DEPARTMENT OF CO-OPERATIVE GOVERNANCE AND TRADITIONAL AFFAIRS

NO. 891   **20 September 2021**

LOCAL GOVERNMENT: MUNICIPAL SYSTEMS ACT, 2000 (ACT NO. 32 OF 2000)

LOCAL GOVERNMENT: GUIDELINES FOR THE IMPLEMENTATION OF THE MUNICIPAL STAFF REGULATIONS

I, **Nkosazana Clarice Dlamini Zuma**, Minister for Cooperative Governance and Traditional Affairs, hereby, under section 72, read with section 120 of the Local Government: Municipal Systems Act, 2000 (Act No. 32 of 2000), make the Guidelines in the Schedule.

NKOSAZANA CLARICE DLAMINI ZUMA, MP
MINISTER FOR COOPERATAIVE GOVERNANCE AND TRADITIONAL AFFAIRS

SCHEDULE

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INTRODUCTION

These Guidelines must be read together with and implemented in line with the relevant Chapters of the Local Government: Municipal Staff Regulations. Any deviations from these Guidelines may be justified where sufficient reasons are provided for such deviation.

CHAPTER 1
## STAFF ESTABLISHMENT, JOB DESCRIPTION, AND JOB EVALUATION

GUIDELINE 1A
DETERMINING STAFF ESTABLISHMENT

Reviewing of staff establishment

1. (1) The need to review the staff establishment of a municipality shall be driven by—

(a) the redetermination of boundaries of a municipality;

(b) the elections of a new council of a municipality;

(c) the adoption of a new five-year integrated development plan of a municipality; or

(d) any material changes to the powers and functions of a municipality.

(2) The municipal manager shall be responsible for driving and overseeing processes for review of the staff establishment.

(3) The municipal manager must ensure that the administration of the municipality is organised—

(a) according to the powers and functions of a municipality;

(b) in such a manner that the municipality—

(i) is responsive to the needs of the local communities;

(ii) facilitate a culture of public service and accountability amongst its staff;

(iii) is performance orientated and focused on the objects of local government; and

(iv) perform its functions with operationally effective and efficient administrative units and departments.

(4) Figure 1 below represents the steps of the review process.

Figure 1

Staff establishment review process
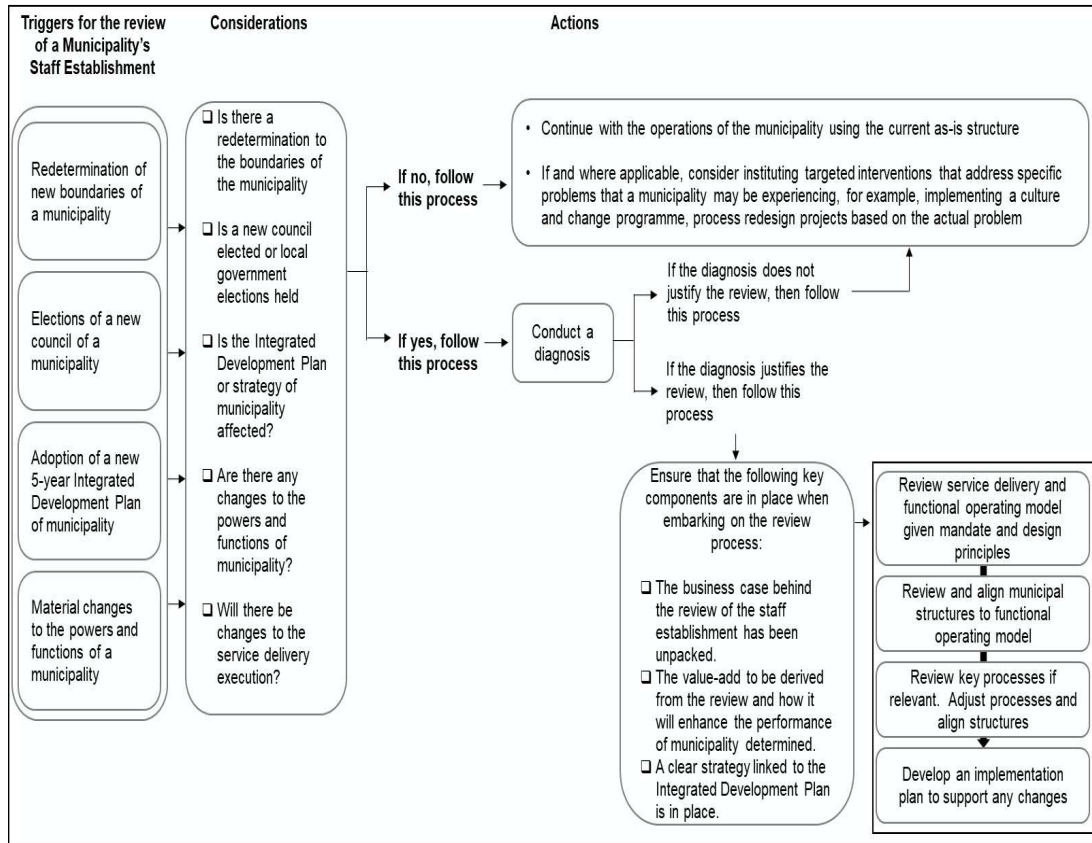
Conduct a diagnosis

2.   (1)   The diagnosis should firstly identify the need and intent of staff establishment review and must include an analysis of whether the municipality's service delivery model and staff establishment—

(a)   support the municipality's mandate;

(b)   support the powers and functions that assigns certain duties and responsibilities to local government to ensure service delivery within the relevant areas;

(c)   support the defined categories in the Constitution and subsequently by the Turnaround Strategy approved by Government in 2009;

(d)   are congruent with the regulatory framework;

(e)   support national and provincial priorities; and

(d)   support the municipality's integrated development plan and Service Delivery and Budget Implementation Plan (SDBIP).

      (2)   The diagnosis should furthermore—

(a)   assess the environment and identify threats and opportunities;
(b)   identify strengths and weaknesses of the existing staff establishment;
(c)   provide a business case for change, taking into account financial and human resource consequences; and
(d)   identify risks associated with any proposed changes and ways in which those risks could be mitigated.

(3)   Once the need for review has been approved by the municipal manager, the next process steps may be embarked upon.

(4)   Table 1 below must be used as a due diligence to guide the staff establishment.

Table 1

Focus areas for staff establishment review

No.	Question / Considerations	Actions
Before embarking on the review of the staff establishment		
1	Have you unpacked the intent behind reorganising or redesigning your staff establishment?	• Confirm the main purpose and intent of the reorganisation or redesign. • Pause to think through the solution.
2	Do you understand what value is created and how to enhance it within your municipality?	• Be clear of where value is created. • Be realistic of goals and aware of unintended consequences of the reorganisation or redesign and value creation
3	Do you have a clearly articulated strategy in line with the municipality's integrated development plan?	• Ensure that a simple and clear strategy is articulated for the reorganisation or redesign of the municipality' administration. • Use factual information to drive insight into issues and fact based solutions.
Designing the new staff establishment		
4	How ambitious do you want to be and how far do you wish to go with the reorganisation or redesign?	• Establish upfront how much change the municipality has to take, or can take. • Balance the intent with the strategic need to change.
5	Do you have clarity on the scope, approach, tools and pace of the project?	• Agree on the approach and pace that suits the municipality. • Ensure leadership and labour buy-in before commencement of the process.
6	How will you know if your reorganisation or design is the right one?	• Ensure that the reorganisation or redesign is a combination of a mix of good practice qualitative analysis of data and facilitated sessions with key stakeholders. • Test and design against organisational scenarios
Putting in place the new staff establishment		
7	Is the municipality ready for potential shifts and disruptions?	• Recognise the need for cautiously managing the transition. • Proactively engage staff to prepare them for the imminent change.

No.	Question / Considerations	Actions
8	Have you learned from previous experiences to implement organisational change?	• Maintain the design integrity through the practical realities and conflicting priorities. • Recognise that changing the structure for seamless service delivery is more than changing reporting lines
9	How are you going to balance collective accountability, maintain momentum and maintain integrity of the reorganisation or redesign?	• Advanced planning is important to keep continued energy and commitment.
10	Do you have a team of leaders (senior managers) with the capability, energy, and enthusiasm to lead the design and embed the results?	• Identify a clear champion with the power to act and for the staff to follow. • Bear in mind that leading within a municipal setting takes capability and willingness to stay the change. • Ensure that your leaders (senior managers) are equipped to drive the change.

Review and align to the organisational design principles

3.　　(1)　　The organisational design principles must guide the design of the service delivery model, functional operating model and staff establishment.
　　　　(2)　　The objective of the design principles is to—
(a)　　guide the design of what the municipality must accomplish;
(b)　　assist the municipality to focus current state assessment efforts by understanding the issues or priorities that are important in achieving the mandate of the municipality;
(c)　　use as a checklist to determine if the future-state was designed as expected;
(d)　　guide the municipal manager and the design team to have the right conversations and make the right decisions; and
(e)　　set out boundaries for design and defines what the future organisation is and what it is not.

Table 2 below contains organisational design principles to guide the municipality's decision-making around organisational design choices

Table 2

Organisational design principles

1	Design Principle 1: Sustainable and financially viable municipalities	
	Sub-Design Principles	**Potential Implications**
1.1	A municipality must be designed as fully autonomous and independent organisations, with revenue generating capabilities where applicable.	Ensure that there are revenue generating capabilities, where applicable.
1.2	The design should be practical to implement when the staff establishment of a municipality is being reviewed.	Design should be achievable and allow for operational continuity during the review of the staff establishment.
1.3	The design of the municipality should not be a "wish" list but should rather contain the key functions of the municipality.	Include the powers and functions for a specific category of municipality and cater for the municipality's IDPs.
1.4	The structural designs should be affordable to a municipality by ensuring that there is no bloating through the inclusion of unnecessary roles.	Design for the category of the municipality and what is achievable and realistic.
1.5	Define criteria of core and support functions and indicate associated ratios.	Ensure a larger ratio goes into core functions as opposed to the support functions, thereby enabling effective service delivery.
1.6	Design for a high level of standardisation, quality and consistency across the different municipal categories to enable effective service delivery.	Ensure logical clustering of functions to also enable economies of scale.
2	Design Principle 2: Adherence to the legislations, regulations and guidelines	
	Sub-Design Principles	**Potential Implications**
2.1	Powers and functions for the Category A, B and C Municipalities should be in line with the municipal regulations on staff establishments.	Design to ensure that there are no discrepancies and contradictions.

2.2	The design should not duplicate legislated functions that are provided by other spheres of government.	Do not deviate from legislative powers and functions when designing unless there is a compelling reason requiring exceptions to be considered, where applicable.
2.3	The staff establishment of each category of municipality should cater for the integrated development planning (IDP) processes.	Design functional structures capable of adapting to the integrated development planning (IDP) processes and outcomes, where applicable.
2.4	The design should take into consideration the population numbers for service delivery.	Design must be representative of geographical and rural dynamics, where applicable.
2.5	Design must take into consideration any deviations from legislated powers and functions.	Powers and functions must be properly encapsulated in the capabilities of the municipality which will form part of the service delivery model.
3	**Design Principle 3: Maximise the effectiveness of service delivery**	
	Sub-Design Principles	**Potential Implications**
3.1	Concentrate design on core, value-adding services to the community	Design must promote a larger component for core services and leaner component for support services.
3.2	Service delivery must be closest to the community the municipality serves.	Remove any potential bottlenecks in the staff establishment structuring to enable effective and efficient decision-making processes.
4	**Design Principle 4: Flexible and scalable for future changes**	
	Sub-Design Principles	**Potential Implications**
4.1	The design should be flexible to cater for changes in service delivery requirements.	Functions can be included or removed without causing disruptions to service delivery continuity.
4.2	Specialised and professional support services responsible for policy formulation and provision of professional services should be centralised.	Specialised and professional support services will be centralised, where applicable.
4.3	Transactional support services should be centralised to achieve maximum economies of scale, high level of standardisation, quality and consistency.	Centrally located support activities per function, where applicable.
5	**Design Principle 5: Optimal and productive municipalities**	
	Sub-Design Principles	**Potential Implications**

| 5.1	The number of layers within a similar category municipality should not exceed 7 layers, where applicable.	A municipality should have no more than 7 layers from the highest to the lowest level of the organisation, where applicable.
5.2	The naming conventions of the functional units must be logical, standardised and streamlined to ensure uniformity across the municipal staff establishment.	A well-defined hierarchy will enable appropriate oversight, classification of skills and control of the quality and uniformity of performance.
5.3	Decision-making responsibility should be placed as far down in the organisation as appropriate.	A clearly defined authority matrix should be in place to facilitate decision-making in the implementation phase.
5.4	Responsibilities must be consistently defined across the municipality for roles of a similar nature and purpose.	A position in different functional areas in the same category municipality will have a similar job specification even though the scope or focus may differ.
5.5	Span of control drives effectiveness and efficiency but is dependent on unique circumstances	Ratio determination must ensure balanced oversight. Consider situations where roles have more technical requirements resulting in the spans of control being lower. Spans of control of 1:1 or 1:2 must be avoided, wherever possible.

Review and align to the service delivery model and functional operating model

4.   (1)   The main objective of the review is to ensure that it reflects the municipality's mandate and meets its obligations to its community.

