regular feedback on performance

- (1) The *supervisor* must monitor the performance of the employee throughout the *PEP cycle*. *Feedback* additional to the *written performance appraisal* between the *supervisor* and the employee are encouraged.
- (2) For this purpose a space for a discretionary quarterly verbal review and feedback has been provided on the PEP instrument (SAPS 557). During such a review the *supervisor* must provide *feedback* to an employee on his or her progress and must reach consensus on whether the employee's level of performance is good, satisfactory or not yet satisfactory. If there is a disagreement that cannot be resolved, the employee may follow the procedure as set out in paragraph 9.
- (3) The *supervisor* who detect *unsatisfactory performance* should immediately bring it to the attention of the employee in writing to establish the cause and how to rectify it.
- (4) If, after the necessary support and interventions, the unsatisfactory performance persist, then the *supervisor* should comply, if necessary, with the instructions and collective agreements on the Management of Unsatisfactory Performance of an employee.

6. Preparation for written performance appraisal

- (1) When appraising the performance of an employee and before a *written performance appraisal* is conducted, both the employee and the *supervisor* must use the following to prepare themselves to objectively discuss the performance of the employee:
 - (a) the *outputs* achieved by the employee in relation to the *outputs* agreed upon by the *supervisor* and the employee;
 - (b) whether the *outputs* delivered by the employee were in accordance with the agreed upon *output standards*, in so far as quantity, quality requirements, target dates, and the optimal use of resources and *inputs* are concerned; and
 - (c) the level of performance of the employee as measured against the criteria for *rating* performance.
- (2) In addition to paragraph 6(1) —
 - (a) the employee must rate and record his or her performance for the reporting period, by comparing his or her actual performance to that which was agreed to. The employee may have to substantiate his or her rating in the format agreed to (paragraph 4(2) (step 5)). The employee must submit the *PEP Instrument*

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(SAPS 557) to the *supervisor* with the necessary evidence (if applicable); and

- (b) the *supervisor* must —
 - (i) consider the evidence submitted by the employee (if applicable), his or her observation, any evidence at his or her disposal and the *rating* submitted by the employee;
 - (ii) record his or her own *ratings* in the appropriate columns of the PEP Instrument and return the PEP Instrument to employee;
 - (iii) give the employee reasonable notice of the time, date and place of the *written performance appraisal*; and
 - (iv) if an employee did not submit his or her *PEP Instrument* (SAPS 557), enquire into the non-submission of the instrument and, when necessary, take appropriate steps.

7. Written performance appraisal interview

- (1) During the *written performance appraisal*, the *supervisor* and the employee are to follow the following procedure during the interview —
 - (a) The performance of the employee is assessed by —
 - (i) discussing the recorded *ratings* (paragraph 8(1)), and providing reasons for their respective *ratings* by referring to the supporting evidence provided; and
 - (ii) agreeing on a *rating* per output(s) and recording the agreed *ratings* in the relevant columns.
 - (b) If any disagreement arises with the *rating* of *outputs*, the *supervisor* and employee must continue with the assessment of the remaining *KPA's* and *outputs*. If the disagreement cannot be resolved, the employee may follow the procedure as set out in paragraph 9.
- (2) If the performance of the *employee* is unsatisfactory, the *supervisor* must comply with the applicable instructions and collective agreements on the management of unsatisfactory performance.
- (3) The *KPA's*, *tasks* and *outputs* must be reviewed to determine whether they are still relevant and whether there are any factors which inhibit the achievement of the agreed *outputs*. Any changes made and the reasons thereof must be recorded in the Section “Additional/Changes to *KPA/Tasks*” and the performance plan must be amended accordingly.

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- (4) The *supervisor* and *employee* must sign and date the relevant column on conclusion of the *written performance appraisal* and finalize the *competency assessment* section.

8. Submission of the PEP Instrument (SAPS 557) to the counter signing officer

- (1) After the finalization of a *written performance appraisal*, it is recommended that, where practical and feasible, the *supervisor* submit the PEP Instruments (SAPS 557) of all employees under his or her command to the *counter signing officer*.
- (2) In order to contribute thereto that all employees have been evaluated objectively and consistently, it is further recommended that the *counter signing officer* —
 - (a) consider the *written performance appraisals* and any available documentary proof on the performance of the employee; and
 - (b) confirm the *ratings*, or, if he or she is of the opinion that the *ratings* of an employee need to be amended, refer such *ratings* back to the *supervisor* with reasons. If an employee is not satisfied with the reasons for amending his or her *ratings*, the employee may follow the procedure as set out in paragraph 9.

9. Resolution of disagreements

- (1) The disagreement process in sub-paragraph (2) must be followed if —
 - (a) any disagreement occurs during the planning phase;
 - (b) the *supervisor* and the employee could not reach consensus on any disagreement during the discretionary *verbal review and feedback*;
 - (c) the *supervisor* and the employee could not reach consensus on *ratings* during the *written performance appraisal*; and
 - (d) an employee is not satisfied with reasons for the amendment of his or her *ratings* by the *counter signing officer* (paragraph 8(2)(b)).
- (2) The disagreements must where practically and feasibly possible be resolved within 13 working days from the date of the disagreement by following the disagreement process below:

Phase	Description
1	The employee may submit the completed Section G, on the day of the disagreement, to his or her <i>supervisor</i> .

