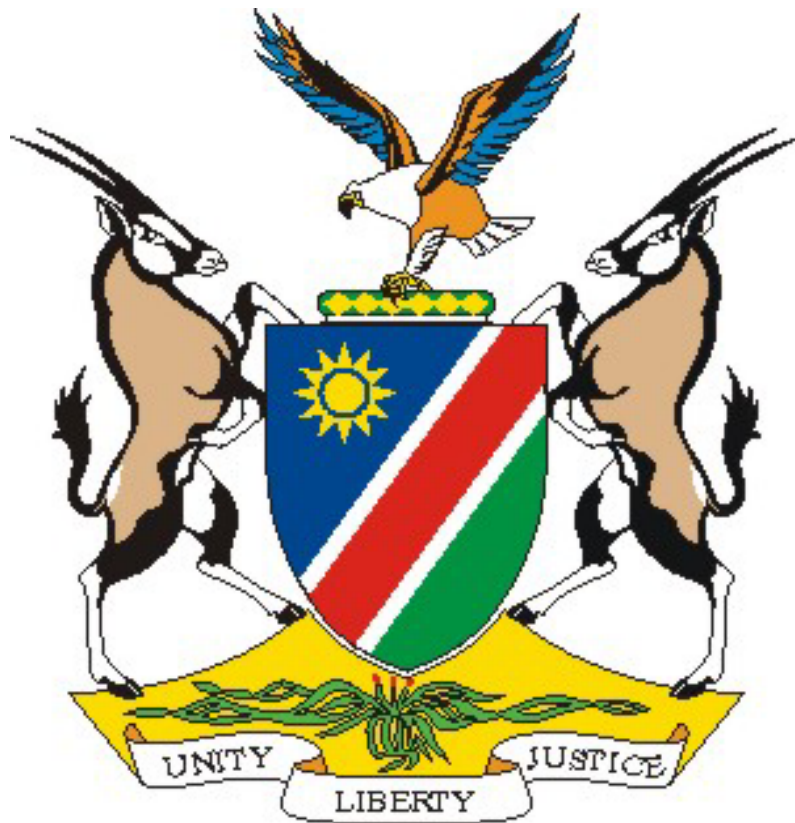


A PERFORMANCE MANAGEMENT SYSTEM FOR THE PUBLIC SERVICE OF NAMIBIA



PRINCIPLES AND FRAMEWORK
FINAL DRAFT : FEBRUARY 2005

FOREWORD

The Public Service of Namibia exists to serve its customers - the People of Namibia, tourists, visiting business persons, colleagues in the Public Service and Political Office Bearers. As such it is one of the most important stakeholders in the future of the Nation. This future, a vision of what Namibia wants to be, is embodied in Vision 2030. Introducing a Performance Management System (PMS) in the Public Service of Namibia provides an approach whereby:

- the role and objectives of the Public Service towards the achievement of the national vision and targets are clarified and cascaded throughout the Public Service;
- each staff member can understand and actively contribute to the achievement of the national objectives;
- the performance of the Public Service and its staff members is managed and enhanced towards the achievement of its full potential in line with the national development objectives; and
- the Public Service becomes increasingly efficient, cost effective and responsive to the public in all aspects of its operations.

It is clear that the committed participation in the PMS is a prerequisite for the Public Service of Namibia to fulfill its important role in the achievement of our Nation's dream. Every staff member at all levels is therefore required to take full responsibility for his/her performance and to contribute to our Nation's future by his/her active involvement in the PMS. The PMS Principles and Framework and supporting PMS Training Toolkit provide the road map to this end.

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CPST	-	Centre for Public Service Training
DHRD	-	Directorate Human Resources Development
DHRM	-	Directorate Human Resources Management
DMS	-	Directorate Management Services
E	-	Excellent (Rating)
HR	-	Human Resources
HRD	-	Human Resources Development
HRDP	-	Human Resources Development Plan
HRIMS	-	Human Resources Information Management System
HRP	-	Human Resources Plan
JEG	-	Job Evaluation and Grading
KR(s)	-	Key Result(s)
KSA(s)	-	Knowledge, Skill(s) and Attitude(s)
M	-	Makes a Significant Difference (Rating)
MIS(s)	-	Management Information System(s)
MTC(s)	-	Ministerial Training Committee(s)
MTEF	-	Medium Term Expenditure Framework
MTP(s)	-	Medium Term Plan(s)
N	-	Needs Improvement (Rating)
NDPs	-	National Development Plans
NQA	-	Namibia Qualifications Authority
O&E	-	Organisation and Establishment
O/M/A(s)	-	Office(s), Ministry(s) and/or Agency(s)
OPM	-	Office of the Prime Minister
P	-	Poor (Rating)
PA	-	Performance Agreement
PAM	-	Personnel Administrative Measure

PAS	-	Performance Appraisal System
PDP(s)	-	Personal Development Plan(s)
PEMP	-	Performance and Effectiveness Management Program
PI(s)	-	Performance Indicator(s)
PMC	-	Performance Management Committee
PMS	-	Performance Management System
PO	-	Personnel Office
PS(s)	-	Permanent Secretary(s)
PSC	-	Public Service Commission
PSRI(s)	-	Public Service Reform Initiative(s)
S	-	Solid Performance (Rating)
SGP(s)	-	Strategic-Generic Programme(s)
S/MR(s)	-	Supervisory/Management Result(s)
US(s)	-	Under Secretary(s)
WASCOM	-	Wages and Salary Commission

A**Align**

put into the correct relation to each other, join together so as to be in agreement.

Assessment

a decision on (the value of) a staff member's actual performance compared with the agreed performance.

Assessment Period

the prescribed period over which the staff member's performance will be managed and assessed, i.e. under normal circumstances, either from April to September (mid-performance cycle review) or from April to March (formal end of performance cycle assessment).

Assumption

an important factor(s) impacting on the achievement of a key result that is not within the control of the staff member, but which is accepted as sure to be needed/happen.

C**Cascaded**

a series of interventions through which an organisational (O/M/A) aspect/concept is passed from the higher to lower levels in a manner applied to each level, ensuring buy-in and resulting in aligned thinking and effort throughout the organisation (O/M/A).

Coaching

a process in which a supervisor/manager/person who is more knowledgeable on a particular issue works with a staff member to help him/her develop knowledge and skills in order to improve performance.

Competency

the (levels of) knowledge, skill(s), attitude and behaviour(s) required to perform the specific task(s)/set of task(s) to achieve the agreed results as per the performance agreement at a sufficiently high level of quantity and quality for a "solid performance" rating, and in a manner that is organisationally sustainable.

Competency Framework

a structure outlining the minimum core competency requirements per job category and generic competency requirements for the different supervisory/management levels within the Public Service of Namibia, which form the basis for the determination of competencies required in each specific post as reflected in the competency profile in the job description for the post.

Competency Profile

an outline of the core, generic and specific competencies required for a specific position as reflected in the job description for the position.

Continuous Performance Monitoring, Evaluation and Feedback

is a two-way communication process between the staff member and his/her supervisor/manager, which is timely, specific, covers both positive and negative aspects and focuses on continuous improvement. It includes observing staff members' activities in terms of progress toward agreed performance and providing ongoing feedback facilitating the staff members' improved performance.

Core Competency

specific knowledge, skill(s) and attitude(s) needed to perform the essential responsibilities of a specific job category (field of work/profession) at a sufficiently high level of quantity and quality to obtain a "solid performance" rating in that job category.

Critical Incident

evidence of above or below solid performance by a staff member.

D**Development**

a means of making a staff member(s) more valuable to the O/M/A/Public Service by extending his/her skills and knowledge, modifying his/her attitudes and adjusting his/her (patterns of) behaviour for the general betterment of the staff member, his/her achievement of results and improvement in the specific job, or for better performance in the organisation in future.

Development Intervention

refers to any intervention or process aimed at improving the knowledge, skill(s), attitude(s) and/or behaviour(s) of a staff member to increase his/her performance within the O/M/A.

Differentiating Competency

extra knowledge, skill(s) and attitude(s) required by a staff member to render specialised and/or exceptional service, and/or to enable the unit to remain at

the cutting edge of developments, and/or for the accomplishment of the long term mission of the unit/O/M/A. These competencies will result in the achievement of a rating higher than “solid performance”.

E

Exceeds Expectations (E)

an assessment rating awarded to a staff member who exceeded the majority of the agreed performance criteria as per the performance agreement and who required minimum direction in performing complex, creative and urgent tasks to achieve these results.

Excellent (X)

an assessment rating awarded to a staff member who exceeded all performance criteria as per the performance agreement and who, on the most critical criteria, far exceeded the agreed results. These achievements have often been accomplished in spite of circumstances that would have prevented achievement and resulted, or will result, in a significant impact for the unit/O/M/A beyond the scope of the assessment period and/or the staff member. The judgement, resourcefulness and depth of knowledge and performance of the staff member are of such a high quality that the staff member is recognised as a model of excellence by management and across the O/M/A.

F

Feedback

useful, timely information, understood by the staff member, and aimed at improved performance.

Formal Assessment

the summative assessment of the staff member's performance, in conjunction with the staff member and, where applicable, other stakeholders, at the end of the assessment period/performance cycle and the resultant completion of the performance assessment summary form. The outcome of the formal assessment is used for performance-based decisions, i.e. recognition of performance or poor work performance.

G

Generic Competency

specific knowledge, skill(s) and attitude(s) needed to perform the responsibilities allocated to the level of supervision/management on which the staff member is employed.

H

Human Resources Development Plan (HRDP)

a plan that clearly indicates the competence and human resource development needs and priorities of an O/M/A, and strategies and resource allocations to pro-actively close the competency gap(s) of staff in order to facilitate the achievement of objectives/results.

Human Resources Plan (HRP)

a Human Resources Plan (HRP) describes the human resources issues, requirements and strategies to accomplish the strategic plan, taking into account affirmative action and/or employment equity.

I

Inter-dependency

where the performance of a staff member/unit/O/M/A is dependent on the performance of another staff member/unit/O/M/A to accomplish results as agreed in the performance agreement/unit/strategic plan(s).

J

Job Description

a source document on the job used in the development of a performance agreement, reflecting the purpose of the job, competency profile, requirements of the job and job responsibilities for the specific position.

K

Key Result (KR)

any area or major responsibility (of the job) in which a staff member must be successful and/or that is critical for an effective contribution towards the accomplishment of the objectives and mission of the unit/O/M/A.

M

Makes a Significant Difference (M)

an assessment rating awarded to a staff member when his/her performance exceeds all significant performance criteria as per the performance agreement. This staff member anticipates and adapts to change and achieves significant breakthroughs on key issues related to the performance area, e.g. creates new ways of doing things that positively change the nature of the job and/or work environment and/or operations of the unit (O/M/A).

Milestone Indicator(s)

a very important stage or event towards the achievement of the ultimate result/performance criteria.

Moderation

evaluation and comparison of performance by an autonomous body, e.g. the Performance Management Committee (PMC), against the agreed and other performance results to validate and ensure equity.

N**Needs Improvement (N)**

an assessment rating awarded to a staff member who meets some performance criteria as per the performance agreement, but who frequently and/or substantially requires guidance for more creative, challenging and urgent performance results. The staff member has difficulty anticipating and adapting to changes in the work environment. This assessment may, however, indicate that the staff member is still developing at that level, especially where the staff member is new to the position, and that his/her performance is adequate given his/her experience and/or time in the position.

O**Objective**

a specific, short-range initiative/project/task that concretely and specifically describe a result to be achieved towards the achievement of unit/O/M/A plans.

Outcome

the consequence, effect, impact and/or payoff(s) of achieving specific objectives/results, especially where direct effect is extremely difficult to measure.

P**Performance**

actions, behaviour and/or inputs by a staff member contributing to the achievement of results.

Performance Agreement (PA)

a plan/document describing the agreed understanding of the expected level of performance of an individual staff member by his/her supervisor/manager. The PA is drawn up as a result of a participative process between the staff member and supervisor/manager and (a) links individual performance to organisational (unit/O/M/A) objectives and plans, and (b) details the agreed performance of

the staff member. The PA guides performance monitoring, feedback, development and assessment.

Performance Area

an essential aspect of the staff member's performance as relating to the unit/strategic plan, which should be discussed and agreed with the staff member in his/her performance agreement. The performance areas are key results, supervisory/management results, values and organisational contribution.

Performance Assessment Summary

is the formal process of assessing and summarising the performance of a staff member for an assessment period and is carried out twice in a year, i.e. during end-September and end-March within a performance cycle.

Performance Assessment Appeal

a written request to higher authority, i.e. the second line supervisor/manager and PMC, by a staff member who has been or perceives to have been unfairly assessed regarding his/her performance and/or aspects thereof.

Performance Criteria

the standards of performance, with specific reference to the results and performance indicators, as agreed and reflected in the performance agreement.

Performance Cycle

the period, coinciding with the fiscal year, starting 1 April of a year and ending 31 March of the following year during which a staff member's performance will be managed and assessed.

Performance Indicator(s) (PIs)

the agreed sign(s)/measure(s) (quality, quantity, cost, etc.) used to determine, describe and assess effective performance and the achievement of results, i.e. the "what" that will be used to assess achievement, indicate progress, or the lack thereof, towards a result.

Performance Management

is the ongoing communication process between staff and supervisor/managers for getting better organisational results. It involves: (a) establishing clear expectations and understanding about performance and the results to be achieved; (b) identifying essential areas of performance as relating to the mission and objectives of the O/M/A; (c) developing realistic and appropriate performance criteria; (d) giving and receiving feedback about performance; (e) conducting constructive performance assessments; and (f) planning continuous development of staff to sustain and improve performance so that individual, unit and organisational human capital is optimised.

Performance Management Committee (PMC)

is a committee consisting out of senior managers within an O/M/A with the core function to holistically verify and manage performance(s) of the O/M/A, resulting in an understanding of the organisation; improved performance, planning and management processes; and equity in the management, assessment, recognition and sanctioning of performance.

Performance Management System (PMS)

is all the processes interrelated to manage, monitor, assess, recognise and improve the performance of the Public Service at O/M/A, unit and individual levels.

Performance Management System Framework

a set of mechanisms and guidelines forming the basis for the management of performance in the Public Service of Namibia.

Performance Management System Principles

the underlying essential philosophies that determines the basis and success for the implementation of the PMS Framework.

Performance Planning

is the process in which the organisation, and ultimately the staff member and supervisor/manager, work together to come to a common understanding about the O/M/A/unit objectives and results; plan what should be achieved in the next performance cycle; define how performance should be assessed; and identify and strategise to overcome performance constraints.

Performance Recognition

continuous in/formal acknowledgement for the performance of a staff member(s).

Performance Target

is an agreed quantifiable performance level or change in level to be attained by a specific date.

Performance that Exceeds Expectations

performance by a staff member/unit that out-performs the agreed performance criteria for a “solid performance” rating as per the performance agreement and unit/O/M/A plans. Such performance, if sustained, will result in an assessment rating of either Exceeds Expectations (E), Makes a Significant Difference (M) or Excellent (E).

Performance Verification

is the process through which the validity and reliability of performance information is determined, with the aim to develop a holistic picture of and improve the performance within the unit/O/M/A.

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Personal Development Plan (PDP)

is a plan developed as a result of and supporting the performance agreement, reflecting interventions to be undertaken to help the staff member develop his/her competence and potential towards the achievement of agreed performance criteria.

Poor (P)

an assessment rating to be awarded to a staff member who does not meet the general requirements (performance criteria) in the performance agreement, although s/he may at times meet (or even exceed) some criteria.

Poor Work Performance

continued under-achievement of results and/or performance criteria by a staff member as per the performance agreement.

R**Resource**

input(s), including human, financial, material, equipment, etc. which enable a staff member to accomplish results as per the performance agreement.

Result

the service(s), output(s) and/or product(s) (concrete achievements) which the staff member should deliver in contribution to the achievement of O/M/A/unit objectives, plans and outcomes.

Reward

formal performance recognition given to a staff member who obtained an overall performance assessment rating of above “solid performance”, i.e. either E, M or X, in the March performance assessment summary, as verified by the PMC.

S**Solid Performance (S)**

an assessment rating awarded to a staff member who meets the vast majority of and most significant performance criteria as per the performance agreement and who is contributing to organisational effectiveness at an agreed level. Requirements in some performance areas may even be exceeded and some contribution(s) beyond agreed criteria achieved.

Staff Member

an individual appointed in the Public Service of Namibia under the Public Service Act, Act 13 of 1995.

Strategic Plan

the documented critical link between national high-level initiatives, e.g. Vision 2030 and NDP(s), and organisational (O/M/A) purpose and direction as developed by the O/M/A.

Summative Assessment

is the formal summary of the assessment for a staff member's performance for an assessment period and is carried out twice in a year, i.e. during end-September and end-March within a performance cycle.

Supervisory/Management Results (S/MRs)

result(s) to be achieved critical to the accomplishment of the unit/strategic plan(s) and related to the specific supervisory/management level and competencies, identified as priority for a performance cycle.

Supervisor/Manager

the direct/line supervisor/manager of a staff member under whose responsibility lies the main functions to be performed by the staff member.

U**Unit**

an organisational component of an O/M/A e.g. a department, directorate, division or section.

Unit Plan

the cascaded strategic plan of an O/M/A at departmental, directorate, divisional and sectional levels.

V**Value**

an identified moral and/or professional standard of behaviour that staff members need to uphold in achieving O/M/A/unit objectives and results.

W**Weight(ing)**

indicates the priority of a performance area relative to other performance areas and total accountability, by allocating a percentage to the specific area.

