Development Dialogues
and
Development Forums

Professional, administrative and support services (PASS) staff

A resource guide for PASS staff and their line managers

Published by:
Human Resources
University of Cape Town
Issue 2 – March 2016

Contents

Introduction

This guide

The purpose of this resource guide is to give the staff member and line manager a step-by-step guide to conducting Development Dialogues and Forums.

This guide breaks the system down into a 4-step process and documents the preparation needed, meetings, timelines and deadline dates. It also provides a number of supporting documents as annexures.

The steps in this guide correspond with the steps on the HR210 form.

Further assistance, information and training

Further assistance, information and training are available from Human Resources. Each faculty and PASS department has a HR practitioner (HRP) who supports the line manager and staff member with human resources matters.

For Development Dialogues and Development Forums, your HRP:

- can assist the line manager and staff member in preparing for and conducting Development Dialogues, and provide guidance in completing the forms.
- can provide support in writing a position description, and can help the line manager and staff member in identifying KPAs and/or competencies for the position. Human Resources also keeps a central repository of generic position descriptions and position-specific descriptions.
- can assist in identifying appropriate learning and development interventions.
- will supply the line manager with an excel template, and support, to complete the information required for the Development Forum discussions.
- will guide the Development Forums, and will keep records of these discussions, feeding these through to the appropriate HR planning units.

Line managers are best placed to understand each position requirements and their staff member's roles, responsibilities and competencies. Your line manager is thus also able to assist staff in using this system.

The Staff Learning Centre (SLC) provides training courses for both line managers and staff in the use of this system. The SLC also offers various other managerial and supervisory training programmes.

Note:

The custodian of Performance and Development is Human Resources Organisational Development. Further queries relating to Development Dialogues and Development Forums can be directed to Theo Nell, Senior Manager Organisational Development, at theo.nell@uct.ac.za.

The custodian of Remuneration is Human Resources Remuneration and Benefits. Further queries relating to remuneration policy, "Exceeds" awards and related documentation can be directed to Margie Tainton, Senior Manager: Remuneration and HR Policy, at margie.tainton@uct.ac.za.

Performance management and development at UCT

Performance and development systems, and their linked remuneration structures differ for the various categories of staff at UCT:

Staff Grouping	How agreed	Performance Management System	Remuneration System
Payclasses 1 to 5	NEHAWU		Rate per Payclass (RPP)
Payclasses 6 to 12	UCT Employees Union (UCTEU)	Development Dialogue	Pay for performance and Performance Bonus
Payclasses 13(4-5)	Vice Chancellor, reporting to Council Remuneration Committee	Development Dialogue principles	Pay for performance and Performance Bonus
Payclasses 13(1-3)	Council Remuneration Committee	Development Dialogue principles	Pay for performance and Performance Bonus
Academic Staff	Academics Union (AU)	Academic review	SASP

The Development Dialogue (DD) is the agreed system for performance contracting, management and development at UCT for permanent professional, administrative and support services (PASS) staff in payclasses 1 to 12.

While not a policy requirement, this system should also be used for contract PASS staff on T2 conditions, and where appropriate for PASS staff on T1 conditions. This will ensure the fair and equitable treatment and reward of all PASS staff in these payclasses.

This system is also used as a tool for the performance management of PASS staff in payclasses 13 (5) and above.

Definitions

Ability

An employee's ability consists of innate characteristics such as capacity to process complex ideas, to think broadly and quickly, to perceive and understand theirs and others' emotions and learn skills such as technical, functional and interpersonal skills. The ability component of potential highlights the core set of skills that an employee will need (a) in his/her role and (b) in a more senior role.

Aspiration

Aspiration refers to a staff member's expressed need to do better, or advance to a different or a more senior role or position at the University. Whilst aspiration can slow down and speed up depending on the stage in a person's life, there should be a clear pattern and demonstration of desire, drive and passion that it takes to do well or to do exceptionally in a position and/or towards moving up through a leadership career.

Career Path

A career path is the identification of and development towards a possible subsequent position. The onus remains on the staff member to ensure his/her personal development be considered via the appropriate UCT recruitment and selection mechanisms for identified positions in the future.

Competency

A competency refers to an ability, skill, attitude, attribute, trait or behaviour that is needed for the successful performance of a position. It is most often described '**how'** the person does the position.

Core competencies

A core competency is fundamental knowledge, ability, or expertise in a specific subject area or skill set.
Core competencies are needed for all types of positions and at all levels at UCT. Core competencies support the University's mission and strategic goals and ensure the effective functioning of the University, its faculties and departments.

Critical positions

It is important to note that all positions are essential; however c*ritical positions are key leadership/specialist positions within the University that have a notable impact on the sustainability and future of the University, its faculties and department. E.g. Academic Head of Department.*

Critical skills

Critical skills relate to the critical demand for key or generic skills required currently or in future by staff members to ensure the sustainability and future of the University, its faculties and departments.

Engagement

Engagement refers to the extent to which an employee commits to their role in the institution, their passion, eagerness to contribute, enthusiasm and involvement. An employee emotionally commits to his/her role when he/she derives pride, enjoyment, inspiration and meaning from their role in the institution and is passionate about it. Engagement drives the discretionary effort that employees invest in their work and the extent to which they intend to remain with the institution.

Position description

The position description is a document that describes the purpose of the position, the key performance areas of the position, its requirements, its roles and its responsibilities. It is documented on form HR191.

Key Performance Area (KPA)

A KPA is a broad term used to describe a distinct area of responsibility of a position or an important output. A list of KPAs lists the most visible actions, essential functions, key areas of responsibility or high- level responsibilities. A KPA is a broad category of tasks and activities. Full time staff members usually have between five and eight KPAs.

Objective

An objective, also referred to as an outcome or goal, is a particular project or piece of work linked to a KPA that is to be completed or achieved within a particular timeframe. Objectives are written in a clear, outcomes-based and measurable way. Each KPA has at least one associated objective.

Potential

Potential relates to the ability of the employee to advance to a different or a more senior role or position at the University. Potential is measured by taking into account three factors: aspiration, engagement and ability, which has been defined herein.