(2)   The review must be guided by the need to promote—

(a)   effectiveness, to enable the municipality to deliver on its mandate and the needs of its stakeholders in an integrated way;

(b)   efficiency, to enable the municipality's services to be delivered in a cost effective manner; and

(c)   empowerment, to ensure that the municipality is able to develop and deploy the required capabilities of the municipality effectively.

(3)   In performing the review of the service delivery and functional operating model the municipality should—

(a)   analyse how communities and service recipients are segmented into categories such as geographic areas, demographic groups, and socio-economic groups, where segmentation is guided by an understanding of community's needs and expectations;

(b) consider impact of technology, outsourcing, in-sourcing, public-private partnerships, network relationships, and one-stop services like multi-purpose community centres on the service delivery and functional operating model

(c) determine which services should be centralised or delivered through a decentralised structure; and

(d) use the service delivery model prototype aligned to the municipal category to—

   (i.)   confirm that the capabilities identified in the service delivery model reflects the municipal mandate;

   (ii.)   identify the changes to the municipal category service delivery model prototype to be incorporated into the functional operating model review;

   (iii.) select the relevant functional operating model prototype that demonstrates how capabilities in the service delivery model are mapped and operationalised;

   (iv.)   translate changes into the functional operating model;

   (v.)   weigh in on the advantages and disadvantages of new proposals including a thorough evaluation of the risks and opportunities that each option presents;

   (vi.)   engage and agree on the functional operating model with the relevant stakeholders according to a predetermined governance process to ensure adherence to design principles and mandate; and

   (vii.) adhere and comply with approval processes.

Figure 2

An example of the service delivery model translated into a functional operating model
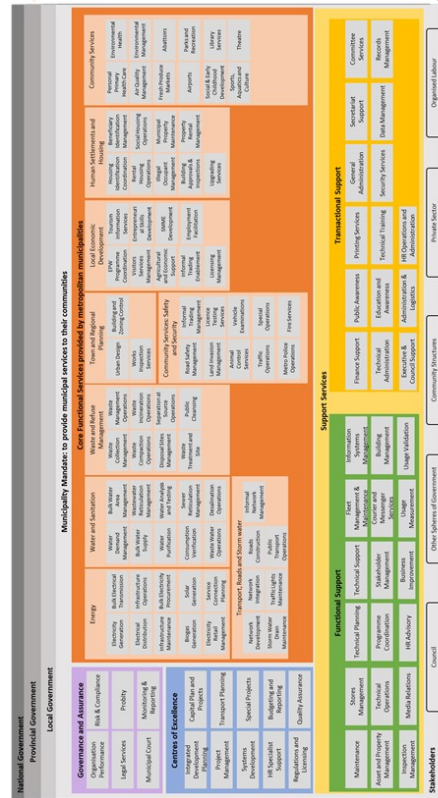
The main objective of the service delivery model review is to ensure that it reflects the municipality's mandate and meets its obligations to its community. The service delivery model represents a list of capability requirements aligned to the mandate and powers and functions.

The functional operating model illustrates the way in which the municipality will be structured and how capabilities mapped in the service delivery model will be operationalised in order to deliver on its mandated services.

Adopt Organisational Design Metrics

5.　(1)　Organisation design metrics (refer to Table 3 below) must be applied to the prototype staff establishments with the purpose to assist with designing efficient structures.

(2)　Organisation design metrics act as a guideline and should be applied within reasonable parameters of deviation.

(3)　Employee ratio refers to the number of employees performing core versus support functions—

(a)　support functions are internally focused and therefore do not provide direct services to the community;

(b)　core functions deliver services to the community as per the powers and functions of the municipality; and

(c)　the ratio is based on actual headcount and not number of roles.

(4)　Structural layer refers to the number of reporting layers that exist within a municipality, i.e. the deepest reporting layer from the front-line municipal worker to the municipal manager—

(a)　deep structures with a high number of reporting layers, greater than six (6), tend to have slower decision-making processes and are more costly;

(b)　shallower, flat structures of less than five (5) layers tend to be agile and effective, however will require greater co-ordination, particularly where the function is not a mature capability; and

(c)　depending on the size of the municipality, the layers in a municipality should not exceed seven (7) structural layers.

(5)　Structural shape refers to the profile of employees based on the occupational categories, i.e. strategic, managerial / specialist and operational categories to indicate the type or level of talent within the organisation—

(a)　the strategic occupation category refers to the positions of the municipal manager and the direct reports;

(b)　the managerial/specialist occupational category refers to the positions of the divisional manager, manager, supervisor, professionally qualified and experienced specialist, skilled technical and academically qualified;

(c)　the operational occupational category refers to the semi-skilled and unskilled positions such as operators, general workers and administrators;

(6)　Span of control is the number of team members reporting directly to an individual manager. The prototype provides a number of anticipated direct reports but it will differ across municipalities based on the drivers of the organisation structure—

(a)　the span of control metrics (refer to Table 3 below) must not be utilised to determine headcount for the municipal staff establishment.

(b)　in determining the spans of control, a municipality must consider the—

　(i.)　impact of decision making processes for effective delivery;

　(ii.)　costs of the proposed staff establishments on the municipality;

　(iii.)　degree of oversight required, with higher risk functions requiring greater supervision.

(7)　The table below sets out the organisation design metrics for different municipal categories:

Table 3

Organisation design metrics for local government: guidelines

Dimension	Category A	Category B	Category C
Employee ratio	Core to support employee ratio of 80:20		
Structural layers	• Six to Seven (6-7) layers	• Five to Seven (5-7) layers	• Five to Six (5-6) layers
Structural shape	• Strategic: 0.2 - 1% • Managerial/ Specialist: 1 - 20% • Operational: 80 - 90%	• Strategic: 1% • Managerial/ Specialist: 1% - 15% • Operational: 85% - 95%	• Strategic: 1% • Managerial: 5% - 15% • Specialist: 30% - 55% • Operational: 15% - 30%
Span of control	• Municipal Manager: 7 - 8 • Directors: 6 - 7 • Divisional Managers: 5 – 6 • Managers: 5 – 6 • Supervisors: 9 – 15	• Municipal Manager: 6 - 8 • Directors: 5 - 7 • Divisional Managers: 5 – 6 • Managers: 5 – 6 • Supervisors: 9 – 15	• Municipal Manager: 6 - 8 • Directors: 5 - 6 • Divisional Managers: 4 – 5 • Managers: 4 – 5 • Supervisors: 9 – 12

Application of organisation design principles and metrics on the review of staff establishments

6.   (1)   The main aim of the staff establishment review is to have an effective and efficient structure that aligns to the service delivery mandate of the municipality.

(2)   Review the municipal staff establishment using the above organisational design metrics (refer to Table 3).

(3)   Design the municipal staff establishment by following the applicable structure prototype for the municipal category. The review must consider—

(a)   identify the jobs and reporting lines and map alignment to the capabilities and functions in the functional operating model;

(b)   apply a top-down approach to anchor the macro level or management jobs (the top-down approach uses the municipal mandate and strategy to identify the work required to achieve service delivery objectives and breaks it down into its component parts to define the municipal staff establishment);

(c)   each job in the macro structure or management layer assumes that sufficient capacity will exist in the micro-structures to justify these jobs;

(d)   apply a bottom up approach starting with the operational jobs or micro level and understand the impact of transactional volumes on headcount and configuration of the management layer (the bottom-up approach examines how work sub-processes and processes can be clustered into appropriate groupings to define the municipals staff establishment and roles);

(e) should insufficient micro-structure headcount exists to justify a macro-structure job, this job should be merged or incorporated with another job to justify a full-time equivalent role; and

(f) conduct an additional capacity modelling exercise using process information if required as described in section 8.

(4) The following principles guide the process of structure design—

(a) be cognisant of the reporting layers of the design to ensure that the complete structure does not exceed seven (7) layers as per the recommended metrics;

(b) allocate roles to relevant functions illustrating reporting lines;

(c) apply the recommended span of control metrics for each layer in the structure design; and

(d) consider the recommended structural shape metrics for the type of municipal category in the design of the structure.

(5) Deviations from the structural prototypes must be an exception and approved prior application.

Review of key processes

7. (1) Identify and review the key processes that underpin each of the services in the service delivery model.

(2) The key purpose of the review process is to identify ways of streamlining processes to increase efficiencies and effectiveness by focusing on those areas as detailed in table 2 below:

Table 2

Focus areas for process review

	Focus Area	Questions to Answer
1	Bottlenecks	• Are there points in the process slowed by redundant or unnecessary steps, lack of capacity or other factors? • Are there any activities that are need to take place but not happening due to possible blockages?
2	Weak links	• Are steps inhibited by inadequate training or equipment that needs to be repaired or replaced?
3	Poorly defined steps	• Are steps open to interpretation and potentially performed in a different way by each person involved, leading to variation / inconsistency?
4	Low value-added actions	• Are there steps that do not add value to the output of the process and could be eliminated? (A good question to ask is

	Focus Area	**Questions to Answer**
		whether a customer would pay to have this step completed.)
		• Are there too many people doing minor tasks that could be done by one person?
5	Non-critical actions	• Are there non-critical steps (e.g. recording, filing) that hold up a process?
6	Handoffs	• Are there too many handoffs (movements between people)?
7	Too much sequence	• Are steps happening too much in sequence when they could occur in parallel?
8	Exception overrule	• Do problematic cases that make up 10 or 20% of the workload get in the way of the other 80 or 90%?
9	Escalation approval / Information loops	• Are there unnecessary referrals to higher layers in a structure for decision-making or information sharing?
10	Co-ordination	• Is there a role that co-ordinates other roles and tasks? (Often a symptom of a bad process is staff working in isolation of another/ others.)
11	Undefined roles	• Are roles undefined, leading to confusion about who does what?
12	Work and inspection	• Is the actual work and the inspection thereof separate activities in the process?
13	Transportation	• Is there incorrect movement of goods and services between locations resulting in re-transportation to the correct destination?
14	Inventory	• Is there storage of materials and goods in excess of immediate requirements?

(3)   Each process should be supported by a decision rights (RACI) matrix that specifies who is responsible for what, who is accountable, who should be consulted, and who should be informed in respect of each activity in the process.

(4)   Table 3 below give an illustration of an example of a RACI template:

Table 3

RACI TEMPLATE

	Job Title	Job Title	Job Title	Job Title	Job Title	Job Title	Job Title	Job Title
	List all stakeholders in the columns above who may be involved in the process							
Process Steps								
List the process steps and activities								

Legend

R = Responsible (Person who executes the activity)

A = Accountable (Person that has decision making authority)

C = Consult (Person that is consulted prior to the activity being executed)

I = Inform (Person who is informed of the executed activity)

Directions:

Populate the template by indicating in the relevant column which person may be **R**esponsible, **A**ccountable, **C**onsulted, **I**nformed for each process step and activity.

Example of how to populate the RACI Template

Process	*Municipal Manager*	*Chief Financial Officer*	*Heads of Department*	*Council*
Develop the municipal budget	A	R	C	I

(5)   Work study methods and procedures may be applied to determine with accuracy the number of headcount required to perform a particular service.

(6)   The processes contemplated above may require the use of various tools to calculate the time it takes to start and complete a particular tasks, including methods for carrying out such tasks. This will in turn assist the municipality to determine the number of staff members required for each job in the structure.

(7)   Some of the factors that influence capacity planning are—

(a)   the nature of the functions allocated to the municipality;

(b)   the types and extent of services rendered by the municipality;

(c)   the labour intensity of operations or the extent of mechanisation; and

(d)   the extent of outsourcing.

Implementation plan to support the change

8.   (1)   The main objective of the implementation plan is to provide the municipality with a framework to effectively implement the review of the municipal staff establishment.

     (2)   In planning the implementation of the reviewed staff establishment, the municipality must—

(a)   align with the implementation governance mechanisms;

(b)   determine mechanisms to maximise support for change while minimising resistance to change—

     (i.)   align the intent to change with municipal leadership;

     (ii.)   articulate the case for change, including the reasons for the change, how it will benefit the municipality and staff, in particular, and the community in general;

     (iii.)   establish a stakeholder engagement and communication approach;

     (iv.)   identify the change impacts to determine the how the municipality should respond;

     (v.)   determine the degree of change to a job using the principles as contained in table 4 below;

Table 4

Principles guiding the degree of change to a job

Type of Change	Description and Guidelines
Materially change	Involves substantial changes, which may include: • Change to the number of subordinates reporting into the person; • Increased accountability, which entails the overall oversight of an activity or activities; • Increased responsibility to undertake the function; • Impact and changes that relate to the physical location and travel requirements for that job; or • Change in the level.
Change to a limited or non-material degree	Minor changes on undertaking the job that the person can easily be trained on, such as technology changes, etc.
Abolished	There is no longer a need for this job in the new staff establishment so it ceases to exist and subsequently becomes redundant.
Not affected by the changes	Nothing changes from how the job was previously executed as per the old job description.

(c)   plan the sequencing of the staff establishment implementation;

(d)   prepare a budget for the staff establishment and obtain approval;

(e)   develop and plan the workforce transition approach;

(f)   plan the capability transfer roll-out; and

(g)   make provision for a post implementation plan including a benefits tracking process.