The implementation of the Performance Management System (PMS) is guided by the Constitution of the Republic of Namibia; the Public Service Act, Act 13 of 1995; the Regulations and Public Service Staff Rules promulgated under the Act; the Public Service Commission Act, Act 2 of 1990; the Affirmative Action Act, Act 29 of 1998; the Labour Act, Act 6 of 1992; the State Finance Act, Act 31 of 1991 and Treasury Instructions.

The PMS is applicable to all public servants appointed under the Public Service Act, Act 13 of 1995. Members of the Services (uniformed personnel) are excluded from the system, unless such O/M/As opt to use the system, or elements thereof, for their uniformed staff complement.

In order to perform and render services in line with the Principles of the Public Service Charter of the Republic of Namibia, Namibia requires a Public Service that values:

4.1 PROFESSIONALISM

A public servant is professional, apolitical and ethical in his/her conduct and consistently displays integrity in all his/her actions.

4.2 PEOPLE-FOCUSED

A staff member conducts the business of the Public Service in an environment that recognises, upholds, caters for and fosters the right and needs of the diverseness of people. All service users, customers and staff are treated at all times in a fair, non-discriminatory and equitable manner.

4.3 RESPONSIVENESS

A staff member actively contributes to deliver high quality, cost effective services and engages in consultation on, is sensitive to and actively responds to the needs of his/her service users, the People of Namibia and its environment within available resources, as the primary focus of the service sector.

4.4 INNOVATION AND VALUE ADDING

A staff member conducts his/her business in a creative and pro-active manner and continuously strives to improve services through managed risk-taking, practicality and learning at all levels, facilitating an environment for and resulting in added value for the People of Namibia and its service users. The measure of success of the Public Service's performance is reflected in increased productivity, good services and improved quality of life as envisaged in Vision 2030.

4.5 ACCOUNTABILITY

The business of the Public Service and the actions of a staff member are conducted in a manner that can be upheld under objective and open scrutiny. A public servant can and is answerable to his/her service users and the taxpayers of Namibia for all his/her actions.

The purpose of the Performance Management System Principles and Framework is to develop an understanding and provide for the fundamental values, driving forces and processes that cultivate and ensure a performing Namibian Public Service. It outlines and provides guidance on the mechanisms to be implemented by all O/M/As, staff members and their supervisors/managers in the management of performance within the Public Service environment.

The implementation of the PMS Principles and Framework is supported by the PMS Training Toolkit.

Prior to Independence performance appraisals in the Public Service of Namibia were done through the Merit Assessment (applicable to all staff below the management cadre) and Efficiency Rating (applicable to the management cadre) Systems. These two systems were continued in the early years after Independence. Under WASCOM (the Wages and Salary Commission) a new system was introduced during 1996, called the Performance Appraisal System (PAS). This system was, however, suspended by Cabinet during 1998. A report compiled by the Office of the Ombudsman identified the main reasons for failure in implementation as the lack of a supporting organisational culture and insufficient training on the system prior to implementation.

During 1998 the Office of the Prime Minister (OPM), with the assistance of the Centre for Public Service Training (CPST), conducted a training needs analysis amongst Senior Management across the Public Service of Namibia. As a result a need was identified to introduce a PMS in the Public Service of Namibia.

During the same period the OPM also facilitated the development of Strategic and Management Plans for O/M/As and underscored the fact that performance management should play a key part in the effective implementation of such plans.

With the commitment of the Senior Managers in Government, and especially the OPM, a project team was constituted during April 2001 with the mandate to develop a framework and identify principles for a PMS for the Public Service of Namibia.

This document presents the Principles and Framework developed for the implementation of a comprehensive Performance Management System (PMS) for the Public Service of Namibia.

A PMS is an approach to achieving a shared vision of the purpose and objectives of the organisation (O/M/A), helping each staff member to understand and recognise his/her contribution to the strategic intent and thus manages and enhances the performance of the organisation (O/M/A).

It is an approach to managing people that facilitates the achievement of results by planning staff performance, implementing strategic staff development and reviewing performance. It articulates organisational objectives in terms of individual performance, results and priorities, and by doing this is a way of motivating staff members to achieve their full potential in line with the organisation's (O/M/A's) purpose.

A PMS is a systematic approach to:

- Translating organisational intent into unit/team objectives and individual results;
- Improving individual and team performance in order to achieve organisational objectives through:
 - ensuring a shared understanding of objectives, results, values and priorities;
 - the provision of relevant development and coaching; and
 - focused and relevant feedback.
- A shared process between supervisors/managers, units/teams and individuals;
- Management by contract rather than by demand; and
- Focused strategic competency development.

The purpose and uses of the PMS are to:

- Provide a framework for strategic planning and management;
- Develop, improve and articulate a shared understanding of organisational objectives, priorities and values;
- Join the organisation together through the integration of organisational objectives and individual results;

- Provide processes to improve work planning and channels of communication;
- Ensure understanding, empower staff and improve team and individual performance through clarification of roles, accountabilities, responsibilities and expectations;
- Provide for the identification, prioritising, development and coaching of competencies and individual potential;
- Create a performance oriented culture and sustain motivation;
- Underpin a culture that supports achievement and calculated risk taking, rather than one that seeks to blame or find fault;
- Encourage the early identification and turn around of unsatisfactory performance through coaching and support;
- Serve as input for recognising and rewarding of above solid performance; and
- Attract and retain skilled staff.

The critical success factors are the underlying driving forces (critical enablers) in the successful implementation of the PMS. They underpin the PMS Principles and Framework and provide the necessary supporting environment in effectively managing performance in the Public Service of Namibia.

8.1 ALIGNMENT TO NATIONAL DEVELOPMENT GOALS

The core of the PMS is aligning the O/M/A's planning process to Vision 2030 and the national development goals and objectives, and cascading the goals and objectives down through unit plans to the lowest level in the organisation.

8.2 AN INTEGRATED APPROACH

As a complimentary and supportive process that provides the backbone for a performing organisation (O/M/A), the PMS should be approached as an integrated and informative process to organisational (O/M/A) direction, i.e. through strategic planning; other processes, e.g. human resources management and development; and Public Service Reform Initiatives (PSRIs).

8.3 PERFORMANCE-BASED

Human resources management within the Public Service of Namibia is based on performance and demonstrated ability as defined in performance agreements, which contain performance areas related to performance criteria.

8.4 PERFORMANCE FEEDBACK AND DEVELOPMENT

The public service recognises that staff members are its key resource. The PMS therefore provides the framework for a participatory process for determining results, continuous performance dialogue and feedback and the growth of its human resources. In this regard it ensures that staff members receive ongoing development and coaching resulting in the enhancement of capacity and the long term benefit of both staff and the organisation.

8.5 PERFORMANCE MONITORING, ASSESSMENT AND VERIFICATION

Performance at all levels within the Public Service should continuously be monitored, assessed, verified and aligned to provide for credible performance feedback, public accountability and performance recognition.

8.6 RECOGNITION OF PERFORMANCE

8.6.1 Management of Poor Work Performance

Poor work performance should be managed, using a range of techniques, so that such occurrences are not only treated as a disciplinary matter, and sanctions are considered as a last resort.

8.6.2 Recognition of Above Solid Performance

Performance that exceeds expectations, as per the performance agreement, should be recognised. The recognition of such performance is based on the staff member's contribution to the overall achievement of the O/M/A and should motivate towards improved performance.

8.7 ITERATIVE

The PMS should be progressive and dynamic in order to incorporate learnings, reviews and developmental issues, given the Namibian Public Service context, and managed to secure continuity and equity.

9.1 PROCESS OVERVIEW**9.1.1 General Description**

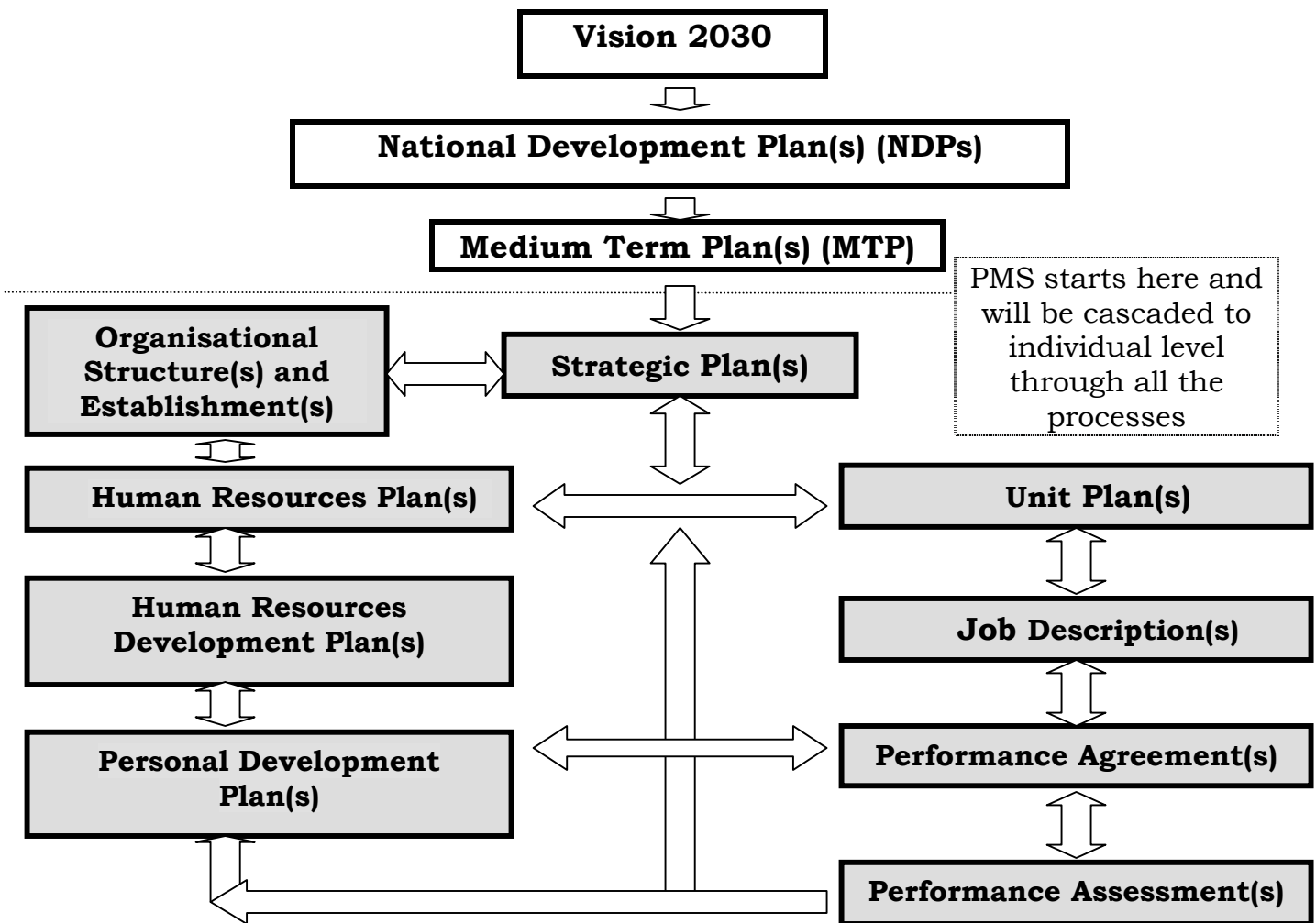
The PMS process starts with strategic plans at O/M/A level, which are aligned to Vision 2030, the National Development Plan(s) (NDPs) and the Medium Term Plan(s) (MTPs). The strategic plans should be cascaded down through departmental, directorate, divisional and/or sectional plans (unit plans) to the individual level where each staff member and his/her supervisor/manager enter into an annual performance agreement.

Apart from the strategic plans, organisational systems and processes play a key supporting role and should be in place in O/M/As for the optimal implementation of the PMS. These systems and processes include human resources policies, the competency framework, the organisation structure and establishment (O&E), job evaluation and grading (JEG), human resources plans (HRPs), human resources development plans (HRDPs), job descriptions for all positions in the O/M/A and management information systems (MISs), e.g. the HRIMS.

Performance agreements form the basis for performance assessment of individual staff members. The outcome of the performance assessments serves as feedback loop into the strategic planning, organisational and human resources processes.

This PMS process is illustrated in the diagram on the next page.

9.1.2 The Performance Management Process



The PMS consists of the elements that are explained in detail below.

9.2 THE PLANNING PROCESS

9.2.1 Strategic Planning at O/M/A Level

Strategic planning in the Public Service of Namibia is mandatory as the strategic plan forms the critical link between national high-level initiatives and organisational (O/M/A) purpose and direction. Strategic planning is therefore aligned with high-level initiatives/programmes such as:

- Vision 2030, i.e. “A prosperous and industrialised Namibia, developed by her human resources, enjoying peace, harmony and political stability”;
- NDP(s), i.e. a five year plan containing the key national objectives, strategies and targets for the sectors; and

- MTP(s), containing PEMP objectives, budget ceilings and O/M/A aligned priorities, specific programmes and funds allocated per programme. Data on PEMP measures per O/M/A is also provided.

In order to fulfil this critical link, strategic plans should be in line with the guidelines provided by the Directorate Management Services (DMS) in the OPM (see Annex A) and should have:

- high level statements, i.e. the vision, mission, ministerial objectives and core values;
- identification of issues affecting the performance of the organisation (O/M/A);
- strategies;
- (performance) indicators;
- implementation date(s);
- responsible unit/person(s);
- resources required; and
- assumptions.

It should be reviewed annually and be cascadable through unit plans to individual level.

O/M/As should request assistance from the DMS in the OPM in the compilation and reviewing of strategic plans.

9.2.2 Cascaded Planning at Unit Level

To provide a sound basis for the management of performance and give effect to the PMS, the strategic plans should be cascaded down through departmental, directorate, divisional and sectional plans (unit plans) to performance agreements at individual level.

Unit plans should have:

- strategies that will be carried out to achieve ministerial objectives;
- performance indicators, cascaded from and aligned to performance indicators in the strategic plan, that will show how the unit is performing in achieving the ministerial objectives;

- resources such as financial, human, material and/or equipment that will be required to carry out the identified strategies;
- implementation/target date(s) within which the strategies should be carried out; and
- responsibility in terms of units, and ultimately staff members, for carrying out activities under each strategy.

These plans should be:

- based on the O/M/A strategic plan;
- reviewed annually;
- cascading down to individual level.

O/M/As should request assistance from the DMS in the OPM in the compilation and revision of unit plans.

9.3 SUPPORTING ORGANISATIONAL AND HUMAN RESOURCE PROCESSES

9.3.1 Competency Framework and Profiles

Competencies are the knowledge, skills, abilities and behaviours that staff applies in achieving results. Because of the direct link between competence(s) and performance a competency-based human resource management approach is followed in the Public Service of Namibia.

The Accounting Officer of every O/M/A should facilitate the development of competency profiles for senior management and staff members in the O/M/A. These competency profiles should be aligned to the competency framework of the Public Service of Namibia, once developed. Interim guidelines and supervisory/management competencies for the development of competency profiles are provided in Annex B.

9.3.2 Organisation and Establishment (O&E)

Structure should follow strategy, as non-aligned strategy and structures poses performance challenges to an organisation (O/M/A). To ensure that the organisation and establishment of an O/M/A support the achievement of the strategic plan, organisational structures will only be reviewed once the strategic planning process in an O/M/A has been completed.

O/M/As should request assistance from the DMS in the OPM in the compilation and revision of organisations and establishments.

9.3.3 Job Evaluation and Grading (JEG)

Job evaluation and grading leads to proper grading and evaluation of positions, which facilitates the development of job descriptions, competency profiles and performance agreements. The PMS on the other hand, can however, not be used to either increase or decrease a staff member's grading.

The job evaluation and grading system of the Public Service of Namibia is currently under review and the factors and guidelines to be used in the new job evaluation and grading system are still being determined.

O/M/As should request assistance from the DMS in the OPM in the evaluation and grading of positions on their establishments.

9.3.4 Human Resources Plans (HRPs)

Human resource planning is mandatory for O/M/As, i.e. determining and closing the human resources gap to accomplish the strategic plan, taking into account affirmative action and/or employment equity. The Guidelines for Human Resources Plans are attached in Annex C.

O/M/As should request assistance from the DHRM in the OPM in the compilation of HRPs.

9.3.5 Human Resource Development Plans (HRDPs)

Resultant from the HRP an O/M/A develops a Human Resources Development Plan (HRDP) detailing strategies for the closing of the competency gaps of staff in order to facilitate the achievement of performance to agreed performance criteria. The Training Policy for the Public Service of Namibia, which is currently under review, supports HRDP-based staff development and the PMS. Guidelines for the compilation and implementation of HRDPs are provided in Annex D.

O/M/As should request assistance from the DHRD in the OPM in the compilation of HRDPs.

9.4 PERFORMANCE PLANNING

In a modern public service all supervisors/managers have human resource management responsibilities. Responsibility for performance and ensuring the ongoing improvement thereof is shared between the supervisor/manager and the individual staff member. Performance planning therefore is a system of agreeing the results a staff member is expected to deliver by linking these results with the strategic and unit plans and required competence. This is achieved by using the strategic and unit plans, job description, performance agreement and personal development plan, as detailed previously and below.

9.4.1 Job Descriptions

The job description is one of the source documents for the development of performance agreements for individual staff members. It is essential that all positions in O/M/As have job descriptions in place. The elements of the job description are:

- Purpose of the job;
- Competency profile;
- Requirements of the job;
- Job Responsibilities.

For further guidance O/M/As should consult the DMS in the OPM.

9.4.2 Performance Agreements (PAs)

The performance agreement is a description of an agreed understanding of the expected level of performance of an individual staff member by his/her supervisor/manager. At the beginning of a fiscal year, a staff member together with his/her supervisor/manager meet to discuss and agree on the results and performance criteria for the ensuing year, i.e. the performance cycle. After such a discussion they both sign the performance agreement, which forms the basis for the assessment of the staff member's performance for that performance cycle.

