

Development Dialogues and Development Forums



A resource guide for PASS
staff, senior staff, and their line
managers

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Introduction

Performance management and development at UCT

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

Staff Grouping	How agreed	Performance Management System	Remuneration System
Payclasses 1 to 12	Union agreement	Development Dialogue	Pay for performance
Payclasses 13(4-5)	Vice Chancellor (reporting to Council Remuneration Committee)	Development Dialogue	Pay for performance
Payclasses 13(1-3)	Council Remuneration Committee	Development Dialogue	Pay for performance
Academic Staff	Union agreement	Academic review	SASP

The Development Dialogue (DD) is the agreed system for performance contracting, management and development at UCT for permanent professional, administrative and support services (PASS) staff in payclasses 1 to 12, and for senior staff in Payclasses 13(5) to 13(1).

While not a policy requirement, this system should also be used for PASS staff on fixed term contracts. This will ensure the fair and equitable treatment and reward of all PASS staff.

This guide

The purpose of this resource guide is to give staff and line managers a step-by-step guide to conducting Development Dialogues. This guide breaks the system down into a number of steps and documents the activities required at each step. It provides information about Development Forums and Appeals. It also provides a number of supporting documents as annexures.

The steps in this guide correspond with the steps on the HR210 and HR210(a) forms.

Cycles and timelines

The Development Dialogue cycle timelines are summarised below. Detailed cycle timelines and dates are communicated by Human Resources Business Partners (HRBPs) every cycle.

Further assistance, information and training

Further assistance, information and training are available from Human Resources.

Your HRBP can provide support in

- Preparing for and conducting Development Dialogues.
- Completing the required forms.
- Reviewing and/or writing position descriptions
- Review and/or writing KPAs and objectives for the performance cycle.
- Identifying appropriate learning and development interventions.
- Navigating the Development Forum process discussions.
- Keeping record of Development Forum discussions and submitting required information to central HR units.
- Attending to queries regarding Development Dialogues as well as remuneration and rewards.

The Staff Learning Program includes courses for both line managers and staff in Development Dialogues and also performance management in general. The following online programmes are also available:

- Performance Management – A Toolkit for Line Managers
- Goal Setting for Enhanced Performance – A Toolkit for Employees

Definitions

Ability

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

Aspiration

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

Career Path

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

Competency

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

Core competencies

A core competency is fundamental knowledge, ability, or expertise in a specific subject area or skill set.

Core competencies are needed for all types of positions and at all levels at UCT. Core competencies support the University's mission and strategic goals and ensure the effective functioning of the University, its faculties and departments.

Critical positions

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

Critical skills

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

Engagement

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

Position description

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

Key Performance Area (KPA)

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

Objective

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

Potential

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

Scarce skills

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

Succession Management

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

Authorities

The final authorities for ratings, Exceeds Awards and Discretionary Rewards are as follows:

	PASS PC1-12	PASS PC13(5) + 13(4)	EXEC PC13(3) EDs/Deans	PC13(2) and PC13(1) DVC/COO/VC
Development Forum consistency check of ratings, exceeds awards and Discretionary Rewards	Faculty/ Departmental Development Forum	Senior Staff Consistency Check Meeting	Executive Staff Consistency Check Meeting	REMCOM
Sign-off of ratings and exceeds awards by portfolio head	COO/DVC/VC (as PH)	Senior Staff Consistency Check Meeting	Executive Staff Consistency Check Meeting	REMCOM
Approval of Discretionary Rewards by portfolio head	COO/DVC/VC (as PH)	Senior Staff Consistency Check Meeting	REMCOM	REMCOM
Final approval of ratings and exceeds awards	VC (as VC)	VC REMCOM for noting	REMCOM	REMCOM
Appeal outcomes for ratings and exceeds awards and the correction of omissions or errors for ratings and exceeds awards	Development Dialogue Appeals Panel	Development Dialogue Appeals Panel	Development Dialogue Appeals Panel	Development Dialogue Appeals Panel

The Performance and Development Cycle

Action		Form	Who	What
1	Preparation	HR191	Line manager	<ul style="list-style-type: none"> Set up meeting, allocating enough time (1-2 hours). Give enough notice (at least 5-7 days in advance). Give staff member information about what to expect to help him/her prepare for the meeting. Review and update the Position description on the HR191 and submit to HRBP.
			Staff member	<ul style="list-style-type: none"> Prepare HR210 steps 1 – 5. Use Annexure A.
2	Development Dialogue	HR210 Step 1	Line manager and staff member	<ul style="list-style-type: none"> Review performance in the last performance cycle against agreed performance contract and agreed performance objectives. Finalise and agree Step 1 of HR210.
		HR210 Step 2 HR211	Line manager and staff member	<ul style="list-style-type: none"> Rate performance in the last performance cycle, against agreed performance contract and agreed performance objectives. Agree and sign Step 2 of HR210. Complete the HR211 for an Exceeds 1 or Exceeds 2 rating.
		HR210 Step 3	Line manager and staff member	<ul style="list-style-type: none"> Agree performance and objectives for the next performance cycle, using the position description and faculty/departmental/unit goals and objectives.
		HR210 Step 4	Line manager and staff member	<ul style="list-style-type: none"> Summarise UCT career aspirations. Discuss ability and willingness to work in other areas at UCT
		HR210 Step 5	Line manager and staff member	<ul style="list-style-type: none"> Summarise development needs. Finalise and agree Step 5 of HR210.
3	Preparation		Line manager	<ul style="list-style-type: none"> Identify scarce positions and critical skills. Consider Career and Succession plans. Complete Development Forum Preparation excel sheet (provided by HR Business Partner) Use Annexure B.
4	Development Forum Meeting		Line manager	<ul style="list-style-type: none"> Bring HR210, HR211, excel spreadsheet and any other supporting documents to substantiate discussion and rating. Forum agrees performance rating and development of staff member, as well as critical positions and scarce skills.
5	Feedback Meeting	HR210 Step 6	Line manager and staff member	<ul style="list-style-type: none"> Discuss the outcome of the Development Forum discussions, which forms part of the performance and development record. Complete and sign Step 6 of HR210.
6	Appeals	HR210b	Staff member	<ul style="list-style-type: none"> Complete and submit to appeal performance outcome.