Overall guiding principles for review of staff establishment

9. (1) In reviewing the staff establishment of the municipality, the municipal manager should look for opportunities to—

(a) remove redundant management layers and, where necessary, increase span of control;

(b) create posts that explicitly define and streamline roles and responsibilities;

(c) reduce duplication of services or activities, especially administrative support functions;

(d) defer ad hoc requests for creation of posts, unless appealing reasons exist;

(e) eliminate non-value added or waste activities;

(f) introduce technology-driven enablers (e.g. virtual meetings and social networks to decrease spending, accelerate decision-making and enable a wider span of control); and

(g) improve the way the municipality operates across functions and business units.

Overall due-diligence for reviewing the staff establishment

10. (1) Table 5 below may be used as a due-diligence to guide the staff establishment review process:

Table 5

Focus areas for process review

No.	Question / Considerations	Actions
Before embarking on the review of the staff establishment		
1	Have you unpacked the intent behind reorganising or redesigning your municipality?	• Confirm the main purpose and intent of the reorganisation or redesign. • Pause to think through the solution.
2	Do you understand what value is created and how to enhance it within your municipality?	• Be clear of where value is created. • Be realistic of goals and aware of unintended consequences of the reorganisation or redesign and value creation
3	Do you have a clearly articulated strategy in line with the municipality's integrated development plan?	• Ensure that a simple and clear strategy is articulated for the reorganisation or redesign of the municipality' administration. • Use factual information to drive insight into issues and fact based solutions.
Designing the new staff establishment		
4	How ambitious do you want to be and how far do you wish to go with the reorganisation or redesign?	• Establish upfront how much change the municipality has to take, or can take. • Balance the intent with the strategic need to change.
5	Do you have clarity on the scope, approach, tools and pace of the project?	• Agree on the approach and pace that suits the municipality. • Ensure leadership and labour buy-in before commencement of the process.
6	How will you know if your reorganisation or design is the right one?	• Ensure that the reorganisation or redesign is a combination of a mix of good practice qualitative analysis of data and facilitated sessions with key stakeholders. • Test and design against organisational scenarios
Putting in place the new staff establishment		
7	Is the municipality ready for potential shifts and disruptions?	• Recognise the need for cautiously managing the transition. • Proactively engage staff to prepare them for the imminent change.
8	Have you learned from previous experiences to implement organisational change?	• Maintain the design integrity through the practical realities and conflicting priorities. • Recognise that changing the structure for seamless service delivery is more than changing reporting lines
9	How are you going to balance collective accountability, maintain momentum and maintain integrity of the reorganisation or redesign?	• Advanced planning is important to keep continued energy and commitment.
10	Do you have a team of leaders (senior managers) with the capability, energy, and enthusiasm to lead the design and embed the results?	• Identify a clear champion with the power to act and for the staff to follow. • Bear in mind that leading within a municipal setting takes capability and willingness to stay the change. • Ensure that your leaders (senior managers) are equipped to drive the change.

GUIDELINE 1B

DEVELOPING A JOB DESCRIPTION

1.　　(1)　　The development of a job description must be preceded by—

(a)　collection of relevant information about the job, including but not limited to interviewing the supervisor and where applicable, the incumbent of the post, a labour representative or conducting a comparative analysis of similar posts in other similar sized municipalities;

(b)　completion of the job analysis questionnaire and the job description template;

(c)　verification of the correctness of the job description; and

(d)　consultation with the relevant signatories of the job description　for final authentication and approval.

　　(2)　　Once the job description has been developed and approved, it must be referred for job evaluation.

Table 6 below sets out a typical job description template that may be used by municipalities when developing job descriptions:

Table 6

Template for job description

JOB DESCRIPTION

SECTION A: JOB TITLE AND INFORMATION SECTION

A.1 POST IDENTIFICATION	
1. Municipality	
2. Job/Post Title	*Job title as per proposed new structure*
3. Number of Posts	*As per proposed new structure*
4. Job Grade	*Do not complete, to be graded later*
5. Date Grade Authorised	*Do not complete*
6. Post Identification Number(s)	*Do not complete*
7. Name of Incumbent(s) and Service Number(s)	*Complete if you have details*

A.2 LOCATION OF JOB/POST	
Department	*As per structure*
Unit	*As per structure*
Section	*As per structure*

A.3 SURROUNDING JOBS/POSTS	
Immediate Superior	
Job Title	Post Identification Number
Job title of immediate superior	
Immediate Subordinates	
Job Title(s)	Post Identification Number(s)
Job title of subordinates	
Frequency of supervision	

SECTION B: JOB PURPOSE, DUTIES AND RESPONSIBILITIES

B.1	JOB PURPOSE

Explain the main objective of the job, preferably in one or two sentences.

B.2	DUTIES OF THE POST

NO.	KEY PERFORMANCE AREAS (What)	INPUT (Methods Used) (How)	Output (Expected Results) (Why)	FREQUENCY
	What? Refers to the most visible concrete actions or major activities which the job does.	*How? Refers to the methods, processes and tools required to carry out the actions required?*	*Why? Refers to the reason why the main activity is performed or the overall purpose of that specific task. What is the end objective?*	*What is the frequency of each activity?* • *Ongoing* • *Daily* • *Weekly* • *Monthly* • *As and when required*
	E.g. Receptionist Controlling Reception area	E.g. • Greet visitors and establishing nature of the call • Direct visitors to appropriate individuals • Ensure that waiting visitors are offered refreshments • Tidy the reception area	E.g. • **To** ensure that professionalism and front line image are maintained	E.g. • Ongoing
	E.g. Secretary *Sort and route incoming and outgoing correspondence and mail of the Office*	E.g. • Communicate and distribute correspondence and information as and when required • Record accurately and manage incoming correspondence of the Director in order of priority on daily basis • Check fax, email and postal correspondence and replies are made on behalf of the Director • Respond directly to mundane correspondence of behalf of the Director	E.g. • So that there is no backlog, items are prioritised and each person receives the correct mail.	E.g. • Daily

B.3   AUTHORITY OF THE POST

This outlines the authority the jobholder has to make decisions or to take independent action without reference to a superior. Limits of authority may also be included (e.g. not permitted to…).

The post is accountable for all outcomes associated with _____ (function, e.g. HR Management) and is authorised to take decisions on operational issues within the ambit of departmental policy and procedures and laws regulating action in cases of non-compliance.

Must ensure that all _____ (function, e.g. HR Management) policies, procedures and strategies are in line with relevant legislative and statutory rules, regulations and prescriptions.

Manage the _____ (Department) in terms of financial and operational delegated powers.

Responsible for the enforcement of all council policies on _____ (function, e.g. HR Management and related procedures.

Approval of appointments, organisational structure and new policies must be reported to council for approval.

Management of resources allocated to the Department in line with Council policies

Act independently with reference to the Line Manager and in terms of the following legislations and regulations: -

- *All policies, procedures and strategies in line with legislative and statutory rules, regulations and Municipal by-laws*
- *Municipal Systems Act, Municipal Structures Act, Employment Equity Act, Skills Development Act, BCOE, LRA SALGA guidelines, etc.*
- *Any other legislation that has a bearing in local government and human resources*
- *All applicable Council Policy, Procedural Imperative, Administrative processes and procedures*
- *NEMA Act and MFMA*

SECTION C: JOB SPECIFICATION

Skills relevant to a job include education or experience, specialised training, personal characteristics or abilities.

C.1 ESSENTIAL REQUIREMENTS OF THE POST State the minimum educational, qualifications and experience that are required to perform the job competently.	
Qualification	*Enter the minimum education level (e.g. Grade 10 / B.Com) in order to do the job competently. These qualifications may not necessarily be what the incumbent is in possession of but rather what is considered to be essential in order to do the job competently.*
Reasons for essential Qualification	*Intrinsic job requirement*
Experience	*Record the minimum amount of time and type of experience needed before appointment into this job – not necessarily what the incumbent possesses, but rather what the job requires.*

C.2 PREFERRED REQUIREMENTS OF THE POST	
Qualification	*Additional on top of essential requirements stated above.. e.g. Post graduate qualification in _____ (functional area) or related*
Reasons for preferred qualification	*Job requirement*
Experience	*Record additional amount of experience needed*

C.3 COMPETENCY REQUIREMENTS OF THE POST Only where directly relevant to the performance of the job	
1.	*Strategic Management Skills*
2.	*Business Management Skills*
3.	*Communication Skills (verbal and written)*
4.	*Planning and Organising Skills*
5.	*Financial Management Skills*
6.	*Must be able to work under pressure*
7.	*Good interpersonal skills*
8.	*Negotiation skills and conflict handling skills*

C.4 SPECIAL CONDITIONS AND PHYSICAL REQUIREMENTS ATTACHED TO THE POST	
1.	*Healthy person – ability to work long hours and meet deadlines*
2.	*Must be able to visit outside workplace if and when needed or attend meetings after hours*

C.4 INFLUENCE AND COMMUNICATION
Illustrate the stakeholders that this post will influence, including the purpose for the communication

List key customers / stakeholders	Purpose of interaction	Frequency of interaction

SECTION D: APPROVAL OF JOB DESCRIPTION

D.1 CERTIFIED CORRECT				
We the undersigned confirm that we have consulted on the content contained in the job description and hereby confirm that we consider that the information contained is a correct reflection of the context of the post and its content.				
TITLE	**NAME**	**EMPLOYEE NO**	**SIGNATURE**	**DATE**
Head of Department				
Immediate Supervisor				
Trade Union Representative				
Incumbent				

CHAPTER 2

RECRUITMENT, SELECTION AND APPOINTMENT OF STAFF

GUIDELINE 2A

RECRUITMENT, SELECTION AND ADVERTISING OF VACANT POSTS

Introduction

1. (1) The recruitment and selection of staff forms part of the municipality's staff attraction strategy and its broader talent management framework.

(2) The recruitment and selection of staff should support and enable the municipality's capacity needs.

(3) Recruitment strategies should be designed to attract and retain diverse, qualified applicants, including persons with scarce skills and talent.

Request to fill vacant or new post

2. (1) When a vacancy occurs or a new post has been created that has not been filled, the supervisor within whose delegated authority the post falls must—
(a) confirm with the manager responsible for human resources that the post is approved and funded;
(b) develop the required job description, in collaboration with human resources;
(c) complete a written request and motivation to fill the vacant or new post; and
(d) ensure that the specified inherent requirements of the job are reasonable and necessary to perform the duties associated with the post and are non-discriminatory.

(2)　　The written request and motivation to fill a vacant or new post must be submitted to the relevant manager for approval as set out in regulation 11(3)(*a*).

Advertising of vacant post

3.　　(1)　　On approval being granted to fill a vacant post, human resources should develop a job advert for the post to be advertised within the municipality and externally, where appropriate.

(2)　　The job advert must at least specify those requirements as set out in regulation 14(2).

(3)　　Advertisements should be placed to reach, as efficiently and effectively as possible, the widest pool of internal and external potential applicants.

(4)　　The municipal manager must determine whether a recruitment agency or head hunting process is to be used for any recruitment process.

(5)　　The manager responsible for human resources or the staff member to whom this is delegated is responsible for simultaneously placing internal and external advertisements in the most appropriate forums or publications.

(6)　　The manager responsible for human resources or the staff member to whom this is function is designated must record all internal and external applications and must update the information as the selection process unfolds.

(7)　　The record that must be maintained must comply with the regulations.

Shortlisting

4.　　(1)　　Shortlisting refers to the process of reducing the number of applicants to be considered for the vacant post.

(2)　　A set of selection criteria must be determined and applied to ensure that the process is fair and non-discriminatory.

(3)　　The selection panel appointed to recommend the appointment of persons to the vacant post must perform the shortlisting and develop the shortlist.

(4)　　The appointment of the selection panel must comply with regulation 16 of the Regulations.

(5)　　The selection criteria must be objective, relate to the requirements of the job and the future needs of the municipality.

(6)　　The appointed selection panel must determine the criteria according to—

(*a*)　　the specific competencies, skills and abilities required for satisfactory performance in the job; and

(*b*)　　the key performance areas of the vacant post.

(7)　　The supervisor and the manager responsible for human resources or the staff member to whom this is delegated must agree shortlisting methods before they are applied, which may include the screening of curriculum vitae, telephonic interviews, and competency-based evaluations.

(8)　　The number of people on the shortlist should be restricted to those who show in their applications that they clearly meet the minimum requirements, which are—

(*a*)　　all the skills, knowledge, competencies and abilities identified in the job description that the potential candidate must possess at the time of appointment, or which the candidate would be able to acquire in a reasonable time; and

(b)   all the qualifying criteria for the post.

(9)   The supervisor and the manager responsible for human resources or the staff member to whom this is delegated must take into account formal qualifications, prior learning and relevant experience, or the capacity to acquire the necessary skills and competencies within a reasonable time.

(10)   If a large number of applicants meet the minimum selection criteria, a further shortlisting process may be required.

(11)   The selection panel must maintain a comprehensive record of the shortlisting process and the decisions taken.

Reference and personal credential verification

5.   (1)   The manager responsible for human resources or the staff member to whom this function is delegated must conduct the screening of the shortlisted candidates in compliance with regulation 19.

(2)   The results of the screening process must be captured in writing for each shortlisted candidate and submitted to the selection panel.

Interviews

6.   (1)   The manager responsible for human resources or the staff member to whom this function is designated must submit to the selection panel, within five days of the screening being completed, the following:

(a)   the list of shortlisted candidates; and

(b)   the results of the screening process.

