



PERFORMANCE MANAGEMENT FRAMEWORK

FOR

SADC PARLIAMENTARY FORUM

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EXECUTIVE SUMMARY

Overview

SADC Parliamentary Forum is in the process of establishing organisational systems that will enhance its efficiency towards responding to the set out strategic imperatives, thus achieving the goals and ambitions of the 2019-2023 Strategic Plan. Performance Management System (PMS) is a key driver through which, all initiatives are streamlined. It locates accountability at the appropriate level of the organisation. It promotes internal and external communication.

The Problem as Stated by SADC Parliamentary Forum

The Forum is an established institution that provides service to various Parliamentary organs and interfaces with different stakeholders who are aligned or support its Mandate. The identified gap is an inadequate Forum-wide systematic method of contracting on performance deliverables, implementation parameters, monitoring mechanism and a uniform measuring approach, which would satisfy all parties. The PMS Design initiative seeks to address this need.

The Solution Delivered

The solution delivered through this initiative, encompasses a comprehensive Performance Management System. It articulates the system's key features as follows:

- i. Performance Management System Framework,
- ii. Performance Management System Policy,
- iii. Performance Management System Procedure for implementing the Policy,
- iv. Guidelines for Goal Setting – Performance Tracking, Feedback and Evaluation,
- v. Guidelines for Managing the Performance of Management, hence the Forum.

Highlights

The solution provided is summarised in the Performance Management Framework. The link between SADC PF 2019-2023 Strategy and the shop-floor implementation of PMS is clarified. The key pillars of PMS being Performance Planning, Implementation and Evaluation are explained. The roles, responsibilities and accountability of the different players within the Forum and the Parliamentary governance structures are illustrated. The Guidelines include tools illustrating how the Forum could align its day-to-day activities to the various departments' purpose. The Strategic Themes laid out in the 2019-2023 Strategic Plan and Action Plans thereof, informed the solution.

Keys to Successful Implementation

Successful implementation of the PMS will require discipline at individual employee, departmental and organisational level, consistency, training and mentoring. Internal communication and collaboration are the other crucial success factors.

Financial Implication of a Performance Management System

Training of staff and automation of the PMS may be the key investment to enhance organisational proficiency and improve the Forum's efficiency levels. A cost benefit analysis may verify.

1. BACKGROUND

SADC Parliamentary Forum (SADC PF) operates in accordance with a structured governance framework, anchored by its Constitution, Rules of Procedure, and Administrative Rules and Regulations. Under this governance framework, the Forum is guided by the rule of law in the administration of its affairs and is informed by the decisions of its institutional organs composed of representatives from Member Parliaments. On the regional landscape, the Forum occupies the precinct of inter-parliamentary cooperation within the SADC region. In this respect, the Forum acts as a voice to represent the views of SADC Parliamentarians and at the same time confers a platform for discussions on issues of both parliamentary and administrative interest to Member Parliaments.

Against the background above, the Forum represents a lighthouse for the SADC Region and acts as an enabler in guiding Member Parliaments to navigate towards enhanced democratic practices for the benefit of the SADC citizenry as a whole. SADC PF Strategic Plan 2019 - 2023 is also informed by the regional and international parliamentary climate where there is an increasing appreciation around the world for the work conducted by national Parliaments and for enduring bonds created between sovereign parliamentary bodies within the scope of inter-parliamentary cooperation.¹

2. SADC PARLIAMENTARY FORUM MANDATE

The Mandate of the Forum was “to constitute a Parliamentary Consultative Assembly, the ultimate goal being the establishment of a Regional Parliamentary Framework for dialogue on issues of regional interest and concern”. The SADC PF is a Regional Inter-Parliamentary body comprising of National Parliaments of SADC Members States.