The Performance Dialogue

Principles

Formal and informal Development Dialogues

This guide deals mostly with Formal Development Dialogues.

However, while the University requires that each staff member has a formal Development Dialogue with their line manager at the end/beginning of each performance cycle, informal Development Dialogues should take place regularly, at least every 6 months.

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

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

Informal review and feedback prevents unexpected outcomes at the formal discussions. The line manager is aware of how the staff member is performing and the staff member is aware of expectations and how they are performing against these expectations.

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

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

Guidelines for giving effective feedback

Effective feedback is:

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

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

The purpose of the formal performance dialogue is to:

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

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

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

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

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

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

The aims of performance dialogues are to:

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

Reviewing performance

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

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

The line manager invites the staff member to start the dialogue by giving feedback on the performance based on the supporting evidence. The line manager then gives feedback to the staff member based on supporting evidence.

The linemanager and staff member discuss the evidence against each objective and note the performance of each. The form is updated to reflect the discussion.

During the meeting, the line manager creates an environment to minimise the anxiety normally experienced by both line managers and staff members during a performance review.

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

Appearance	Some line managers allow the staff member’s personal appearance to influence their assessment.
Careless attitude	The personal performance system is not taken seriously enough.
Compassion	Excessively high performance ratings based on compassion and sympathy are detrimental to the development of the staff member in the long run.
Constant error	Unconscious bias results in consistently high or low ratings.
Evaluating the position	The actual position is evaluated and not the performance of the staff member. The staff member must be assessed against the position requirements.
Fear	Certain line managers have a subconscious fear of assessing others and subsequently confronting them with these assessments.
Halo / horn effect	One or two outstanding characteristics influence the appraisal to such an extent the line manager fails to consider remaining qualities.
Isolated incidents	These tend to affect the line managers overall assessment of the staff member.
Misinterpretation	The staff member is assessed in terms of characteristics totally unrelated to the agreed objectives and position requirements.
Recent impressions	Assessment should be based on sustained observation and constant revision throughout the cycle. The feedback from the on-going review process assists the line manager to avoid this error.
Rumours	Performance assessments are based on rumours about a staff member’s performance.
Undue speed	Hurried reviews are bound to be inaccurate.
Wrong standards	Incorrect standards are applied (i.e. personal preferences).

Assessing and rating performance

The line manager evaluates the staff member’s overall achievement against the full set of objectives and advises the staff member of their overall recommended performance rating against a performance rating scale.

The performance rating scale is as follows:

Exceeding	Meeting	Not Meeting	Unrated
<p>Consistently exceeds objectives and position requirements for the performance cycle.</p> <p>Demonstrates competence at / above the required level for the role.</p> <p>Exceeds standards set.</p> <p>Has performed an unusual activity over and above the requirement of the position to the benefit of the department or faculty.</p>	<p>Consistently meets objectives and position requirements, and / or occasionally doing more.</p> <p>Demonstrates competence at / above the required level for the role.</p> <p>Meets standards set, and / or occasionally doing more.</p> <p>Meets required level of performance for UCT to function optimally.</p>	<p>Meets some or few objectives and does not meet all position requirements.</p> <p>Demonstrates some competence at required position level.</p> <p>Underperforms with regard to standards set.</p> <p>Requires frequent supervision and follow-up.</p> <p>Needs formal development to meet minimum expectations.</p>	<p>Too soon to rate performance or unable to rate performance.</p> <p>Has not yet had time or opportunity to perform the majority of the functions of the position or to demonstrate competence.</p>

Note:

Should the staff member not be meeting requirements, it is important to deal with the issue as soon as possible, and not wait for the formal review. Where serious work-related problems are identified at any point in the cycle, it may be necessary to initiate a Performance Improvement Plan (PIP). The objective of the Performance Improvement Plan (PIP) is to correct and/or improve performance. The procedure is a positive one and not meant to be punitive. However, to accommodate the possibility that poor performance may not always be corrected, the procedure also covers the possible termination of the employment contract. The procedure is available on the HR website and documented using the HR171 form. HR Business Partners can support line managers in addressing poor performance issues.

Note:

When a staff member is due to leave a position (due to reasons such as resignation, retirement or promotion), a final formal review must be conducted before they leave. This gives both the person and the line manager an opportunity to review the work that has been completed, is underway or is still yet to be completed and provides an ideal opportunity for hand-over. The review could also serve as an exit interview. In some cases, the staff member may return to UCT and it is useful to have a full performance record on file. Depending on the remuneration structures and agreements in place in any given year, there may be remuneration or rewards payable in retrospect for those who have left, or are about to leave UCT's employ (such as retirees). It is thus also important to have the review on record.

When a staff member is due to go on long leave such as parental leave, over the end/beginning of a performance cycle, a final formal review must be conducted before they leave. This also gives both the person and the line manager an opportunity to review the work that has been completed, is underway or is still yet to be completed and provides an ideal opportunity for hand-over.

When a line manager is due to leave a position (due to reasons such as resignation, retirement or promotion), a formal review must be conducted with their line reports before they leave, as part of the performance record.

Note:

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

COMPLETING THE HR210 FORM:

The staff member and line manager prepare for the review, the staff member using Annexure A. The staff member prepares Steps 1 and 2 of HR210 form and submits this to the line manager before the dialogue. The line manager notes their recommended performance rating, by rating the staff member's performance on the rating scale. Additional comments / examples of performance should be added by the Staff member / Line Manager if an Exceeds rating is put forward for consideration by the Development Forum.

The line manager and staff member sign off Steps 1 and 2 after Step 5 of the HR210 form. Each will keep a copy.

Note:

Staff in PC13(1), PC13(2) and PC13(3) use a variation of the HR210 form, called the HR210a. Wherever this guide makes reference to the HR210 form, staff in PC13(1), PC13(2) and PC13(3) should read this as HR210a.

Frequently Asked Questions:

The 'Meeting' category states that a staff member "consistently meets all objectives and position requirements". Does this then mean that if you meet almost all objectives and requirements, but one has not been met, that you cannot be rated 'Meeting'?