The objectives of the performance agreement are to:

- inculcate the culture and management of performance;
- focus on results (outputs and/or outcomes) by linking ministerial, departmental, directorate, divisional and/or sectional performance objectives to results expected of individual staff members at different levels;
- determine the results and performance criteria that each staff member should meet during the performance cycle; and
- provide the basis for the assessment of the overall performance of the staff member.

The performance agreement should reflect the unit objectives, key results, performance indicators and targets, assumptions, resource requirements, values, and organisational contribution that are related to the O/M/A's strategic plan, cascaded through to individual level. The performance agreements for staff members in supervisory/managerial positions will also include supervisory/management results.

The performance agreement is valid for a performance cycle of 12 months, starting 1 April of a year and ending 31 March of the following year to coincide with the fiscal year.

The Guidelines for performance agreements and guideline format are attached as Annexes E and F respectively.

9.4.3 Personal Development Plans (PDPs)

Staff can only be expected to meet a performance agreement when they have the required competence to perform accordingly. Each staff member should therefore have a Personal Development Plan (PDP), which describes his/her development needs and goals for the performance cycle. The PDP is drawn up in consultation between the supervisor/manager and staff member and supports the accomplishment of the performance agreement. The guidelines and format for the compilation of a personal development plan are attached as Annexes G and H respectively.

9.5 CONTINUOUS PERFORMANCE MONITORING AND FEEDBACK

Monitoring and feedback is a continuous regular formal and informal communication process between staff and supervisors/managers regarding performance. Monitoring and feedback is effective when it is timely, specific, covers both positive and negative aspects, focuses on continuous improvement and is a two-way communication process between the staff member and his/her supervisor/manager. Coaching and development are cornerstones of this process. The formal performance assessment process cannot replace this usual, ongoing management of staff.

9.6 PERFORMANCE ASSESSMENT

The performance assessment summary is the summative conclusion of the entire performance management process between the staff member and supervisor/manager for an assessment period. The core of performance management is performance dialogue, feedback, assessment and development, not the completed form, and should be treated as a complete process for success.

During the performance cycle, two formal performance assessment summaries are done. One for each assessment period. As the performance cycle coincides with the fiscal year, i.e. starts 1 April of a year and ends 31 March of the following year, the formal performance assessment summaries will be done at the end of September for the assessment period April to September and March for the assessment period April to March.

The performance assessment reflects on aspects such as performance agreement implementation, results and value assessment, and organisational contribution.

Assessment of performance in these performance areas results in the overall assessment of the staff member and action to be taken (in the following assessment period). Provision is made for assessment ratings of Poor (P), Needs Improvement (N), Solid Performance (S), Exceeds Expectations (E): Makes a Significant Difference (M) or Excellent (X).

The Guidelines for performance assessments are attached as Annex I. The guideline formats for the performance assessment Summary(s) for both staff members and supervisors/managers are attached in Annex J.

9.7 PERFORMANCE RECOGNITION

Performance of staff should be recognised in a fair, relevant and equitable manner, and should facilitate improved performance. Informal recognition of performance forms part of the continuous monitoring and feedback process between staff and supervisors/managers. Formal recognition of performance is awarded in the form of non-monetary rewards to staff who obtain an overall assessment of above “Solid Performance” in the March performance assessment summary. Rewards are administered after verification by the Performance Management Committee (PMC). Guidelines for Performance Recognition are provided in Annex K.

9.8 POOR WORK PERFORMANCE

Poor work performance by a staff member is detrimental to the O/M/A and Public Service and should be managed by supervisors/managers as part of the continuous performance monitoring and feedback process. Continued poor work performance, i.e. under-performance by a staff member, should be dealt with according to Sections 25 and 26 of the Public Service Act, Act 13 of 1995, the Code of Good Practice of the Labour Act, Act 6 of 1992, and PSSR E.X Part 1 (Poor Work Performance, Misconduct and Disciplinary Action). Poor work performance is considered when:

- An overall assessment of “Poor” (P) is obtained in the March performance assessment summary; and/or
- An overall assessment of two consecutive “Needs Improvement” (N) ratings are obtained in the March performance assessment summary and the supervisor/manager can demonstrate that the necessary development/training and support have been provided and that no improvement is forthcoming. However, the supervisor/manager can use his/her discretion to initiate the process earlier if no improvement is shown.

For further guidance, the supervisor/manager should familiarise him/herself with the above-mentioned documents.

9.9 PERFORMANCE ASSESSMENT APPEALS

Staff members have the right to appeal against a performance assessment summary if the assessment was not based on the performance agreement and/or the process of performance management has not been fair and transparent. Appeals should be resolved by the second line supervisor/manager, but if unresolved should be referred to the PMC for a final decision. The guidelines, terms and conditions for performance assessment appeals are provided in Annex L.

9.10 PERFORMANCE VERIFICATION

Performance management does not only focus on individual staff performance, but requires of all staff in supervisor/management positions to, as a daily responsibility, continuously monitor, assess, correlate and verify performance against other performances of staff/units (horizontally and vertically) and against the unit/O/M/A strategic plans. This is done both informally and formally.

In this regard, and apart from monitoring performance against performance plans, performance verification gives serious consideration to the cumulative (sum) effect of performance(s), e.g. the sum of individual staff members' performances as compared to the unit's performance in the achievement of the unit plan. This principle of upward correlation of performance should be applied throughout the organisation and will ultimately, at organisational level, provide feedback on the O/M/A's performance and lead into organisational and national planning and management processes, e.g. in the form of Medium Term Plans (MTP).

The purpose and result of performance evaluation and verification are to ensure:

- continuous progress towards set objectives;
- alignment of performance(s);
- timely feedback and management of performance;
- support and coaching where necessary;
- equity, and
- moderation of performance.

The process of performance evaluation and verification is the basis for both strategic and operational management of the O/M/A, but should at a minimum

be conducted formally bi-annually at organisational (O/M/A) level by the PMC of the O/M/A.

The Guidelines for performance verification are attached as Annex M and the Guidelines for the Performance Management Committee (PMC) as Annex N.

Each O/M/A is responsible for the utilisation, management and custodianship of performance information:

- to optimise the performance of staff and the O/M/A;
- as feedback into the national, strategic and operational planning and management processes;
- for human resources management; and
- as input to other organisational processes and Public Service Reform Initiatives (PSRIs).

In this regard, there is also a need to monitor and evaluate O/M/A performance information and assessment results across the Public Service for, amongst others, strategic progress analysis and planning, human resource planning, financial (budget) indicators and determining the efficiency within the Public Service.

The Guidelines on information management are attached as Annex O.

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GUIDELINES ON THE STRATEGIC PLANNING AND MANAGEMENT PROCESS

1. PURPOSE

Strategic planning assists to shape the future, examines the present opportunities and limitations facing the organisation (O/M/A), both inside and outside, and helps to plan how to get the organisation (O/M/A) from where it is now to where it wants to be.

2. MILESTONES IN THE STRATEGIC PLANNING PROCESS

The minimum requirements in a strategic plan to implement the PMS are as follow:

2.1 Clarifying the Mandate: High Level Statements: Vision, Mission, Objectives and Core Values

- A Vision statement that states the desired state of the O/M/A over a number of years.
- The Mission statement states why the organisation exists and should be short, clear and specific.
- The Objectives should be in terms of the mandate of the O/M/A.
- The Core Values are a set of beliefs/principles according to which the O/M/A will work, e.g. accountability, transparency, etc.
- These should be aligned to Vision 2030, NDP, MTP (PEMP and MTEF), the Charter Principles, Sector-specific Policies, and other PSRIs.

2.2 Ministerial Initiatives

2.2.1 Environmental Scanning

This should be a statement of the O/M/A's current strengths and weaknesses, as well as opportunities and threats in the environment that the O/M/A must address in order to meet its objectives. There should be a clear indication of the issues that affect the performance of the O/M/A in the areas of managerial, financial, organisational and operational. Building on the strengths and addressing weaknesses is a key consideration of the performance management process.

2.2.2 Translating Strategy into Action: Ministerial Logical Framework

Strategies should be developed to address the identified issues. These issues should be translated into action through an action plan, which should include the strategy(s), the indicator(s) (e.g. % reduction/improvement over a period),

implementation/target date(s), the responsible unit(s) or person(s), resource requirements and assumptions, as per the example provided below:

EXAMPLE OF AN ACTION PLAN

Objective: To have a Human Resources Development Policy for the Public Service of Namibia.

Strategy	Indicator	Implementation Date	Responsible Unit/Person
Revising, drafting and editing HRD policy by HR practitioner and legal drafter.	HRD Policy in place for the Public Service of Namibia	September 2006	DHRD/Director: HRD

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GUIDELINES ON COMPETENCY PROFILING

Competencies are the knowledge, skills, attitudes (KSAs) and behaviours needed to perform. Developing a competency profile and competency standards for a position (post) is possible through descriptions of effective behaviours or components thereof that are related to the possession of required competencies.

It is the responsibility of each supervisor/manager to develop and maintain a detailed competency profile, with competency standards and ceilings, for all positions under his/her supervision, based on:

- the Personnel Administrative Measure (PAM) for the job category;
- the job description for that position;
- the documented criteria for performance as per the performance agreement (The adjustment of the competency profile based on (re)negotiated performance agreement(s) should only be accommodated when substantial changes in the job content occur, i.e. in exceptional cases, and should still reflect and align with the competencies identified in the Competency Framework for the job level and category, once compiled); and
- the generic competency framework for that job category (once compiled) and job level, i.e. entry, supervisory, management or top management.

The competency profile is the combination of competencies unique to a specific job and consists of –

- Core competencies derived from –
 - those generally characteristic of a certain job category on a specific grade/level (derived from the job description in the PAM); plus
 - those specific to the actual job within the O/M/A;
- Differentiating competencies, where applicable (derived from, amongst others, the mandate and strategic direction of the unit and O/M/A); and
- Generic competencies for supervisory, management and top management levels (derived from the generic competency framework guidelines provided).

(Detailed definitions of these competencies are provided in the Glossary.)

The generic competencies identified and described for the supervisor/management levels in the generic competency framework should be understood as building onto each other, i.e. the lower level generic competencies expected from the supervisory level are also applicable to managers and top management, and the management competencies to top management, as “must have’s”. The competencies identified for the higher levels are therefore in addition to the lower level generic competencies.

The following basic steps illustrate the developing of a competency profile:

EXAMPLE:

Record Clerk (Entry Level)

The PAM gives the job description as:

- (i) record-keeping that includes the updating of statistics, registry indexes, and record cardex systems;
- (ii) ordering and issuance of stationery, office furniture, etc.;
- (iii) replying to enquiries and routine correspondence; and
- (iv) serving of office equipment with regard to record-keeping.

A possible list of competencies would be:

Knowledge	Skills	Attitude/Behaviours
<ul style="list-style-type: none"> • Filing or recording systems • Treasury instructions and financial procedures for ordering and issuing stationery, office equipment, etc. 	<ul style="list-style-type: none"> • Basic writing and arithmetic skills • Accuracy, speed and exactness in dealing with details 	<ul style="list-style-type: none"> • Helpful and service-oriented • Capable of routine tasks without losing concentration • Loyalty towards employer and respectful of government property and information • Respects confidentiality

The general core competency associated with record keeping would be “knowledge of filing or recording systems”. However, the type of system is determined by the actual job. This may vary greatly from position to position, from specially developed in-house to internationally accepted external systems. A record clerk working at the weather bureau, the archives, veterinary laboratory, etc. will differ on the specific system they need to know.

A differentiating competency may be required where the record clerk is utilised, in addition to the basic requirements for the position, to process general records to feed a specific database used for research, e.g. linking rabies tests to areas of occurrence to study patterns of infection in antelopes. This may require more sophisticated knowledge or use of specially designed software, etc.

A record clerk on supervisory level would have the generic supervisory competencies added.

From this illustration it can be seen how the core, differentiating and generic competencies build up to profile each position in the public service up to and including management and top management.

The competency profile should clearly distinguish between entry requirements and competencies to be developed whilst in the employ of the O/M/A.

Example: Record Clerk (Entry Level)	
Skills: Basic writing and arithmetic skills	Recruitment: Grade 10 Development in employ: Letter and minute writing skills Means of development: <ul style="list-style-type: none"> • Course on letter and minute writing (This information should also be reflected in the individual's Personal Development Plan) • Coaching by supervisor/manager

The competency profile(s) should be compiled in consultation with stakeholders (amongst whom the incumbents of the positions and their supervisors/managers), experts in the occupation/field and benchmarking.

It is required of supervisors/managers to ensure fair and defensible competency profiles amongst positions within the same job category.

GENERIC COMPETENCIES

Generic competencies are identified for three levels of supervision/management, as interim measure until the Competency Framework for the Public Service of Namibia is finalised. These interim competency guidelines are provided on pages 45 to 48.

GENERIC SUPERVISORY COMPETENCIES

Application: First Supervisory to below Deputy Director Level(s)

A. TECHNICAL COMPETENCE

- Know-how/advice and support (vertical and horizontal)
 - Strategic knowledge in area of responsibility
 - Technical
- Verbal/written expression and documentation management

B. TEAM MANAGEMENT

- Business plan implementation
 - Strategy cascading and buy-in
 - Work co-ordination and processes
 - Performance management
- Resource management
 - Financing
 - Equipment and supplies
 - Office environment
- Control
- Staff inventory management
 - Filling of posts
 - Development
 - Induction
 - On-the-job-training
 - Coaching
 - Formal training/development interventions
- Staff morale
- Diversity management

C. BUSINESS

- Systems approach (intra and inter-organisational/O/M/A)
 - Networking with other teams
 - Networking outside the organisation (O/M/A)
- Customer (service user) care and consultation

GENERIC MANAGEMENT COMPETENCIES

Application: Deputy Director to below Permanent Secretary Levels

A. FOCUS

- Development
 - Analysis
 - Projection
 - Planning
- Management
 - Buy-in
 - Transformation
 - Impact

B. PEOPLE RESOURCES

- Efficient staffing
 - Sourcing persons with right competencies (KSAs)
 - Development e.g. coaching, exposure and training
- Quality of work life
 - Recognition
 - Deployment i.e. managing individual and team performance
- Diversity management

C. MATERIAL RESOURCES

- Financing
 - Budget provision
 - Accountability
 - Spending
- Materials
 - Technology e.g. IT
 - Transport, equipment and supplies, etc.
- Information
 - Availability
 - Application

C. ENVIRONMENT

- Business and customers/service users
- Systems and processes
- Communication and consultation
- Performance entrenched

~ Towards Better Performance ~

GENERIC TOP MANAGEMENT COMPETENCIES

Application: Accounting Officers

A. PURPOSE AND DIRECTION

- Create future vision
- Communicate and achieve buy-in
- Harnessing ideas and opportunities

B. IMPACT

- Delivering sectoral results
- Achieving efficiency gains
- Ensuring optimal operations
 - Make best use of diverse talents, technology and resources to deliver results
 - Facilitating streamlined systems/inter-dependencies
- Investing in people/human capital (getting the best out of people)
- Effecting a value-based work culture
(Inspirations taken from The Charter for the Public Service in Africa and Namibian Public Service Charter, e.g.
 - Professionalism
 - Ethics, i.e.
 - Professional discipline
 - Integrity
 - Impartiality
 - Public-spiritedness
 - Dignity
 - Equity
 - Fairness
 - Courtesy
 - Integrity and moral rectitude
 - Conflict of interest
 - Political neutrality and duty of confidentiality)

C. POLICY ADVICE AND DEVELOPMENT

- Managing and optimising the political-administrative interface

THE LAYERED ORGANISATION

AREAS OF COMPETENCY EMPHASIS

To further facilitate the understanding of and to differentiate between the various levels of supervision/management within the Public Service of Namibia the following areas of competency emphasis are provided.

A. TOP MANAGEMENT CADRE

Secretary to Cabinet	<ul style="list-style-type: none"> • Vision and Norm Setting • Public Sector Coordination
Permanent Secretary	<ul style="list-style-type: none"> • Political-Administrative Interface Management • Management of Sector Inter-dependencies • Cutting-edge Leadership
Deputy Permanent Secretary	<ul style="list-style-type: none"> • Organisationally Dependent • Management Support to PS and USs

B. MANAGEMENT CADRE

Under Secretary	<ul style="list-style-type: none"> • Systems/Process Coordination • Intra-dependency Management • Mandate Management
Director	<ul style="list-style-type: none"> • Technical Policy Development • Functional Liaison
Deputy Director	<ul style="list-style-type: none"> • Team Capacity Building • Operations Coordination

C. SUPERVISORY LEVELS

Guideline areas of competency emphasis for supervisory levels are provided below. Job levels indicated are just examples and will vary in job categories. Supervisory levels should, however, be applied in all job categories. The appropriate supervisory level should be identified by the O/M/A and indicated in the job description.

3 rd Supervisory e.g. Chief Control Officer	<ul style="list-style-type: none"> • Section Level <ul style="list-style-type: none"> ○ Control ○ Content (Product/Service/Technical/Work) ○ Discipline and Conduct
2 nd Supervisory e.g. Control Officer	<ul style="list-style-type: none"> • Sub-section Level <ul style="list-style-type: none"> ○ Control ○ Content (Product/Service/Technical/Work) ○ Discipline and Conduct
1 st Supervisory e.g. Chief Clerk	<ul style="list-style-type: none"> • Individual Level <ul style="list-style-type: none"> ○ Control ○ Content (Product/Service/Technical/Work) ○ Discipline and Conduct

~ Towards Better Performance ~

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GUIDELINES ON HUMAN RESOURCES PLANS

Each O/M/A should annually develop and/or review the Human Resources Plan (HRP) for the O/M/A based on, resultant from and as part of its strategic as well as unit plans.