3. PURPOSE OF THE PERFORMANCE MANAGEMENT SYSTEM

Performance Management System (PMS) is a mechanism of implementing organisational Strategy, that is; Mission, Vision and Strategic Issues and the Core Values. Performance Management System monitors the effectiveness of all organisational systems. It cultivates effective interaction between employees and their supervisors/managers and promotes ownership of work and deliverables.

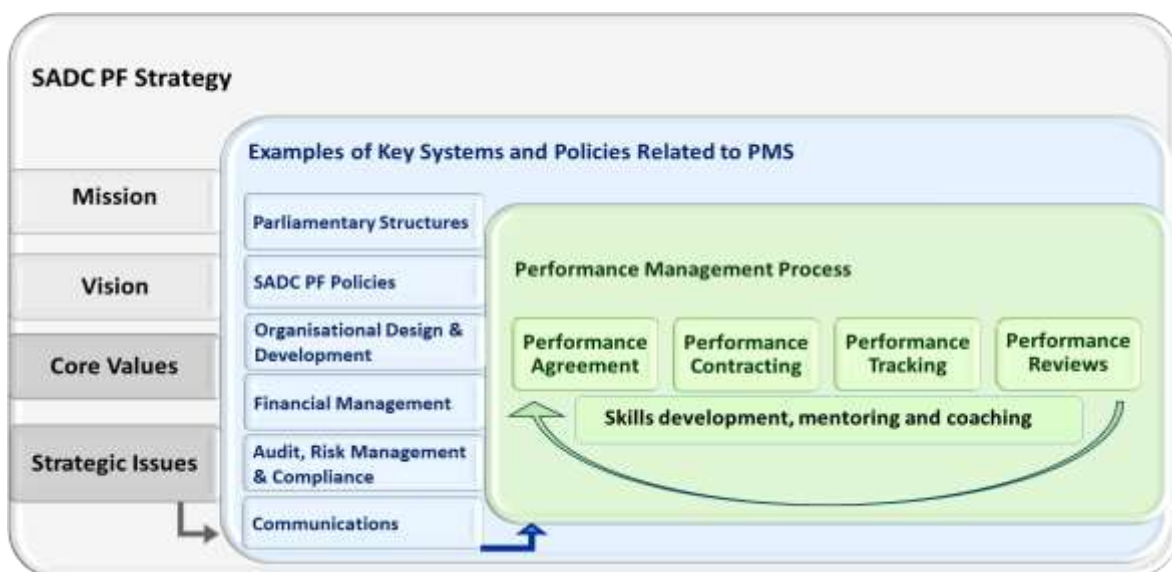
¹ SADC Parliamentary Forum Strategic Plan 2019 - 2023, Page 6: Executive Blueprint - Introduction

4. KEY PILLARS FOR PERFORMANCE MANAGEMENT SYSTEM

4.1 Performance Management Framework

A Framework contextualises the Performance Management System in relation to the institution's Strategy, that is; Mission, Vision and Strategic Issues and Core Values. It demonstrates the link between performance management and other systems, policies and procedures. A sound Performance Management Framework activates Organisational Design and Development, Financial Management, Programme Management, Audit and Risk Management as well as Human Resources Management processes. The benefits of a comprehensive performance management approach include streamlined work in relation to the organisations intent, cross-functional/departmental integration resulting in seamless organisation-wide interaction, accountability and common purpose. Diagram 1 below, illustrates a wholistic Performance Management Framework.

Diagram 1: Performance Management Framework



4.2 SADC Parliamentary Forum Mission Statement

- 4.2.1 SADC PF Vision Statement, Strategic Objectives and Core Values are derived from its core purpose, the Mission Statement. It is crucial for all systems including the Performance Management System to be in sync with the Mission Statement, which reads as follows:
- 4.2.2 “To promote and facilitate the parliamentary processes necessary to enhance the oversight, legislative, budgetary and representative roles of MPs, at both national and regional levels, y bridging the gaps between Parliaments and citizens in view of positioning the SADC region as a cradle of participatory democracy.”²