Scarce skills

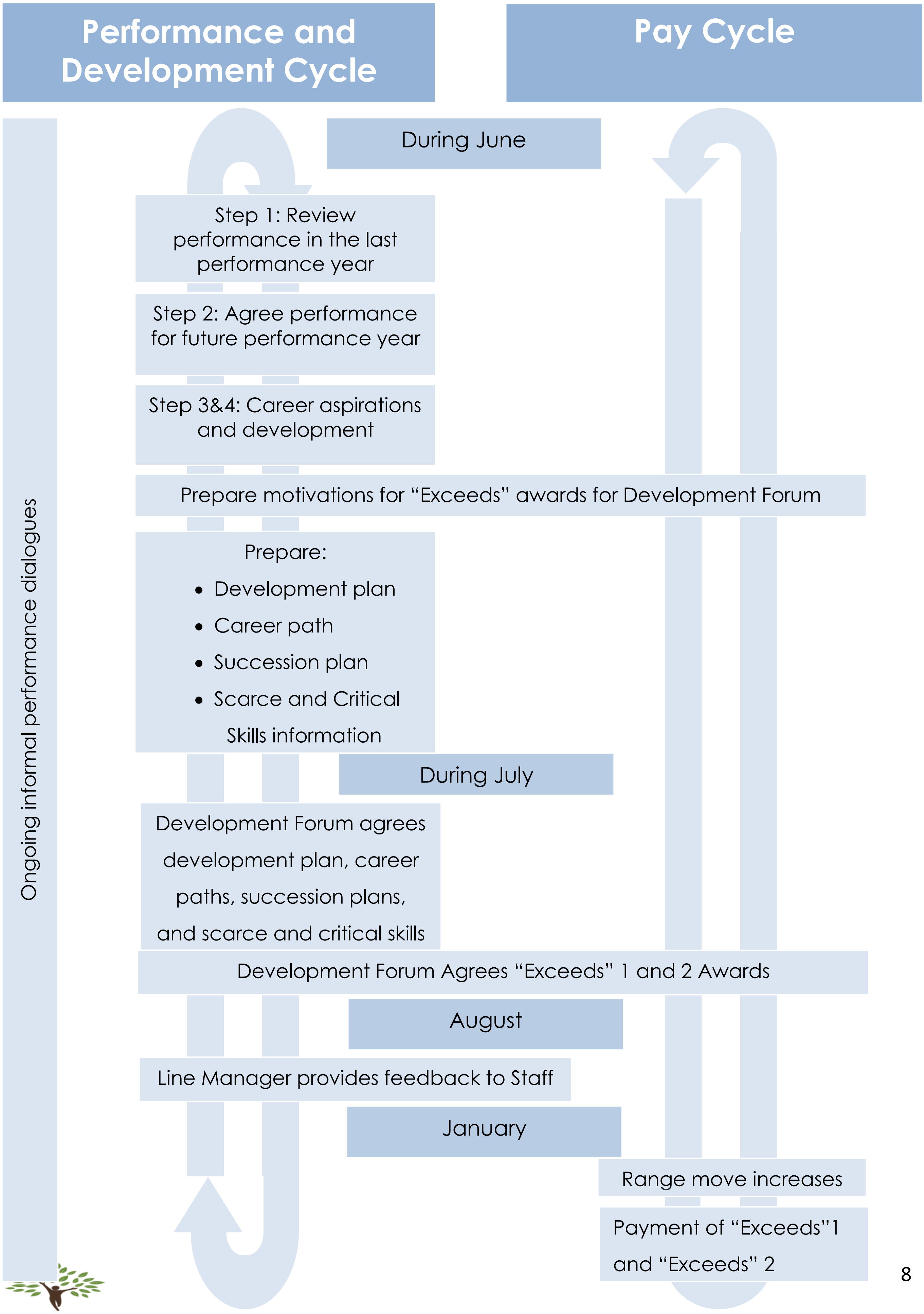
Positions with these skills are characterised by hard-to-fill vacancies or long-term vacancies, recruitment of skilled workers from outside the country to fill vacancies, and in some cases a higher salary for a particular skill.

Succession Management

The identification and development of internal staff with the potential as possible *successors for specific positions within UCT*. The onus is on the staff member to ensure that s/he be considered for future positions. Leadership should support the individual with his/her development towards identified positions. Available positions will be open to all applicants and identified successors will not automatically be appointed to those positions. In driving the transformation agenda of the university, the employment equity targets set in the context of UCT's employment equity plan, will be taken into account in filling vacancies.

The Performance and Development Cycle

Action		Form	Who	What
1	Preparation		Line manager	• Set up meeting, allocating enough time (1-2 hours). • Give enough notice (at least 5-7 days in advance). • Give staff member information about what to expect to help him/her prepare for the meeting.
			Staff member	• Prepare HR210 steps 1 – 5. • Use Annexure A.
2	Development Dialogue	HR210 Step 1	Line manager and staff member	• Review performance in the last performance year (June to May) against agreed performance contract and agreed performance objectives. • Finalise and agree Step 1 of HR210.
		HR210 Step 2	Line manager and staff member	• Rate performance in the last performance year, against agreed performance contract and agreed performance objectives. • Agree and sign Step 2 of HR210.
		HR210 Step 3	Line manager and staff member	• Agree performance and objectives for the next performance year, using the position description and faculty/departmental/unit goals and objectives.
		HR210 Step 4	Line manager and staff member	• Summarise UCT career aspirations. • Discuss ability and willingness to work in other areas at UCT
		HR210 Step 5	Line manager and staff member	• Summarise development needs. • Finalise and agree Step 5 of HR210.
3	Preparation	Template Step 6	Line manager	• Identify scarce positions and critical skills. • Complete Development Forum Meeting Preparation excel sheet (provided by HR practitioner) • Use Annexure B.
4	Development Forum Meeting		Line manager	• Bring HR210, excel spreadsheet and any other supporting documents to substantiate discussion and rating. • Forum agree performance rating and development of staff member, as well as critical potions and scarce skills.
6	Feedback Meeting	HR210 Step 7	Line manager and staff member	• Discuss the outcome of the Development Forum discussions, which forms part of the performance and development record. • Sign Step 6 of HR210.


Performance and Development Cycle
Pay Cycle
During June
Step 1: Review performance in the last performance year
Step 2: Agree performance for future performance year
Step 3&4: Career aspirations and development
Prepare motivations for “Exceeds” awards for Development Forum
Prepare:
Development plan
Career path
Succession plan
Scarce and Critical Skills information
During July
Development Forum agrees development plan, career paths, succession plans, and scarce and critical skills
Development Forum Agrees “Exceeds” 1 and 2 Awards
August
Line Manager provides feedback to Staff
January
Range move increases
Payment of “Exceeds”1 and “Exceeds” 2
Ongoing informal performance dialogues

The Performance Dialogue

Principles

Formal and informal Development Dialogues

While the University requires that each staff member has a formal Development Dialogue with his/her line manager each year, informal Development Dialogues should take place regularly.

Performance and development should be reviewed on a regular and on-going basis to ensure that performance and development are on track. This creates an opportunity to give feedback and discuss successes and challenges. This ensures that there is clear, two-way communication between line manager and staff member and expectations are continually clarified. Any problems are dealt with immediately which means that opportunities can be taken advantage of timeously.

Informal reviews ensure that any changes in the University, department or faculty strategy, objectives, direction, or goals or any unanticipated challenges that may have an impact on staff members and their positions are dealt with and planned for. This may mean amending the agreed objectives or the development plan.

On-going review and feedback prevents unexpected outcomes at the formal discussions. The line manager is aware of how the staff member is performing and the staff member is aware of expectations and how s/he is performing against these expectations.

The responsibility for on-going review lies with both line manager and staff member. Staff members should approach their line manager whenever they identify any barrier to performance or development, or experience any problems or changes. Likewise, line managers must identify possible performance or development problems or changes and take quick and appropriate action to address these. Both must make the time to ensure that these discussions take place.

The informal discussions can take the form of scheduled meetings (weekly or monthly as appropriate), informal follow-ups (the line manager merely checks in with the staff member on particular positions or tasks) or on an ad-hoc basis (as issues arise or priorities change).