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

If the staff member has been on maternity or long leave, what should they be rated?

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

If the staff member is new or the position has changed, what should they be rated?

When a new person starts, or the position changes substantially, objectives should be set for the remainder of the performance cycle. While the person may not yet have had the time or the opportunity by the time of the final appraisal to have demonstrated full competence, or to have performed the entire scope of the role an 'unrated' rating would be appropriate. However, where the person is relatively new, or the position has changed, and the person has had the time and opportunity to perform the objectives set, and has not, then a 'Not meeting' rating may be appropriate.

If the staff member is acting in another post and performing their substantive role, which post are they performance rated in, and so rewarded in?

The person should be receiving an acting allowance, and this allowance is the reward for performing these extra or higher level duties. They would thus be rated in their substantive post.

If the staff member has been fully seconded to another role, which post are they performance rated in, and so rewarded in?

The person should be receiving remuneration at the appropriate level for the role into which they have been seconded. They would be rated in their substantive post as "unrated". The staff member is rated in their secondment post according to their performance in the secondment post.

Performance ratings and the link to remuneration and reward

Note (April 2026):

PASS performance awards (Exceeds Awards and Discretionary Bonuses) remain paused.

However, Development Dialogues processes will continue as normal, with a one main amendment. While 'Exceeding' remains a performance category, no motivations for Exceeds 1, Exceeds 2 nor Discretionary Bonuses will be considered nor awarded for the 2024-2025 cycle. The Development Dialogue form HR210 has been temporarily amended to reflect this, and the HR211 will not be in use for this cycle. The Development Forum preparation sheet has also been adjusted.

While a remunerative award is one possible outcome of our performance management processes, the primary goal is engagement. You are encouraged to continue to engage in these performance and development conversations in positive and genuine ways that foster commitment, passion and creativity. These discussions are key to making people feel valued, invested and connected to a shared purpose.

Each rating is likely to have the following remuneration link or outcome:

Exceeding	Meeting	Not Meeting	Unrated
May qualify for Exceeds award (refer to criteria for Exceeds Awards).	May qualify for Discretionary Reward, if performance is above this performance category, but falls short of the exceeds criteria.	Would not qualify for either and Exceeds award or a Discretionary Reward. A PIP should have been in place for the last 3– 6 months or should be put in place immediately. Performance should be reassessed after 3 - 6 months.	Would not qualify for either and Exceeds award or a Discretionary Reward. Has recently been appointed to the post, has been on extended leave or the post has changed substantially.

Note:

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

Note:

Staff on Post Retirement Fixed term contracts do not qualify for either Exceeds Awards nor Discretionary Rewards.

Note:

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

Note:

'Discretionary' is not a performance rating and Discretionary Rewards are not discussed at Development Dialogues. Staff may not put themselves forward for a Discretionary Reward, and the rewarding of same is not recorded on the HR210. They are not a grounds for appeal.

Discretionary Rewards are rewarded at the discretion of line management, for performance above the 'Meeting' performance rating, but that which falls short of the Exceeds criteria.

The rewarding of Discretionary Rewards is considered through the Development Dialogue mechanism of the Development Forum to ensure consistency, and line managers may be asked to provide supporting information to the Development Forum. There are no criteria for Discretionary Rewards (they are rewarded at the line's discretion), although Development Forums may choose to create these for themselves to assist them in ensuring consistency over the department or faculty, over time.

Recognising exceptional performance through Exceeds 1 and Exceeds 2 awards

Should the staff member be rated 'Exceeding' by showing exceptional performance, either the staff member, the line manager of the staff member, a colleague or a client of the staff member may motivate for that staff member to be awarded an Exceeds 1 or Exceeds 2 award. Groups of staff may also be rewarded in this way.

Criteria may include but are not limited to the following:

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

Note:

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

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

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

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

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

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

Note:

Groups of staff can be recognised as a team on an individual basis. Where a team or department has exceeded across the board, each individual is rated as Exceeding as their performance rating, and a HR211 Exceeds nomination form is completed for each. The same motivation would be used for each nomination.

Note:

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

Frequently Asked Questions:

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

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

Can a person still qualify for an Exceeds award for their 'old' position, if they move positions within UCT or leave UCT within the performance cycle? And what happens if the position grade has changed or they receive an ad hominem promotion?

The Development Forum will ensure that these awards are awarded fairly and consistently. You will be rewarded for the position specific deliverables performed in the performance cycle and pro-rations will apply if applicable.

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

If the person receives an acting allowance or overtime, this is the reward for performing these extra or higher level duties. The person is rated and hence rewarded in their substantive post.

Can a person still qualify for an Exceeds award if they have been seconded fully into another role?

The person should be receiving remuneration at the appropriate level for the role into which they have been seconded. They would be rated in their substantive post as "unrated". The staff member is rated in their secondment post according to their performance in the secondment post. This may indeed be at the exceeding level if it meets the criteria.

Can a person on a fixed term contract qualify for an Exceeds award?

Development Dialogues is not compulsory for fixed term contract staff (the agreement only covers permanent staff). However, Development Dialogues as a management tool should be used by all managers to manage all staff. It is recommended that managers of fixed term contract staff use the system available, Development Dialogues, to aid them in doing this. While some contracts may be too short to last a full performance cycle, the line manager should still set objectives at the beginning of the contract and review performance regularly. Fixed term contract staff who are employed for one or more full cycles, should make use of Development Dialogues. Where Development Dialogues have been used, and fixed term contract staff member qualifies for an Exceeds Award, then they may indeed be nominated. Staff on Post-Retirement appointments do not qualify for Exceeds Awards.

COMPLETING THE HR211 FORM:

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

This form is sent to the line manager for signature (should the motivation not be submitted by the line manager), then to the HOD for signature (should the motivation not be submitted by the HOD), and thereafter to the Dean or Executive Director. The signatory will record whether or not they support the motivation and why. This form must be accompanied by the HR210 form for the same review period, as well as a copy of the person's most recent position description on the HR191. Once completed, this form must be submitted by the Dean or Executive Director of the faculty or department, for discussion and approval at the Development Forum. The HR210 form also makes provision for the staff member to provide comments to support the motivation for a discretionary or Exceeds Award.