A Human Resources Plan (HRP) describes the HR issues, requirements and strategies to accomplish the strategic plan, taking into account affirmative action and/or employment equity. The HRP contains, amongst others,

- competency and competency level requirements in terms of the strategic plan, which include job categories, levels and numbers;
- special skill requirements;
- formal adjustment of the organisational structure, including the adjustment of job categories to meet the above, when required;
- strategic human resources issues, e.g. affirmative action plans, staff turnover, staff motivation levels, organisation culture issues, etc.; and
- HR strategies to meet these requirements, i.e. to close any existing gaps.

The HRP will therefore usually include strategies on recruitment, staff movements, contracting, organisation and establishment (O&E), job evaluation and grading (JEG), budgeting and other operations.

The HRP information can also be used to allocate resources and priorities, or to change current policy or program directions to meet O/M/A objectives, and report on the success in meeting those objectives in each unit, as well as inconsistent or conflicting (program) objectives. The HRP information should be used to stimulate strategic planning or provide feedback and accountability to policies and, as such, Permanent Secretaries can use the HRP information to serve as indicators of how well the O/M/A is doing in achieving its HR objectives (refer Annex M for guidelines) and to add value to the Public Service of Namibia.

The HRP information will help the OPM, as a policy making body, to decide on the HR processes and related costs, including the cost of data collection and processing, and balancing these processes and costs against gains and the efficiency and effectiveness of the Public Service of Namibia, e.g. the introduction of a PMS.

The Permanent Secretary, through the Personnel Office, should monitor the HRP throughout the year to facilitate the necessary support for its success and to ensure the plan is implemented and effective.

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GUIDELINES ON HUMAN RESOURCES DEVELOPMENT PLANS

Each O/M/A, under custodianship of the Permanent Secretary, is expected to annually develop a Human Resource Development Plan (HRDP) for the O/M/A, based on and resultant from its Strategic and Human Resources Plans (HRP), performance verification analysis and the individual personal development plans developed from the performance agreements.

The HRDP should align with the Training Policy for the Public Service of Namibia (currently under review) and should clearly indicate the competence and human resources development needs and priorities for the O/M/A, and strategies and resource allocations to pro-actively address the identified O/M/A requirements. These should include both formal and informal development interventions planned. The Plan should align national, organisational and individual performance and competence development needs to ensure systematic, focused and efficient staff development within the O/M/A. Constraints experienced by the O/M/A in meeting the human resource development needs, and strategies to address these, should also be described.

Reliable data and statistics, e.g. a competency audit of current staff and development interventions undertaken per fiscal year should, in addition to other sources e.g. as mentioned above, should be readily available from the HRD databank and be a primary source for the drawing up of the HRDP for the O/M/A. In support hereof, the HRDP should be compared to the HRDP of the previous year to determine the success of the previous HRDP and to advise on strategies for the current year.

The Permanent Secretary, through the Ministerial Training Committee (MTC), fulfils an ongoing monitoring function to ensure that the plan is effective, implemented and to facilitate the necessary support for its success. This can only be achieved if the HRDP is rolled out in an organisational culture conducive to [sustained](#) development. The O/M/A leadership, management and supervisors are responsible for and should play an active role in creating this organisational culture [wherein learning prevails](#); intellectual capital, competence and competency growth is recognised, respected and optimised; and return on investment ensured.

Guidance in the development of the HRDP can be sourced through the O/M/A strategic planning process, the MTC, the Training Officer and/or the DHRD in the OPM.

To encourage and support participation in government-wide development strategies, contribute to continuous improvement in the public sector and ensure high quality human resources, the O/M/A HRDP should be submitted annually (or otherwise whenever substantially adjusted) to the DHRD in the OPM for co-ordination, integration and facilitation purposes. Amongst its functions, the DHRD will specifically advise, liaise and/or provide for the (strategic-)generic competency development needs identified for the O/M/A in its HRDP. This is done within the context of public service wide (strategic)-generic competency development programmes (SGPs) and priorities.

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GUIDELINES ON PERFORMANCE AGREEMENTS

1. HOW TO COMPILE A PERFORMANCE AGREEMENT

1.1 Signing a Performance Agreement

Prior to the beginning of the fiscal year, a supervisor/manager should meet with his/her staff member(s) to discuss and agree on the performance areas, i.e. key results (KRs), values, organisational contribution and, where applicable, supervisory/management results (S/MRs), and performance criteria each staff member will be responsible for in the ensuing performance cycle, starting 1 April and ending 31 March to coincide with the financial year. The performance agreement reflects only the performance areas agreed i.e. highest priority areas for the fiscal year, and it is expected from all staff members to complete tasks and uphold values other than those recorded in the performance agreement towards the achievement of organisational (O/M/A) objectives.

After discussion of the performance agreement, a staff member is granted three (3) workdays to reflect on the agreement before signing it. Performance agreements can however be signed earlier. Both the staff member and supervisor/manager sign the performance agreement and all performance agreements must be completed by 31 March.

1.2 Content of a Performance Agreement

The performance agreement should reflect the unit objectives; key results, performance indicators, targets, assumptions and resource requirements; values; and organisational contribution that are related to the O/M/A's strategic plan cascaded through to the respective individual staff member's level. Performance agreements for staff on supervisory/management levels will also contain supervisory/management results. For compilation of the performance agreements, ministerial strategic plans should have already been reviewed and cascaded through unit plans in the O/M/A as per Sections 9.2.1 and 9.2.2 and Annex A.

A guideline format for the performance agreement is attached as Annex F. Reference will be made in the following discussion to the relevant sections in the guideline format.

- 1.2.1 **Unit objectives** [Section B] should be reflected in the performance agreement as derived and cascaded from the strategic plan of the specific O/M/A.
- 1.2.2 **Key Results (KRs)** [Section C] refer to the results for the general areas of responsibility of a staff member.
 - Key results should be significantly contributing to the achievement of unit objectives.

- There should, preferably, be three to five key results reflected in the performance agreement. If individuals are accountable for more than this, they may be overloaded or they may not be delegating effectively.
- Key results should be worded using as few terms as possible with no verbs (i.e. these are about results, not action) and no direction or measurement (e.g. without words such as “good”, “increased” or “decreased”).
- Key results should be weighted to indicate the relative importance of the specific key result in relating to the other key results in terms of the achievement of the unit/organisational objectives.

1.2.3 **Supervisory/Management Results (S/MRs)** [Section D] should be related to supervisory/managerial responsibilities and priorities for the performance cycle, such as human resources and financial management issues (Annex B, pages 45 to 48 can be used as guideline in this regard) and is applicable to all staff members on supervisory/management levels. These supervisory/management results are in addition to the key results agreed for the supervisor/manager for that performance cycle.

- Staff members on supervisory/management levels are expected to identify and agree at least one but not exceeding three supervisory/management result(s) critical to the accomplishment of the unit/strategic plans for the performance cycle.
- Apart from assessment based on the identified supervisory/management result(s), staff members in these positions should note that an assessment will also be made of their general performance as supervisor/manager in line with the competencies identified in Annex B, pages 45 to 48.

For more guidance on supervisory/management results see Annex B.

1.2.4 **Performance Indicators (PIs)** should be developed for each key result. Performance indicators:

- are specific, clear indicators of expected results (performance criteria);
- are used to observe progress and to measure actual results compared to agreed results;
- are usually expressed in quantifiable terms and should be objective as well as measurable (in the form of numeric values, percentages and scores);
- serve to answer how or whether a unit or staff member is achieving key results rather than why such an achievement is or is not made;

- should not exceed three per key result;
- address the following:
 - **how well** (quality) – e.g. right first time, % accurate, number of mistakes or re-do's, % customer satisfaction;
 - **how many** (quantity) – e.g. %, numbers, figures, distance;
 - **when** (time) – e.g. specific dates, interval times, per hour, day, week, month, year; and
 - **how much** (cost), where viable and/or appropriate – e.g. budget limitations, N\$ per unit (unit cost); and
- should address the quality aspect through at least one of the performance indicators per key result.

1.2.5 **Performance Targets** should be established for performance indicators. Performance targets refer to the quantifiable performance level(s) or changes in level(s) to be attained by a specific date. *(Setting performance targets will, in many cases, be guesstimates (trial and error) in the first year of implementation to allow O/M/As to build up baseline information through the first year's performance data).*

1.2.6 **Assumptions** refer to important factors impacting on the achievement of key results that are not within the control of the staff member. Both the staff member and his/her supervisor/manager should indicate the actions that should be carried out in order to manage these assumptions. Staff members and their supervisors/managers must proactively manage inter-dependencies, e.g. between units/ministries, and other environmental complexities. It is insufficient to identify some factor as being out of the staff member's control and to take no further action to, for example, attempt to influence those who are in control thereof.

1.2.7 **Resources** required should be identified. Resources include human, financial, material, equipment, etc. to enable a staff member to accomplish key results.

1.2.8 **Values** [Section E] should be identified per unit per performance cycle that staff members need to uphold in achieving O/M/A/unit objectives and key results. These values should not exceed three per performance cycle. In the identification of these values the Charter for the Public Service in Africa, the Namibian Public Service Charter as well as the core values reflected in the PMS Principles and Framework and the strategic and unit plans of the specific O/M/A should be taken into account. Attitudinal and behaviour aspects can also be addressed in the identification of values (i.e. "colleagueship" norms). The definition, description(s) and/or performance indicators for each identified value and

sources of evidence (e.g. inputs from teams to which the staff member belong, service users, etc.) should be agreed within the unit so that agreed behaviour, and its assessment, giving effect to the value is clarified.

- 1.2.9 **Organisational Contribution** (Section F): When agreeing the performance agreement with a staff member it should be ensured that the complexity, volume and nature of the staff member's expected performance is equitable to staff members' on the same level and that the performance areas of the staff member are aligned to the unit and/or O/M/A objectives, as the staff member will be assessed on his/her contribution to the achievement of such objectives/plans at his/her level as reflected in the unit and/or O/M/A plans (and beyond in case of "Makes a Significant Difference" or "Excellent" ratings, see Annex I, paragraph 4.3.3).

1.3 Weighing of Result Areas

Weight indicates the priority, relative to other performance areas, of a performance area by allocating a percentage to the specific area. Performance areas are key results, supervisory/management results, values and organisational contribution (See Annex I and J for more details). The weighting of a result area should be agreed per unit and the total of all performance areas should add up to 100%. Signing of the performance agreement indicates an agreement to these weightings.

1.4 Source Documents to the Performance Agreement

In compiling the performance agreement both the supervisor/manager and staff member need to take the following documentation into account:

- the strategic plan of the O/M/A cascaded down to that specific unit;
- the ministerial PEMP objectives and measures that are applicable to the level of that specific staff member as reflected in the Medium Term Plan (MTP) of the specific O/M/A;
- the ministerial customer service charter(s) standards that are applicable to the level of that specific staff member, i.e. the standards of service that the O/M/A strives to meet and/or exceed; and
- the job description of the staff member concerned.

1.5 Fairness in Performance Agreements

In compiling the performance agreement both the supervisor/manager and staff member should ensure that:

- they negotiate and agree on the sources of evidence; and

- that the workload of staff members on the same level is equitable in terms of complexity, volume and nature of work.

Although the performance agreement is applicable to all public servants who are covered under the Public Service Act, Act 13 of 1995, the content will vary from one level to another, one job category to another and also within the specific job categories according to the nature and focus of the responsibilities assigned to the particular job.

2. PARTIES TO THE PERFORMANCE AGREEMENT

In all cases, the staff member and his/her supervisor/manager should sign the performance agreement.

For Permanent Secretaries/Accounting Officers, this will be the Secretary to Cabinet and for the Secretary to Cabinet, the Prime Minister. In the case of Permanent Secretaries/Accounting Officers the relevant Minister(s)/Political Office Bearer(s) will have an input in the performance agreement and performance areas for the performance cycle. The Political Office Bearer(s) will co-sign the performance agreement to indicate their consent with the identified performance areas.

In cases where a staff member is reporting to more than one supervisor/manager, these supervisors/managers should decide on who will sign or co-sign the performance agreement.

In cases where a staff member is working in project teams, the supervisor/manager should consult that specific project team (leader) to agree on possible performance areas, e.g. key results, values, performance indicators, targets and weighting regarding organisational contribution, in terms of that specific project.

3. FLEXIBILITY OF PERFORMANCE AGREEMENTS

Adjustment of agreed performance agreements should be highly exceptional and only considered under the following circumstances:

3.1 When circumstances change substantially

When the circumstances change substantially, i.e. new priorities of the O/M/A or performance areas are identified. The performance agreement should be reviewed and updated during the performance cycle to reflect these changes.

3.2 When a staff member leaves a post

Where a staff member changes posts (e.g. is transferred or promoted) during the performance cycle, s/he will be released from further responsibility for the

achievement of the original performance agreement. At the end of the assessment period/performance cycle, the staff member's performance will be assessed on his/her achievements as per the performance agreement in the previous position for the period during which s/he was in the post.

3.3 When a staff member comes to a new post

When a staff member is appointed/transferred/promoted to a post where a performance agreement does not yet exist, the supervisor/manager and new staff member sign a performance agreement, which will be valid for the remainder of the performance cycle. A new agreement will start the following April. Should the remainder of the period in the position for a specific performance cycle be less than three months, however, the period should be incorporated into the next performance cycle and indicated as such on the performance agreement and performance assessment summary of the staff member.

When a staff member moves to a position (appointment/transfer/promotion) where an agreement is already in place, the agreement may be reviewed to reflect changed circumstances and priorities, otherwise the existing agreement will remain in place with the new staff member and supervisor/manager signing the agreement.

The new staff member's performance will be assessed according to the performance agreement over the time period for which s/he is in the post.

3.4 When a staff member is on probation

When a staff member is on probation it is crucial that realistic performance areas and performance criteria are set during the compilation of the performance agreement. Both the supervisor/manager and his/her staff member might even consider setting additional milestone indicators to monitor the progress of the staff member concerned. This is crucial since the assessment of the staff member will be based on the achievement of the performance agreement regardless of whether the staff member is on probation or not.

3.5 When a supervisor/manager changes

If the supervisor/manager changes during the course of the performance cycle, the performance agreement should remain in place for the sake of stability and continuity. However, if there are exceptional circumstances, e.g. where the change of supervisor/manager coincides with a substantial change in unit priorities the performance agreement(s) could be reviewed.

3.6 Leave of absence

The different types of leave of absence should be dealt with according to PSSR D.I. Training/staff development is, however, considered as official duty outside the work environment and should be dealt with as such.

4. DISAGREEMENT RESOLUTION

In case of a disagreement between the staff member and his/her supervisor/manager on the agreed performance areas and performance criteria in the performance agreement, the staff member must indicate in writing within three (3) workdays the reasons for disagreement/dissatisfaction. These reasons and the disputed performance agreement will then be taken up with the second line supervisor/manager (the immediate supervisor/manager of that specific staff member's supervisor/manager) who should reach a final decision on the performance agreement of the staff member within ten (10) workdays of receipt of the complaint.

5. LEGALITY OF PERFORMANCE AGREEMENTS

The performance agreement is not a legal document but a description of an agreed understanding of the expected level of performance from an individual staff member by his/her supervisor/manager and forms the basis for the assessment of the staff member's performance over a specific performance cycle.

The performance agreement differs from the contract of employment, which is between a staff member and the Public Service. The contract of employment is a legally binding document, highlighting the service benefits and conditions of service, but not including the expected level of performance.

Consistent non-achievement of results/performance criteria as per the performance agreement or poor work performance of a staff member should, however, be dealt with according to the PSSR E.X Part I (Poor Work Performance, Misconduct and Disciplinary Action).

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GUIDELINE FORMAT FOR PERFORMANCE AGREEMENTS

GUIDELINE FORMAT FOR A PERFORMANCE AGREEMENT

Performance Cycle: 1 April 20____ to 31 March 20____

A PERSONAL PARTICULARS

Name (Staff Member)	
Salary Number	
Rank	
Division/Section	
Department/Directorate	
O/M/A	

B UNIT'S OBJECTIVES

Objectives	

C KEY RESULTS

Key Results	Performance Indicators	Weight (%)	Performance Targets	Assumptions/ Resource Requirements

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D SUPERVISORY/MANAGEMENT RESULTS

This section should be completed by all staff members on supervisory/management levels.

Supervisory/ Management Results	Performance Indicators	Weight (%)	Performance Targets	Assumptions/ Resource Requirements

E VALUES

Values	Weight (%)	Definition/Descriptors/Performance Indicators (per unit)

F ORGANISATIONAL CONTRIBUTION

Weight (%)

G PERFORMANCE AGREEMENT SIGN OFF

This performance agreement is a true reflection and summary of the performance agreement discussion and will be the performance agreement for (staff member) for the performance cycle.

STAFF MEMBER		SUPERVISOR/MANAGER	
Name		Name	
Signature		Signature	
Date		Date	

~ Towards Better Performance ~

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GUIDELINES ON PERSONAL DEVELOPMENT PLANS

1. COMPILING A PERSONAL DEVELOPMENT PLAN

1.1 Purpose and Key Elements

Staff members use a range of competencies in performing their tasks [refer to the Glossary for definition(s) of competency(s)]. How well they perform (especially the quality) will depend largely on whether and to what extent they possess the required competence. Every staff member in the employ of an O/M/A should therefore have an agreed individual Personal Development Plan (PDP) as part of his/her performance agreement, which is drawn up and reviewed with his/her supervisor/manager for each performance cycle. Job-related development needs and future job requirements need to be negotiated, reflected and prioritised in the PDP of the staff member. The PDP clearly indicates the plan and strategy(s) for the required competency development and related standards for the staff member for at least the performance cycle, but may exceed that performance cycle.