Guidelines for giving effective feedback

Effective feedback is:

✓	Accurate	Before giving feedback, ensure that it is accurate. Do not exaggerate errors or achievements.
✓	Balanced	Giving "good news" first and negatives last, can make people feel that you have been setting them up for the fall and leave them feeling disappointed and like a failure. If you give all the "bad news" first, and save the positive feedback until last, the person may be so disheartened by all the negatives that they do not even hear the positive feedback. Balanced feedback is about recognising those key aspects of position performance that have been performed well, along with identifying opportunities for improvement, where relevant. Whenever possible, combine positive and negative/developmental feedback. Too much negative feedback can make staff members defensive and unwilling to listen or to tell you about their problems.
✓	Based on agreed and understood objectives and position requirements	The objectives and position requirements that are agreed on in the objective-setting discussions form the basis for feedback.
✓	Explores or gives alternative solutions	It is not enough to tell someone what they have done wrong. Often they will not know what to do to improve their performance. If someone has not performed, there needs to be an action plan for what they could do to improve or an alternative course of action that they could try out. The most powerful plan is one drawn from the person themselves, but sometimes the person really won't know what to do to improve and will need coaching, mentoring, development or guidance from you.
✓	Relevant	Feedback focuses on the agreed performance objectives and competencies. For feedback to have any meaningful and developmental use it must be relevant to how the person should be performing. Giving feedback to someone about the way they dress, if this has nothing to do with agreed standards of performance or behaviour, is an example of irrelevant feedback.
✓	Specific to agreed objectives	Effective feedback is specific in describing what the staff member did and why it was effective or ineffective, acceptable or unacceptable. When giving feedback state what worked or was effective or what didn't work and was ineffective.
✓	Timely	You need to provide feedback as soon after an event as possible. Feedback given today on something that happened today has much more relevance and power than feedback given when time has lapsed. Feedback is most useful when the information or event that you are referring to is still fresh in the person's mind. Where it is impossible to give the feedback straight away, you need to keep a written record of the facts. This will help you to recall the details that you need to provide.

Step 1&2: Review performance in the last performance year

The purpose of the formal performance dialogue is to:

- Review performance in the last performance year (June to May), against agreed performance objectives.
- Rate performance in the last performance year, against agreed performance contract and agreed performance objectives.
- Recognise achievements and Identify achievements that were not part of the original objectives, and identify possible candidates for an "Exceeds" 1 or 2 award.
- Note barriers to performance and through a process of mentoring and interaction develop action plans to resolve the barriers to performance.

The role of the line manager is to achieve departmental objectives through the work of others. Performance dialogues support the line manager in achieving this by supporting the line manager and staff member in clarifying performance expectations and documenting them, and then measuring and assessing performance against these expectations.

In order for any performance management system to succeed**, line managers** must:

- Be willing to deal with difficult operational and personal issues
- Give sufficient performance-related feedback
- Commit to and prepare for performance dialogues
- Hold staff members accountable for results
- See performance management as an integral part of managing people

In order for any performance management system to succeed, **staff** must:

- Have realistic initial expectations stemming from clear objectives
- Understand what is expected of them
- Have developed the necessary position competencies

The aims of performance dialogues are to:

- Support line managers and staff members in agreeing position requirements and setting staff member and/or team objectives and performance standards that align with the PASS department or faculty and University as a whole
- Cascade strategic goals down to the level of the staff member that result in work goals and agreements
- Gain role clarity
- Improve communication between line manager and staff member
- Agree and maintain acceptable levels of performance
- Identify appropriate opportunities for development
- Give and receive continuous feedback

Reviewing performance

The review takes place in June of each year. Reviews are forward looking and provide an opportunity for proactive coaching, mentoring and other development. They will be positive if:

- There is thorough preparation for the dialogue
- There is a clear understanding of the position requirements and objectives
- There is a clear understanding of the achievements against expectations
- Line managers are sincere in recognition of achievements
- Plans are developed to improve performance in a supportive climate
- Both parties give feedback that is evidence based
- Staff members are actively involved during these reviews

The line manager invites the staff member to start the dialogue by giving feedback on the performance based on the supporting evidence. The line manager then gives feedback to the staff member based on supporting evidence. The line manager and staff member discuss the evidence against each objective and note the performance of each. The form is updated to reflect the discussion. During the meeting, the line manager creates an environment to minimise the anxiety normally experienced by both line managers and staff members during a performance review.

Assessing and rating performance and the link to remuneration and reward

The line manager evaluates the staff member's overall achievement against the full set of objectives and advises the staff member of his/her overall recommended performance rating against the rating scale. The performance scale is as follows:

Proposed performance assessment rating (June – May)

Note: Only complete if Key Performance Areas were contracted in January 2015.

Exceeding		**Meeting**		**Not Meeting**		**Unrated**	
• Consistently exceeds objectives and position requirements for the performance cycle. • Demonstrates competence at / above the required level for the role. • Exceeds standards set.		• Consistently meets objectives and position requirements, and / or occasionally exceeds them. • Demonstrates competence at / above the required level for the role. • Meets standards set, and / or occasionally exceeds them. • Meets required level of performance for UCT to function optimally.		• Meets some or no objectives and does not meet position requirements. • Demonstrates little or no competence at required position level for role or may be new and learning the role. • Frequently underperforms with regards to standards set. • Requires frequent supervision and follow-up. • Shows little or no initiative. • Work quality hinders work of others.		• Too soon to rate performance or unable to rate performance. • Has not yet had time or opportunity to perform the majority of the functions of the position or to demonstrate competence.	

Possible link to reward

Exceeding	**Meeting**	**Not Meeting**	**Unrated**
Likely to qualify for 'Exceeds" award (refer to criteria for exceeds awards)	May qualify for discretionary award, if performance is above this performance category, but falls short of the exceeds criteria	No qualification for reward. For staff rated on the Questionable Fit / Poor Performance block in the Performance & Potential Matrix (refer Pg 5), a PIP should have been in place for the last 3 – 6 months or should be put in place. Performance to be reassessed after 3 - 6 months.	No qualification for reward. Has recently been appointed to the post, has been on extended leave or the post has changed substantially.

Line managers should be fully conversant with the performance rating scale, be unbiased in their assessment and guard against the following common factors that compromise valid and objective assessments:

Appearance	Some line managers allow the staff member's personal appearance to influence their assessment.
Careless attitude	The personal performance system is not taken seriously enough.
Compassion	Excessively high performance ratings based on compassion and sympathy are detrimental to the development of the staff member in the long run.
Constant error	Unconscious bias results in consistently high or low ratings.
Evaluating the position	The actual position is evaluated and not the performance of the staff member. The staff member must be assessed against the position requirements.
Fear	Certain line managers have a subconscious fear of assessing others and subsequently confronting them with these assessments.

Halo / horn effect	One or two outstanding characteristics influence the appraisal to such an extent the line manager fails to consider remaining qualities.
Isolated incidents	These tend to affect the line managers overall assessment of the staff member.
Misinterpretation	The staff member is assessed in terms of characteristics totally unrelated to the agreed objectives and position requirements.
Recent impressions	Assessment should be based on sustained observation and constant revision throughout the year. The feedback from the on-going review process assists the line manager to avoid this error.
Rumours	Performance assessments are based on rumours about a staff member's performance.
Undue speed	Hurried reviews are bound to be inaccurate.
Wrong standards	Incorrect standards are applied (i.e. personal preferences).

COMPLETING THE HR210 FORM:

The staff member and line manager prepare for the review, the staff member using Annexure A. The staff member prepares Steps 1, 2, 3, 4 and 5 of HR210 form, and submits this to the line manager before the dialogue. Steps 2 to 5 will be discussed in the following pages.

The line manager notes his/her recommended performance rating, by rating the staff member's performance on the rating scale. Additional comments / examples of performance should be added by the Staff member / Line Manager if an "exceeds" rating is put forward for consideration by the Development Forum.