(2)   Each of the shortlisted candidates must be interviewed.

(3)   The purpose of the interview is to expand on information provided in the application, collect new information, further assess the applicant's degree of competence and assess whether the applicant matches the requirements of the job.

(4)   Prior to the interviews, the panel should meet to confirm:

(a)   the process to be followed;

(b)   the selection criteria for the advertised post based on the relevant qualifications, experience, competencies, skills and expertise required for the post; and

(c)   the questions to be asked.

(5)   During the interview the selection panel is responsible for ensuring that—

(a)   the interview is structured;

(b)   consist questioning techniques are used across interviews;

(c)   there is a competency-based focus on the requirements of the job; and

(d)   the interview is non-discriminatory in respect of race, gender or disability.

(6)   During the interview, the panel must ensure that the applicant being interviewed has a reasonable opportunity to ask questions about the job and employment with the municipality.

(7)   The selection panel must keep a written record of their assessment of the candidates interviewed.

(8)   After considering all the relevant information, the selection panel must recommend at most three candidates in order of preference, or, if no candidate is found to be suitable, recommend that the post be re-advertised.

(9)   Adequate records of the entire selection process must be maintained including: selection and shortlisting criteria; reasons for inclusion or exclusion of the candidates; copies of other assessment results; notes on the interview assessments of each candidate; reference checks; and notes on the deliberations informing the selection decision. These records should be kept in a secure location on the municipality's premises.

(10)   After the interviews are finalised, the manager responsible for human resources, in collaboration with the chairperson of the selection panel, must prepare a written motivation detailing the following:

(a)   the selection process,

(b)   the candidate screening outcomes,

(c)   the interview assessment outcomes; and

(d)   the recommendations of the selection panel; for the municipal manager or the staff member to whom this function is designated, in the case of other staff.

Appointment

7.   (1)   The appointment of the approved candidate must be finalised in compliance with regulation 20.

(2)   The manager responsible for human resources or the staff member to whom this is designated must—

(a)   submit an offer and letter of appointment to the approved candidate; and

(b)   inform all other candidates interviewed that they were unsuccessful.

GUIDELINE 2B

RECRUITMENT REQUISITION FORM

Below is a recruitment requisition form, which should be completed when a decision is made to recruit a person for a post.

Table 7

Recruitment requisition form

The municipality is committed to the maintenance of diversity and equity in employment within all categories and levels in the workplace	
Name of Division	
Name of Department	
Post	
Grade	
Minimum Prescribed Education	
Minimum Prescribed Experience	
Key Responsibilities	
Inherent Job Requirements	
Prescribed Competency Requirements	
Medium of Advertisement	
Internal:	External:………………………………..
Reason for Recruitment:	New Post/ Additional Post/ Staff Resignation/ Promotion/ etc.
Other: Specify	
Budget Availability	Yes/ No
If No, state reasons	

………………………………… 　　　　　 …………………………….......
Head of Department 　　　　　　　　　　　　 Date

Full Name: ………………………………..

Recommended/Not recommended

………………………………………….. ………………………………….......
HoD: Human Resources Date

Name in Full: ……………………………………….

Approved/Not approved

…………………………………….. …………………………………..
Executive Director/ Director Date

NAME: …………………………………….

GUIDELINE 2C

INTERVIEW GUIDE

1. Below is an interview panel assessment form that should be completed by each member of the interview panel during the interview and guidelines for the completion of the form.

Table 8

Interview Panel Assessment Form

Interviewer name:	
Applicant name	
Date of interview	
Position/s applied for	
Notes / overall impression of the candidate in words	
Recommendation	

_____ _____

Panel member signature Date

Interviewer guidelines

General:

- All candidates are entitled to the same questions. This contributes towards a consistent interview process that is legally defendable.
- Keep a record of the candidate's answers. It serves as proof for the scores you give and will be required should you be accused of using discriminatory tactics.

- Never make personal remarks about the answers that the candidate has given to the questions asked.
- Do not ask questions about the candidate's personal life i.e. "What is your marital status?" or "Are you planning on having children in the near future?"
- At the end of the interview, thank the candidate for taking the time to attend and explain what the next steps in the process are.

How to open the interview:

Open the interview touching on the following key points:
- That the municipality has identified what, besides skills and experience, is important in order to perform well in the position;
- Explain that while we do not yet know when the outcome of the recruitment process will be available we are committed to as quick a process as possible and that all candidates will be notified as the information becomes available;
- Introduce yourself and explain to the candidate that you are going to be conducting a structured interview, and will be asking him or her for specific examples of where he or she did certain things or took certain actions or decisions; and
- You need to record as much information as possible during the interview and you will therefore be writing a lot during the interview.

Note taking:

- Listen to the responses and evaluate the quality and depth of the answers.
- Record your impression of the candidate.
- Note any evidence of competencies the candidate demonstrated.

The following rating scale should be used when interviewing candidates:

Table 9

Evaluation rating scale

Evaluation rating scale		
Scale	**Description**	**Indicators of Performance**
4	**Excellent**	The applicant possesses exceptionally well developed and relevant skills and abilities for the technical and/or behavioural competencies required to perform the position.
3	**Competent**	The applicant possesses relevant skills, knowledge and abilities. They would generally be effective against this criterion.

Evaluation rating scale		
Scale	**Description**	**Indicators of Performance**
2	**Requires Development**	The applicant possesses some skills, knowledge and abilities relevant to the criterion, but is limited on others. She/he requires further training and development to meet the standards required for this criterion.
1	**Unsatisfactory (Below Standard)**	The applicant is unable to demonstrate that she/he possesses the adequate skills, knowledge and abilities in relation to the criterion. She/he would not be suitable to perform the duties of the position.

Closing the interview:

- Thank the candidate for coming to the interview.
- Give the candidate the opportunity to ask questions.
- Explain the next step in the process and any time frames, including who will contact them and when.

GUIDELINE 2D

CONFLICT OF INTEREST DECLARATION BY INTERVIEW PANEL MEMBER

LOGO OF MUNICIPALITY

DECLARATION OF CONFIDENTIALITY BY THE SELECTION PANEL MEMBER

INTERVIEWS FOR THE ADVERTISED POST OF ………………………………………..
(NAME OF THE ADVERTISED POST)

Date: dd/mm/yy

I …………………………………………………………………………… hereby declare that I have read the provisions of regulation 24 of the Local Government: Municipal Staff Regulations ("hereinafter referred to as the Regulations").

I hereby further declare that —

(a)   I have no personal interest in any of the interviewed candidates;

(b)   I do not have any relationship whatsoever with the interviewed candidates;

(c)   I am not indebted to any of the interviewed candidates or *vice versa*;

(d)   my participation in this interviews will not in any way constitute a conflict of interest or unduly influence or attempt to influence the appointment or promotion for a spouse, partner, family member, friend or associate;

(e)   I will not discuss the outcome of these interviews or inform any candidate who has been interviewed about the outcome of these interviews.

(d)   all the discussions emanating from the interview process will be kept strictly confidential and no information will be disclosed with any candidate or person who is not part of the Selection Panel until such time that the Municipal Manager or his or her delegate has approved the recommendations of the Selection Panel and the successful candidate has been duly informed about the outcome of the decision of Municipal Manager or his or her delegate.

Signed at ……………………………. on this ……… day of …………………………. 20…..

…………………………
Signature: Selection Committee Member

…………………………

Signature: Chairperson

LOGO OF THE MUNICIPALITY

DECLARATION OF CONFIDENTIALITY BY THE STAFF MEMBER PROVIDING SECRETARIAL SERVICES DURING THE SELECTION PROCESS

**INTERVIEWS FOR THE ADVERTISED POST OF …………………………………………..
(NAME OF THE ADVERTISED POST)**

Date: dd/mm/yy

I ………………………………………………………………………………… hereby declare that I have read the provisions of regulation 24 of the Local Government: Municipal Staff Regulations ("hereinafter referred to as the Regulations").

I hereby further declare that —

(a)   I have no personal interest in any of the interviewed candidates;

(b)   I do not have any relationship whatsoever with the interviewed candidates;

(c)   I am not indebted to any of the interviewed candidates or *vice versa*;

(d)   my participation in this interviews will not in any way constitute a conflict of interest or unduly influence or attempt to influence the appointment or promotion for a spouse, partner, family member, friend or associate;

(e)   I will not discuss the outcome of these interviews or inform any candidate who has been interviewed about the outcome of these interviews.

(f)   all the discussions emanating from the interview process will be kept strictly confidential and no information will be disclosed with any candidate or person who is not part of the Selection Panel until such time that the Municipal Manager or his or her delegate has approved the recommendations of the Selection Panel and the successful candidate has been duly informed about the outcome of the decision of Municipal Manager or his or her delegate.

Signed at ……………………………. on this ……… day of …………………………. 20…....

……………………………
Signature: Secretariat

……………………………
Signature: Chairperson

GUIDELINE 2E

INDUCTION OF STAFF

Introduction

1.　(1)　The induction of staff is critical to ensuring—
(a)　the comprehensive introduction of newly hired staff members to the operations, ethos and culture of a municipality; and
(b)　the speedy integration and long-term retention of staff members.
　　(2)　Induction is an important component of the municipality's recruitment and selection, capacity building and retention of staff strategies and procedures.

Principles and purpose

2.　(1)　The importance of consistent induction requires all new municipal staff members to attend a standardised induction programme within a month of commencing employment.
　　(2)　Induction programmes should result in new staff members having a clear understanding of the operations of the municipality, as well as its structure, strategy, objectives and culture.
　　(3)　Municipalities should use induction programmes to:
(a)　welcome new employees in a constructive way that projects a positive image of the municipality;
(b)　introduce the staff member to the working environment and his or her colleagues;
(c)　facilitate integration into the job functions, the department, team and the municipality as a whole;
(d)　provide the new staff member with comprehensive information about the municipality's policies, health and safety requirements, procedures, facilities, and services;
(e)　highlight and introduce performance standards, expectations and required behaviour patterns for effective job performance;
(f)　establish a solid foundation for the staff member to embrace the challenges of the post and to build commitment to the municipality; and
(g)　open effective communication channels.

Induction procedure guidelines

3.　(1)　The following steps are provided as a guideline for any induction programme:
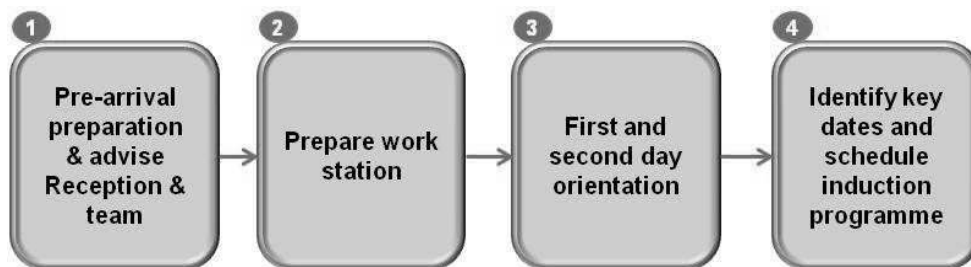
(2)   Step 1: Pre-arrival preparation and advise reception and the team:

(a)   Prepare an information pack for the new staff member prior to arrival containing at least the following information:

(i)   Welcome letter from the municipal manager and departmental head;

(ii)   Offer letter and details of package;

(iii)   Overview of benefits;

(iv)   Code of conduct;

(v)   Job description;

(vi)   Start date, where and whom to report to;

(vii)   Recruitment specialist contact name.

(b)   One week prior to starting date, the supervisor should give the new staff member a courtesy call.

(c)   Prior to the arrival of the new staff member (i.e., a day or two before the new staff member commences employment), the supervisor should inform reception and the relevant team that the new staff member will be joining and provide information regarding the staff member's arrival in order to ensure a welcoming first day. The supervisor should ensure that reception knows that the new staff member will be arriving, and can direct the staff member to his or her new work station.

(3)   Step 2: Prepare work station: Ensure that the work area or desk is free and clean and provide some stationery. If the staff member requires a personal computer, arrange one and facilitate password access. Also organise parking and appropriate access cards, if necessary.

(4)   Step 3: First and second day orientation: This should be arranged and managed by Human Resources and the relevant supervisor. The orientation should entail at least the following:

(a)   Provide a workplace tour: Provide a guided tour of the municipality's work areas with which the staff member will have most contact, as well as staff and office facilities. Introduce the staff member to colleagues.

(b)   Support provided for general administration (personnel file created, payroll record created, benefits explained and finalised, uniform and work tools assigned, computer and e-mail address set up, telephone activated, keys and access cards provided, stationery and business cards issued, parking assigned).

(c)   The staff member must receive the employment contract as well as copies of the municipality's policies and be requested to sign the employment contract and a copy of it which he or she may keep.

(d)   Arrangements should be made for the staff member to meet supervisor for detailed discussion of—

(i)   expectations (for example, KPAs);

(ii)   work timetable and tasks for the following two weeks;

(iii)   accountability framework (meetings and reporting lines).

(iv)   information on the department that he or she will be joining. This will include the organisational structure of the department, the role of the department and how it fits into the larger organisational structure, as well as its strategic drivers. The supervisor must also discuss the new staff member's role and how it fits into the municipality, provide him or her with specific tasks for the weeks ahead, identify any courses or events that the new staff member should attend and make the required bookings.