² SADC PF Strategic Plan 2019 – 2023: Page 10: Our Mission Statement

4.3 SADC Parliamentary Forum Vision

4.3.1 SADC PF has articulated how the institution endeavours to incrementally realise its core purpose. The Vision Statement thus provides a tangible direction on action that needs to be taken. An effective and well-integrated Performance Management enables such implementation. SADC PF Vision Statement reads as follows:

4.3.2 “To be the Flag-Bearer of Democratisation and Socio-Economic Development for the SADC Region; to enable the Southern Africa to meet its developmental objectives and keep pace with its various commitments such as the Africa Agenda 2063 or the Sustainable Development Goals founded on Democratisation and Socio-Economic Development and through parliamentary interventions for the SADC Region, address development issues aimed at ensuring that no citizen of the SADC is left behind when the gains of progress are harvested.”³

4.4 Organisational Core Values

4.4.1 In addition to the guiding principles which influence the spirit behind the activities of the Forum, both Members of Parliament and staff of the Forum are guided by the Core Values that ground this strategy as follows. The Core Values of the Forum reinforce one another to ensure service delivery throughout the organs of the Forum, and with collaborating partners⁴.

4.4.2 **Core Values** as listed below, will be incorporated and driven through the Performance Management System. An appropriate evaluation, such as 360 Review, will be conducted to confirm the extent to which the Core Values are upheld in-keeping with the Forum’s identity. SADC PF Core Values are as listed below:

- i. **Performance and Results Oriented;** We commit to service excellence and will at all times pursue the achievement of tangible results.
- ii. **Tolerance and Inclusivity;** We value diversity in the region as a great source of strength and endeavour to harness and protect it through our policies and practices.
- iii. **Honesty & Transparency;** We commit to be truthful, upright and transparent in our conduct, interactions and equitable in our dealings within Parliament and outside.
- iv. **Citizen and Parliament focused;** We strive to understand and meet the needs of our stakeholders at all times, appreciative of their scarce resources, their diversity and their expectations.

³ SADCPF Strategic Plan 2019 – 2023: Page 9: Our Vision Statement

⁴ SADCPF Strategic Plan 2019 – 2023: Page 9: Core Values

4.5 Strategic Issues

4.5.1 Strategic Objectives are the key deliverables of an organisation. SADC PF has defined seven as listed below. These were further translated as Strategic Themes in which the key components of SADC PF Vision Statement are contained. Annual Plans and Performance Agreements will, all times, be closely aligned to these Strategic imperatives. The Strategic Objectives are as follows:

- i. **Objective 1:** To promote inter-parliamentary cooperation, diplomacy and dialogue on issues of regional interest in view of advancing democratisation and socio-economic development for SADC Member States.
- ii. **Objective 2:** To align, harmonise and create operational and institutional linkages between SADC PF Standing Committees and Programmes, and SADC Organs and Sectors, in view of promoting integration of the region.
- iii. **Objective 3:** To facilitate capacity development and other programs of support for Members and staff of Parliaments to augment skills, knowledge and competencies to face emerging challenges.
- iv. **Objective 4:** To lobby and advocate equal and equitable representation of Women and youth in political and decision-making positions.
- v. **Objective 5:** To advocate and lobby for the establishment of SADC PF as a Regional Parliament through a phased transformation and with the approval of Member Parliaments, and the SADC Policy Organs.
- vi. **Objective 6:** To formalise policy and operational relationships with the Pan African Parliament, the Inter-Parliamentary Union, the Commonwealth Parliamentary Association and other interparliamentary bodies.
- vii. **Objective 7:** To ensure the financial and human resource sustainability of the SADC-PF through good governance and prudential planning.