The plan/strategy(s) should include:

- competency requirements;
- interventions the individual should participate in;
- most suitable service providers/resources;
- cost estimates;
- time frames; and
- desired outcomes per development intervention.

1.2 Relation to Unit and HRDPs

The individual PDPs should reflect, feed into, align with and culminate into the unit and O/M/A HRDPs.

1.3 Source Documents

The development needs and standards set within a PDP are drawn from:

- the Strategic and HRDPs for the O/M/A and unit;
- the competency framework, job description, competency profile, and performance agreement for that position/staff member;
- information from the HRD databank on development interventions undertaken in the past by the staff member;

- a competency audit of the staff member to identify competency gaps i.e. analysis of actual performance versus the agreed performance criteria as per the performance agreement;
- consideration of future aspirations and thus development needs relevant to the needs of the O/M/A and Public Service;
- competency gaps can also be identified where 360° feedback, service delivery surveys and/or valid assessment instrument(s) are used, including self assessment and reflection.

1.4 Development Interventions

Development interventions could include:

- additional coaching or support from the supervisor/manager;
- formal or informal development activities e.g.
 - in-service training/on the job training,
 - studying of books, videos, etc.,
 - working on specific projects or with particular staff members,
 - making contact with peers e.g. in other public services,
 - mentoring;
- or other actions.

1.5 Additional Information

The PDP can also provide reliable information about the person's occupational interests, promotion patterns, preferred work settings and personal style for leading, learning, risk taking and working.

1.6 Development Priorities

Priority should be given to develop competencies required for meeting performance criteria for solid performance as agreed in the performance agreement.

Where participation in a development intervention that leads to a (NQA) recognised formal qualification is suggested as the most optimal manner in which to develop the required competency, proof must be provided that such competence cannot be obtained through recruitment strategies and/or that short term service providers are not available within the market, otherwise resources cannot be provided to the staff member to undertake such an intervention. Such instances must be addressed in the HRDP and endorsed by

the Ministerial Training Committee (MTC) and Performance Management Committee (PMC). (Refer also to the guidelines and conditions provided in the Training Policy for the Public Service of Namibia, once completed.)

Participation in differentiating competency development interventions (as defined in the revised Training Policy for the Public Service of Namibia and the competency profile for that position) is a reward for performance. Resources should therefore not be applied to develop the differentiating competencies of staff until the staff member has met the requirements set in the performance agreement for solid performance.

1.7 Non-aligned Development

Over-equipping of staff (as compared to the competency standards and ceilings specified in the competency profile for the post) and development not aligned with HRDPs create expectations which result in not optimising the return on investment and possible loss of human capital and/or performance. Therefore, to ensure planned, focused and needs-based staff development, participation in development interventions not reflected in a staff member's PDP, or which exceeds job requirements/specifications, can only be undertaken in highly exceptional cases and if accommodated/aligned with the O/M/A HRDP and with the consent of the MTC and PMC.

2. PARTIES TO THE PERSONAL DEVELOPMENT PLAN

It is required of each staff member to actively contribute to the development and implementation of his/her PDP and both the staff member and his/her supervisor/manager should agree to and sign the PDP. The primary responsibility for the staff member's learning and development rests with the staff member. It is the supervisor/manager's responsibility to ensure the resources for the accomplishment of the PDP and to facilitate this development, but not to be responsible for the learning outcomes.

It is recommended that the PDP be agreed between the supervisor/manager and staff member in a separate interview from the performance agreement and/or assessment meetings.

Supervisors/managers can consult the O/M/A Training Officer/Unit for assistance in the compilation and implementation of PDPs.

3. IMPLEMENTATION OF THE PERSONAL DEVELOPMENT PLAN

3.1 Relation to Performance Agreement

The content and outcomes of a staff member's PDP should be taken into account and reflected in his/her performance agreement to ensure that the staff member is held accountable for performance improvement, i.e. return on investment e.g.

through agreeing milestone objectives towards the implementation of competency gains.

3.2 Monitoring and Achievement of the Personal Development Plan

It is critical that the supervisor/manager closely monitors competency growth and performance improvement during the implementation of the PDP to optimise the impact on performance. For this purpose, the objectives, intended competency gains and indicators for demonstrated application of competency gains should be determined in collaboration between the staff member and supervisor/manager prior to participation in a development intervention.

On completion, the staff member should discuss the actual gains with his/her supervisor/manager, compare it to the intended gains identified prior to attendance, develop performance improvement indicators (both quantitative and qualitative) and compile recommendations for the implementation of the competency gains in an action plan which would lead to the achievement of the performance criteria agreed in his/her performance agreement.

Should the development intervention not provide the agreed competence(s), it is a supervisory/management function to provide for contingency(s) to ensure that competencies are gained which will enable the staff member to meet the performance agreement.

It is therefore clear that the staff member should pursue, and the supervisor/manager actively facilitate and support, the application of competencies gained towards performance improvement, and to use and create opportunities for the transference of these competencies to other staff who could benefit from such gains.

3.3 Creating a Supportive Environment

Supervisors/managers are expected to create and support a learning environment where staff members are encouraged to apply new competencies, take calculated risks and where mistakes are not treated as failures, but as opportunities for learning, not only by the staff member directly concerned, but also by staff members affected or who stand to benefit from such learning.

3.4 Accountability of Supervisors/Managers

Mutual responsibility for the implementation of staff members' PDPs should be reflected in the supervisor/manager's performance agreement and assessment.

3.5 Non-achievement of Personal Development Plans

The staff member should, in the absence of the accomplishment of the PDP or any part thereof, communicate such constraints and the impact it has on the achievement of the performance agreement to his/her supervisor/manager. If

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there is substantive reason that the PDP as agreed cannot be achieved, alternatives need to be considered and discussed amongst the staff member and supervisor/manager to ensure that the performance agreement is achieved.

In the absence of positive steps and/or support by the direct supervisor/manager, such constraints should be brought to the attention of the second line supervisor/manager and records of such discussions and actions should be kept by the staff member as source of evidence. The staff member should therefore be able to prove that every effort has been made by him/her to address the constraints.

3.6 Relation to Poor Work Performance

Continued poor work performance can only be determined after deliberate and conscientious efforts have been made to develop the competencies required by the staff member who performs poorly. Only then can it be concluded that such a staff member is either unsuitably placed or that disciplinary action is required. For this purpose it is important that a clear track record is kept of performance dialogues and development interventions undertaken in developing and supporting the staff member to meet the agreed performance agreement.

4. REVISION OF THE PERSONAL DEVELOPMENT PLAN

The PDP can be revisited if the need is substantiated, in consultation with the staff member, to ensure its validity throughout the year, i.e. to reflect competency gaps identified through actual performance and/or the implementation of the performance agreement.

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GUIDELINE FORMAT FOR PERSONAL DEVELOPMENT PLANS

GUIDELINE FORMAT FOR A PERSONAL DEVELOPMENT PLAN

Performance Cycle : 1 April 20____ to 31 March 20____

A STAFF MEMBER

Name	
Rank	

B ORGANISATION

Division/Section	
Department/Directorate	
O/M/A	

C COMPETENCY DEVELOPMENT NEEDS (reflected in priority order)

Competency (Knowledge, Skill, Attitude required)	Competency Gains (performance indicator(s) of competence and level to be gained)	Development Intervention(s) (the suggested intervention(s) that will lead to acquiring of the intended competency gains)	Most Suitable Service Provider/ Resource(s)	Time Frame(s)	Cost Estimate(s) (versus budget allocations)	Competency Gains (indicators of demonstrated competency gained after intervention)

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D ADDITIONAL INFORMATION

Information about the staff member's occupational interests, preferred promotion patterns and work settings, personal style for leading, learning, risk taking and working, etc.

E AGREEMENT

STAFF MEMBER		SUPERVISOR/MANAGER	
Name		Name	
Agreement to PDP & implementation thereof	Yes	Agreement to PDP & implementation thereof	Yes
Comments		Comments	
Signature		Signature	
Date		Date	

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GUIDELINES ON PERFORMANCE ASSESSMENTS

The completion of the performance assessment summary form is the summative conclusion of the performance dialogue, monitoring, evaluation, feedback and development between (primarily) the staff member and the first line supervisor/manager for the assessment period.

Most work does not lend itself to 100% accurate objective assessment (measurement). Assessment of performance will therefore always require judgement, especially on the part of the supervisor/manager assessing the performance. No system, guidelines or rules can replace the responsibility of a staff member to perform and a supervisor/manager to manage performance. In essence, what makes performance management work most effectively is ongoing communication.

The formal performance assessment summary describes the process and ultimate meeting where the supervisor/manager and staff member discuss the staff member's performance (results), document progress (successes and under-achievement) and apply a problem-solving approach to overcome constraints.

Individual performance assessment centres on key results and values and, where applicable supervisory/management results, with the focus on the contribution to and impact on unit and organisational achievement and alignment with strategic intent. The process of performance assessment therefore generally does not address ordinary disciplinary matters such as coming to work on time, dress code, excusing oneself from the workplace, etc. These issues are of an operational nature and should be dealt with in terms of PSSR E.X Part I (Poor Work Performance, Misconduct and Disciplinary Action).

1. FORMAL PERFORMANCE ASSESSMENTS

During the performance cycle, starting 1 April of a year and ending 31 March of the following year, two formal performance assessment summaries are done, i.e.

- **end-September:** formal assessment of performance for the period 1 April to 30 September, and mid-performance cycle review of progress, performance trend analysis, and feedback as input to performance dialogue. It also provides an opportunity to identify any performance constraints and to plan strategies to address them, i.e. timely performance planning and management to ensure that the performance agreement is met; and
- **end-March:** formal summative assessment of performance for the complete performance cycle, i.e. 1 April to 31 March, discussion of performance recognition, and input to performance planning, the performance agreement and performance management for the next performance cycle. The performance assessment summary done at the end of September should be taken into account for this final performance assessment summary to reflect performance over the complete performance cycle.

2. PARTIES TO THE ASSESSMENT OF PERFORMANCE

- 2.1 The **supervisor/manager(s)** who signed the performance agreement should have the key role in assessing and summarising the performance of the staff member for the assessment period. When the supervisor/manager has changed during a performance cycle, performance assessments (summaries) done by the previous supervisor/manager should be used, in addition to the new supervisor/manager's assessment as input into the performance assessment summary of the staff member.
- 2.2 The **staff member** should complete a performance assessment summary, as a self-assessment, prior to the formal performance assessment summary meeting. This is not to be submitted formally, but to provide a basis for his/her participation in the performance discussion and agreement of the performance assessment summary.
- 2.3 **Other stakeholders** (e.g. other supervisors/managers, colleagues and/or service users) may provide input to the formal assessment of performance if their input was agreed as a source of evidence during the performance agreement discussion.
- 2.4 The **Performance Management Committee** (PMC) performs a performance monitoring and verification function regarding O/M/A/unit and, where necessary, individual performance, adjudicates all performance assessment appeals and assessments of staff members involved in pending misconduct cases, and evaluate and confirm all performance rewards before implementation.

3. PRINCIPLES UNDERPINNING ASSESSMENT OF PERFORMANCE

- Assessment is fair, i.e. the assessment is based on merit, determined through continuous, consistent, fair and accurate performance dialogue, monitoring, feedback, development and assessment.
- Staff are assessed transparently, i.e. they
 - are assessed on and in the manner agreed in the performance agreement (i.e. based on the agreed performance areas and performance criteria);
 - have access to all information used to assess their performance; and
 - have the opportunity to comment on any aspect regarding their performance agreement and/or assessment i.e. there will be no surprises in the assessment of performance.
- Assessment is impartial from personal, subjective and/or political factors.

- The performance assessment reflects differences in performance, i.e. variations in the performance of a staff member and amongst staff members are accurately identified and acknowledged in the performance management and assessment process.
- The performance management and assessment process has as primary concern performance improvement, problem solving, solution generation and a developmental focus.
- Assessment of performance is not only based on the achievement of results and upholding of values, but will reflect on the quality, depth and impact achieved through attaining the results and/or upholding the values.
- Individual performance is managed and assessed in the context of unit and O/M/A performance. The focus should therefore be on demonstrated results, values and organisational contribution.

4. COMPLETING THE PERFORMANCE ASSESSMENT SUMMARY FORM

The purpose of the assessment is not to provide a complete picture of the individual staff member's performance, but to summarise such for analysis, formal assessment and future action purposes. The core of performance management is discussion, diagnosing, recognising and improving performance, not the completed form and should be treated as a system (complete process) for success.

4.1 Steps in the Process

4.1.1 Notification of the Staff Member

- The supervisor/manager is responsible for arranging a meeting with the staff member to discuss the performance assessment summary. The meeting should be confirmed (in writing) with the staff member at least three (3) workdays in advance of the scheduled time to allow for preparation. The supervisor/manager and staff member should mutually determine the formality and period of notification.
- Copies of any information which will or may be used in the performance assessment should be provided to both parties together with or on the date of the (written) confirmation of the meeting.

4.1.2 Preparation for the Meeting

- Both the supervisor/manager and staff member should individually complete a performance assessment summary prior to the agreed date of the meeting.

- Both parties should be able to substantiate their views/assessments through sources of evidence. These sources of evidence should present a complete picture of the performance for the assessment period and could include specific evidence or records of:
 - achievement (solid and/or performance that exceeds expectations); or
 - lack of achievement (poor work performance);
 - praise and/or (critical) comments received both in/formally from service users and/or stakeholders about the staff member's performance;
 - records of performance-related conversations; and/or
 - critical incident data.
- Performance achievements or any other matter not covered/reflected under the performance agreement and/or provided for in the performance assessment summary form, should be prepared for discussion and the other party informed accordingly (refer paragraph 4.1.1, second bullet).

4.1.3 Conducting the Meeting

- The guidelines provided in the training toolkit for conducting the performance assessment summary meeting should be consulted.

4.1.4 Final Completion of the Form

- After the performance assessment summary meeting, the supervisor/manager should complete the performance assessment summary form for the assessment period based on and as agreed during the performance assessment summary meeting. This should be done during or as soon as possible after, but not exceeding three (3) workdays following the meeting. The three (3) workdays are provided for as a period of reflection, if required. The fully completed original form should be handed over to the staff member within this three (3) workday time frame.
- The staff member should return the form, fully completed, to the supervisor/manager within three (3) workdays of receiving it. The three (3) workdays are provided for as all outstanding matters/issues should be clarified and/or resolved within that time frame.

4.2 Guidelines for the Completion of each Section in the Form

4.2.1 Section A: Personal Particulars

This section contains the minimum information to identify the staff member and his/her position during the assessment period.

4.2.2 Section B: Performance Agreement Implementation

This section reflects on:

- The relevance throughout the assessment period of the performance agreement to the accomplishment of unit/O/M/A objectives: For performance to remain purposeful and significant it should continue to be aligned and contributing to the strategic intent of the unit/O/M/A. Should major discrepancies have occurred it should be indicated in the “comments” column together with the reasons and resultant steps taken/to be taken to rectify the situation. Any action to be taken in this regard should be reflected in the “action” section of the form (Section H: Staff Member’s Form and Section I: Supervisor/Manager’s Form).
- Any significant changes to the performance agreement that were discussed and agreed by the staff member and supervisor/manager during the assessment period: If performance planning is done properly, substantial changes to the performance agreement should not be necessary or highly exceptional (see Annex E, paragraph 3). In all cases of substantial change to a performance agreement the reasons and resultant actions taken should be reflected in the “comments” column. Should conditions not result in a revised performance agreement, accommodation thereof in the performance assessment cannot be considered nor affect the performance rating.
- The success of the development and implementation of the personal development plan during the assessment period: Should the PDP or the implementation thereof not have been sufficient to address the competency development requirements of the staff member to meet the conditions of the performance agreement, the reasons and appropriate actions to be taken should be indicated in the “comments” column. Substantive shortfalls outside the control of the staff member (e.g. budget cuts, training interventions being cancelled) should however have been addressed timely and where not rectified, should have resulted in the staff member taking the matter up with the second line supervisor/manager. Such incidents should also be addressed in the performance assessment summary of the direct supervisor/manager and, where appropriate, be reflected as poor work performance. In all cases where the answer to the introductory statement is “no” sources of evidence of action taken during the assessment period to address/alleviate the situation should be available as proof. Action to be taken in the remainder of/next performance cycle should be clearly indicated in the appropriate space in the “Action” section of the form (Section H: Staff Member’s Form and Section I: Supervisor/Manager’s Form).

4.2.3 Section C: Legend

This section provides for a descriptor to facilitate the assessment of performance.

- **Poor (P)**

The staff member generally does not meet the agreed performance criteria as per the performance agreement, although s/he may at times meet (or even exceed) some criteria.

Possible indicators of poor performance are:

- The quality of work has serious shortcomings;
- The quantity produced is below acceptable standards;
- Key targets are missed;
- Lack of understanding of the job;
- Insufficient attempts to meet performance criteria;
- Lack of ability to improve;
- Little/no initiative in the work; or
- The working relationships of the staff member are poor, to the point of being detrimental to performance/the work.

- **Needs Improvement (N)**

Some agreed performance criteria are met, but the staff member frequently and/or substantially requires guidance for more creative, challenging and urgent results agreed in the performance agreement. The staff member also has difficulty anticipating and adapting to changes in the work environment. This assessment may, however, indicate that the staff member is still developing at that level, especially where the staff member is new to the position, and that his/her performance is adequate given his/her experience and/or time in the position.

