



## **PERFORMANCE MANAGEMENT POLICY**

<b>Reference number</b>	3P_3.5
<b>Accountable executive manager</b>	Executive Director: People and Culture
<b>Policy owner</b>	Executive Director: People and Culture
<b>Responsible division</b>	Director: Organisational Development
<b>Status</b>	Approved
<b>Approved by</b>	Council
<b>Date of approval</b>	17 November 2022
<b>Date of amendments</b>	
<b>Review date</b>	November 2025

## PERFORMANCE MANAGEMENT POLICY

### Preamble

Against the background of the dream to be an internationally recognised university in Africa, distinguished for engaged scholarship, social responsiveness and an ethic of care, the Council of the North-West University adopted this policy on 17 November 2022 to regulate the performance management of all employees of the University.

### 1 Interpretation and application

1.1 This policy must be interpreted and applied in a manner consistent with the –

- 1.1.1 Constitution of the Republic of South Africa, 1996
- 1.1.2 Higher Education Act, 101 of 1997
- 1.1.3 Employment Equity Act, 55 of 1998
- 1.1.4 Labour Relations Act, 66 of 1995
- 1.1.5 Basic Conditions of Employment Act, 75 of 1997
- 1.1.6 Skills Development Levies Act, 75 of 1997
- 1.1.7 Skills Development Act, 9 of 1999
- 1.1.8 Promotion of Equality and Prevention of Unfair Discrimination Act, 4 of 2000
- 1.1.9 Promotion of Access to Information Act, 2 of 2000
- 1.1.10 Protection of Personal Information Act, 4 of 2013
- 1.1.11 Statute of the North-West University

1.2 The content of the following documents must be considered in the interpretation and implementation of this policy:

- 1.2.1 National Skills Development Strategy (NSDS III)
- 1.2.2 NWU Values Statement, and Code of Ethics
- 1.2.3 Behavioural Policy and Behavioural Manual
- 1.2.4 Policy and Procedures on the Promotion of Academic Employees

### 2 Definitions

In this policy –

**"evidence"** means the independent proof (e.g. a portfolio of evidence containing facts, evidence and/or examples) that must be submitted to substantiate the level of achievement of an employee rated against the relevant Key Performance Indicator(s) and target(s);

**"good leaver"** means an employee who leaves the employ of the NWU on grounds of death, disability or retirement as opposed to resignation or dismissal;

**"Key Performance Area (KPA)"** describes the most important aspects of a job and denotes the categories of the required outputs (quantitative) and outcomes (qualitative) of the employee;

**"Key Performance Indicator (KPI)"** means a measure of the performance of an individual's contribution to the achievement of the University's goals and objectives.

### **3 Policy Statement**

It is the policy of the NWU to –

- 3.1 provide a comprehensive institutional policy as well as guidelines for the North-West University outlining uniform standards for the management of the performance of all its employees;
- 3.2 provide for differences in the specific evaluation criteria between:
  - 3.2.1 academic employees as well as deputy directors and higher; and
  - 3.2.2 support employees as well as directors and higher, whilst maintaining the required level of performance;
- 3.3 require that everyone involved in any aspect of the performance management, including the appraisal and rating process as well as the development of employees, be guided by considerations of fairness, equitability, consistency, objectivity, legitimacy, confidentiality and transparency, and to strive for the achievement of consensus, and to base the allocation of performance and management bonuses, and the management of cases of under- and poor performance via documented two-way discussions, development interventions, frequent engagement and feedback, proven merit and evidence.

(See Performance Management Procedure and Guidelines, P&C220G)

### **4 Purpose**

The purpose of this policy is –

- 4.1 to facilitate, drive and promote the achievement of the university's annual performance plan, strategy, as well as its current and future objectives through the effective, appropriate and systematic identification, communication, measurement, development, correction, support, recognition and rewarding of the optimal performance of all its employees and teams, and
- 4.2 to ensure that the NWU is a high performance institution which recognises and rewards exceptional and value-adding performance, premised on its remuneration philosophy.

### **5 Rules**

- 5.1 Every employee must sign a performance agreement for the current year and a personal development plan, based on an up-to-date job description, and aligned with the NWU strategy and the Annual Performance Plan (APP). This agreement and development plan must be finalised by the end of the previous year for management, and before the end of January of the current year for all other employees.
- 5.2 A newly appointed employee must enter into a performance agreement and a personal development plan with the responsible line manager within one month after commencement of employment.  
(See Probation Guidelines, P&C256G)
- 5.3 The performance of each employee is evaluated by means of the annual performance review process, with a mid-year review conducted during June and July, and a final performance appraisal (with performance ratings) conducted during October.
- 5.4 All employees must be evaluated against the agreed objectives, goals and targets, compared to the achieved outputs (quantitative) and expected outcomes (qualitative).
- 5.5 The internal and overarching consistency processes are based on the integrity of the overall weighted performance rating of each employee and line manager.  
(See Consistency Process: Guidelines and Information)
- 5.6 The Moderation Committee considers and evaluates the results of the consistency processes, compares the data with the overall NWU results, makes normative adjustments – where necessary – and proposes a budget allocation for performance and management bonuses for University Management Committee's ratification. The decision of the Moderation Committee is final and binding.

- 5.7 The overall weighted performance ratings of the Principal and Vice-Chancellor, as well as of UMC members, are appraised by the Remuneration Committee.
- 5.8 The final performance rating must be communicated to the employee at the earliest opportunity after the moderation process and with a view to contracting for the following year's performance agreement and personal development plan. Any cases of under- or poor performance must also be addressed immediately.
- 5.9 Line managers must detect and address under-performance, poor and unacceptable performance at an early stage by following the Procedure for Managing Incapacity: Under- and Poor Performance (P&C222G) to guide the specific employee to at least levels of expected or acceptable performance levels within a mutually reasonable time-frame – in consultation with the relevant Client Services Practitioner before formal incapacity procedures are instituted.
- 5.10 Line Managers must ensure that all exits are treated in accordance with the principles of the performance management system and those of good governance. A discretionary payment may be considered for members who resign and who have consistently delivered excellent performance and completed the full annual performance cycle.
- 5.11 Temporary employees (4-24 months) must be handed a performance agreement at the commencement of their employment at the University. This document must contain key performance areas (KPAs), outputs (quantitative), outcomes (qualitative), key performance indicators (KPIs) and metrics to manage and monitor their performance appropriately. Temporary employees are not, however, eligible for any performance or management bonuses.

Original details: (11664754) P:\Policies\2022\Performance Management Policy.docm  
5 December 2022

Current details: (11664754) [https://nwucloud.sharepoint.com/sites/NWU\\_RAM-PFR/Shared%20Documents/General/Performance%20management%20policy/2022/Ready%20for%20publication/Performance Management Policy.docm](https://nwucloud.sharepoint.com/sites/NWU_RAM-PFR/Shared%20Documents/General/Performance%20management%20policy/2022/Ready%20for%20publication/Performance%20Management%20Policy.docm)  
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File reference: 3P\_3.5