(5)   Step 4: Schedule and run an induction programme: The induction programme should at least be a one-day session at the end of the month in which the employee commences employment to—

(a)   understand the municipality and its integrated development plan;

(b)   understand the structures of the municipality;

(c)   understand the vision and strategy of the municipality;

(d)   acquire insight into and understand the municipality's culture – "the way we do things" –and the municipality's values through messages from senior managers;

(e)   obtain an overview of policies and the staff member's rights and obligations;

(f)   meet peers from other departments; and

(g)   discuss performance and reward management and how it affects the staff member.

(6)   For staff members who are at middle management levels in the municipality, the municipality should customise the orientation to include—

(a)   meeting with the senior manager to agree on a written performance agreement with clear and realistic goals so that he or she has an early sense of what is expected of him or her and to negotiate realistic timeframes for the new staff member to assume responsibility;

(b)   providing guidance on managing relationships and coming to grips with the challenges and requirements of the new environment; and

(c)   additional content into a one-day on-boarding and induction workshop that encompasses—

(i)   an overview of legislation;

(ii)   financial management, risk management, and corporate governance;

(iii)   managing and leading people;

(iv)   the municipality's middle manager competencies; and

(v)   leadership behaviours.

GUIDELINE 2F

ATTRACTION AND RETENTION OF COMPETENT STAFF

Introduction

1.   (1)   The attraction and retention of competent staff must form part of the municipality's talent management framework and strategy.

        (2)   Talent management is an integrated process designed to attract, retain and develop competent staff.

        (3)   Effective talent management ensures operational continuity and sustainability of the municipality by ensuring that the appropriate people, with the appropriate skills, are in the appropriate job at the right time.

        (4)   The municipal manager must ensure that the municipality develops and implements an effective staff attraction and retention strategy and plan.

        (5)   A committee of the municipal council established in terms of section 79 of the Local Government: Municipal Structures Act, 1998 (Act No. 117 of 1998) must monitor the implementation of the approved staff attraction and retention strategy and plan.

Attraction of competent staff

2.   (1)   In developing a staff attraction strategy and plan, the municipality must consider the following:

(a)   The municipality's staff value proposition.

        (i)   A value proposition is the concise description of what the municipality has to offer potential staff.

        (ii)   The employee value proposition is a message designed to persuade and entice sought after professional and technical skills to consider being employed at the municipality.

        (iii)   The staff value proposition should be inspirational, motivational, attractive and distinctive.

(b)   The municipality's long-term and current strategic organisational requirements in respect of leadership competencies, technical skills and public service imperatives.

(c)   The municipality's ability as an employer to provide a favourable work environment for staff.

        (2)   The attraction strategy and plan should include different techniques that can be used, and may include those set out in Table 3 below.

Table 10

Attraction of staff techniques

Item	Technique	Examples
1	Buying talent	Building relationships with important sources of talent such as tertiary institutions, business schools, using referral hiring, creating partnerships with staff search agencies, targeting potential staff members, building an internet recruitment strategy.
2	Building talent	Providing training and development for key staff members.
3	Borrowing talent	Forming alliances with organisations in the private and public sector, retaining consultants, building skills transfer programmes, outsourcing work, maintaining relationships with former staff members.
4	Bouncing talent	Investigating opportunities such as secondment, flexible work arrangements and contract work.
5	Binding talent	Offering financial and non-financial inducements to retain talent.
6	Boosting talent	Promotion and staff recognition schemes.

Identification of competent staff

3.   (1)   The identification of scarce, critical and high-risk skills must form the basis of any talent management interventions.

(2)   The manager responsible for human resources must develop a framework for the identification of competent staff.

(3)   The framework must enable the identification of leadership groups and technical talent in the municipality.

(4)   Supervisors, in consultation with the manager responsible for human resources, must identify competent staff members.

Retention strategy

4.   (1)   The manager responsible for human resources must—

(a)   oversee the retention strategy; and

(b)   ensure that there is consistency in the way in which competent staff are managed and engaged by—

(i)   ensuring that systems and processes are structured to provide flexibility within the legal framework so that staff can be managed effectively and differently, if necessary;

(ii)   providing supervisors with the authority to act in this regard, whilst offering strategic advice and support;

(iii)   reviewing policies and procedures to ensure that they provide the measure of flexibility necessary to accommodate competent staff members; and

(iv)   developing an accountability framework that details the boundaries within which supervisors may act to retain staff.

Actions to retain staff

5.   (1)   Each supervisor must engage on an individual basis with those staff identified as competent staff members to understand both their tangible and intangible motivations and aspirations.

(2)   This engagement may be integrated with the performance management cycle and the formulation of personal development plans.

(3)   The manager responsible for human resources and other human resources staff should support supervisors by providing them with the methodology and instruments to undertake this engagement.

(4)   The engagement with a staff member should take into account—

(a)   the staff member's interests, values, skills, and development needs; and

(b)   the various options available to the staff member.

(5)   Supervisors, in consultation with staff employed in the human resources function, must identify those tangible and intangible motivations that are not feasible and should consult with the staff member to find a satisfactory solution.

(6)   The engagement must result in a plan that is signed off by both the staff member and the relevant supervisor and ratified by the manager responsible for human resources.

(7)   The plan should contain both tangible and intangible actions, timelines, targets, and conditional requirements.

(8)   The plan should become the basis for the development, engagement and retention of competent staff members.

(9)   The manager responsible for human resources, together with the relevant supervisors, must develop and apply a talent exposure programme for new talent entering the municipality or entering a specific level within the municipality.

(10)   The exposure programme should aim at providing competent talent with structured exposure to particular fields of work and roles.

(11)   The manager responsible for human resources, or the person to whom this function is delegated, must ensure that the programme defines the roles that talent on the programme will perform so that their skills and development requirements are optimised during the exposure, and expectations are managed.

(12)   Supervisors should engage with competent staff members in a discussion regarding their plan on an ongoing basis.

(13)   The talent management plan must be reviewed annually and the review should coincide with the performance management cycle of the municipality.

(14)   The review should consider the steps that have been completed in the plan, what is still required to be done, performance, next steps, amendments and support needed.

(15)   The plan should be updated and sent to the manager responsible for human resources for ratification.

GUIDELINE 2G

CONFIDENTIAL EXIT INTERVIEW

1.   (1)   A guideline for a confidential exit interview is set out below in table 11 below:

   (2)   At the outset the staff member must be informed that the interview is confidential and that the staff member's name will not be attributed to the information provided.

Table 11

Exit interview Template

Staff Member's Name:		Employee No.	
Department:		Post:	
Date of Interview		Place	
Interview conducted by:			
Designation:			
Date of Resignation:			
Last Day of Service:			
Tick	**Reason for Resignation**	**Tick**	**Reason for Resignation**
	Personal		Insufficient challenges
	Improved salary conditions		Inadequate support from management
	Lack of capacity for position		Poor communication/ relationship with superiors/ colleagues/ subordinates
	Seeking better career advancement		Commuting difficulties
	Change in professional direction		Insufficient accommodation for specific needs
	Inadequate leadership or guidance		Unsatisfactory work environment
	Overloaded with responsibilities		Pay disparity
	Need to relocate/ emigrate		To avoid transfer
	To study full-time		To care for child/ children
	To care for elderly dependents		To retire early
	For personal/ family health reasons		Discrimination

Tick	Reason for Resignation	Tick	Reason for Resignation
	To avoid consequences of proposed or actual disciplinary action		Other
	Comments:		

GUIDELINE 2H

Table 12

Staff member's personal data form

1. All sections must be completed as fully as possible, using block letters.
2. All information will be treated as confidential.

Title (e.g. Dr, Mr, Mrs, Miss, Ms, etc):

Surname:........................

Maiden name (if applicable):......................

First Name:......................

Middle Names:......................

Preferred Name:....................

Birth date:　　　　/　　　/

Identity Number:........................

Nationality (If not South African please provide work permit / residence permit

number):........................

Marital Status:...................................

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

Race:.................. African.......................................

Asian.......................

Coloured...........................White................................

Disability (please provide details if applicable):......................................

Postal Address:......................

Telephone (Home): (　　　　)

Telephone (Business): (　　　　)

Cell:....................

Postal code:...

E-mail address:...

Residential

Address:...

....

....

....

....

Postal code:

....

General Information	
Driver's License: Yes/No	**Code(s):**
Tax Reference Number:	**Tax Office:**
Next of Kin	
First Name:	**Relationship:**
Surname:	**Cell phone:**
	Email:
Medical Practitioner	
First Name:	**Cell phone:**
Surname:	
Medical Aid	
Medical Aid:	
Medical Aid Number:	**Medical Aid Plan:**
	Number of Dependants:

Banking Details	
Bank Name:	
Branch Code:	**Branch Name:**
Account Number:	
Account Holder Name:	
Account Type:	

Dependant / Spousal / Life Partner Details	
Spousal / Life Partner Details	
Spousal / Life Partner Name:	**Spousal / Life Partner Date of Birth:**
Spousal / Life Partner ID number:	
Dependants Details	

1. Surname:	**Name:**
Gender: Male　　　　**Female**	**Date of Birth:**
Relationship:	
2. Surname:	**Name:**
Gender: Male　　　　**Female**	**Date of Birth:**
Relationship:	
3. Surname:	**Name:**
Gender: Male　　　　**Female**	**Date of Birth:**
Relationship:	

Languages		
Primary Language:		
Speak:　　**Basic**	**Intermediate**	**Fluent**
Read:　　**Basic**	**Intermediate**	**Fluent**
Write:　　**Basic**	**Intermediate**	**Fluent**
Second Language:		
Speak　　**Basic**	**Intermediate**	**Fluent**
Read　　**Basic**	**Intermediate**	**Fluent**
Write　　**Basic**	**Intermediate**	**Fluent**
Other Language:		
Speak　　**Basic**	**Intermediate**	**Fluent**
Read　　**Basic**	**Intermediate**	**Fluent**
Write　　**Basic**	**Intermediate**	**Fluent**

Qualifications		
Institution	**Degree/Certificate**	**Year of completion**

Qualifications		
Institution	**Degree/Certificate**	**Year of completion**

Prior work experience			
	Current Year	**Prior**	**Prior**
Employer:			
Address:			
Phone number:			
Name of immediate supervisor:			
Duration of employment:			
May we contact the employer	Yes/No		
Professional Memberships			
Organisation:			
Membership Date:			
Comments			
Comments / Additional Information:			

DECLARATION

I certify that the above information, as provided by me, is true and correct to the best of my knowledge.

_____   _____

Signature of Staff member   **Date**

GUIDELINE 2I

PROBATION REVIEW FORM

You are NOT required to submit a copy of this form where the staff member's performance during probation is satisfactory. However, you MUST submit a copy and seek the advice of the Head of HR unit as soon as possible if difficulties arise during the probationary period which mean that extending the probationary period and/or non-confirming the staff member in post are possible outcomes. Non-reporting will result in the assumption that the staff member's probation period is progressing satisfactorily.

The supervisor should ensure that the staff member is given a copy of this document at each stage of their probation and should retain the original to monitor progress against set objectives at follow-up meetings.

Table 13

Probation Record

Staff membername:		
Job Title:		
Grade:		
Department		
Start Date:		
Supervisor:		
	Date Due	**Please tick when completed**
Initial Meeting		
1-month review:		
3-month review:		
6-month review:		
9-month review:		
12-month review:		

PART 1

Initial meeting

This section should be completed by the supervisor within a week of the staff member commencing his or her employment.

SECTION A: Objectives
The supervisor should identify specific performance requirements for the staff member. These will be statements of what should be achieved during the probationary period, including key performance indicators.
SECTION B: Development Plan
To support the staff member in achieving these requirements, the supervisor should identify any training and development needs and specify how and when these needs will be addressed during the probationary period.

Staff member's Signature:	
Supervisor's Signature:	
Date:	

PART 2

First review (1 month) - a copy of PART 2 of this form may also be used to conduct a 3, 6 and 9-month review with a staff member whose probationary period is 6, 9 or 12 months

To be completed by the supervisor in discussion with the staff member.

(please tick)	Improvement required	Satisfactory	Good	Excellent
Quality and accuracy of work				
Efficiency				
Attendance				
Time Keeping				
Work relationships (team work and interpersonal communication skills)				
Competency in the role				

If any areas of performance, conduct or attendance require improvement please provide details below.			
Where concerns have been identified, please summarise how these will be addressed during the remaining period of probation.			
Summarise the staff member's performance and progress over the period			
Have the requirements identified for this period of the probation been met?	**YES / NO**	**If NO, what further action is required?**	**Review Date**
Have the training / development needs identified for this period of the probation been addressed?	**YES / NO**		
Staff member's Signature:			
Manager's Signature:			
Date:			

PART 3

Final Review

To be completed by the supervisor in discussion with the staff member:

(please tick)	Improvement required	Satisfactory	Good	Excellent
Quality and accuracy of work				
Efficiency				
Attendance				
Time Keeping				
Work relationships (team work and interpersonal communication skills)				
Competency in the role				
Have the requirements identified for the probationary period been met?	**YES / NO**	**If NO, please provide details**		
Have the training / development needs identified for the probationary period been addressed?	**YES / NO**			
Summarise the Staff member's performance and progress over the period				
Is the Staff member's appointment to be confirmed?				**YES / NO**
If NO, please provide reasons below and summarise what action has been taken to address any difficulties which have arisen during the probationary period.				
The Staff membermay provide any comments about his or her experience of the probationary process here.				
Should the Staff member's probationary period be extended?				**YES / NO**

(please tick)	Improvement required	Satisfactory	Good	Excellent
If YES, please provide reasons and, where appropriate, specify any areas of improvement required and how these will be monitored.				
Length of the extension (max 3 months):				
New Probation Period completion date:				
Staff member's signature:				
Manager's signature:				
Date:				

CHAPTER 3

PERFORMANCE MANAGEMENT AND DEVELOPMENT SYSTEM

GUIDELINE 3A

Performance management and development system phases

1.   (1)   Performance management and development is the systematic process of—

(a)   planning work and setting expectations of the municipality from staff members or teams;

(b)   continually monitoring performance of staff members or teams;

(c)   developing the capacity of staff members or teams to perform optimally;

(d)   periodically rating performance of staff members and teams; and

(e)   rewarding outstanding performance.