The line manager and staff member sign off 'Step 1 to 5" of the HR210 form. Each will keep a copy.

Note:

Should the staff member not be meeting requirements, it is important to deal with the issue as soon as possible, and not wait for the formal review.

Where serious work related problems are identified at any point in the cycle, it may be necessary to initiate a Performance Improvement Plan (PIP). The objective of the Performance Improvement Plan (PIP) is to correct and/or improve performance. The procedure is a positive one and not meant to be punitive. However, to accommodate the possibility that poor performance may not always be corrected, the procedure has to also cover the possible termination of the employment contract. The procedure is available on the HR website and documented using the HR171 form. HR Practitioners can support line managers in addressing poor performance issues.

Note:

The line manager has final decision-making authority on the recommended performance rating that will be presented at the Development Forum at this stage. It is not necessary for the line manager and staff member to agree on the recommended performance rating. Signature by staff member denotes participation in the discussion, not necessarily agreement to the outcome. **Both staff member and line manager have an opportunity to record comments on the rating. The rating will be presented, discussed and agreed to by the Development Forum.**

Note:

Budget considerations must not influence rating decisions at any stage of the process or at any Performance and Development Forum.

Note:

When a person is due to leave a position (due to reasons such as resignation, retirement or promotion), it is good practice to conduct a final formal review before they leave. This gives both the person and the line manager an opportunity to review the work that has been completed, is underway or is still yet to be completed and provides an ideal opportunity for hand-over. The review could also serve as an exit interview.

In some cases, the staff member may return to UCT and it is useful to have a full performance record on file.

Depending on the remuneration structures and agreements in place in any given year, as reward and recognition is retrospective, there may be remuneration or rewards payable in retrospect for those who have left, or are about to leave UCT's employ (such as retirees). It is thus also important to have the review on record.

Frequently Asked Questions:

The 'Meeting' category states that a staff member "consistently meets all objectives and position requirements". Does this then mean that if you meet almost all objectives and requirements, but one has not been met, that you cannot be rated 'Meeting'?
Overall performance must be considered: "What has the performance been worth to the department and UCT over the last year?" It is presumed that there has been a discussion as to why a KPA has not been met. It could be because departmental priorities have changed and or that there was focus shift, or that systemic issues made it difficult to attain, and although the objectives should have been amended during the year, they weren't. In such a case, the rating should be 'Meeting'. If however the person simply didn't do the work with no valid reason and the KPA is an important part of the position, then it should be 'Not Meeting'. One needs to weigh up the extent of the outstanding KPA and the overall impact that this has on performance.

If the staff member has been on maternity or long leave, what should they be rated?
Overall performance during the time that they were at work should be considered: "What has the performance been worth to the department and UCT?" KPAs should have been set that allow for this time off. In such a case, and if they have met their performance targets, the rating should be 'Meeting'. If a person has been in the positon for a short period of the performance cycle, and not had the opportunity to demonstrate performance, the rating should be "unrated". If however the person didn't do the work that they were contracted to do, then it should be 'Not Meeting'.

If the staff member is new or the position has changed, what should they be rated?
When a new person starts, or the position changes substantially, objectives should be set for the remainder of the performance cycle. So while the person may not yet have had the time or the opportunity by the time of the final appraisal to have demonstrated full competence, or to have performed the entire scope of the role an 'unrated' rating would be appropriates.

However, where the person is relatively new, or the position has changed, and the person has had the time and opportunity to perform the objectives set, and has not, then a 'Not meeting' rating may be appropriate.

If the staff member is acting in another post and performing their substantive role, which post are they performance rated in, and so rewarded in?
The person should be receiving an acting allowance, and this allowance is the reward for performing these extra or higher level duties. They would thus be rated in their substantive post.

If the staff member has been fully seconded to an acting role, which post are they performance rated in, and so rewarded in?
The person should be receiving an acting allowance, and this allowance is the reward for performing these extra or higher level duties. They would thus be rated in their substantive post as "unrated".

Recognising exceptional performance through "Exceeds" 1 and "Exceeds" 2 awards

Should the staff member be rated 'Exceeding' and have shown exceptional performance, either the PASS staff member, a colleague of the PASS staff member or the line manager of the PASS staff member may motivate for that staff member to be awarded an 'Exceeds 1' or ' Exceeds 2' award. Criteria may include but are not limited to the following:

Exceeds 1	Exceeds 2
Meets full definition of 'Exceeding' performance category. Exceeds most objectives and position requirements. Demonstrates skill, competence and knowledge above the required level for the role. Often exceeds standards set. Has performed an unusual activity over and above the requirement of the position to the benefit of the department or faculty. Contributes notably to the functioning of the faculty/department /university beyond position requirements.	Meets full definition of 'Exceeds 1' Significantly exceeds objectives and position requirements. Demonstrates skill, competence and knowledge far above the required level for the role. Frequently exceeds standards set. Has performed an unusual activity over and above the requirement of the position to the benefit of the University. Contributes extensively and meaningfully to the functioning of the faculty/department/university beyond position requirements.

COMPLETING THE HR210 FORM:

Should the staff member be rated 'Exceeding', and should either the PASS staff member, a colleague of the PASS staff member, or the line manager of the PASS staff member wish to motivate that a staff member be awarded an 'Exceeds 1' or 'Exceeds 2' award, then the HR Exceeds Motivation form(HR211) should be completed and submitted to the Performance and Development Forum after the Development Dialogue. This form must give a full and detailed motivation citing specific concrete examples of demonstrated performance for each of the relevant criteria. The motivation must include reference to the current position description and the latest performance reviews.

This form is sent to the line manager for signature (should the motivation not be submitted by the line manager), then to the HOD for signature (should the motivation not be submitted by the HOD), and thereafter to the Dean or Executive Director. The signatory will record whether or not they support the motivation and why.

This form must be accompanied by the HR210 form for the same review period, as well as a copy of the person's most recent position description. Once completed, this form must be submitted by the Dean or Executive Director of the faculty or department, for discussion and approval at the Development Forum. The HR210 form also makes provision for the staff member to provide comments to support the motivation for a discretionary or exceeds award.

If the motivation is not approved, the Dean or Executive Director will give the line manager feedback who will in turn provide the PASS staff member with detailed feedback.

Note:

In terms of remuneration, the performance category 'Meeting' is aligned to the 60^{th} percentile of the National All Positions Market. This means that the salary level is above the average salary level that other employers pay. UCT thus expects above average performance of all staff members.

Note:

There are various ways of measuring, recording, recognising and rewarding performance at UCT, and it is important that the right process is used for the right reason.

If the reason is to agree, evaluate and reward performance and determine development plans, the Development Dialogue process is used. If the person is consistently performing above the requirements of the position and meets the criteria, then the “Exceeds” award is appropriate.

If position/operational requirements have changed substantially, increased or decreased, then the position description needs to be changed and the post re-graded using the position evaluation process. A person’s performance has no bearing on position evaluation.

If a person has worked overtime, the person is rewarded through overtime pay.

If a person is acting in another post, the person is rewarded through an acting allowance.

In the case of scientific and technical officers, the following will apply: if the staff member’s performance far exceeds the substantive role deliverables and the person can demonstrate consistent and sustained performance at a position level higher than that which the person is currently in, the ad hominem promotions process is used.

Frequently Asked Questions:

If a staff member consistently performs at the exceeds levels should we re-grade the position?