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

Step 3: Agree performance for the future performance cycle

Performance Contracting

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

The purpose of the performance contracting dialogue is to:

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

Contracting takes place between the line manager and staff member. The aim is to understand the overall performance objectives of the department or team and the role the staff member's position plays in this. A line manager's objectives should be used in the setting of their report's KPAs and objectives, creating alignment between the University's strategic goals and individual performance goals, cascading right down from senior leadership to frontline staff. The line manager explains the departmental objectives and details how the staff members' roles and objectives align to these. The line manager also maps out how the activities in their department or section support the broader faculty or departmental objectives and ultimately the UCT strategic objectives. This can be done individually or in a general session with all staff in an area and is done before the objective setting process starts.

Performance contracting takes place when:

- A new staff member joins UCT.
- A new line manager joins UCT.
- Annual performance objectives are set.
- A staff member starts in a new position.
- A position changes.
- Operating plans and department goals change.
- New teams form or teams change.

The performance contracting process results in:

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

Objective Setting

Objective setting takes place at the beginning of each performance cycle, as part of the Development Dialogue.

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

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

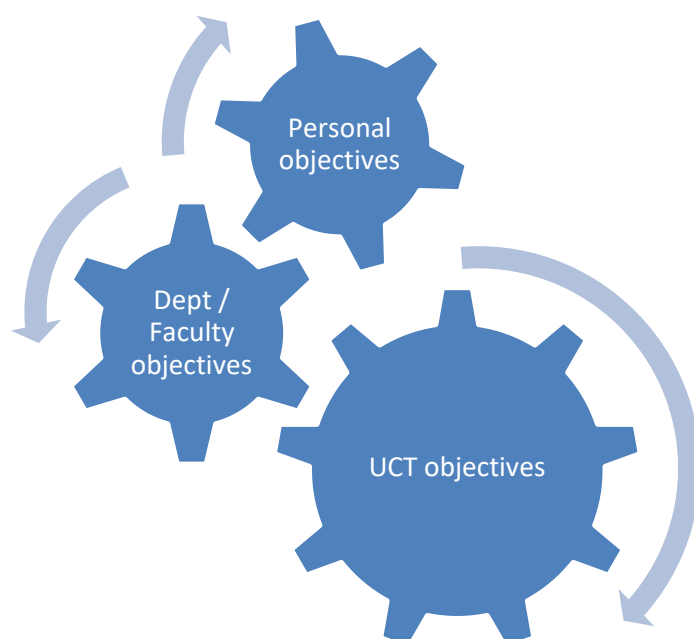
and staff member can determine how the staff member is performing. These objectives are reviewed as circumstances or priorities change.

The line manager is ultimately accountable for achieving the departmental objectives and so the responsibility therefore rests with the line manager to ensure that individual objectives are aligned to the departmental objectives and ultimately align to UCT objectives. There are two sources of information when considering position objectives for the performance cycle:

- The objectives for the department/faculty, which are in turn, aligned to the UCT institutional objectives.
- The position description (HR191), which provides a broad position requirements within the role.

The departmental, faculty and institutional objectives

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



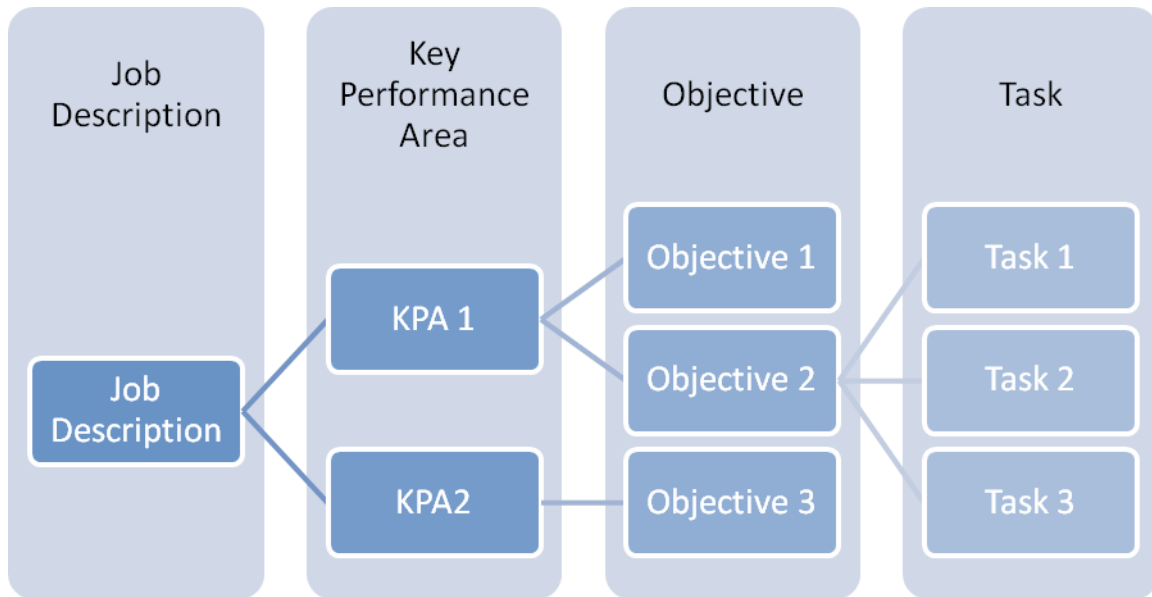
The position description, key performance areas and setting objectives