     (2)   The performance management and development system of a municipality must consist of different phases relating to performance planning, coaching, review and reward as provided in these guidelines.

     (3)   The performance management and development system must consist of the following phases:

Table 14

Phase	Timeframe	Activities
(a) Planning	(i) Occurs annually at the start of the financial year or the starting date in a specific post	(aa) Supervisor schedules a meeting with a staff member or team to discuss and agree on the performance objectives for the year; (bb) Supervisor and a staff member or team are required to prepare for this meeting; and (cc) Performance agreement must be signed or processed electronically where applicable by the supervisor and a staff member or team within sixty (60) days after the commencement of the performance cycle.
(b) Monitoring, coaching and feedback	(i) Occurs formally; and (ii) Informally throughout the year	(aa) The supervisor will complete on- the-job monitoring of the performance of a staff member or team; (bb) The supervisor may create formal and informal opportunities to provide feedback or coaching support to a staff member or team in relation to progress made towards agreed performance objectives and on areas requiring implementation; and (cc) A staff member or team may request feedback and support at any time during the performance cycle.
(c) Review and evaluation	(i) Mid-year review must occur at the end of the second	(aa) The supervisor must set up a formal mid-year evaluation with a staff member or team

Phase	Timeframe	Activities
	quarter. The details of the engagement must be in writing; and (ii) Annual performance evaluation must occur at the end of the fourth quarter (after the end of performance cycle); and (iii) Annual performance must occur within 60 days after the end of performance cycle. The details of the performance evaluation must be must be in writing clearly outlining the staff member's career development needs.	within one (1) month after the end of quarter two (2), inclusive of formal documented engagement to provide feedback on targets achieved to date of a staff member or team; (bb) At mid-year review, interventions and corrective actions must be identified in relation to achievement /under-achievement of performance outputs/ outcomes; (cc) During annual performance evaluation, each staff member must be afforded an opportunity to complete self-rating and provide evidence to support ratings; (dd) The supervisor must set up the formal final performance evaluation with a staff member or team after the end of the fourth quarter; (ee) The final performance evaluation scores must be recorded as a formal engagement between the staff member and supervisor; and (ff) The supervisor must formally provide verbal and written performance feedback to the staff member or team.
(d) Reward and recognition	(i) After the formal annual performance assessment; and (ii) After moderation by the Municipal Moderation Committee and approval by municipal manager.	Rewards shall be dealt with as stipulated in chapter 4 of the Regulations.

Planning

2.   (1)   During the planning phase—

(a)   the supervisor and staff member must jointly identify organisational, departmental as well as the performance expectations of a staff member or team and secure the staff member or team's commitment to achieve the performance expectations;

(b)   the supervisor must explain to the staff member how the performance agreement and PMDS operates;

(c)   all staff members, including management, must be capacitated through training on—

     (i)   what the process entails;

     (ii)   why the municipality uses the PMDS process;

     (iii)   how the PMDS works, including the phases, purpose of linkage with the competency framework and how performance of competencies are measured;

     (iv)   the expectation from a staff member in a specific role; and

     (v)   when performance will be evaluated and reviewed;

(d)   the municipality must ensure that every supervisor has undergone training to acquire the relevant coaching skills needed for ongoing implementation of the PMDS;

(e)   the supervisor and staff member must develop a performance agreement wherein the performance standards will be defined in terms of quality, quantity, time and process. The following documents can assist—

    (i)   the staff member's job description;

    (ii)   the IDP and departmental SDBIP;

    (iii)   the supervisor's performance agreement, where applicable;

    (iv)   the staff member's previous year performance assessment, where applicable; and

    (v)   any other document considered relevant to the process;

(f)   planned KPAs, KPIs and targets as contained in the performance agreement must meet the SMART criteria as outlined in the table below—

Table 15

S	Specific, clear and understandable.
M	Measurable in terms of quantity, and, if possible, quality, money, and time. It must be possible to determine whether the activity took place and to decide how well it was done.
A	Attainable in that the activities to be performed have been agreed upon and must be within the capabilities and under control of the staff member.
R	Relevant in that each task should be related directly to the functional areas or specific projects assigned to the staff member.
T	Time-based in that the supervisor and staff member should be able to track progress against specified target dates and timeframes and assessment can take place within the annual reporting cycle of the performance agreement.

(g)   Job specific competencies can be selected from the relevant occupational streams as prescribed in the Local Government: Competency Framework attached to the Regulations as Annexure A, including any other specific functional competency requirements as may be identified;

    (2)   The following documents will assist in the performance planning process—

(a)   performance agreement (Annexure A); and

(b)   monitoring, coaching, feedback and review (Annexure B).

Monitoring, coaching and feedback

3.   (1)   Effective performance monitoring, coaching and feedback must be monitored continuously throughout the performance cycle.

    (2)   Performance monitoring, coaching and feedback involve ongoing collaborative engagements between the supervisor and staff member or team aimed at improving a staff member's skills and competencies to meet or exceed the set standards of performance through—

(a)   observation, motivating and encouraging the staff member;

(b)   frequent and infrequent exchanges of feedback about the staff member's performance;

(c)   regular evaluation of whether the staff member performs according to the set objectives as outlined in the performance agreement;

(d)   formal coaching and informal performance evaluation sessions;

(e)   reinforcing the discussions that took place during the planning phase culminating in the performance agreement;

(f)   affording the supervisor the opportunity to encourage the development of the staff member or team;

(g)   proactive identification of challenges and solutions to enable achievement;

(h)   identification of accomplishments or challenges by the staff member or team that have been resolved, which otherwise may not have come to the supervisor's attention;

(i)   coaching that reinforces effective performance or brings the performance of the staff member closer to the expected standards; and

(j)   a staff member or team who participated in several coaching sessions being aware of what is required of him or her to meet performance outcomes.

(3)   A municipality must ensure that every supervisor has received adequate training in performance coaching processes and is capable of effectively assessing progress and evaluating the performance of staff or team.

(4)   Development needs of staff identified during performance monitoring and coaching processes must be evaluated and addressed to encourage good performance, improves job-related skills and competencies that support staff to keep up with changes in the workplace.

Mid-year performance review

4.   (1) The mid-year performance review—

(a)   is a formal bi-annual performance appraisal where a staff member or a team is given feedback on his or her performance;

(b)   must be recorded;

(c)   offers an opportunity—

(i)   between the supervisor and staff member to assess the staff member or team's performance against set performance objectives;

(ii)   for the supervisor to monitor, coach and provide feedback to ensure effective performance;

(iii)   for the supervisor and staff member to—

(aa)   jointly identify performance challenges and agree on solutions to overcome identified challenges;

(bb)   agree on developmental needs of the staff member and address such needs;

(cc)   review the performance targets resulting from workplace changes beyond the staff member or team's control; and

(iv)   to reinforce good performance.

(2)   If the review of the performance agreement is warranted—

(a)   the Regulations and item 2 of these Guidelines apply;

(b)   the mid-year performance review will be based on the existing performance agreement;

(c) the amended performance agreement or addendum must be co-signed by the supervisor and staff member; and

(d) a record of the amendments must be kept for purposes of annual performance assessment.

Annual performance evaluation

5.   (1)   The objectives of the performance evaluation are to —

(a)   formally discuss the performance outcome achieved by the staff member against agreed performance indicators and targets based on the work performed during performance cycle of 12 months;

(b)   rate the performance of a staff member or team against each measurable KPI using the five-point rating scale;

(c)   recognise positive achievements and provide feedback on unsatisfactory performance; and

(d)   identify areas of improvement and develop action plans to be included in personal development plans to address identified areas for improvement.

        (2)   Every staff member or team must be subjected to annual performance assessment at the end of the performance cycle of a municipality.

        (3)   The annual performance evaluation must be preceded by the staff member's self-rating against predetermined objectives, and where necessary supported by portfolio of evidence.

        (4)   Rating entail evaluating the staff member or team's performance against performance standards in a staff member's performance plan and assigning a numeric rating for each KPI.

        (5)   The supervisor and staff member must—

(a)   formally and objectively confirm the staff member's performance outcomes against agreed KPAs, KPIs and job specific competencies;

(b)   rate the performance of each staff member or team against each measurable KPI and job specific competencies using the 5-point rating scale;

(c)   recognise positive achievements;

(d)   identify deficient performance;

(e)   identify the staff member's developmental needs, which will inform the Personal Development Plan of the employee; and

(f)   sign the final annual performance assessment.

        (6)   At the end of the performance cycle a rating scale is used which has a bearing on rewarding and recognising performance above fully effective.

        (7)   The supervisor must submit the final annual performance assessment, performance scores and any related evidence supporting performance to Human Resources.

        (8)   Performance ratings for KPAs and competencies are calculated using the 5-point rating scale —

(a)   KPA ratings are calculated where individual ratings have been assigned to each KPI using the five-point rating scale;

(b)   No rounding of calculations is allowed and 2 decimal points must be used;

(c)   The table below reiterates the 5-point rating scale applied to score overall performance—

Table 16

Level	Terminology	Description
5	**Outstanding performance**	Performance far exceeds the standard expected of a staff member at this level. The appraisal indicates that the staff member has achieved above fully effective results against all performance criteria and indicators as specified in the Performance Agreement and Performance Plan and maintained this in all areas of responsibility throughout the year.
4	**Performance significantly above expectations**	Performance is significantly higher than the standard expected in the job. The appraisal indicates that the staff member has achieved above fully effective results against more than half of the performance criteria and indicators and fully achieved all others throughout the year.
3	**Fully effective performance**	Performance fully meets the standards expected in all areas of the job. The appraisal indicates that the staff member has fully achieved effective results against all significant performance criteria and indicators as specified in the Performance Agreement and Performance Plan.
2	**Performance not fully effective**	Performance is below the standard required for the job in key areas. Performance meets some of the standards expected for the job. The review/assessment indicates that the staff member has achieved below fully effective results against more than half the key performance criteria and indicators as specified in the Performance Agreement and Performance Plan.
1	**Unacceptable performance**	Performance does not meet the standard expected for the job. The review/ assessment indicates that the staff member has achieved below fully effective results against almost all of the performance criteria and indicators as specified in the Performance Agreement and Performance Plan. The staff member has failed to demonstrate the commitment or ability to bring performance up to the level expected in the job despite management efforts to encourage improvement.

GUIDELINE 3B

TEAM BASED PERFORMANCE

6.   (1)   A supervisor working in collaboration with individual team members must—

(a)   rate the performance of a staff member working within a team-based performance arrangement; and

(b)   identify challenges relating to individual staff member(s) working within a team and identify appropriate interventions aimed at improving the staff member's performance;

     (2)   The following templates will assist in the PMDS process —

(a)   team registration Annexure C; and

(b)   team performance agreement Annexure D.

GUIDELINE 3C

PERFORMANCE EVIDENCE

1.   (1)   The submission of evidence is subject to the following—

(a)   during the planning phase, agreement must be reached on what evidence is to be used with the aim of minimising time and effort; and

(b)   evidence must be gathered during the course of the performance cycle as this will inform and substantiate the scores according to the rating scale.

     (2)   The staff member or team must gather, collate and present evidence against the measurable KPIs and, where applicable, job specific competencies as contained in the performance agreement—

(a)   it is particularly important to ensure that evidence is gathered during the performance cycle in preparation for the mid-year performance review and annual performance evaluation, as it will be used to substantiate scores related to achievement of KPIs and job specific competencies; and

(b)   the ultimate accountability for the submission of the portfolio of evidence rests with the staff member or team being evaluated.

     (3)   The nature of work must determine the type of evidence that should be provided. This may, *inter alia*, include—

(a)   official records;

(b)   confirmation by a supervisor;

(c)   confirmation by other stakeholders such as letter from a government department; and

(d)   inspection or viewing of evidence by supervisor such as filing system, memorandums, reports, etc.

     (4)   A supervisor may, at the latest by mid-year review,—

(a)   accept other evidence that substantiate achievement of KPIs or competencies and

(b)   assist the staff member or team to obtain such evidence.

GUIDELINE 3D

PERFORMANCE MODERATION COMMITTEE

1. (1) The Municipal Performance Moderation Committee—

(a) must be duly constituted by the municipal council;

(b) may, to the extent possible, be constituted as follows—

    (i) municipal manager or his or her delegate who will act as the chairperson;

    (ii) all heads of departments of a municipality;

    (iii) manager responsible for PMDS;

    (iv) manager responsible for organisational development;

    (v) manager responsible for organisational performance;

    (vi) a representative from finance, where applicable;

    (vii) a representative from governance, where applicable; and

    (viii) a representative from audit, where applicable.