Performance relates to the person; position grading relates to the position. If the person is consistently performing above the requirements of the position, then the “Exceeds” award is appropriate. However, if the requirements of the position change or increase, then the position needs to be evaluated, and may be re-graded (and the person may or may not be able to perform at this new level). An easy way to make the distinction is to ask: “If this person leaves UCT, would the post be advertised at the current grade, or at a higher grade?” If at the current grade, then the “Exceeds” award is appropriate, if at a higher grade, then position grading is appropriate. Should the grade change, then the person and line manager would then need to set objectives at the higher level, and the person would be measured against those more complex objectives.

Can a person still qualify for an “Exceeds” award for their ‘old’ position, if they move positions within UCT or leave UCT within the performance cycle? And what happens when the position is re-graded or they receive an ad hominem promotion?
The Development Forum will ensure that these awards are awarded fairly and consistently. You will be rewarded for the position specific deliverables performed in the performance cycle and pro-rations will apply if applicable.

Can a person still qualify for an “Exceeds” award if they have been rewarded through an acting allowance or overtime?

An “Exceeds” award rewards exceptional performance. Exceptional performance may not be the same as working overtime or acting in another post. If the person receives an acting allowance or overtime, this is the reward for performing these extra or higher level duties. The person is rated and hence rewarded in their substantive post.

Can a person on a T1 or T2 qualify for an “Exceeds” award?
Development Dialogues is not compulsory for T1 and T2 staff (the agreement only covers permanent staff). However, Performance Management as a management tool should be used by all managers to manage all staff. It is recommended that managers of T1 and T2 staff use the system available, Development Dialogues, to aid them in doing this. While a T1’s contract may be too short to last a full performance cycle, the line manager should still set objectives at the beginning of the contract and review performance regularly. T2 staff would be employed for two or more full cycles, and so the Development Dialogues can be used. If the Development Dialogues have been used, and a T2 staff member qualifies for an Exceeds award, then they may indeed be nominated.

Step 3: Agree performance for future performance year

Performance Contracting

Proper performance contracting is critical as it underpins the entire performance management process.

The purpose of the performance contracting dialogue is to:
- Agree performance and objectives for the next performance year, using the position description and faculty/departmental/unit goals and objectives.
- Identify competencies that are required to perform the agreed objectives, and the level to which they must be demonstrated.
- Note barriers to performance and through a process of mentoring and interaction develop action plans to resolve the barriers to performance.

Contracting takes place between the line manager and staff member. The aim is to understand the overall performance objectives of the department or team and the role the staff member's position plays in this. The line manager explains the departmental objectives and details how the staff members' roles and objectives align to these. The line manager also maps out how the activities in his/her department or section support the broader faculty or departmental objectives and ultimately the UCT strategic objectives. This can be done individually or in a general session with all staff in an area, and is done before the objective setting process starts.

Performance contracting takes place when:
- A new staff member joins UCT.
- A new line manager joins UCT.
- Annual performance objectives are set.
- A staff member starts in a new position.
- A position changes.
- Operating plans and department goals change.
- New teams are formed or teams change.

The performance contracting process results in:
- A clear understanding of the role of the staff member.
- A clear understanding of the roles of the other staff members and the line manager.
- An understanding of how the position fits into the team, department, faculty and university.
- An understanding of the KPAs for the role.
- A list of clear, measurable objectives with performance standards and measures.
- A list of the critical competencies and behaviours that will support the desired outcomes.

Objective Setting

Objective setting takes place in June of each year, as part of the Development Dialogue.

Clear and agreed objectives form the basis for almost all the performance related discussions. Time spent at this stage of the cycle will save time and avoids problems later, and makes the performance assessment process easier.

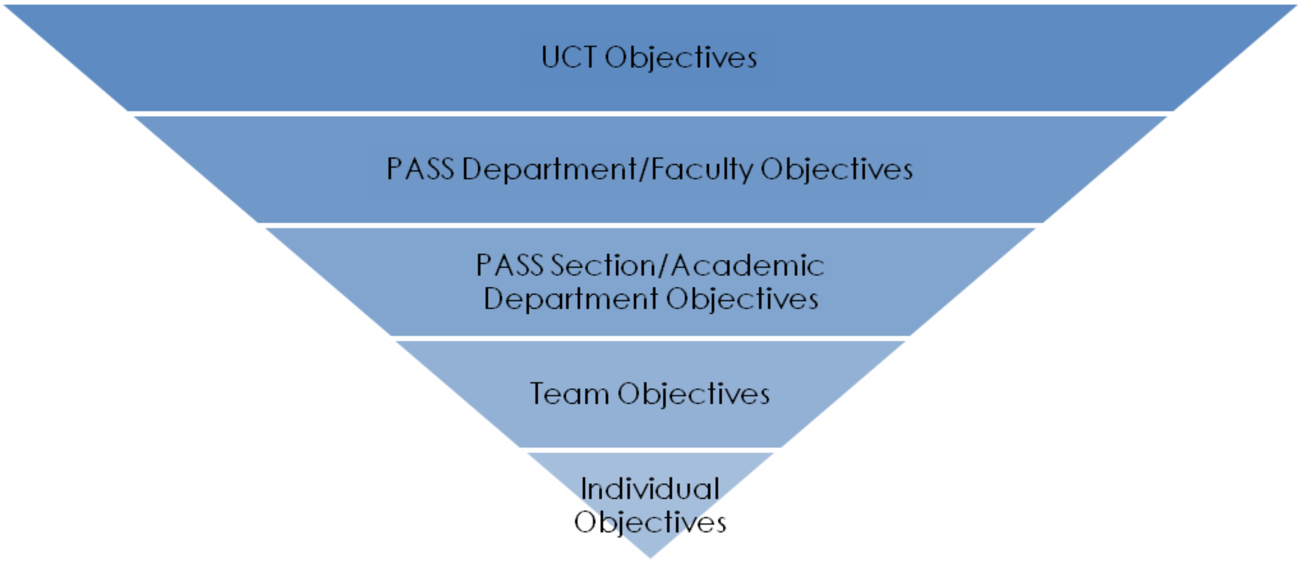
The setting of objectives allows the line manager and staff member to clarify expectations. The line manager and staff member agree the focus areas for the work to be done during the coming period, as well as the performance standards expected. Objectives must be set out in such a way that they are measurable (SMART) so that both the line manager

and staff member can determine how the staff member is performing. These objectives are reviewed as circumstances or priorities change.
The line manager is ultimately accountable for achieving the departmental objectives and so the responsibility therefore rests with the line manager to ensure that individual objectives are aligned to the departmental objectives and ultimately align to UCT objectives. There are two sources of information when considering position objectives for the year:

- The objectives for the department/faculty, which are in turn, aligned to the UCT institutional objectives.
- The position description, which provides a broad position requirements within the role.

The departmental, faculty and institutional objectives

Personal performance objectives must align to the department/faculty objectives, which are in turn, aligned to the UCT institutional objectives.