- **Solid Performance (S)**

The vast majority of and most significant performance criteria are met. Criteria in some performance areas may even be exceeded and the individual is contributing to organisational effectiveness at an agreed (solid) level. Where criteria are not met valid reasons may exist, e.g. major changes in the operational environment. In summary, this level of performance meets the criteria as reflected in the performance agreement, and can include some contribution(s) beyond expectations.

- **Exceeds Expectations (E)**

Performance criteria are exceeded in the majority of performance areas. For complex, creative and urgent tasks, minimum direction is required.

- **Makes a Significant Difference (M)**

Performance exceeds agreed criteria in all significant performance areas, the staff member anticipates and adapts to change and achieves significant breakthroughs on key issues, e.g. the staff member creates new ways of doing things that positively change the nature of the job and/or work environment and/or operations of the unit (O/M/A).

The main distinguishing feature between “Exceeds Expectations” (E) and “Makes a Significant Difference” (M) is the greater level of pro-active contribution and impact in the unit made by the staff member.

- **Excellent (X)**

This level recognises performance that exceeds the performance criteria in all performance areas and on the most critical areas far exceeds agreed criteria/results. Such achievements (results) will often be accomplished in spite of circumstances that would have prevented achievement e.g. by a less skilled staff member and result or would result in a significant impact for the unit/O/M/A beyond the scope of the assessment period or staff member. The judgement, resourcefulness and depth of knowledge and performance of the staff member are of such a high quality that the staff member is recognised as a model of excellence by management and across the O/M/A.

The main distinguishing feature between “Makes a Significant Difference” (M) and “Excellent” (X) is the range, depth and long-term impact of the performance of the staff member even beyond the scope of the unit (O/M/A).

4.2.4 Section D: Key Results Assessment

This section provides for a summative assessment of the staff member’s performance per key result.

- The assessment made for the key result should reflect actual achievement of performance indicators substantiated by sources of evidence of the staff member’s performance accumulated and discussed with the staff member throughout the assessment period.
- Assumptions, i.e. causes of performance failure that are beyond the control of the individual staff member, e.g. poor workflow, excessive bureaucracy, poor communication and inadequate equipment, should have been discussed and managed throughout the assessment period and can therefore not influence the rating achieved by the staff member, i.e actual performance/achievement of performance indicators. The “comments” column provides opportunity to recognise effort and intent of the staff member for the management of these assumptions during the assessment period and should serve as input to future action.

- Future action to be taken to address the constraints experienced e.g. regarding assumptions, should be captured under the “action” section (Section H: Staff Member’s Form and Section I: Supervisor/Manager’s Form).
- Any other comments that either the staff member or supervisor/manager want to make relating to the assessment of the key result should be indicated in the “comments” column.

4.2.5 Section E (Supervisor/Manager’s Form): **Supervisory/Management Results Assessment**

This section should be completed only for staff in supervisory/management positions.

- The first assessment “General Assessment as Supervisor/Manager” provides for an overall assessment of the supervisor/manager in his/her capacity as supervisor/manager. The guideline competencies for the specific level of supervision/management (refer Annex B) should be used as basis for the assessment as discussed and agreed with the supervisor/manager during the performance agreement interview(s).
- The section “Supervisory/Management Results” provides for the summative assessment for the assessment period of the performance of the supervisor/manager on the supervisory/management results agreed for the performance cycle.
- Bullets 2 to 4 in paragraph 4.2.4 under Section D: Key Results Assessments also apply to this section.

4.2.6 Section E (Staff Member’s Form) and Section F (Supervisor/Manager’s Form): **Value Assessment**

The section “Value Assessment” provides for the summative assessment of the staff member’s performance over the assessment period on the agreed values for the performance cycle.

- The assessment should be substantiated by sources of evidence of the staff member’s performance on these values, i.e. upheld/lived by the staff member, accumulated and discussed with the staff member throughout the assessment period.
- Any comments that either the staff member and/or his/her supervisor/manager want to make regarding the assessment of the values should be indicated in the “comments” column.

4.2.7 Section F (Staff Member's Form) and Section G (Supervisor/Manager's Form): **Organisational Contribution**

This section provides for the assessment of the staff member's performance over the assessment period in relation to the unit/O/M/A plans and performance.

- The assessment of the statement "The staff member's work is equitable to staff members' on the same level, taking into account complexity, volume and nature of work" should, as a general principle, be "yes" to substantiate fair, equitable and transparent assessments. Should the answer be "no" reasons should be provided in the "comments" column and action to be taken to address the situation be indicated in the "action" section (Section H: Staff Member's Form and Section I: Supervisor/Manager's Form). Discrepancies should be reflected and, where appropriate, recognised in the assessment made under "Organisational Contribution".
- The assessment of the statement "To what extent did the performance of the staff member contribute to the achievement of unit/higher level objectives/plans?" can only be done fairly and transparently if the unit's performance is monitored and assessed as per the guidelines provided in Annex M.
- The result of the staff member's assessment in comparison to the assessment of the unit/O/M/A's performance may confirm the individual assessment or may require moderation thereof to more objectively reflect the staff member's performance for the assessment period.
- This section also provides an opportunity to record any special contribution(s) the staff member has made during the assessment period to the unit and/or O/M/A which is not covered in the performance agreement. Such a contribution beyond the scope of the performance agreement can however, under normal circumstances, not be rewarded under the PMS. Should further action in this regard, e.g. recognition, be appropriate the suggested action should be recorded in the "action" section of the Performance Assessment Summary Form (Section H: Staff Member's Form and Section I: Supervisor/Manager's Form).
- Any comments that either the staff member and/or his/her supervisor/manager want to make regarding the assessments should be indicated in the respective "comments" column.

4.2.8 Section G (Staff Member's Form) and Section H (Supervisor/Manager's Form): **Overall Assessment**

- The overall assessment of the staff member is a summative assessment of the staff member's performance for the assessment period, taking into account the weightings given to each performance area.

- The overall assessment should be the truest reflection and summary of the staff member's continued performance over the assessment period and should be substantiated by the assessments reached in the performance areas. The overall assessment is, however, not necessarily best obtained by calculating the mathematical average of all assessments, even taking into account weightings allocated to performance areas.
- A staff member should be assessed on all aspects, excluding the overall assessment, should s/he have a misconduct charge pending against him/her. In such cases the decision on the overall assessment (rating) for the performance assessment summary done at the end of March in the performance cycle within which the staff member is charged, should be referred to the PMC for decision, pending the outcome of the charge, based on a recommendation by the supervisor/manager. Performance assessments summaries for any other performance cycle should be completed disregarding the pending misconduct charge.

No formal performance recognition can, however, be affected for any performance cycle until the case has been resolved and management of poor work performance, where applicable, (e.g. support through participation in developmental interventions) should be continued based on the performance of the staff member in the various performance areas.

If the person is found not guilty, the outstanding overall assessment(s) should be completed and/or adjusted by the respective supervisor/manager(s) immediately after the "not guilty" finding, disregarding the misconduct charge, and recognition/sanctions implemented with retrospective effect, where appropriate.

If the person is found guilty the decision of the PMC is confirmed and, where appropriate, implemented with immediate effect, provided a rating of "solid performance" or higher cannot be awarded, and the guidelines for handling below "solid performance" should be effected accordingly.

- The staff member must complete the section on whether s/he agrees with the overall assessment by ticking the appropriate box.
- Any comments that either the staff member and/or his/her supervisor/manager want to make regarding the overall assessment of the staff member should be indicated in the "comments" column.

4.2.9 Section H (Staff Member's Form) and Section I (Supervisor/Manager's Form): **Action**

This section provides for performance diagnosis, performance recognition and performance planning in partnership with the staff member to facilitate

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continued and/or improved performance. The information should be based on discussions held throughout the assessment period and during the performance assessment summary meeting. Three boxes are provided for this purpose, i.e.

- **Next Assessment Period:** This section provides an opportunity to capture thoughts on actions to be taken in the next assessment period that will facilitate the enhanced performance of the staff member, e.g. what the supervisor/manager, or the staff member and supervisor/manager in partnership, can do over the following assessment period to help the staff member improve performance.
- **Recognition/Sanctions:** This section provides for the identification of specific achievements/performance(s) of the staff member, or lack thereof, which should be recognised or addressed. The preferred/proposed means for recognition/sanction of the achievements/poor work performance should also be noted.
- **Areas for Development:** This section provides for the identification and agreement on specific areas/competencies the staff member need to improve/develop in the next assessment period. Means of development can also be discussed and noted.
- **Other:** This section provides for any other comments/thoughts that either the staff member and/or supervisor/manager would like to record for follow-up in the following assessment period. This might include actions to be taken beyond the scope of the individual staff member e.g. to streamline/enhance unit performance, etc.
- Any actions resultant from or suggested in the discussion and assessment of any performance area should be captured in this section.

4.2.10 Section I (Staff Member's Form) and Section J (Supervisor/Manager's Form):
Performance Assessment Sign Off

- All items in this section must be completed by the staff member and/or supervisor/manager him/herself.
- The completion of this section need not be done directly after the performance assessment summary meeting, but should be finalised within three (3) days of such a meeting.
- Signing of this section indicates that the performance assessment summary meeting has taken place and that all relevant information is noted on the form. This includes all agreements, differences and/or value adding comments.

- Agreement might not be reached on all aspects in the performance assessment summary. There are different methods and approaches to achieving good results. It is therefore acceptable in a performance culture to disagree and to note it accordingly. However, this cannot be used as an excuse by supervisors/managers not to give direction where it is clear that the approach followed by one or more of their staff members will have a real negative impact for the public service. Performance agreements and assessments are not disciplinary tools as such. Consequently, supervisors/managers are advised to follow the disciplinary procedure for written lawful instructions where the performance dialogue fails to achieve the required adjustment. Regulation 13, read in conjunction with section 25(1)(c) of the Public Service Act, Act 13 of 1995, applies.
- Non-agreement with any assessment and/or comment made on the form should be indicated with the appropriate assessment/comment in the related “comments” column.
- Staff members should be informed of their right to appeal (refer Annex L).

5. PERFORMANCE TREND ANALYSIS

- 5.1 The assessments made on the performance assessment summary form are a final judgement that summarises the continued (representative) performance of the staff member over the assessment period for each performance area as against the performance agreement. Most staff members’ performance should be fairly consistent over an assessment period, especially if managed well, and assessment of performance for the performance area should therefore not be difficult to determine.
- 5.2 In exceptional cases, difficulty might be experienced in reaching a final summative assessment, e.g.
- where major fluctuations in performance persist throughout the assessment period;
 - where the staff member is an opportunist and only performs well on high profile aspects of the performance area(s); and
 - where a staff member works through “energy-bursts”, i.e. generally does not perform, but puts in a major effort just before the agreed performance criteria should be met and therefore normally meets the criteria. This behaviour can especially have a detrimental effect on the team.

In such cases the performance of the staff member should be managed throughout the assessment period through continuous monitoring and feedback and unacceptable behaviour identified and addressed.

- 5.3 The final summative assessment indicated on the performance assessment summary form should reflect the performance most displayed (mathematically referred to as modus) during the assessment period.
- 5.4 Sources of evidence of the continuous monitoring and feedback should be provided to substantiate such an assessment.
- 5.5 A single incident of exceptional performance and/or brilliance and/or innovation should not distort the summative assessment of either the result area or overall assessment. Such performance/brilliance/innovation should however be noted in the “action” section under “recognition”, but will not be rewarded under the PMS.
- 5.6 Adherence to the Code of Conduct, e.g. punctuality, dress code, etc. should be managed as a normal supervisory/management function and case(s) of continued non-adherence should be investigated for misconduct in terms of the PSSR E.X.

6. COMMON ASSESSMENT ERRORS

The following errors are common in the assessment of performance and should be avoided:

- Performance assessment is not treated as a process based on continuous performance monitoring and dialogue, but as a one-off event or paper exercise.
- Not assessing actual performance but basing the assessment on perceptions, the staff member’s intent and/or potential.
- Treating a staff member(s) more favourably than others based on e.g. similarity in personality or interest, period of co-work, mentor-relationship, the staff member’s favourable attitude towards the senior(s), favours s/he is prepared to do, etc.
- Aligning, distorting and/or ignoring staff performance to suit personal (initial) perceptions or ideas, i.e. building a case to confirm the supervisor/manager’s prejudiced opinion of the staff member.
- Rating staff relative to others and/or making comparisons during assessment, i.e. the contrast effect.
- Taking unrelated factors into account, e.g. age of the staff member or bias/prejudice based on gender, race, tribe, religion, etc.

- Paying too much attention to a less important and/or non-agreed factor/trait(s), e.g. sincerity.
- Rating a person higher or lower based on more recent events/incidents/behaviour, i.e. the recency effect.
- Over-emphasising a performance(s), leading to an unbalanced assessment of the performance area and/or overall assessment, i.e. the halo effect.
- Rating poor performance as within the control of the staff member and good performance as a result of external circumstances, or vice versa, i.e. attribution bias.
- Rating staff higher than deserved, i.e. positive lenience.
- Rating staff lower than deserved, i.e. negative lenience.
- Placing staff/ratings in the middle of the scale (to play safe), i.e. central tendency.
- Not recognising individual performances, i.e. generalising across a group or stereotyping.

7. ASSESSMENT OF STAFF ON PROBATION

- 7.1 Staff on probation should be evaluated under and according to the general provisions in the Staff Code for Staff on Probation (PSSR B.V) for the first six months in the position. A staff member is not assessed under the PMS whilst on probation.
- 7.2 A staff member is assessed according to the conditions and time frames stipulated under the PMS after his/her probation has been confirmed. If the period in the position, after the probation has been confirmed, is less than 3 months for the remainder of the assessment period the assessment should be carried over and included in the next assessment period even if it is carried over into the next performance cycle. Should this be the case, the period of assessment should be clearly indicated under “assessment period” in the blank space provided on the performance assessment summary form.
- 7.3 A performance agreement should be agreed with the staff member on probation for the whole performance cycle or remainder of the cycle as per the PMS, taking into consideration that the staff member is on probation (refer Annex E paragraph 3.4).

- 7.4 If the probation period is extended the assessment of the person will continue to be done under the provisions in the Staff Code for Staff on Probation (PSSR B.V).

8. PERFORMANCE ASSESSMENTS VERSUS PROMOTIONS AND TRANSFERS

- 8.1 Staff members who obtained an overall assessment rating of below solid performance cannot be considered for promotion within the Public Service of Namibia.
- 8.2 Ratings obtained in the performance assessment summary, whether for performance areas or the overall assessment, can be considered before a transfer and/or promotion within the Public Service of Namibia is finalised. This should, however, be handled circumspectly as performance assessments are contextual. Performance assessment information can therefore not be the determining factor in the consideration of the candidate, nor used in a manner that leads to or are related to the principles or creation of a career system within the Public Service of Namibia.

9. RECORD KEEPING OF THE PERFORMANCE ASSESSMENT SUMMARY

- 9.1 The original of the fully completed performance assessment summary form should be forwarded to the personnel office for safekeeping in the staff member's personal file. This includes any resultant action taken e.g. records of recognition(s), sanction(s) and/or appeal(s).
- 9.2 A copy of the fully completed performance assessment summary form should be kept by both the supervisor/manager and staff member.
- 9.3 Sources of evidence in support of the performance assessment summary should be kept, in its original format, by the supervisor/manager and a copy thereof by the staff member.

10. FOLLOW UP OF THE PERFORMANCE ASSESSMENT SUMMARY MEETING

- 10.1 Both the supervisor/manager and staff member is responsible for following up and implementing all actions as agreed during the performance assessment summary meeting.
- 10.2 Steps should be taken by the supervisor/manager to implement performance recognition or sanctions.
- 10.3 The supervisor/manager should, in consultation with the staff member, schedule meetings to discuss the performance agreement and personal development plan for the remainder (where appropriate) or next performance cycle. These meetings should be conducted as soon as possible after the performance assessment summary meeting.

J

A

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N

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R

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GUIDELINE FORMAT FOR THE PERFORMANCE ASSESSMENT SUMMARY

PERFORMANCE ASSESSMENT SUMMARY

Staff Members

Performance cycle: 1 April 20____ to 31 March 20____

Assessment Period	1/4 – 30/9	1/4 – 31/3	
--------------------------	------------	------------	--

A PERSONAL PARTICULARS OF STAFF MEMBER

Name	
Salary Number	
Rank	
Division/Section	
Department	
O/M/A	

B PERFORMANCE AGREEMENT IMPLEMENTATION

The content of the performance agreement is directly contributing to and a reflection of the cascaded strategic intent of the O/M/A and unit.	Yes	No	Comments Staff Member
			Supervisor/Manager

The performance agreement was not substantially revisited/ changed during the assessment period.	Yes	No	Comments / Reasons Staff Member
			Supervisor/Manager

The personal development plan of the staff member was successfully implemented during the assessment period.	Yes	No	Comments Staff Member
			Supervisor/Manager

C LEGEND

X	Excellent	Performance always exceeds agreed criteria and impact is significant on/for the O/M/A
M	Makes a Significant Difference	Performance is consistently above and beyond agreed performance criteria
E	Exceeds Expectations	Performance consistently meets agreed performance criteria and regularly exceeds them
S	Solid Performance	Performance consistently meets agreed performance criteria and at times exceeds them
N	Needs Improvement	Performance does not consistently meet agreed performance criteria
P	Poor	Performance is consistently below agreed performance criteria

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D KEY RESULTS ASSESSMENT

Key Result	%	Assessment	Comments
1		X	Staff Member
		M	
		E	
		S	Supervisor/Manager
		N	
		P	
2		X	Staff Member
		M	
		E	
		S	Supervisor/Manager
		N	
		P	
3		X	Staff Member
		M	
		E	
		S	Supervisor/Manager
		N	
		P	
4		X	Staff Member
		M	
		E	
		S	Supervisor/Manager
		N	
		P	
5		X	Staff Member
		M	
		E	
		S	Supervisor/Manager
		N	
		P	

E VALUE ASSESSMENT

Value	%	Assessment	Comments
1		X	Staff Member
		M	
		E	
		S	Supervisor/Manager
		N	
		P	

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2			Staff Member
			Supervisor/Manager
3			Staff Member
			Supervisor/Manager

F ORGANISATIONAL CONTRIBUTION

The staff member's work is equitable to staff members' on the same level, taking into account complexity, volume and nature of work.	Yes	No	Comments
			Staff Member
			Supervisor/Manager
The extent to which the performance of the staff member contributed to the achievement of unit/higher level objectives/plans.	%		Staff Member
			Supervisor/Manager

G OVERALL ASSESSMENT FOR ASSESMENT PERIOD

	Staff Member (Comments)		Supervisor/Manager (Comments)	
	Agree with overall assessment	Yes	No	

H ACTION

Next Assessment Period:	Staff Member (comments)	Supervisor/Manager (comments)

Recognition/Sanctions:		
Areas for Development:		

I PERFORMANCE ASSESSMENT SIGN OFF

This performance assessment summary is a true reflection of the performance assessment summary discussion, and all important agreements, differences, comments and objections are noted.