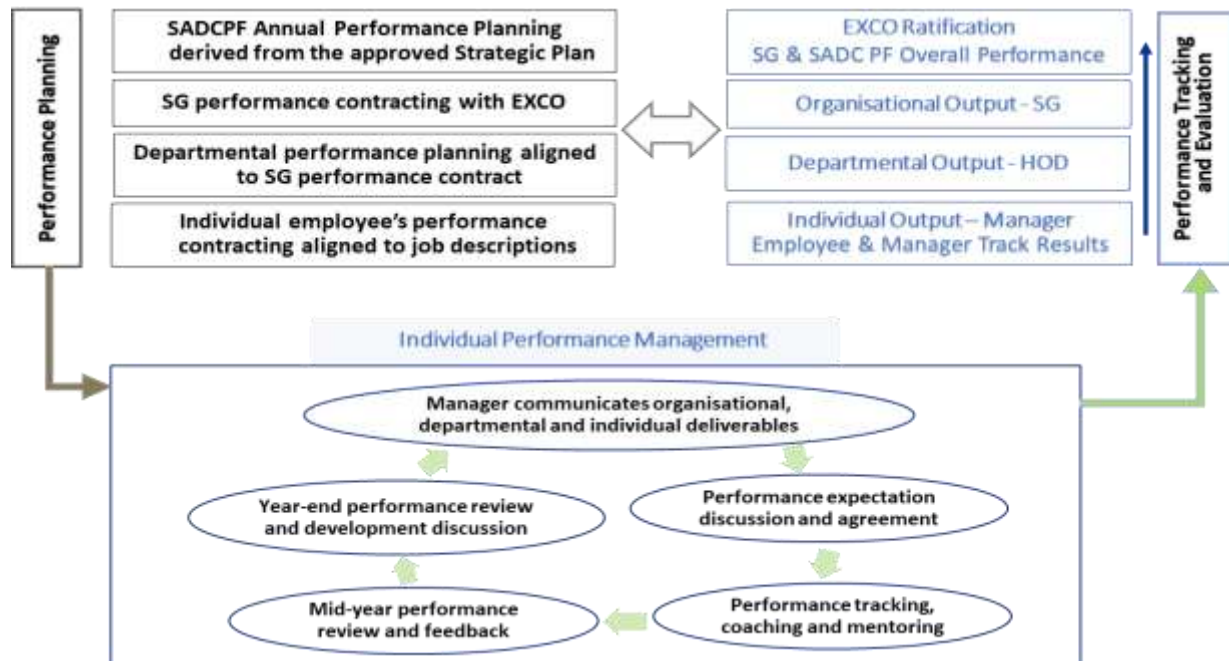
4.6 Performance Management Policy, Procedure and Guidelines

- 4.6.1 Performance Management Policy statement provides a consistent guide on the structure, approach, accountability, authority limits and application of the system.
- 4.6.2 Performance Management Procedure and Guidelines provide consistency, clarity and equitable organisation-wide implementation.

5. APPLICATION OF THE PERFORMANCE MANAGEMENT SYSTEM

- 5.1 Performance Management System of the Forum will apply to all departments and employees. Diagram 2 - Organisational Performance Management Process below, illustrates a comprehensive Performance Management landscape. It illustrates Performance Planning, Managing Individual Employee Performance and Performance Evaluation processes.

Diagram 2: Organisational Performance Management Process



5.2 SADC PF Performance Management System

- 5.2.1 The Forum will base its Performance Management System on the principle of Alignment to Strategy, Measurement, Monitoring and Evaluation. It will endeavour to leverage the following areas of delivery:
- 5.2.2 **Financial**– refers to the financial outlook the Forum upholds as required by the SADC Region and Donors.
- 5.2.3 **Organisational Systems and Processes** – refers to the systems the Forum requires to process work and enable cross-functional integration.
- 5.2.4 **People** – refers to the capability of the Forum's employees and management to deliver on the Forum's key expectations and be adaptable to change.
- 5.2.5 **Stakeholders** – the Forum would focus on the manner that it presents its Purpose to all stakeholders and ability to meet the requirement of such parties in order to benefit.