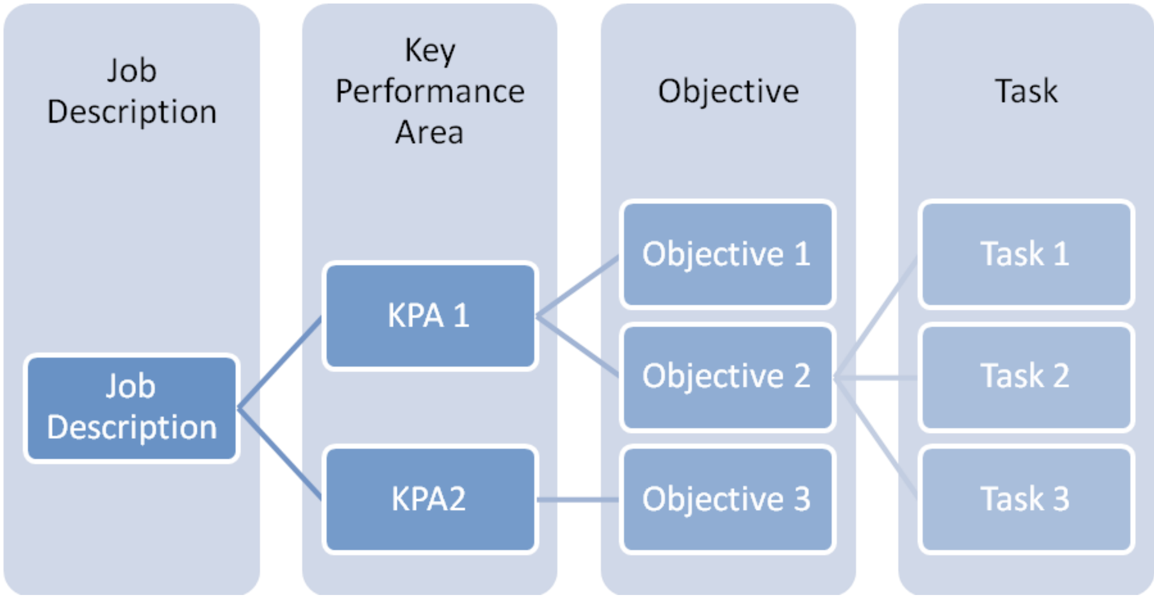
The position description, key performance areas and setting objectives

A position description describes the purpose of a position, its requirements, roles, responsibilities. A position description lists a number of Key Performance Areas (KPAs) for a role, the inputs used (the responsibilities, processes, methods, activities, tasks, projects etc.) and it's outputs (the expected results).

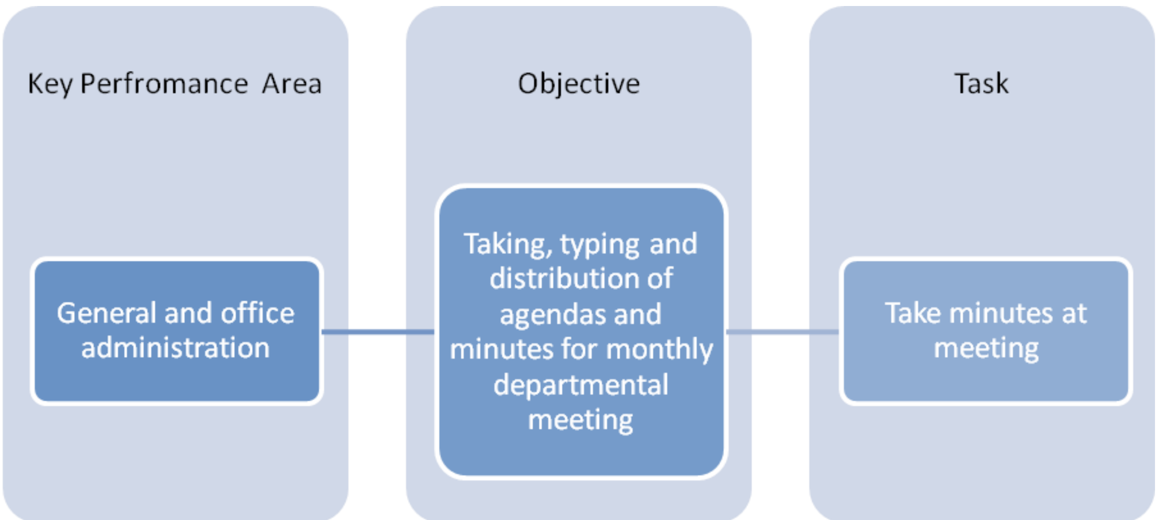
A KPA is a broad term used to describe a distinct area of responsibility of a position or an important output. A list of KPAs lists the most visible actions, essential functions, key areas of responsibility or high- level responsibilities. A KPA is a broad category of tasks and activities. Full time staff members have between five and eight KPAs.

While each KPA has at least one associated outcome in the position description, for performance contracting, each KPA will have at least one objective.

An objective is a particular project or group of activities and tasks linked to a KPA that the staff member intends to achieve within a particular timeframe. They almost always start with a verb. Objectives focus on activities and provide direction, challenge and a sense of purpose. Objectives should not be projects over and above the position description but should complement or enhance the position description. Objectives align staff member objectives to the departmental, faculty and institutional needs and cluster outcomes of tasks and functions into KPAs.



For example, a Departmental Administrator who has to service the monthly departmental meeting has a KPA for this position which is ‘General and office administration’:



To be able to measure and assess performance against an objective at the end of a period of review, the objective must be formulated in a clear, outcomes-based, measurable way that states specifically what is expected and the standard to which it must be performed. A well-formulated objective states how both the line manager and staff member will know that the staff member has achieved the required outcomes. The better the quality of the objective and measure, the easier the assessment process.

There are five basic characteristics of a well formulated objective, otherwise known as a **SMART objective**:

S	Specific	Clearly and exactly state what is to be achieved so that there is no room for misinterpretation
M	Measurable	Define exactly how you and others will know when the objective is met or achieved. Measures are expressed in terms of quantity, quality, cost and time.
A	Attainable	Be sure that it is possible to achieve the objective and identify resources required. While objectives can stretch the staff member they must also be attainable.
R	Realistic	The objectives need to be applicable to the position. Do they support the KPAs? Are resources and support available?
T	Timely	Must be time-based (deadlines or time-lines set, by when or how often). The time-frame for each objective needs to realistic.

Measurements or assessment standards can be university or departmental guidelines, checklists, policies or standard operating procedures. Examples of SMART measures are: 'Regular/daily/weekly inspection of buildings according to the maintenance checklist', 'Accurate letters distributed quarterly to all students', and 'Accounts paid accurately and according to UCT payment procedure at the end of the month'.

COMPLETING THE HR210 FORM:

The staff member prepares a number of objectives per KPA, based on the performance contracting dialogues. The staff member completes 'Step 3' of HR210 form, and submits this to the line manager before the dialogue.

The competencies required to perform the objective are also identified and recorded, as well as the level at which they are expected. The UCT Competency Framework is used for this purpose.

The line manager and staff member discuss and clarify any uncertainty around the staff member's position and role in the coming period. This may be an evolving process and may take a number of discussions to finalise. The form is updated to reflect the discussion.

The line manager and staff member sign off 'Steps 2 to 5" of the HR210 form. Each will keep a copy.

Principles

To meet the requirements of the position, agreed objectives and to develop the staff member's career, the staff member needs the right combination of competencies (knowledge, skill, attitudes or behaviour) and experience for current and possible future roles.

To ensure that UCT can identify, develop, manage and retain key staff, UCT has a pool of competent and qualified people to recruit from, and to ensure that UCT has succession plans in place for key positions, potential successors need to be identified and developed for possible future roles.