    (2) Departmental representatives—

(a) will be invited to attend the performance moderation committee to present on the results of their respective departments;

(b) must be on senior management level; and

(c) may request a specialist on the departmental performance management to provide technical advice where needed.

    (3) Members should collectively possess the necessary expertise and must demonstrate knowledge and competencies—

(a) local government;

(b) municipal human resource environment;

(c) corporate governance practices;

(d) corporate strategy;

(e) performance management and development system;

(f) human capital management;

(g) organisational development;

(h) financial management;

(i) business management;

(j) operations management; and

(k) leadership.

    (4) The main objectives of the committee are to—

(a) ensure fair and consistent application of the PMDS;

(b) ensure that the integrity of the PMDS is protected;

(c) ensure that performance is evaluated consistently;

(d) ensure that individual ratings reflect the overall performance of the department;

(e) advise on financial affordability for the municipality; and

(f) recommend performance rewards to the municipal manager for approval.

    (5) The committee may—

(a) develop and approve the terms of reference;

(b) review the performance management and development system across the municipality and make recommendations regarding implementation;

(c)   monitor the performance evaluation process by obtaining an overall sense of whether norms and standards are being applied realistically and consistently both horizontally and vertically across the municipality;

(d)   determine the overall performance of departments and align that with summary results based on individual performance;

(e)   moderate scores of a department(s) or a unit;

(f)   recommend reward levels for performance;

(g)   make recommendations regarding actions to be considered where supervisors do not implement the system properly;

(h)   provide oversight in terms of the application of the PMDS;

(i)   prepare a comprehensive report, based on its observations, reflecting performance of staff members or teams and the applicable reward levels; and

(j)   ensure that the minutes and supporting information on matters dealt with by the panel, shall be available for examination upon authorisation by the municipal manager.

GUIDELINE 3E

MANAGING SUBSTANDARD PERFORMANCE

Purpose

1.   (1)   These procedures are intended to—

(a)   create an enabling environment to facilitate effective performance by the staff members;

(b)   provide the staff members with access to skills development and capacity building opportunities in order to promote efficient and effective performance;

(c)   provide remedial and developmental support to assist the staff members to deal with substandard performance; and

(d)   ensure that the municipal council and staff members work collaboratively to generate solutions to problems and improve the performance of staff members.

Policy and principles

2.   (1)   These procedures must be read in conjunction with the Regulations.

(2)   The Code of Good Practice provided for in Schedule 8 of the Labour Relations Act, 1995, constitutes part of these procedures, in respect of poor work performance.

(3)   The municipality must evaluate the staff member's performance by considering—

(a)   the extent to which the substandard performance impacts on the work of the municipality and the achievement of municipal goals;

(b)   the extent to which the staff member fails to meet the required performance standards set by the municipality;

(c)   the extent to which the staff member lacks the necessary skills, competencies and expertise to meet the performance objectives and targets for his or her post as contained in the performance agreement; and

(d) the nature of the staff member's work and responsibilities.

Procedures for dealing with substandard performance

3. (1) If the municipality has reason to believe that a staff member is not performing in accordance with the minimum performance standards of his or her post, the supervisor must—

(a) convene a meeting to give feedback to the staff member on his or her performance;

(b) furnish the staff member with reasons why it is necessary to initiate this procedure.

(2) During the meeting contemplated in paragraph (a), the supervisor must—

(a) explain the requirements, level, skills and nature of the post;

(b) evaluate the staff member's performance in relation to the performance agreement;

(c) explain the reasons why the performance is considered substandard; and

(d) afford the staff member or his or her representative an opportunity to respond to the performance outcomes referred to in paragraph (c); and

(3) After considering the staff member's reasons, the supervisor may, if necessary—

(a) initiate a formal programme of counselling and training to enable the staff member to meet the required standard of performance, which must include—

  (i) assessing the time that it will take for the staff member to deal with substandard performance;

  (ii) establishing realistic timeframes within which the staff member is expected to meet the required performance standards; and

  (iii) identifying and providing appropriate training for the staff member to reach the required standard of performance.

(b) establish ways to address any factors that may affect the staff member's performance that lie beyond the staff member's control.

(4) If the staff member fails to meet the required performance standard for the post after being subjected to a formal programme of counselling and training as contemplated in paragraph (3), the supervisor, may—

(a) regularly evaluate the staff member's performance; or

(b) provide further remedial or developmental support to assist the staff member to eliminate substandard performance.

(5) If the staff member's performance does not improve after he or she received appropriate performance counselling and the necessary support and reasonable time to improve his or her performance as contemplated in paragraph (4), or he or she refuses to follow a formal programme of counselling and training contemplated therein—

(a) the supervisor, must bring the allegations of substandard performance against the staff member to the attention of the municipal manager in the form of a report**.**

(b) the supervisor, must table the report contemplated in subparagraph (a) before the municipal manager.

(6) If the municipal manager is satisfied that sufficient evidence exist to institute disciplinary proceedings against the staff member on the basis of the alleged substandard performance the municipal manager, must furnish the staff member with written reasons why it is necessary to initiate this procedure in accordance with applicable procedures.

ANNEXURE A

Performance Agreement			
Performance cycle		Example: 01 July 2017 to 30 June 2018	
Department:		**[add name of department]:**	
Section / Unit:		**[add name of section / unit]:**	
Staff member name and surname:		**[add first names and surname for staff member]**	
Staff member designation, payroll number and level	**Designation** Assistant Director	**Payroll number** 000000000000	**Level** 5
Functions	**Short description of the staff member's function.**		
Staff member signature			**Date:**
Supervisor Name and Surname:	**[add first names and surname for supervisor]**		
Supervisor's Signature:			**Date:**

KPA /JSCs Weighting	KPIs/JSCs	Baseline (where applicable)	Targets[1]	Evidence
1. [Insert KPA here]				

---

[1] The targets of every KPI must be expressed as one (1) to five (5).

30%	1.1 [Insert KPI here]	[Existing or new where applicable]	1^2 = [insert SMART Targets here] 2^3 = 3^4 = 4^5 = 5^6 =	
	1.2			
	1.3			
2. [Insert KPA here]			
30%	2.1			
	2.2			
	2.3			
	2.4			
3. [Insert KPA here]			
20%	3.1			
	3.2			
80%	**Total**			

Job Specific Competencies (JSC)

1	10%	[Insert here]		1 = 2 = 3 = 4 = 5 =	Add where applicable for competencies
2	5%	[Insert here]			
3	5%	[Insert here]			
	20%	**Total**			

Supervisor Signature:	**Staff member Signature:**
Date:	**Date:**

---

[2] Target 1 indicate **unacceptable performance.**

[3] Target 2 indicate **performance not fully effective.**

[4] Target 3 indicate **fully effective performance** i.e. that performance meets the standard expected in all areas of a job and that the KPI has therefore been achieved.

[5] Target 4 indicate **performance significantly above expectations.**

[6] Target 5 indicate **outstanding performance.**

ANNEXURE B

Coaching and Review

		Staff Member / Team input on progress [7]		Supervisor's input on progress		Comments	Year-end Review Scores	Signatures	
		Mid-year review	Final review	Interventions	Staff Member / Team rating			Employee's Signature	Managers Signature
KPA 1	KPI								
	1.1								
	1.2								
	1.3								
KPA 2	2.1								
	2.2								
	2.3								
	2.4								
KPA 3	3.1								
	3.2								
JSC	1								
JSC	2								
JSC	3								

[7] Formal review must take place mid-year and year-end

Staff Member / Team Supervisor Signature:	Date:
Supervisor Signature:	Date:

ANNEXURE C

Team Registration

Performance Cycle	Example: 2017/2018			
Department:	[Add Name of Department]:			
Section / Unit:	[Add Name of Section / Unit]:			
Supervisor Name and Surname:	[Add first Names and Surname for Supervisor]			
Function :[8]				

Team Members[9]

Names	Payroll Number	Designation:	Level	Staff Signature[10]	Date
Example: J Smith	000000	Truck Driver	T1	XXXX	30/07/2017

Supervisor's Signature:[11]　　　　　　　　　　　　　　Date:

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[8] Add short description of the team function.
[9] Team members may include a team supervisor.
[10] All team members will sign on the team scorecard and the supervisor will sign this form on behalf of the employer.
[11] If the team includes a team supervisor the supervisor above the team supervisor will sign on behalf of the employer.

ANNEXURE D

Performance Agreement

KPA /JSCs Weighting	KPIs/JSCs	Baseline	Targets[12]	Evidence
			[Insert KPA here]	
30%	3.3 [Insert KPI here]	[Existing or new where applicable]	1[13] = [insert SMART Targets here] 2[14] = 3[15] = 4[16] = 5[17] =	
	3.4			
	3.5			
			4. [Insert KPA here]	
30%	4.1			
	4.2			
	4.3			
	4.4			

[12] The targets of every KPI must be expressed as one (1) to five (5).
[13] Target 1 indicate **unacceptable performance.**
[14] Target 2 indicate **performance not fully effective.**
[15] Target 3 indicate **fully effective performance** i.e. that performance meets the standard expected in all areas of a job and that the KPI has therefore been achieved.
[16] Target 4 indicate **performance significantly above expectations.**
[17] Target 5 indicate **outstanding performance.**

	5. [Insert KPA here]			
20%	5.1			
	5.2			
80%	**Total**			
Job Specific Competencies (JSCs)				
10%	1	[Insert JSC here]	1 = 2 = 3 = 4 = 5 =	Add where applicable for competencies
5%	2	[Insert JSCs here]		
5%	3	[Insert JSCs here]		
20%		**Total**		
	Team Members Names:		Example: J Smit P Mokola	Payroll Number: 0000000 9999999
	Supervisor Signature:		**Team Supervisor:**	
	Date:		**Date:**	

CHAPTER 4

SKILLS DEVELOPMENT

GUIDELINE 4A

ROLES AND RESPONSIBILITIES FOR SKILLS DEVELOPMENT

Roles and responsibilities of staff members

1.   A staff member must—
(a)   actively manage their own development, whether for their current role or for their future career opportunities, based on their personal development plan;
(b)   participate actively in skills audits;
(c)   develop and reflect on their personal development plans with their supervisor;
(d)   commit to development that coincides with the municipality's priority skills;
(e)   participate actively in all forms of learning, training and development which will assist the staff member to meet agreed needs;
(f)   stay abreast of and apply new knowledge and skills in their field of expertise; and
(g)   provide feedback on the outcomes, effectiveness and relevance of training and development received.

Roles and responsibilities of supervisors

2.   A supervisor must—
(a)   link skills development to the priorities of their function, the integrated development plan and to the outcomes of the performance management process;
(b)   monitor skills needs and constraints that have, or may have, a major impact on the achievement of their objectives and report on these during the institutional skills needs analysis process;
(c)   develop, report on and review progress with the personal development plans of the staff members who report to the supervisor or supervisor;
(d)   ensure that development proposed in the personal development plans of the staff members who report to the supervisor is relevant to the functions of the municipality;
(e)   provide coaching to and support for the development of their staff members;
(f)   provide input into the content of training programmes, if relevant;
(g)   allow their subordinates time off for training, as agreed in training schedules and plans; and
(h)   actively facilitate the application of learning back on the job.

Roles and responsibilities of skills development facilitator

3.   The skills development facilitator must—
(a)   facilitate the adoption of the Workplace Skills Plan, including liaising with the registered trade unions;

(b)   facilitate the implementation of skills development programmes with supervisors, staff and external training providers; and

(c)   liaise with the Local Government Sector Education Training Authority (LGSETA) and ensure that the municipality meets all the requirements of the LGSETA.

Roles and responsibilities of chief financial officer

4.   The chief financial officer must ensure that proof is provided to the LGSETA that all funds obtained from the LGSETA and the 1% budgeted towards skills development have been used for skills development purposes.

The roles and responsibilities of the training committee

5.   (1)   A senior manager must chair the municipality's training committee.

          (2)   The training committee must have an equal number of managers and representatives of staff.

          (3)   The representatives of the municipality should include the integrated development planning manager, the skills development facilitator, the manager responsible for human resources, individual and institutional performance managers, and the chief financial officer.

          (4)   The representatives of staff member must include representatives of the registered trade unions recognised by the municipality or, in their absence, staff members who are representative of the municipality's staff as a whole.

          (5)   The training committee must consult, and make recommendations to the municipal council, on—

(a)   proposed improvements to skills audit processes;

(b)   findings and priorities emerging from the skills audit presented by management;

(c)   the draft workplace skills plan;

(d)   management's regular skills development report; and

(e)   skills development policies of the municipalities.

GUIDELINE 4B

SKILLS NEEDS ANALYSIS

Introduction

1.   (1)   A skills needs determination comprises—

(a)   a skill needs analysis; and

(b)   a staff skills audit.

          (2)   This guideline details the actions necessary to conduct a skill needs analysis at a municipality.

          (3)   The skills need analysis should be conducted on a five year cycle as part of the integrated development planning process and reviewed annually.

Purpose

2. (1) Strategic analysis and planning around skills needs should ensure that staff members have the appropriate skills to perform their functions.