STAFF MEMBER	
Name	
Rank	
Comments	
Signature	
Date	

SUPERVISOR/MANAGER	
Name	
Rank	
Comments	
Signature	
Date	

PERFORMANCE ASSESSMENT SUMMARY

Supervisors/Managers

Performance cycle: 1 April 20____ to 31 March 20____

Assessment Period	$\frac{1}{4}$ – 30/9	$\frac{1}{4}$ – 31/3	
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A PERSONAL PARTICULARS OF SUPERVISOR/MANAGER (Staff Member)

Name	
Salary Number	
Rank	
Division/Section	
Department	
O/M/A	

B PERFORMANCE AGREEMENT IMPLEMENTATION

The content of the performance agreement is directly contributing to and a reflection of the cascaded strategic intent of the O/M/A and unit.	Yes	No	Comments Staff Member
			Supervisor/Manager

The performance agreement was not substantially revisited/ changed during the assessment period.	Yes	No	Comments / Reasons Staff Member
			Supervisor/Manager

The personal development plan of the supervisor/manager (staff member) was successfully implemented during the assessment period.	Yes	No	Comments Staff Member
			Supervisor/Manager

C LEGEND

X	Excellent	Performance always exceeds agreed criteria and impact is significant on/for the O/M/A
M	Makes a Significant Difference	Performance is consistently above and beyond agreed performance criteria
E	Exceeds Expectations	Performance consistently meets agreed performance criteria and regularly exceeds them
S	Solid Performance	Performance consistently meets agreed performance criteria and at times exceeds them
N	Needs Improvement	Performance does not consistently meet agreed performance criteria
P	Poor	Performance is consistently below agreed performance criteria

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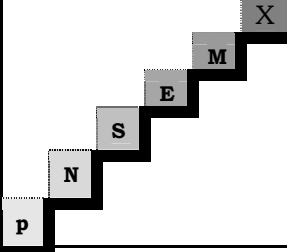
D KEY RESULTS ASSESSMENT

Key Result	%	Assessment	Comments
1			Staff Member
			Supervisor/Manager
2			Staff Member
			Supervisor/Manager
3			Staff Member
			Supervisor/Manager

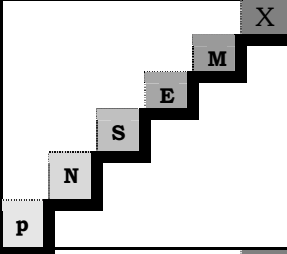
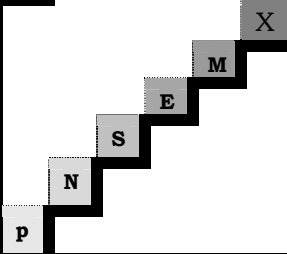
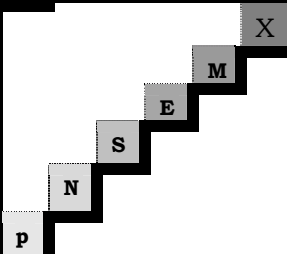
E SUPERVISORY/MANAGEMENT RESULTS ASSESSMENT

General assessment as supervisor/manager	%		Staff Member
			Supervisor/Manager
Sup/Management Result	%	Assessment	Assumptions (Comments)
1			Staff Member
			Supervisor/Manager
2			Staff Member
			Supervisor/Manager

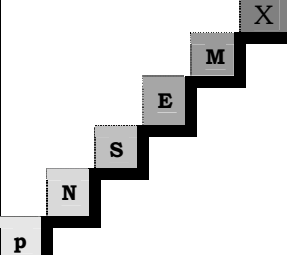
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3			Staff Member
			Supervisor/Manager

F VALUE ASSESSMENT

Value	%	Assessment	Comments
1			Staff Member
			Supervisor/Manager
2			Staff Member
			Supervisor/Manager
3			Staff Member
			Supervisor/Manager

G ORGANISATIONAL CONTRIBUTION

The supervisor/manager's (staff member) work is equitable to supervisors/managers' on the same level, taking into account complexity, volume and nature of work.		Yes	No	Comments
				Staff Member
The extent to which the performance of the supervisor/ manager (staff member) contributed to the achievement of unit/higher-level objectives/plans.	%			Staff Member
				Supervisor/Manager

~ Towards Better Performance ~

H OVERALL ASSESSMENT FOR ASSESMENT PERIOD

	Staff Member (Comments)		Supervisor/Manager (Comments)	
	Agree with overall assessment	Yes	No	

I ACTION

Next Assessment Period:	Staff Member (comments)	Supervisor/Manager (comments)
Recognition/Sanctions:		
Areas for Development:		

J PERFORMANCE ASSESSMENT SIGN OFF

This performance assessment summary is a true reflection of the performance assessment summary discussion, and all important agreements, differences, comments and objections are noted.

SUPERVISOR/MANAGER (STAFF MEMBER)	
Name	
Rank	
Comments	
Signature	
Date	

SUPERVISOR/MANAGER	
Name	
Rank	
Comments	
Signature	
Date	

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GUIDELINES ON PERFORMANCE RECOGNITION

1. GENERAL GUIDELINES

- 1.1 Recognition of performance is a fundamental principle of performance management and should be an essential element of performance feedback provided during the continuous performance dialogue and management process.
- 1.2 In addition, each O/M/A, under the custodianship of the Permanent Secretary and managed by the PMC, should implement a reward system for the formal recognition of performance. The reward system should be administered in such a way that rewarding of performance is:
 - fitting the performance;
 - fair, equitable, relevant and substantive to both the individual and other staff, and similar performance(s) and performance ratings;
 - transparent, in the way it is communicated and managed;
 - supportive to the O/M/A's vision, culture and values; and
 - motivating towards improved performance.
- 1.3 Formal recognition of performance, i.e. rewards, is given to staff members who obtained an above solid performance rating in their overall assessment during the March performance assessment summary, i.e. staff members who obtained an overall rating of "Excellent" (X), "Makes a Significant Difference" (M) and "Exceeds Expectations" (E). (Staff members who achieve a "Solid Performance" overall rating do not receive recognition for their performance through performance rewards as their achievements equal their remuneration package.)
- 1.4 Although these rewards have a financial implication to the O/M/A (Public Service), the eligible staff member cannot receive direct financial gain from the reward, e.g. as cash, bonus, salary increment or promotion.
- 1.5 Rewards are not transferable.
- 1.6 The reward must be applied in the fiscal year following the performance cycle during which the performance assessment rating was obtained (e.g. assessment obtained in 2005, reward implemented 2006) and cannot be carried over into the next following performance cycle (e.g. 2007).
- 1.7 A reward received should be applied to the benefit of the O/M/A/Public Service but, where relevant, becomes the property of the staff member when s/he vacates the position in which s/he received the reward or on termination of his/her services.
- 1.8 Pro rata allocation of rewards can be considered where the assessment period is shorter than the performance cycle, e.g. in the case of new appointments.

- 1.9 A preliminary discussion on the reward and the combination of the elements thereof (refer section 2 of this annexure), as preferred by and agreed with the staff member, should take place after consensus on the overall assessment of the staff member's performance has been reached during the March performance assessment summary meeting. The recommended agreed reward should be indicated in the appropriate column of the performance assessment summary form (refer Section H for staff members and Section I for supervisors/managers).
- 1.10 The allocation/implementation of any reward can only be administered once verified and approved by the PMC.
- 1.11 Major deviations from any of the guideline rewards should be approved, through the PMC, by the OPM:DPSM before allocated/implemented.
- 1.12 Supervisors/managers are responsible for the implementation and daily management of rewards.
- 1.13 The implementation of a reward(s) of the previous performance cycle should, where applicable, be taken into consideration in the performance agreement for the next performance cycle (given the guidelines provided in sections 2.1, 2.2 and 2.3 below and options exercised by the individual staff member) as, for example, some of the rewards should be taken forward as a key result(s), e.g. undertaking a research project (refer 2.1 sub-bullet 3). The implementation of the reward(s) can affect performance areas, results, performance indicators and/or weightings, but should, however, not in any respect lower any performance criteria or affect the fairness and equitability of the performance agreement or its contribution to unit/strategic plans. The implementation of rewards should therefore underscore the principle that a staff member is rewarded once for performance, and that such a reward cannot result in long term gains/advantage (beyond the next performance cycle) not substantiated by continued above-“solid” performance(s).

2. REWARDS IN THE PUBLIC SERVICE OF NAMIBIA

A staff member who achieves an overall assessment rating of above “Solid Performance” in a performance cycle will receive the relevant Certificate of Achievement in the manner appropriate to and at an occasion determined by the O/M/A and should be rewarded with at least one, or a combination, of the following rewards selected and agreed with the staff member:

2.1 Excellent Performance (X)

- Certificate of Achievement (Gold); and
- one or a combination of the following:

- partnering, mentoring and/or under-studying with (international/ benchmarking) partners, e.g. secondment, related to the staff member's field of expertise and/or to the benefit of the Public Service/Namibia;
- membership of professional fora resulting in extensive (international) exposure;
- undertaking of innovative/research project(s) and/or publication of professional articles;
- mentoring/coaching or work in either an official or private capacity to the benefit and/or development of Namibia;
- new/latest technology and/or status symbols; and/or
- an academic/study/sport or special skills development grant to the staff member or a member of his/her family.

The total calculable value of the reward should not exceed either an amount equal to 30% of the staff member's remuneration package as cost to the O/M/A (Public Service) or 65 work days.

2.2 Makes a Significant Difference (M)

- Certificate of Achievement (Silver); and
- one or a combination of the following:
 - selection of a project(s)/result area(s) which will form a major part of the performance agreement for the next performance cycle, is directly related to the achievement of strategic objectives and which provides substantive scope for self-management and, where possible, management of others;
 - leadership of inter-unit/ministerial projects/teams/initiatives;
 - participation in coaching/mentoring/management and/or differentiating competency development programmes/ interventions;
 - new/latest technology and/or status symbols;
 - an academic/study/sport or special skills development grant to the staff member or a member of his/her family; and/or
 - flexible work hours.

The total calculable value of the reward should not exceed either an amount equal to 20% of the staff member's remuneration package as cost to the O/M/A (Public Service) or 45 work days.

2.3 Exceed Expectations (E)

- Certificate of Achievement (Bronze); and

- one or a combination of the following:
 - active membership and input to higher level planning and/or decision-making/meetings/fora;
 - a larger scope of responsibility (job enrichment), including greater selection of own key results and/or priorities;
 - release from close supervisory/management control;
 - participating in differentiating competency development interventions;
 - new/latest technology and/or status symbols;
 - an academic/study/sport or special skills development grant to the staff member or a member of his/her family.

The total calculable value of the reward should not exceed either an amount equal to 10% of the staff member's remuneration package as cost to the O/M/A (Public Service) or 25 work days.

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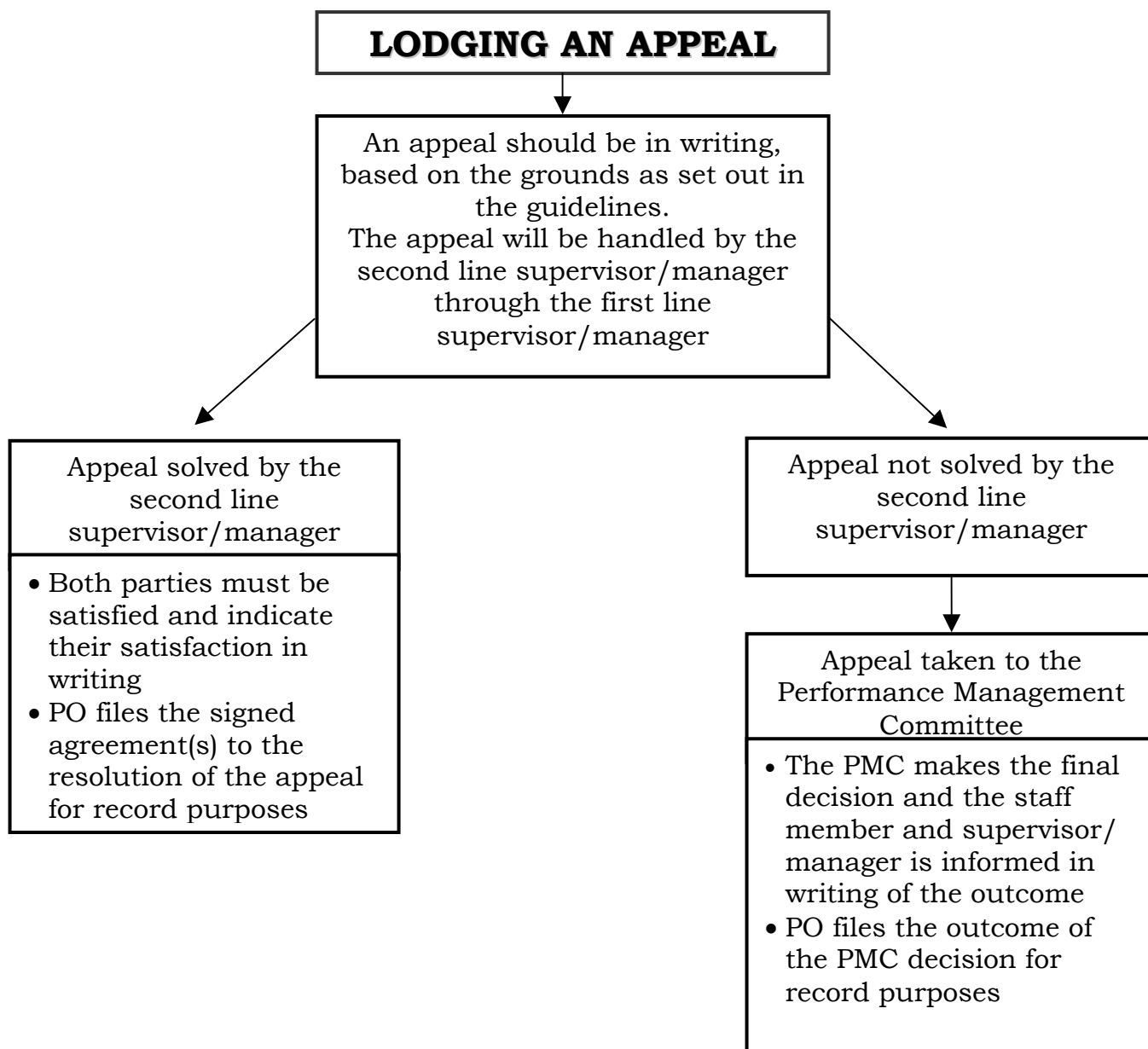
GUIDELINES ON PERFORMANCE ASSESSMENT APPEALS

1. GENERAL PROVISIONS

- 1.1 Appeals by a staff member against a performance assessment summary should be lodged through the supervisor/manager to the second line supervisor/manager within three (3) workdays of the signing of the performance assessment summary form. A staff member can lodge an appeal only against his/her own performance assessment.
- 1.2 Appeals should be resolved at the lowest level possible. That means that if the second line supervisor/manager can resolve the complaint the appeal need not be processed to the Performance Management Committee (PMC). The second line supervisor/manager should resolve all appeals or refer them to the PMC within ten (10) working days. If resolved both the staff member and supervisor/manager need to indicate, in writing, their satisfaction with the outcome. If unresolved, it must be processed through the Personnel Office in time for the scheduled PMC meeting to be held beginning-May or beginning-November, whichever applicable, and the staff member informed accordingly.
- 1.3 Appeals can be lodged, amongst others:
 - if the staff member is assessed on performance areas e.g. key results, values, supervisory/ management results, performance indicators, and sources of evidence not identified and agreed, or as agreed, in the performance agreement; and
 - if the process of performance management has not been dealt with transparently, fairly and consistently by the supervisor/manager.
- 1.4 Appeals can only be lodged against an assessment rating if it is the overall assessment rating (Section G: Staff Member's Form and Section H: Supervisor/ Manager's Form: Overall Assessment) and where the objection (non-agreement) has been indicated in the appropriate box of this section on the performance assessment summary form.
- 1.5 Appeals related to a performance assessment summary cannot be made based on the terms and conditions agreed in the performance agreement, neither the interpretation thereof, but can be lodged on how the person was assessed against these terms and conditions (i.e. amongst others, the process mentioned in sub-bullet two under paragraph 1.3). Interpretation of these terms and conditions (i.e. agreed performance area [key results, values and supervisory/management results and organisational contribution], related performance indicators and targets, and sources of evidence) should be resolved at the time of the development of the performance agreement and/or through performance feedback and dialogue during the assessment period.
- 1.6 Appeals must be in writing and should provide sources of evidence on which the appeal is based. Without this evidence an appeal cannot be lodged.