2	The <i>supervisor</i> must refer the matter, within 3 working days after the receipt of Section G, together with all relevant documentation to the <i>counter signing officer</i> .
3	The <i>counter signing officer</i> must where practically and feasibly possible make a decision on the disagreement and advise the <i>supervisor</i> and employee of his or her decision, within 10 working days after receipt of the documentation.

10. Finalization of each phase of the PEP cycle

- (1) If the performance of an employee has not been assessed or appraised because he or she had been absent from duty, it must be dealt with as follows:

If an employee was absent ...	then the <i>supervisor</i> must ...
for the duration of the financial year,	not conduct any written appraisal and capture the employee's PEP information with the applicable reason for such absence.
during the time when the or <i>written performance appraisal</i> was due to be conducted,	conduct the relevant or <i>written performance appraisal</i> as soon as possible after the employee returns to duty, where after the normal <i>PEP cycle</i> must be resumed.
for more than 120 calendar days during the <i>written performance appraisal</i> period,	not conduct any written appraisal and capture the employee's PEP information with the applicable reason for such absence.

- (2) If an employee performs duties for 90 days or more during the *PEP cycle* such duties must be appraised and such appraisal *rating* must be captured as the second *rating*. This will be used to determine the employee's annual rating.

11. Annual Rating

After the second *written performance appraisal* of the *PEP cycle*, the *supervisor* must —

- (a) calculate the annual performance *rating* of the employee by adding the percentages of the two *written performance appraisals* and dividing the result by 2; and

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- (b) record the annual *rating* in the relevant sections of the *PEP Instrument* (SAPS 557).

12. Appraisal of an employee in special circumstances

- (1) If an employee performs duties for a continuous period of 60 calendar days or less at a place other than where he or she is stationed, no PEP instrument is completed for that period. However, *feedback* on alleged misconduct or personal problems that the employee may have experienced during the execution of such duties at that place, should be forwarded to the *supervisor* of the employee for his or her attention and further action, if necessary.
- (2) If an employee performs duties during or at the start of a financial year for a continuous period of more than 60 calendar days but not exceeding 182 calendar days at a place other than where he or she is stationed, such duties are recorded on the form "Additional/Changes to *KPA's/Tasks*".
- (3) If duties are being performed at the commencement of the financial year for a continuous period of 183 calendar days or longer, a performance plan based on such duties should be compiled. However, if such duties are performed for a continuous period of 183 calendar days or longer during one financial year, such duties are recorded on the form "Additional/Changes to *KPA's/Tasks*".
- (4) An employee who performs duties from one cycle to the next at a place, other than where he or she is stationed, will, depending on the duration thereof as from the start of the next cycle, record such duties in accordance with subparagraphs (1) or (2). This record must be used as PEP information of the employee during capturing of the planning phase. This record must accompany the employee on his or her return to his or her workplace, whereafter such employee will compile his or her performance plan, if necessary.
- (5) Depending on the period during which duties are performed, a *written performance appraisal* is conducted as follows:

If the employee performs duties for ...	then the <i>supervisor</i> at the place where such duties are performed, must ...
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a period of 61 calendar days up to 182 calendar days,	-	on completion of such duties conduct a <i>written performance appraisal</i> .
a period of 183 days or longer,	-	conduct a written performance appraisal after 182 days, and
	-	conduct a further <i>written performance appraisal</i> only if such duties extend past 272 days.

- (6) If an employee is transferred, the *supervisor* should, before the transfer of the employee is effected, —
 - (a) conduct a written performance appraisal of the employee, if a *written performance appraisal* of the employee was not done within a period of 90 days before the effective date of the transfer; and
 - (b) forward a copy of the completed *PEP Instrument (SAPS 557)* to the new commander of the employee.
- (7) If an employee has been promoted or his or her services have been terminated, this must be recorded on the PEP system.
- (8) If the *supervisor* is transferred, promoted or his or her services are terminated before the conducting of the *written performance appraisal*, the commander or the *counter signing officer*, or a senior employee designated by the *counter signing officer*, must conclude the appraisal of employees resorting under such *supervisor*.

13. Record keeping and confidentiality

- (1) (a) The employee is responsible to keep his or her original *PEP* documentation for the current cycle.
- (b) After the annual appraisal has been completed, a *supervisor* must ensure that the *PEP Instrument (SAPS 557)* and rating of every employee under his or her command, is forwarded to the human resource office for capturing on the relevant system.
- (2) All information recorded in the *PEP Instrument (SAPS 557)* must be treated as confidential and may only be communicated with the written consent of such an employee to a person not employed in the Service.
- (3) The Divisional Commissioner: Career Management must notify all PEP Coordinators of the dates before which the conclusion of the Planning

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Phase and the first and second written appraisals respectively, must be captured on PERSAP function #2.36.

- (4) PEP Coordinators must ensure that the said information is captured as aforesaid before the dates determined by the Divisional Commissioner: Career Management.