(2) This is especially important in priority roles and critical and scarce skills, which have a disproportionate impact on the efficiency and effectiveness of local government service delivery.

(3) These priority skills needs may be municipality-wide or in a particular department or function.

Critical roles and job categories

3. (1) Critical roles and job categories usually include—

(a) managerial, professional and technical roles; and

(b) roles that—

    (i) require strategic and analytical functions;

    (ii) involve a relatively high degree of discretionary decision-making;

    (iii) a relatively high level of risk associated with decisions made; or

    (iv) require long lead times (2+ years) to develop the qualifications and a further time (3+ years) to develop the experience required to be able to perform competently.

Determining strategic skills needs

4. (1) The manager responsible for human resources, the Skills Development Facilitator and senior management of the municipality should determine the skills needs of the municipality by facilitating an annual assessment that—

(a) measures the municipality's performance against its integrated development plan;

(b) identifies the roles that are constraining service delivery, affecting community satisfaction or the efficient and effective internal operations of the municipality; and

(c) analyses the performance reviews and personal development plans of staff members employed in critical roles and job categories.

(2) The annual assessment should involve—

(a) meetings with each municipal department to—

    (i) evaluate the reasons for poor service delivery and performance by the department, if any;

    (ii) determine whether a lack of skills has contributed to the poor performance;

    (iii) evaluate stakeholder complaints to establish whether poor service is a result of a lack of skills in certain key roles;

    (iv) identify whether these problems are in critical roles and job categories which may need to be tracked more closely; and

    (v) identify the skills problems and needs associated with these roles; and

(b) meetings with the senior management team of the municipality to—

    (i) present an aggregate assessment of the skills needs arising out of the department analysis; and

    (ii) validate the priority skills needs to be addressed by the municipality in the forthcoming year.

Planning skills development programmes in critical roles and job categories

5.   (1)   The manager responsible for human resources should—

(a)   prioritise the recruitment of the appropriate persons and skills for these roles to ensure there are no vacancies in these posts;

(b)   prioritise the development of incumbents in these roles to ensure they are fully competent to perform their jobs;

(c)   prioritise the development of succession plans and continuity of skills to replace incumbents who leave; and

(d)   prioritise the retention of talented individuals in those identified roles.

(2)   The Skills Development Facilitator must identify high quality learning programmes for employees in critical roles and job categories as well as for persons that may or are likely to be employed in posts in critical roles and job categories.

(3)   These programmes may include leadership development programmes, learnerships, apprenticeships or carefully targeted short development courses.

(4)   The Skills Development Facilitator should report to the senior management team monthly on progress relating to the implementation of these programmes.

(5)   The Skills Development Facilitator and the manager responsible for human resources should report on the tracking of vacancies, recruitment, retention and succession plans for the identified critical roles and job categories.

GUIDELINE 4C

STAFF SKILLS AUDIT

Introduction

1.   (1)   A skill needs determination comprises—

(a)   a skill needs analysis; and

(b)   a staff skills audit.

(2)   This guideline details the actions necessary to conduct the staff skills audit.

(3)   The purpose of a staff skills audit within a municipality is to determine the gaps associated with every staff member's current and future skills needs in the municipality.

(4)   The staff skills audit should be conducted on a five year cycle as part of the integrated development planning process and reviewed annually.

(5)   The following steps should be followed in conjunction with the Local Government Skills Audit Questionnaire.

Skills Audit Process

2.   (1)   The following actions should be undertaken—

(a)   Identify the role competencies and definitions.

(i)   For middle management roles and staff members below middle management roles, the Skills Development Facilitator must enable access

to, or make available, the competency set in Annexure A of the Regulations to the supervisor of the incumbent undergoing the audit.

(ii)   For technical, administrative or functional roles undergoing audit, the Skills Development Facilitator must enable access to, or make available, the competency set in Annexure A of the Regulations to the supervisor of the incumbent undergoing the audit.

(b)   Assess the role competencies and definitions. The manager of the incumbent must use the Local Government Skills Audit Questionnaire in conjunction with the appropriate role competencies and definitions obtained from the Skills Development Facilitator to —

(i)   assess and review the role competencies and definitions; and

(ii)   to rate the incumbent against the competencies.

(c)   Identify the competency gaps from the skills audit and address them in the personal development plan.

GUIDELINE 4D

PERSONAL DEVELOPMENT PLAN

> *By completing a Personal Development Plan (PDP), a staff member takes charge of his or her own learning. A Personal Development Plan (PDP) enables learners to identify key areas of learning and development that will enable them to either acquire new or develop existing skills and behavioural attributes*

BIOGRAPHICAL INFORMATION

This is the Personal Development Plan of:

Surname	
Name	
Post	
Division	

Personal details:

Identity Number	
Age	
Gender	
Race	
Disability	
Home Language	

Qualifications:

Please specify all formal qualifications obtained, as well as the NQF level of each qualification. Where study is completed, indicate the period of study. Where study is ongoing, indicate the start date of study as well as the possible date of completion.

Qualification	
NQF Level	
Institution	
Period of study	

Degree (s) or Diploma (s) obtained	

Qualification	
NQF Level	
Institution	
Period of study	
Degree (s) or Diploma (s) obtained	

Experience:

Please indicate all relevant work experience within and outside your current organisation. Please specify previous employers, positions held and period of employment.

Employer	**Dates (from – to)**	**Position held**

Training and Development:

Please list significant other training and development courses or programmes you have attended. Please add any certification awarded if applicable.

Training and Development courses	**Dates of training**	**Certification (if applicable)**

POST REQUIREMENTS

1. Entry Level Requirements

The entry requirements of the post are contained in the table below

Qualifications required for post		NQF Level		Qualification status/year obtained	

2. Role Competencies

The Table below contains the competence required by the incumbent for this post, as specified in the relevant job profile.

☐Skills required for the post	
Knowledge requirements for post	
Generic skills and behaviours required for post	

STAFF DEVELOPMENT NEEDS:

In the table below the priority competencies to be developed by the staff member, as identified during the skills audit, should be listed together with the interventions to develop these competencies.

☐☐Competencies to be developed	Competency Description	Functional/Managerial/Generic	Learning objectives	Type of intervention or mode/ form of learning delivery (e.g. formal training programme or on- the- job learning or coaching).	Responsible provider - facilitators, trainers, provider institution (e.g. universities, UOT, private provider, external coach, supervisor)	Estimated duration and cost of learning intervention	
						Duration	Cost
e.g. Oral communication	Listening to others and communicating in an effective manner that fosters open communication	Generic					

GUIDELINE 4E

EVALUATING SKILLS DEVELOPMENT QUALITY AND IMPACT

Introduction

1. (1) Evaluating the quality and impact of skills development highlights the importance of evaluating the effectiveness and impact of learning interventions.

(2) A municipality should conduct an annual evaluation of learning interventions, the results of which should be used to improve both individual and strategic skills development, and learning and development in the municipality.

(3) The outcomes of these skills development evaluations should be integrated with evaluations of other environmental and institutional capacity building initiatives, in order to assess how the municipality can and should improve its overall capacity to deliver on its mandate.

(4)   Reporting on skills and capacity building initiatives should be done by the Skills Development Facilitator to the municipal management team and to the MEC and Minister.

Training evaluation model

2.   (1)   The Kirkpatrick and Phillips model of training evaluation, customised for the municipal sector, may be used to evaluate skills development and training in municipalities.
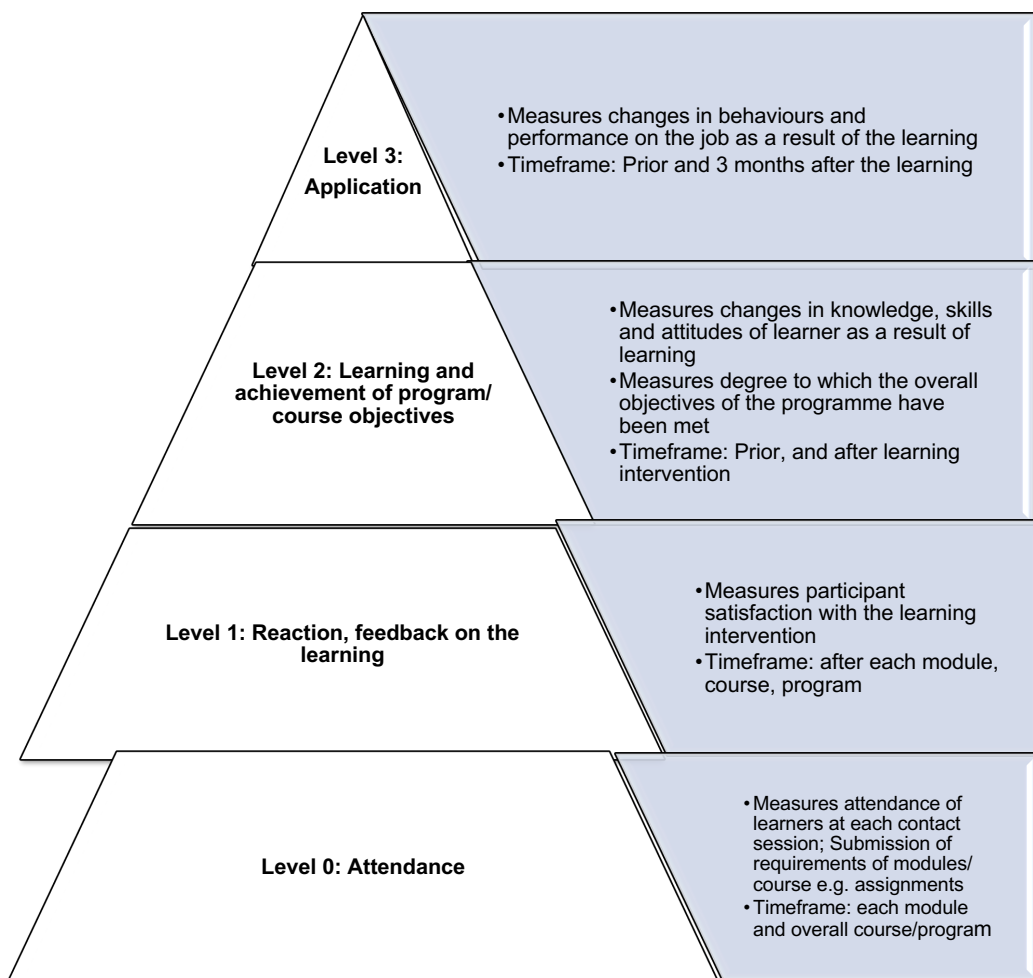
(2)   This evaluation model is in figure 1 below.

Figure 1
Kirkpatrick's and Phillip's model of training evaluation

Process of training evaluation

3. At various intervals during each training intervention, a municipality should follow the steps described in Table 1 below to evaluate and report on the effects of training interventions, for each level of evaluation in the model.

Evaluation level	Stage in learning process	Key activities	Responsibility
Level 0: **Attendance**	Pre-training	Confirm numbers of learners	Skills Development Facilitator
	During training	Complete attendance register	Trainers/ facilitators
	Post-training	Report on aggregate attendance levels of learners on course	Trainers/ facilitators
Level 1: **Learner reaction/ feedback**	Pre-training	Ensure training provider has learner feedback form that meets requirements	Skills Development Facilitator
	During training	Learners complete feedback form after each contact session	Trainers/ facilitators
	Post-training	Learners complete program/ course feedback form Aggregate and report on learner feedback and satisfaction with course/ programme	Skills Development Facilitator and Trainers/ facilitators
Level 2: **Learning and achievement of program / course objectives**	Pre-training	• Set clear learning objectives for course/ program/ learning intervention • Identify competencies (with the competency definitions) to be developed during training • Undertake pre-training 180 degree competency assessment (self and manager assessment of learner competence), using 5 point Likert scale	Skills Development Facilitator, employee and manager, and facilitator or training provider
	During training	• Conduct interim reviews on whether learning objectives are being achieved and adjust intervention accordingly • Assesses progress of learners in each module	Skills Development Facilitator, facilitators, training provider

Evaluation level	Stage in learning process	Key activities	Responsibility
		using assignments written by learners; and produce qualitative report on learner application of competencies during exercises and action learning during contact sessions	
	Post-training	• Conduct post-learning assessment of whether learning objectives met and feed results into the future design and development processes • Undertake post-training 180 degree competency assessment (self and manager assessment of learner competence), using 5 point Likert scale • Aggregate assignment results of each learner and facilitator reports on learners; and produce qualitative report on learner application of competencies during exercises and action learning across the whole course/ program	Skills Development Facilitator, employee and manager
Level 3: **Application**	Pre-training	• Record the most recent formal performance scores of the individual, and/ or • Identify and record particular outputs that the individual learner is not delivering effectively	SDF and supervisor
	During training	• Monitor improvements in the delivery of the specific outputs by the learner	Supervisor
	Post-training	• Monitor and report on whether the learner has improved the delivery of the specific outputs • Check whether the next round of performance scores of the learner have improved and report on findings	Skills Development Facilitator and supervisor

Evaluation of impact of learning

4. (1) The aim is to assess the impact learning and development has had on the staff member's work and performance.

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(2)   The evaluation should be undertaken approximately three months after the completion of learning, though the effects of the learning should be monitored on an ongoing basis by the staff member's supervisor.

(3)   Both the staff member and his or her supervisor should complete the assessment.