- 1.7 The decision on the appeal, if not resolved by the second line supervisor/manager, is made by the PMC. Its decision is final.
- 1.8 The decision of the PMC should be communicated in writing to both the staff member and supervisor/manager within ten (10) workdays after the PMC meeting and attached to the original performance assessment summary form.

2. FLOW DIAGRAM OF THE APPEAL PROCESS





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GUIDELINES ON PERFORMANCE VERIFICATION

Performance verification is about determining the validity and reliability of performance information obtained from various levels and sources throughout the O/M/A to develop a holistic picture of the organisation and its performance.

More specifically, the purpose of performance verification is:

- to provide for internal “stock taking”, in a holistic manner, of the performance at various levels within the O/M/A;
- to establish and ensure the link between individual, unit and organisational (O/M/A) performance;
- to compare internal performance assessments and measures against external indicators to ensure the validity of strategic planning and management processes and to assess the impact and image of the O/M/A;
- to provide a sound basis for performance recognition, rewards and sanctions; and
- ultimately, to improve organisational planning and management processes.

Performance verification is therefore a management tool for understanding and the mature management of the O/M/A. To serve this purpose it should be comparative, and not mathematical in nature, i.e. performance information should be presented and analysed in a manner which would lead to the understanding of the organisation (O/M/A), its systems, interdependencies, constraints, etc. in a holistic manner, and should not be approached in an absolute, bureaucratic manner, where consideration is given primarily to the adding up of performance information, nor jumping to conclusions or destroying the constructive, natural diversity within the O/M/A. Analyses and the identification of idiosyncrasy(s) should lead to an exploration of the O/M/A and the determination of cause(s) and effects, and if not substantiated, performance assessment information should be moderated through feedback to the relevant unit/supervisor/manager(s).

Performance verification therefore is a normal responsibility of all staff in supervisory/management positions and should be conducted continuously as part of the daily operations of the O/M/A. This is done through ongoing informal and formal individual/unit/team performance monitoring, analysis, dialogue and feedback, forming the core of supervision/management and all (staff/team/O/M/A) meetings.

If applied circumspectly performance verification will lead to improved understanding, performance dialogue, planning, management and alignment at all levels of the O/M/A, both internally and externally.

Performance verification can be done through:

- comparison between the performance ratings of the individual/unit against the agreed performance, i.e. the performance agreement or unit/O/M/A strategic plan(s);
- horizontal comparison of performance assessment information to verify and/or serve as input to strategic/unit plans and related performances, and/or identification of any particular idiosyncrasy(s) or trend(s), and to analyse the reason(s) for such an idiosyncrasy(s)/trend(s);
- vertical comparison of performance assessment information, where the sum of the lower level performance should correlate with the information on the performance at the higher level (e.g. the added performance of individuals in a unit should correlate/add up to the performance of the unit). This principle must be applied (cascaded upwards) throughout the O/M/A up until O/M/A (organisational) level; and
- the correlation of performance information obtained from various sources, e.g. statistics provided through the MTP, the PSC Report, HRM/HRIMS Reports and National Integrity and Service Delivery Surveys.

Sources of information for both organisational (O/M/A) and unit evaluation and performance verification are listed on the next page. These sources are provided as a guideline and O/M/As should (initially) focus on information/sources readily available and most appropriate to serve the ultimate purpose of (organisational) evaluation and performance verification within the context of the specific O/M/A (unit). The process will be refined and develop in sophistication through experience and application.

O/M/A LEVEL

UNIT LEVEL

MTP measures achievement	Unit plan achievement
Strategic plan achievement	Unit plan achievement vs accumulated individual performance
Strategic plan achievement vs accumulated unit plan achievements (performance trends)	Resource provision and use
Efficiency gains <ul style="list-style-type: none"> Budget management Resource allocation vs MTP ceilings Input/output ratio's 	<ul style="list-style-type: none"> Budget management Equipment and assets management Technology
Human resources/capital management <ul style="list-style-type: none"> HRP achievement Affirmative Action Plan achievement Establishment management <ul style="list-style-type: none"> Remuneration and S&T budgets vs fund per O/M/A programme(s) & vs achievements (above-mentioned) Staff statistics – internal O/M/A comparison and vs Public Service statistics HRD <ul style="list-style-type: none"> HRDP achievement Competency gains, e.g. performance vs development budget (qualifying, functional and management development investments) 	Human resources management <ul style="list-style-type: none"> HRP achievement (unit level) Affirmative Action Plan achievement (unit level) Establishment management <ul style="list-style-type: none"> Remuneration and S&T budgets vs funds per unit programme(s) & vs achievements (above-mentioned) Filling of posts Staff movement Staff discipline and morale <ul style="list-style-type: none"> Absenteeism Misconduct management Grievances management HRD/Competency gains <ul style="list-style-type: none"> PDP implementation Development investments (budget per qualifying, functional, management development) vs performance improvements (trends) Performance management <ul style="list-style-type: none"> Rewarding Poor work performance management
Organisational culture (vs Africa and PS Charters)	Team culture <ul style="list-style-type: none"> Internal satisfaction levels Value accomplishment
Interdependency satisfaction levels <ul style="list-style-type: none"> Service delivery partners (intra-Public Service and external service users) Image indicators/evaluation 	Customer satisfaction levels <ul style="list-style-type: none"> Internal External Customer Charter implementation & awareness
Reform implementation	Innovation <ul style="list-style-type: none"> Service delivery improvements Systems/processes improvements

<p>Policy development & implementation</p> <ul style="list-style-type: none"> • Policy development vs mandate • Relevance to Vision 2030 • Relevance of policy vs needs of service users • Cutting edge of policy vs international benchmarks • Degree of implementation • Degree of service user adherence 	<p>Technical know-how, development & information sharing</p> <ul style="list-style-type: none"> • Competence vs competence framework • Customer awareness (“informed”) levels
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GUIDELINES ON THE PERFORMANCE MANAGEMENT COMMITTEE

1. COMPOSITION OF THE PERFORMANCE MANAGEMENT COMMITTEE

A Performance Management Committee (PMC) should be established in all O/M/As consisting of a minimum of three (3) and maximum of five (5) members on senior management level, i.e. not lower than Director (Grade 4B) and chaired by the Permanent Secretary (Accounting Officer).

2. CONVENING OF THE PERFORMANCE MANAGEMENT COMMITTEE

The PMC convenes at a minimum twice a year, during early-May and early-November.

3. MANDATE AND FUNCTIONS OF THE PERFORMANCE MANAGEMENT COMMITTEE

The core function of the PMC is to holistically monitor, verify and manage performance(s) within and of the O/M/A, resulting in an understanding of the organisation, its systems, interdependencies, constraints, etc. and leading to improved performance, organisational and national planning and management processes. The PMC is to ensure equity in the management, assessment, recognition and sanctioning of performance.

More specifically, the mandate and functions of the PMC are to:

- 3.1 Ensure continuous progress towards and the achievement of set objectives in national development, strategic, HRP, HRDP and unit plans;
- 3.2 Compare internal performance(s) against external indicators (e.g. customer surveys) to ensure the validity of strategic planning and management processes and to assess the impact and image of the O/M/A;
- 3.3 Create, ensure and manage the alignment between individual, unit and organisational (O/M/A) performance to streamline and optimise unit/O/M/A performance. This includes streamlining inter-dependencies amongst units and with other O/M/As;
- 3.4 Determine the sources of information/evidence for both organisational (O/M/A) and unit performance verification.
- 3.5 Verify performance(s) of the O/M/A:
 - Internally:
 - vertically, i.e. the upward comparison/alignment of performances;
 - horizontally, i.e. with units/staff on the same level(s);
 - against unit/strategic plans.

- Externally:
 - against national development plans and targets;
 - against (international) benchmarks and indexes; and
 - through stakeholders surveys, etc.

3.6 Analyse statistics and conduct trend analyses of performance, performance assessment summaries and performance-related information at both unit and organisational level, e.g.

- performance assessment ratings, especially
 - the management of “Poor” and “Needs Improvement” ratings by the respective supervisor(s)/manager(s);
 - cases where a staff member obtained an overall “Poor” rating in the same performance cycle in which his/her probation has been confirmed;
 - the provision of support to and the development of staff, e.g. PDP implementation as reflected in the supervisors/managers’ assessments, especially in cases of poor work performance by staff members;
 - individual staff assessments versus the respective manager’s(s) assessments;
- staff movements, e.g. staff turnover, promotions, and the reasons for such;
- absenteeism levels; and
- staff motivation levels.

3.7 The analysis and verification of performance is done in the context of a normal distribution curve. This is, however, not the only determining factor as performance information, e.g. those listed above, can substantiate deviations from the normal distribution.

3.8 Analyses and the identification of idiosyncrasy(s) should lead to an exploration of the organisation (O/M/A) and the determination of cause(s) and effects, and if not substantiated, performance assessment information should be moderated and managed through feedback to the relevant manager(s)/supervisor(s) (see bullet 3.9).

3.9 Moderate performance(s) of organisational components (units) in line with organisational achievement(s) to address general over- or under-assessment in an organisational component (unit). Alterations of assessments substantiated by the above-mentioned verification process, especially where individual staff members are concerned, should be handled circumspectly. Firstly, the

responsible manager(s)/supervisor(s) must be supported through coaching and development to achieve greater insight into the assessment and alignment of performance. Secondly, individual performance assessment adjustments should not negate individual performance, as all individual's performance is not equal to the unit's performance. Adjustments of individual assessments should be done through briefing of the affected supervisor(s)/manager(s) and staff members by members of the PMC. As adjustments can be highly demotivational, the PMC must address the motivational aspect when dealing with affected staff members;

- 3.10 Facilitate an environment and organisational culture conducive to performance. This includes:
- operationalising performance management to form the core of daily supervision/management and all O/M/A activities, e.g. planning at all levels, O/M/A meetings, ongoing informal and formal performance analysis, dialogue and feedback, etc.;
 - the management of performance expectations in the continued implementation of the PMS, e.g. lifelong learning, continuous improvement and shifting of goalposts/benchmarks, non-(direct)-rewarding of "Solid Performance", continuous benchmarking and change, etc.
- 3.11 Provide and/or facilitate feedback, support and coach managers/supervisors towards the (improved) management of performance;
- 3.12 Handle performance assessment appeals by individual staff members that were not resolved at the second supervisory/management level. These appeals should be investigated and analysed, amongst others, against the unit/organisational performance and trends. The decision of the PMC is final and should be communicated in writing to both the staff member and supervisor/manager within ten (10) workdays following the meeting and attached to the original Performance Assessment Summary Form.
- 3.13 Adjudicate all overall performance assessments (ratings) at the end of a performance cycle (i.e. the March performance assessment summary) of staff affected by pending misconduct cases;
- 3.14 Take accountability for, oversee and monitor the recognition of performance, especially the equitable awarding and administration of rewards;
- 3.15 Monitor the sanctioning of performance and, where necessary, facilitate conducive action(s);

- 3.16 Provide feedback within the O/M/A and to national planning fora on the O/M/A's performance as basis for (improved) strategic and operational planning and management of the O/M/A.

4. SECRETARIAT TO THE PERFORMANCE MANAGEMENT COMMITTEE

The personnel office will serve as a secretariat to the PMC and is responsible for:

- the compilation of all O/M/A performance-related statistics;
- the identification of idiosyncrasies, e.g.
 - an overall assessment rating of poor obtained in the same performance cycle in which the staff member's probation was confirmed;
 - substantial changes made to performance agreements not substantiated by similar changes in the work environment;
 - insufficient implementation of PDPs and resultant assessment of the supervisor(s)/manager(s);
 - a "no" answer indicated by a staff member in the sign off of the overall performance assessment summary;
 - comments relevant to the O/M/A made in the "action" column of performance assessment summary forms;
- the preparation of:
 - performance assessment appeals by individual staff members;
 - performance assessments of staff members affected by pending misconduct cases; and
 - verification of rewards for above solid performance overall assessment ratings obtained in the March performance assessment summary; and
- administrative support related to the PMC and all its functions.

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GUIDELINES ON PERFORMANCE INFORMATION MANAGEMENT

1. INDIVIDUAL STAFF MEMBER INFORMATION

The original of the fully completed performance assessment summary form and any information, agreement and/or decision regarding a performance assessment appeal should be forwarded to the personnel office for safekeeping in the staff member's personal file. The original of other documents used in the PMS, e.g. the performance agreements, personal development plans, sources of evidence of performance, etc. should be kept by the supervisor/manager and copies by the staff member for reference purposes.

2. INFORMATION AT ORGANISATIONAL LEVEL

As secretariat to the Performance Management Committee (PMC) (refer Annex N), personnel offices in O/M/As should compile statistical information on performance-related information (refer Annex M), such as:

- Assessment ratings per job category;
- Recognition of performance/rewards offered;
- Sanctions applied; and
- Appeals handled.

This information can be disaggregated by job category/level, sections, divisions, directorates, departments (units) and O/M/A. The information can be used by supervisors/managers for human resources planning, managing, performance verification and trend analyses, budgeting, promotion, identification of performance gaps and research purposes.

The above-mentioned information will also be captured on the HRIMS once a PMS window has been activated on the system. Below is the recommended access for information capturing, accessibility and monitoring once a PMS window is operational in the HRIMS.

2.1 Access Granted

Access can be granted as follows:

1. Read and print for report purposes; and
2. Read, make corrections/alterations and print for report/budgeting purposes.

2.2 Information Flow, Monitoring and Use

POSITION	ACCESS RATE	USES OF INFORMATION
Prime Minister	2	<ul style="list-style-type: none">• Planning• Managing• Trend analyses• Resource allocation

Performance Management Committee	2	<ul style="list-style-type: none"> • Adjudication of appeals • Trend analyses • Performance verification • Report purposes
OPM: DHRM	2	<ul style="list-style-type: none"> • HR Planning • Managing • Trend analyses • Resource allocation
Public Service Commission	2	<ul style="list-style-type: none"> • Report purposes • HRM information • Promotion purposes
Secretary/Deputy Secretary to Cabinet	2	<ul style="list-style-type: none"> • Planning • Managing • Trend analyses • Rewards administration • Poor work performance administration
Permanent Secretary	Access to all information downwards on the structure: 2 his/her own information: 1	<ul style="list-style-type: none"> • Planning • Managing • Trend analyses • Resource allocation • Rewards administration
Under Secretary	Access to all information downwards within his/her Department: 2 his/her own information: 1	<ul style="list-style-type: none"> • Planning • Managing • Trend analyses • Resource allocation • Rewards administration
Director	Access to all information downwards within his/her Directorate: 2 his/her own information: 1	<ul style="list-style-type: none"> • Planning • Managing • Trend analyses • Resource allocation • Rewards administration
Deputy Director	Access to all information downwards within his/her Division: 2 his/her own information: 1	<ul style="list-style-type: none"> • Planning • Managing • Trend analyses • Resource allocation • Rewards administration

Head of Personnel	2	<ul style="list-style-type: none"> • HR Statistics • Trend Analysis • HR Planning • Report purposes • Resource allocation • Rewards administration
Personnel Office	1	<ul style="list-style-type: none"> • HR Statistics • Trend Analysis
Chief Level Supervisor	Access to all information downwards within his/her Section: 2 his/her own information: 1	<ul style="list-style-type: none"> • Planning • Managing • Resource allocation • Rewards administration
Other Supervisors	Access to all information downwards within his/her Section: 2 his/her own information: 1	<ul style="list-style-type: none"> • Planning • Managing • Resource allocation • Rewards administration
Staff members	Access to own information only 1	<ul style="list-style-type: none"> • Assessment viewing • Performance assessment appeals • Rewards viewing

3. GENERAL PROVISIONS

3.1 Storage of Information

- PMS Information

The O/M/A decides on the time frame documents should be kept in the O/M/A based on the period the information will be needed and at what frequency.

- Personal Information

Should be kept by the O/M/A for 20 years after which the O/M/A should apply to the National Archives for transfer and storage.

- PMS Electronic Information

Should be recorded on the HRIMS with access granted as indicated above.

- PMS Policy Documents

Should be kept permanently by the O/M/A for reference and research purposes.

3.2 Accessibility of Information

- All information on the performance of the O/M/A or related information needed for publicity purposes or by external customers must be approved by the Permanent Secretary of that O/M/A before release/use.
- All requests for information for research purposes should be processed through the Under Secretary: PSM to Secretary to Cabinet for approval before release/use.
- The OPM has the right to publish information on the performance of the Public Service. Information on the performance of the Public Service, or related information, must be approved by Secretary to Cabinet before release/use.
- All information on staff performance and related documentation, excluding rewards awarded, should be treated as confidential. This implies that information related to a staff member's performance cannot be communicated to any person excluding the staff member him/herself, the 1st and 2nd line supervisors/managers, the PMC, the PO and interview panels within the Public Service. If personal information related to an individual staff member's performance is needed by external or internal customers, it must be done with the written consent of the staff member, his/her supervisor/manager and with the approval of the Accounting Officer of that O/M/A.

3.3 Legality of Information

- For Promotion and Transfers

Ratings obtained in performance assessment summaries can be released to interview panels for internal promotion and/or transfers within the Public Service. (See Annex I, paragraph 8 for guidelines in this regard.)

- For Career Development

Staff members can obtain a summary of their own performance assessment summary ratings for career progress purposes, whether within or outside the Public Service of Namibia. This information should, however, be treated in a strictly confidential manner.