Development needs are identified through performance contracting, identifying critical positions and scarce skills and identifying career paths.

Types of development needs and initiatives

Development needs can be:

a) Position-Related - The gap between the set of competencies, skills and experience necessary to reach or perform the objectives, plans and goals, and the set that the staff member currently has. It is imperative that the person develops the required set in order to attain the objectives. The competency, skill or experience is an explicit requirement of the position, and any intervention is ultimately for UCT's benefit. This could be applicable to one person in a team or a whole team.

b) Developmental - The competencies, skills, qualifications or education needed to better oneself or to advance one's career at UCT in the short to medium term. It is not an explicit requirement of the current post, and the staff member is able to attain the set objectives without it. The competencies, skills, qualifications or education are ultimately for the staff member's benefit. Development of these ensures that UCT has a larger pool of competent and qualified people to recruit from, and also ensures that UCT has succession plans in place for key positions.

c) Personal - The competencies, skills, qualifications or education needed to better oneself or advance one's career in the longer term, either at UCT or elsewhere. It is not an explicit requirement of the current post, nor a requirement of any other post that the person is likely to take up in the short to medium term. The competencies, skills, qualifications or education are completely for the staff member's benefit.

Development activities can be:

a) Formal – Qualifications, certificates, degrees, diplomas. Typically these courses are for a longer duration (3 months to a year), and are formally assessed and are certified. They are normally used for personal and developmental needs. (Most commonly formal development would not be necessary for position-related needs, as it would be assumed that the staff member had the necessary formal qualifications when recruited. However, it may be necessary in a few instances).

b) Non-Formal – Short skills courses offered either internally or externally. Typically these are for a shorter duration (less than 3 months). They tend to specifically address one particular skill or competency. They may or may not be assessed and certified. They are normally used for position-related needs (e.g. First Aid, MS Word or Presentation Skills courses).

c) Informal – Reading, gathering information, coaching or mentoring from someone who is an expert in that area, observing or position-shadowing, exposure to other areas etc.). Typically these are used for position-related needs.

The UCT learning and development funding policy and model

The UCT Staff Learning and Development Policy (available on the HR website - http://www.hr.uct.ac.za/learning/funding/overview/ provides a clear model of funding for staff learning and development by setting out the criteria, conditions and methods whereby staff learning and development may be funded. UCT supports and funds position-related and developmental but not personal learning and development.

Personal learning and development is funded in one of two ways:

a) For the staff member's own account; *or*
b) Staff Tuition Rates apply should the staff member pursue formal development through UCT or UWC (refer to the Staff Tuition Rate Policy and Reimbursements policies).

Developmental learning and development is funded in one of three ways:

a) For the staff member's own account; *or*
b) Supported through the Staff Education Bursary Scheme in the case of PASS staff undertaking formal development through an institution other than UCT or UWC (refer to the Staff Education Bursary Scheme Policy); *or*
c) Staff Tuition Rates apply should the staff member pursue formal development through UCT or UWC (refer to the Staff Tuition Rate Policy and Reimbursements policies).

Position-Related learning and development is funded in one of two ways:

a) Funding of formal development from departmental or faculty training and development budgets at the line manager's discretion, where the formal development is an explicit requirement for the position. This would also include all instances where the department or faculty pays the Staff Tuition Rate on behalf of the staff member where the formal development is an explicit requirement of the position (refer to the Funding Formal Development and Reimbursement policies); *or*
b) Funding of non-formal development from departmental or faculty budgets at the line manager's discretion. Such activities may be available internally through the UCT Centres of Learning (Staff Learning Centre, ICTS, CHED, Research Office, Safety, Health and Environment) or other internal programmes, in which case no or minimal cost is incurred (refer to the Funding Expensive Non Formal Development policy).

Reporting

Labour legislation requires that every employer submit a Workplace Skills Plan (WSP) each year. The WSP documents learning and development activities initiatives planned for all staff in the reporting cycle (April to March each year). The information captured in the development discussions informs the reports.

Step 5: Discuss development

The purpose of the Development Dialogue is to:
- Discuss current qualifications and experience.
- Discuss UCT career aspirations.
- Discuss and document development needs to fulfil the current role, detailing the learning and development activities and interventions that are needed.
- Discuss and document development needs to fulfil possible future roles, or develop the staff member's career, detailing the learning and development activities and interventions that are needed.
- Link development plans to departmental or faculty objectives.

The Development Dialogue

The Development Dialogue is a two-way, interactive process, based on the performance contract. It considers current and future expectations.

In engaging in Development Dialogues with staff, **line managers** must:
- Dedicate time to engage with staff members.
- Be open and honest.
- Ensure that the dialogue is a two way process, encouraging participation.
- Ensure that a solid and clearly understood performance contract is in place prior to this engagement.
- Commit to creating space, time and budget for development and be clear to communicate the limits of these.
- Recognise what a staff member is doing well or has to offer, even in the case of poor performance.
- Always maintain the integrity of the individual even when negative feedback is given.
- Ensure continuous and consistent engagement as opposed to ad hoc and sporadic interactions.
- Assist with identifying development opportunities.
- Monitor development.
- Give feedback.
- Offer support and guidance.
- See staff members as having the ability to develop and improve performance, and give them to chance to do so.

The line manager informs the staff member about the rationale, process and the expected outcomes of the development and succession dialogue.

The line manager also considers whether the staff member holds a critical position or has a scarce skill, as this will influence development needed.

The line manager will review the staff member's submission, together with their CV, position description and record:
- Formal qualifications (such as degrees or diplomas, of more than a year).
- Short Courses (any course less than a year).
- Experience or work history (past work experience, detailing the staff member's career path thus far).
- UCT career aspirations (the staff member's future career ambitions and anticipated career path at UCT) .
- The staff member's ability and willingness to move to other areas of the University (the extent to which the staff member's skills and competencies can be utilized in other areas of work, other departments, faculties, or special projects).
- Development needed for the current role.
- Development needed for UCT career development.

COMPLETING THE HR210 FORM:

The staff member prepares for the dialogue by completing Step 5 of the HR210 form, and submits this, together with his/her current CV and position description to the line manager before the dialogue.

The form is updated to reflect the discussion.

Finally, the line manager and staff member sign off Step 5 of the HR210 form. Each will keep a copy.

Note:

It is possible that a staff member has no learning and development needs in a particular year if there are no performance gaps to be filled (e.g. a staff member who exceeds all position requirements or where there are no process or technology changes in the performance cycle), or where there is no development needed for the staff member's career path. There is no requirement to have a development plan.

Note:

Line managers determine what development is supported and when. This support can be in the form of payment, time off, mentoring etc. Not all learning and development activities may be supported in any given year.

Some of the factors that need to be considered include:

- Operational requirements of the department.
- Fairness and equal opportunities for all staff.
- Costs (money and time).
- Budget availability.
- UCT policy.
- Identification and removal of barriers to achieving employment equity.
- Departmental, faculty or institutional priorities.

Note:

Discussion and recording of a possible UCT career path does not guarantee a staff member of promotion or appointment to the identified post. UCT recruitment policies and practices still apply, and the staff member will compete for the vacant post through this process.

The Development Forum

A Development Forum consists of line managers across the department and function. A line manager, one level higher than these line managers is appointed as Chair. The HR practitioner supports and services the Development Forum.

Development Forums for Payclasses 13 and above are attended by line managers across Faculties and Departments.