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

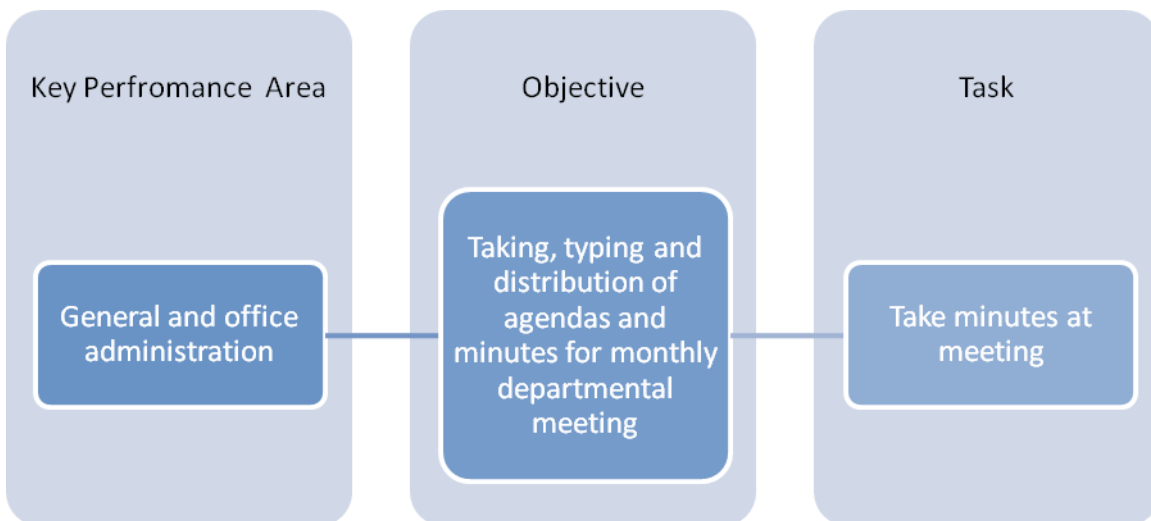
A KPA is a broad term used to describe a distinct area of responsibility of a position or an important output. A list of KPAs lists the most visible actions, essential functions, key areas of responsibility or high-level responsibilities. A KPA is a broad category of tasks and activities. Full time staff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

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

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



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



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

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

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

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

COMPLETING THE HR210 FORM:

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

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

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

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

Note for PC13(3), PC13(2) and PC13(1)

Staff in payclasses PC13(3)-PC13(1) use the HR210(a) instead of the HR210.

KPAs must link to those of their direct line manager, and the four Institutional Goals. Objectives and measures must reflect depth, detail and nuance. Objectives should be stated as goals or outcomes (rather than actions) with clear performance measures that are SMART and detailed in terms of quality, quantity, cost and time. These should be 3-5 year strategic objectives, cascaded down into annual way markers and measures.

Each member should have clear employment equity and transformation KPAs, objectives and measurable deliverables against Inclusivity Strategy initiatives.

These KPAs and objectives should be used in the setting of their line report's KPAs and objectives, thus creating alignment between the University's strategic goals and individual performance goals, cascading right down from senior leadership to frontline staff.

The Development Dialogue

Principles

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

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

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

Step 4&5: Discuss development

The purpose of the Development Dialogue is to:

- Discuss current qualifications and experience.
- Discuss UCT career aspirations.
- Discuss and document development needs to fulfil the current role, detailing the learning and development activities and interventions that are needed.
- Discuss and document development needs to fulfil possible future roles, or develop the staff member's career, detailing the learning and development activities and interventions that are needed.
- Link development plans to departmental or faculty objectives.
- Identify potential successors for scarce or critical positions and skills.

The Development Dialogue

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

In engaging in Development Dialogues with staff, **line managers** must:

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

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

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

The line manager will review the staff member's submission, together with their CV, position description and record:

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

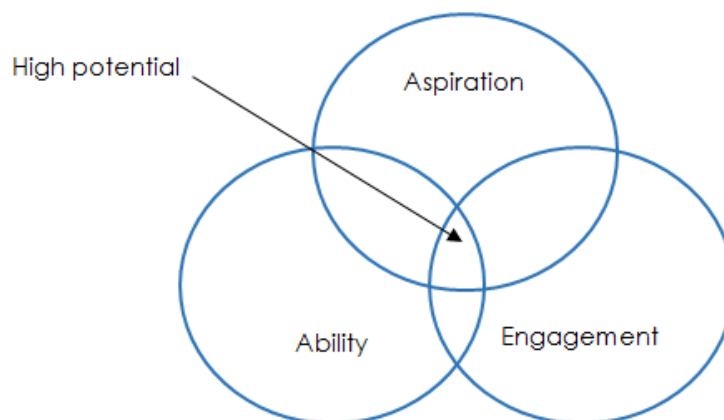
Performance and Potential

A Performance and Potential matrix is a guideline or framework that can be used to facilitate or inform Career Planning and Success Planning conversations. It is neither a rating scale nor a label.

Performance	Exceeding	<p>Expert</p> <p>Expert in their field. Unqualified reliability in delivery and meeting expectations. Has reached level of optimum delivery. Driver of continuous improvement in efficiency.</p>	<p>Consistent exceptional delivery</p> <p>Consistent exceptional delivery. Capable of adapting to new challenges. Uses expertise to challenge norms and drive higher performance. Excellent ability to develop others and leverage personal expertise. Delivers more than the job requirements.</p>	<p>Star with potential</p> <p>Consistent exceptional delivery and innovation. Establishes new benchmarks and challenges norms while providing alternatives. Has capability to operate at one or two levels higher with focused development.</p>
	Meeting	<p>Sound performance</p> <p>Concentrates on particular job, as contracted. Is skilled and applies knowledge in a specific and defined field.</p>	<p>Contributor</p> <p>Readily fulfils and sometimes exceeds requirements. Contributes at a higher level than expected. Needs to be encouraged to seek alternative ways of working or needs to be introduced to new ideas. Has the ability to operate one level higher in the organisation.</p>	<p>Rising and developing contributor and performer</p> <p>Consistently fulfills and sometimes exceeds expectations. Capable of exceptional contribution and innovation. Not yet fully settled in expert mode but within reach with adequate refinement and development.</p>
	Not Meeting	<p>Questionable fit / Poor performance</p> <p>Track record of non-delivery over extended period. Not responding to coaching, development or guidance. May negatively affect performance of others and requires extensive control and supervision</p>	<p>Not yet performing at the required level</p> <p>Competencies not at the required level for the current role. Needs to develop competencies / new competencies to remain relevant and to enhance personal contributions.</p>	<p>Needs development</p> <p>Undeveloped potential evident or not delivering to requirement. Intensified development required or applying for an alternative position needs to be encouraged. If fulfilled this holds the potential for great future delivery.</p>
Potential: Engagement, ability and aspiration				

The placement of a staff member on the matrix is a matter of 'best fit' rather than 'perfect fit' or an absolute measurement.