6. PERFORMANCE MANAGEMENT PROCESS

6.1 Performance Contracting:

SADC PF Secretary General will lead the organisation's PMS by providing Strategic Objectives to be addressed. All staff will enter into Performance Agreements with their line managers. In addition the necessary support such as availability of operating resources, training and effective communication will enable and capacitate all staff to meet the requirements of performance management concept, principles and process. Detail is outlined in the Performance Management Policy Procedure and Guidelines.

6.2 Performance Monitoring and Evaluation at Institutional Level

Management will engage individual employees on an on-going basis and at scheduled intervals to track performance against duly signed Performance Agreements. Performance deliverables, that is; Key Performance Areas, Weighted Key Performance Indicators, and Targets will be monitored by both the job incumbent and the immediate superior to track progress throughout the performance period. Quarterly reviews will be conducted. Formal mid-year and year-end reviews with scoring are mandatory. Mentoring, coaching and performance counselling will be provided to create a conducive and high-performance environment. Where support or remedy are required, they will be carried out according to SADC PF operating policies.

6.3 Monitoring and Evaluation by Oversight and Governance Structures

To deliver on the SADC PF Strategic Objectives stated page 7 above, the Forum is supported by a robust organisational architecture. The institutional organs, established by Article 10 of the Constitution of the Forum, as listed below; will inform, implement or perform an oversight role on the Forum's Performance Management System as duly mandated.

- i. The Plenary Assembly; – the main policymaking and deliberative body of the Forum [Article 11(5) of the Constitution];
- ii. The Executive Committee; – functions as the management body of the Forum, and gives directions to the Secretariat through Forum Resolutions;
- iii. The Standing Committees;
- iv. The Regional Women's Parliamentary Caucus;
- v. Youth Parliament
- vi. The Regional Parliamentary Model Laws Oversight Committee, and
- vii. The Secretariat; – delivers on the set and approved Strategic Objectives

7. CALIBRATION OF PERFORMANCE RATINGS

- 7.1** SADC PF Management will conduct an annual calibration exercise to rationalise performance of all units and ensure that individuals at the same job level, performing work of similar complexity, are evaluated and rated equitably, based on evidence of their output.

- 7.2 Calibration will enable Management to engage with the Forum's performance related matters across the organisation and establish ways to maintain excellence or mitigate shortcomings.
- 7.3 It is expected that employee and organisational performance of the Forum will range from Acceptable to Outstanding considering the nature of the organisation, the required level of education, experience and skills. Unacceptable performance will be duly managed according to the Forum's Performance Management Policy in conjunction with Disciplinary & Grievance Policy and Procedure.

8. PERFORMANCE RECOGNITION

With SADC Executive Committee approval, the Forum may implement non-monetary performance reward in recognition of Excellent performance. The aim of a performance reward is to motivate employees to attain high performance. Such reward will be budgeted for and implemented in accordance with the parameters of the approved Performance Management System.

9. MANAGING UNACCEPTABLE PERFORMANCE

- 9.1 The cause of unacceptable performance shall be established by the line manager, followed by a scheduled discussion with the concerned employee. The occurrence shall be registered with the Human Resources department. Where poor performance is a result of a lack of or inadequate capability such as skills, a Performance Improvement Plan shall be initiated and implemented in accordance with the Forum's Disciplinary Policy and Procedure on performance incapacity. Training, mentoring/coaching and support shall be provided. Where poor performance is result of unacceptable behaviour, disciplinary measures shall be taken.

10. GOVERNANCE AND INFORMATION MANAGEMENT

- 10.1 Performance Management System shall be monitored by the Human Resources department. Audit and Risk Management shall apply due compliance checks as scheduled or required. Appropriate levels of authority shall ensure credibility of the system through regular confirmation of the Forum's performance and resolutions for remedy, where applicable.
- 10.2 Performance Management records shall be kept by the Human Resources department as the custodian of the system.
- 10.3 Audit and Risk Management Division shall be the custodian of PMS audit process and organisational performance records.

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