Development Forums for Payclasses 12 and below are administered within the Faculty or Department.

The purpose of the Development Forum is to:
- Identify possible successors for critical positions
- Identify and record development needs to fulfil current roles
- Identify and record development needs to fulfil possible future roles or develop careers
- Identify and record development needs to identify possible successors to take up critical positions
- Link development plans to departmental or faculty objectives.
- Plot staff on the Performance and Potential Matrix and identify high performance and high potential staff
- Review and approve applications for “Exceeds” 1 and “Exceeds” 2 awards

Preparation for the Development Forum

The HR practitioner for the area will send the line manager a preparation sheet to help the line manager to prepare for the Development Forums, by summarising for his/her area:
- Performance ratings
- Development dialogues
- Career development dialogues

It allows the manager to submit information to the Forums regarding:
- Proposed performance rating
- Possible career paths for individuals
- Possible successors for key positions
- Scarce skill information
- Critical positions identified
- “Exceeds” 1 and “Exceeds” 2 awards

The line manager may also want to use the preparation sheet found in Annexure B, to record his/her preparations.

The line manager will also need to prepare any applications for “Exceeds” 1 and “Exceeds” 2 awards.

Step 6: Scare skills and critical positions

The line manager will identify whether each position within his/her area could be considered critical or requires scarce skills, so as to identify which positions need to have succession and development plans put in place. S/he will also need to identify critical skills needed in the department so as to ensure that these development needs are included in the development plan for the area.

Critical Positions are key leadership or specialist positions within the University that have a notable impact on the sustainability and future of the University, its faculties and departments.

Positions which require critical Skills are positions where current staff members require specific skills, which will have a notable impact on the sustainability and future of the University, its faculties and departments.

Positions which require scarce skills are positions where few or no qualified and experienced staff members are available. These are recognized (characterised) by hard-to-fill vacancies or long-term vacancies, recruitment of under-skilled staff members, recruitment of skilled workers from outside the country to fill vacancies, and a higher salary for a particular skill.

Possible information sources include Union feedback, recruitment processes, payment of scarce skills allowances, turn-over, exit interviews, industry knowledge etc.

The Development Forum

A number of different Development Forums exist across the university, for different departments and faculties.

Development Forum meetings happen in July of each year.

A Development Forum consists of line managers across the department and function. A line manager, one level higher than these line managers is appointed as Chair. The HR practitioner supports and services the Development Forum.

The Development Forum is expected to:

- Maintain complete confidentiality.
- Be transparent, open and honest.
- Be aware of perceptions, and focus on facts and examples of behaviour.
- Be mature and open to input.

The Development Forum will:

- Identify scarce and critical skills and identify possible initiatives to address these.
- Identify critical positions and identify possible staff as successors to these.
- Review and approve “Exceeds” 1 and “Exceeds” 2 awards.

The Development Forum, assisted by the HR practitioner, will produce summaries of information that inform:

- Succession planning.
- Career pathing.
- Training and development and skills planning.
- Scarce and critical skill planning.
- Staffing planning.
- Payment of “Exceeds” 1 and “Exceeds” 2 awards.

Note:

The Development Forum may wish to follow the following agenda:

A. Welcome
B. Role clarification
C. Discussion of individual staff members
    a. Introduction of staff member
    b. Strengths
    c. Development areas and supporting activities
    d. Possible successor(s) to this position (if a scarce skill or critical position)
    e. Career path of the staff member
D. Scarce skills and critical positions
E. “Exceeds” 1 and” Exceeds” 2 awards
F. Way forward and closure

Step 7: Development Forum Feedback

The purpose of the Development Forum feedback is for the line manager to:

- Give feedback to the staff member regarding the outcome of the Development Forum discussions, which forms part of the performance and development record.
- Summarise the staff member's strengths and development areas and note performance needed to improve in development areas.
- Record positions that the staff member could move into now or in a few years' time, and any development needed.

Development Forum Feedback discussions take place after the Development Forum meetings in June of each year.

Development forums will be value-adding if:

- There is thorough preparation for the discussion.
- There is a clear understanding of the outcome of the Development Forum.
- Line managers are sincere in recognition of achievements and strengths.
- Line managers give effective feedback.

The line manager completes Step 4 of the HR210, based on the deliberations of the Development Forum. This forms part of the performance and development record.

The line manager sets up a meeting with the staff member and gives the staff member detailed feedback on the Development Forum discussions and outcome.

COMPLETING THE HR210 FORM:

The line manager prepares for the discussion by completing Step 6 of the HR210 form and submits this to the staff member before the discussion.

Finally, the line manager and staff member sign off Step 6 of the HR210 form. Each will keep a copy.

Note:

Identification of a possible UCT career path does not guarantee a staff member of promotion or appointment to the identified post. UCT recruitment policies and practices still apply, and the staff member will compete for the vacant post through this process.

Annexures

Annexure A
How to prepare for a Development Dialogue: A guide for line managers and staff members

Both the line manager and staff member should prepare thoroughly for any performance review dialogue in order to actively and effectively contribute to this dialogue. This document provides a list of questions that both parties can use in this preparation.

Start by reviewing Key Performance Areas (KPAs), objectives and SMART measures (including due dates). Then answer:

Results Delivered

How have I/has my staff member performed in each of the Key Performance Areas?

What specific accomplishments and results have been achieved?

Value Added

How have I / has my staff member contributed to the achievement of the department's performance goals?

Performance Gaps

What performance results or targets did I / my staff member not achieve?

What affected my / my staff member's performance negatively? (Consider factors within and outside of your control).

What could I / my staff member have done differently to improve the performance and the results that were achieved?

Skills Development Areas

What competencies [skill/knowledge/behaviours] do I / does my staff member need to develop in order to improve performance?

Performance Goals

What are my / my staff member's performance priorities for the next performance period?

What changes should be made to the KPAs, objectives or SMART measures?

Manager / Team Support

What support would I need from my manager or team to accomplish my goals? / What support would I need to give my staff member in order to accomplish the goals?

Annexure B
How to prepare for a Development Forum: A guide for line managers

The line manager should prepare thoroughly for the Development Forum discussion. This document provides a list of questions that s/he can use in this preparation. For each staff member, start by reviewing the Development Dialogue, CV and position description. Then answer:

Ability to function in current position

Match CV and performance history to role requirements. Do they need development and/or coaching and/or mentoring, do they meet/exceed requirements?

Experience

Review experience that is relevant to current position and possible career paths.

Qualifications

Review qualifications and training that are relevant to current position and possible career paths.

Competencies

Review competencies required for current position and possible career paths, and performance against these.

Values

Review values of UCT (http://www.uct.ac.za/downloads/uct.ac.za/about/policies/UCT_Statement_of_Values.pdf) and department/faculty/unit and performance against these.

Evaluation / Assessment

Review any additional evaluation or assessment of performance or development (e.g. 360 reviews).

UCT Career Path

Review the staff member's stated UCT career paths, and non UCT career aspirations.

Performance Record

Review the last three year's performance assessments.

Potential

Reflect on the person's potential to advance in the organisation (another position or one level or two up, or not?)

Development Needed

Reflect on development needs stated, and whether any other development may be necessary. Consider whether development is possible and when.

Annexure C: Documentation

HR210
http://www.hr.uct.ac.za/performance/management/pass/dd/

UCT Competency Framework
http://www.hr.uct.ac.za/performance/management/pass/competency_framework/