The agreed performance rating is used to plot the vertical axis of the matrix. As to placement on the horizontal axis of the matrix, research has identified three factors that directly correlate to high potential. It is the combination of these three that measures potential:



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

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

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

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

Types of development needs and initiatives

Development needs can be:

- a) **Position-Related** - The gap between the set of competencies, skills and experience necessary to reach or perform the objectives, plans and goals, and the set that the staff member currently has. It is imperative that the person develops the required set in order to attain the objectives. The competency, skill or experience is an explicit requirement of the position, and any intervention is ultimately for UCT's benefit. This could be applicable to one person in a team or a whole team.
- b) **Developmental** - The competencies, skills, qualifications or education needed to better oneself or to advance one's career at UCT in the short to medium term. It is not an explicit requirement of the current post, and the staff member is able to attain the set objectives without it. The competencies, skills, qualifications or education are ultimately for the staff member's benefit. Development of these ensures that UCT has a larger pool of competent and qualified people to recruit from, and also ensures that UCT has succession plans in place for key positions.
- c) **Personal** - The competencies, skills, qualifications or education needed to better oneself or advance one's career in the longer term, either at UCT or elsewhere. It is not an explicit requirement of the current post, nor a requirement of any other post that the person is likely to take up in the short to medium term. The competencies, skills, qualifications or education are completely for the staff member's benefit.

Development activities can be:

- a) **Formal** – Qualifications, certificates, degrees, diplomas. Typically these courses are for a longer duration (3 months to a year), and are formally assessed and are certified. They are normally used for personal and developmental needs. (Most commonly formal development would not be necessary for position-related needs, as it would be assumed that the staff member had the necessary formal qualifications when recruited. However, it may be necessary in a few instances).
- b) **Non-Formal** – Short skills courses offered either internally or externally. Typically these are for a shorter duration (less than 3 months). They tend to specifically address one particular skill or competency. They may or may not be assessed and certified. They are normally used for position-related needs (e.g. First Aid, MS Word or Presentation Skills courses).
- c) **Informal** – Reading, gathering information, coaching or mentoring from someone who is an expert in that area, observing or position-shadowing, exposure to other areas etc.). Typically these are used for position-related needs.

The UCT learning and development funding policy and model

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

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

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

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

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

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

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

Reporting

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

COMPLETING THE HR210 FORM:

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

The form is updated to reflect the discussion.

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

Note:

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

Note:

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

Some of the factors that need to be considered include:

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

Note:

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

The Development Forum

Principles

A Development Forum ensures the consistency in the application of the Development Dialogue system across a Faculty or Department. The Development Forum is not the final authority on performance ratings, Exceeds Awards, nor Discretionary Rewards. It will make recommendations to a higher level of authority.

Preparation

The HR Business Partner for the area will send the line manager a preparation sheet to help the line manager to prepare for the Development Forums. It allows the manager to submit information to the Forums regarding:

- Proposed performance rating
- Possible career paths for individuals
- Possible successors for key positions
- Scarce skill information
- Critical positions identified
- Exceeds 1 and Exceeds 2 nominations
- Proposed Discretionary Rewards

The line manager may also want to use the preparation sheet found in Annexure B, to record their preparations. The line manager will also need to prepare any applications for Exceeds 1 and Exceeds 2 awards.

Scarce skills and critical positions

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

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

Positions which require scarce skills are positions where few or no qualified and experienced staff members are available. These are recognized (characterised) by hard-to-fill vacancies or long-term vacancies, recruitment of under- skilled staff members, recruitment of skilled workers from outside the country to fill vacancies, and a higher salary for a particular skill. Possible information sources include Union feedback, recruitment processes, payment of scarce skills allowances, turn- over, exit interviews, industry knowledge etc.

The UCT Scarce and Critical Skills and Positions (SCSP) List has been developed through a comprehensive audit of scarce skills and critical positions over the period 2023 and 2024, together with extensive research, collection of data from numerous sources, benchmarking, correlation, analysis, interrogation and verification. It's use extends beyond reporting purposes, per above.

A master copy of the list is kept by the Organisational Development unit in HR, is made available for use on the appropriate HR platforms and is checked both annually and updated on a needs-be basis.

The list is checked annually, parallel to the Development Dialogue process and any amendments to this list are to be forwarded to the HRBP. Any changes to the list at any other time can be submitted to the Organisational Development unit in HR (either by the faculties and departments through HR Client Services, or through other units of the HR department) and will be vetted by the Organisational Development unit before making the changes.

The Development Forum

Development Forum meetings take place a few months after the end of the performance cycle. Development Forums are different for different cohorts of staff:

	PASS PC1-12	PASS PC13(5) + 13(4)	EXEC PC13(3) EDs/Deans	PC13(2) and PC13(1) DVC/COO/VC
Development Forum consistency check of ratings, exceeds awards and Discretionary Rewards	Faculty/ Departmental Development Forum	Senior Staff Consistency Check Meeting	Executive Staff Consistency Check Meeting	REMCOM

A Development Forum consists of line managers across the department or function. A line manager, one level higher than these line managers is appointed as Chair.

The HR Business Partner supports and services the Development Forum. Development Forums for Payclasses 13 and above are administered centrally by Human Resources Client Services. Development Forums for Payclasses 12 and below are administered by the relevant HR Business Partner. The HR Business Partner will assist through the collation of a report which will be submitted for higher approval, and to Human Resources for further action.

The Development Forum is expected to:

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

The Development Forum will:

- Review the consistency of performance ratings
- Finalise performance rating recommendations
- Finalise Exceeds awards nominations
- Finalise Discretionary Rewards recommendations

They will also:

- Discuss and record development needs, linking development plans to departmental or faculty objectives, and formulating a departmental or faculty development plan for the following performance cycle.
- Identify scarce and critical skills and identify possible initiatives to address these.
- Identify scarce and critical positions and identify possible staff as successors to these.

It is recommended that the number of staff awarded an exceeds award falls within a range of 5%-15% of the number of staff considered.

Note:

The Development Forum may make use of other appropriate departmental or faculty structures or sub structures of the Forum, to support or augment their work as it relates to career pathing, succession planning and scarce and critical skills planning, such as Staffing Committees or Transformation Committees.

The Portfolio Head Moderation

Portfolio Heads review and moderate the outcomes of all Development Forums within their portfolio, comparing across departments and faculties. They also approve Discretionary Rewards. Portfolio Heads are different for different cohorts of staff:

	PASS PC1-12	PASS PC13(5) + 13(4)	EXEC PC13(3) EDs/Deans	PC13(2) and PC13(1) DVC/COO/VC
Sign-off of ratings and exceeds awards by portfolio head	COO/DVC/VC (as PH)	Senior Staff Consistency Check Meeting	Executive Staff Consistency Check Meeting	REMCOM
Approval of discretionary Rewards by portfolio head	COO/DVC/VC (as PH)	Senior Staff Consistency Check Meeting	REMCOM	REMCOM

The Development Forum Chair meets with the Portfolio Head to present the recommended performance rating outcomes of the Development Forum. The Portfolio Head checks the HR212 Development Forum report, checks the outcomes for consistency and accuracy, and moderates the outcomes where necessary. The HR Business Partner supports the meeting between the Development Forum Chair and the Portfolio Head.

Where changes are made, the HR Business Partner will update the HR212 and related records, recording a summary of the reasons for changes made to performance ratings recommended by Faculty / Department Development Dialogue Forum, per change. These are used to inform the feedback to line and staff member(s) concerned, after, and if approved by, final approval by VC).

Portfolio Heads for Payclasses 13 and above are administered centrally by Human Resources Client Services.

The Portfolio Head is expected to:

- Maintain complete confidentiality
- Be transparent, open and honest
- Be aware of perceptions and focus on facts and examples of behaviour
- Record reasons for changes

The Portfolio Head will:

- Review the consistency of performance ratings
- Finalise performance rating recommendations
- Finalise Exceeds awards nominations
- Finalise Discretionary Rewards

It is recommended that the number of staff awarded an exceeds award falls within a range of 5%-15% of the number of staff considered.

Step 6: Development Dialogue Rating Feedback

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

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

Development Dialogue Rating Feedback discussions take place after the Development Forum recommendations have been approved by the following authority bodies:

	PASS PC1-12	PASS PC13(5) + 13(4)	EXEC PC13(3) EDs/Deans	PC13(2) and PC13(1) DVC/COO/VC
Development Forum consistency check of ratings, exceeds awards and Discretionary Rewards	Faculty/ Departmental Development Forum	Senior Staff Consistency Check Meeting	Executive Staff Consistency Check Meeting	REMCOM
Sign-off of ratings and exceeds awards by portfolio head	COO/DVC/VC (as PH)	Senior Staff Consistency Check Meeting	Executive Staff Consistency Check Meeting	REMCOM
Approval of Discretionary Rewards by portfolio head	COO/DVC/VC (as PH)	Senior Staff Consistency Check Meeting	REMCOM	REMCOM
Final Approval of ratings and exceeds awards	VC (as VC)	VC REMCOM for noting	REMCOM	REMCOM

The line manager sets up a meeting with the staff member and gives the staff member detailed feedback on the Development Forum discussions and Portfolio Head moderation and confirms the final performance rating outcome.

COMPLETING THE HR210 FORM:

The line manager prepares for the discussion by completing Step 6 of the HR210 form and submits this to the staff member before the discussion. Finally, the line manager and staff member sign off Step 6 of the HR210 form. Each will keep a copy. This forms part of the performance and development record.

Note:

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

Appeals and corrections

Appeals

An appeals process gives a staff member recourse if they do not agree with the Development Dialogue rating outcome, and in so doing ensures consistency in the application of the Development Dialogue system across the university.

A staff member may submit an appeal based on the following grounds:

- a) Performance objectives were not agreed or documented.
- b) Performance objectives that were changed or added during the performance cycle were not agreed or documented.
- c) No formal performance reviews occurred during the course of the performance cycle.
- d) The process by which the Development Dialogue rating was set was unfair.
- e) The process by which the performance objectives were set was unfair.
- f) The Development Dialogue rating outcome was deemed unreasonable compared to the performance objectives set.
- g) The Development Dialogue rating outcome was deemed unreasonable compared to the performance assessment.
- h) The outcome of the Exceeds Award motivation was deemed unreasonable given the performance assessment.

A staff member may not submit an appeal based on the following grounds:

- a) The staff member is unhappy with the Discretionary Reward.
- b) The line manager of the staff member is unhappy with the outcome of the Development Forum.
- c) The pay outcome is inconsistent with remuneration policies and annual salary negotiation agreements.
- d) The staff member is unhappy with the pay outcome.

Development Dialogue Appeals Panel

The Development Dialogue Appeals Panels are constituted by a Terms of Reference. The composition of an Appeals Panel is dependent on the grade of the staff member submitting the appeal.

For appeals for PASS Staff PC1-PC13(4) the panel consists of:

- The member of the UCT Executive to whom the Executive Director: Human Resources reports (or designate) (Chair)
- The Executive Director: Human Resources (or designate)
- The Director: Staff Wellbeing and Reward (Human Resources) (or designate)
- A nominee from each of the relevant union(s) with whom the university has a recognition agreement
- The Director: Organisational Development and Effectiveness (Human Resources) (or designate)

For appeals for PASS Staff PC13(3)-PC13(1) the panel consists of:

- The Deputy Chair of UHRC or delegate (full member) (Chair)
- Two members of UHRC (full members)
- Executive Director Human Resources (assessor member)
- Director: Staff Wellbeing and Reward (Human Resources) (assessor member)

The Development Dialogue Appeals Panel serves two purposes:

- To consider and make decisions on appeals to Development Dialogue rating outcomes and exceeds awards
- To correct errors and omissions in the Development Dialogue approvals process

In doing so, it ensures consistency in the application of the Development Dialogue process and rating scales.

The Development Dialogue Appeals Panel will consider both procedural and substantive matters and can make decisions that

override that of the Development Forum, and other final authorities for ratings and Exceeds Awards for PASS Staff. In all cases, members of the Development Dialogue Appeals Panel will recuse themselves should there be any conflict of interest.

The Development Dialogue Appeal Panel has no authority over Discretionary Rewards.

Note:

The Development Dialogue Appeals Panel will not consider appeals on Discretionary Rewards. It may however decide that an Exceeds Award is to be granted in the place of a Discretionary Reward where it has decided to change a performance rating from Meeting to Exceeding. It may not make any recommendation or decision that a Discretionary Reward be paid or the quantum thereof.

Process

Appeals may only be made by the affected staff member.

The staff member approaches the line manager, and if necessary the chair of the Development Forum for that area, for further detailed feedback on the Development Forum discussions, the application of consistency, and their personal outcome. Should the staff member remain unsatisfied by the feedback and reasons given, the staff member then completes the HR210B form, attaching the required documentation.

The appeal is forwarded to the immediate line manager, the area HOD, the Chair of the area Development Forum, and then the HR Business Partner, for their information and input. Neither the line manager, HOD, Chair, nor HRBP considers, supports nor rejects the appeal, but only adds additional information as may be relevant to the Development Dialogue Appeals Panel. The appeal must be submitted to the immediate line manager, the area HOD, the Chair of the area Development Forum, and then the HR Business Partner in sufficient time for them to complete their part and still meet the deadline. We suggest that this be 2-3 weeks.

The appeal is then submitted to the Director: Organisational Development and Effectiveness, through the HR Business Partner, for consideration by the Development Dialogue Appeals Panel.

The Development Dialogue Appeals Panel will consider the appeal based primarily on the written submission and supporting documentation. If needed, the Development Dialogue Appeals Panel may request that the staff member and/or the staff member's line manager and/or HOD and/or the Chair of the Development Forum for that area attend the Development Dialogue Appeals Panel, to present information, discuss the appeal and/or answer questions of clarity. Staff members may be represented by a Union representative or an employee of their choice.

Only information that informed the Development Forum outcome would ordinarily be considered. However, a party may apply to the panel to have such information included, providing good reason why it should be included. The panel may choose to review the appeal before deciding whether to include the additional information in their deliberations, or not.

The staff member and Chair of the Development Forum will receive formal written feedback from the Chair of the Development Dialogue Appeals Panel after it has deliberated and arrived at a decision.

Note:

An appeal may not be made by a line manager or any other member, nor the Chair of the Development Forum for that area. If, through the process of a staff member submitting an appeal, it is found that a different Development Dialogue outcome or pay outcome should have been put forward for approval, then the process for the correction of errors of omissions, as given below, should be followed.

Timelines

Timelines are communicated from the Office of the ED: Human Resources on an annual basis, following the final authority sign-off of the Development Dialogue ratings, and communication of those ratings to line.

Timelines are strictly adhered to, and no condonation given.

Note:

The Development Dialogue Appeals Panel does not ordinarily consider new information, rather reviewing the documentation and information used to make the original decision. All information and documentation attached must be the same as that which was submitted during the initial Development Dialogue approval process. A party can apply to the Development Dialogue Appeal Panel Chair to have new information included, must show why that information was not part of the original decision-making process, and give good reason why it should be included now.

Correction of errors and omissions

The appeals mechanism is additionally the governance mechanism for correcting omissions or errors.

Once signed off by final authority bodies, no further amendments can be made to the record. Any omission or error is thus channelled through the appeals process, as the Development Dialogue Appeals Panel is the final authority and record keeping body for all changes made to that which was signed off by the final authorities.

Any change to correct an error or omission must be channelled through the required authority bodies before being presented to the Development Dialogue Appeals Panel. These authority bodies are dependent on what omission or error was made, and advice must be sought from your HR Business Partner.

The final authority for *correction of errors or omissions* for ratings and Exceeds Awards for PASS Staff is the Development Dialogue Appeal Panel.

The Development Dialogue Appeal Panel has no authority over Discretionary Rewards. The final authority for *correction of errors or omissions for Discretionary Rewards* is the COO, relevant DVC or VC, (as portfolio head), and is reported to the Development Dialogue Appeal Panel for including in the record.

Process

The Chair of the Development Forum sends a report to the Development Dialogue Appeals Panel through the HR Business Partner.

The Development Dialogue Appeals Panel may ask additional questions.

The Chair of the Development Forum (and if needed the staff member) will receive formal written feedback from the Chair of the Development Dialogue Appeals Panel after it has deliberated and arrived at a decision.

Timelines

Timelines are communicated from the Office of the ED: Human Resources on an annual basis, following the final authority sign-off of the Development Dialogue ratings, and communication of those ratings to line.

Timelines are strictly adhered to, and no condonation given.

Annexures

Annexure A

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

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

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

Results Delivered

How have I/has my staff member performed in each of the Key Performance Areas?
What specific accomplishments and results have been achieved?

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

Performance Gaps

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

What affected my / my staff member's performance negatively? (Consider factors within and outside of your control).
What could I / my staff member have done differently to improve the performance and the results that were achieved?

Skills Development Areas

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

Performance Goals

What are my / my staff member's performance priorities for the next performance period?
What changes should be made to the KPA's, objectives or SMART measures?

What support would I need from my manager or team to accomplish my goals? / What support would I need to give my

Manager / Team Support

staff member in order to accomplish the goals?

Annexure B

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

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

Ability to function in current position

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

Experience

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

Qualifications

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

Competencies

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

Values

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

Evaluation / Assessment

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

UCT Career Path

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

Performance Record

Review the last three year's performance assessments.

Potential

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

Development Needed

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

Annexure C: Documentation

HR210

<https://forms.uct.ac.za/hr210.doc>

HR210a

<https://forms.uct.ac.za/hr210a.doc>

HR210b

<https://forms.uct.ac.za/hr210b.doc>

HR211

<https://forms.uct.ac.za/hr211.doc>

UCT Competency Framework

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