



KWAZULU-NATAL PROVINCIAL TREASURY

HRD POLICY DRAFT

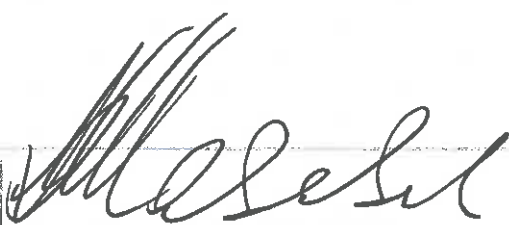
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1. INTRODUCTION

Human Resource Development can be defined as all the processes, systems, methods, procedures and programmes an organization uses to develop its human resources in order to equip its employees with the necessary skills, knowledge and attitudes that will ultimately contribute to organizational performance. HRD encompasses both training and non-training interventions for the purpose of continuous skills development and achieving organizational objectives.

The KwaZulu-Natal Provincial Treasury is committed to ensuring that its human resources are fully capacitated so as to ensure optimal performance and which in turn will contribute towards achieving the mandate of the Department.

2. PURPOSE

The purpose of this policy is to provide a framework directed at ensuring that the department has the right skills & competencies to deliver on its mandates.

3. OBJECTIVES

- 3.1 To provide an overarching HRD policy document that indicates the capacity development initiatives of the department.
- 3.2 Outlay policy provisions that will inform implementation processes, read in conjunction with other HRD related policies.

4. AUTHORITY

- 4.1 Constitution of the Republic of South Africa, Act 108 of 1996
- 4.2 Public Service Act, Act 103 of 1994
- 4.3 **Public Service Regulations, 2016**
- 4.4 Skills Development Act, 97 of 1998
- 4.5 Skills Development Levies Act, 9 of 1999
- 4.6 National Skills Development Strategy 3
- 4.7 SAQA Act, 1995
- 4.8 Public Finance Management Act of 1999
- 4.9 Employment Equity Act, 55 of 1998
- 4.10 Higher Education Act, 1997
- 4.11 Labour Relations Act, 1995
- 4.12 National Qualifications Framework Act of 2008

5. APPLICABILITY

This policy applies to all employees of the Provincial Treasury that are employed in terms of the Public Service Act, 1994 and contract employees on development programmes.

6. DEFINITION OF TERMS

“Training” means acquisition of knowledge, skills and competencies through an organized approach so as to improve work performance.

“Training plan” is a structured plan over the financial year indicating training needs of an employee.

“Training Providers” means accredited service provider by a SETA.

“Delegate” is an official attending training.

“Portfolio of Evidence” means the total evidence of applied competence which a candidate represents to demonstrate competence against a unit standard.

“Competency Assessment” means an assessment of knowledge, skills and attitude against the set developmental goals.

7. ACCRONYMS

HRD	-	Human Resource Development
PDP	-	Personal Development Plan
POE	-	Portfolio of Evidence
NQF	-	National Qualification Framework
PIP	-	Personal Improvement Plan
MMS	-	Middle Management Services
SMS	-	Senior Management Services
HOD	-	Head of Department
NSG	-	National School of Governance
CFO	-	Chief Financial Office
KZN	-	KwaZulu-Natal
CA	-	Chartered Accountant
EPMDS	-	Employee Performance Management and Development System
SMME	-	Small, Medium and Macro Enterprises

8. CAPACITY DEVELOPMENT INITIATIVES

Learning platforms within the department takes various forms but in the main the following empowerment mechanisms are encouraged to be used:

- a) Conventional Classroom Learning - This entails attending formal training that may or may not include assessments such as POE's.
- b) E-Learning - Learning, as well as assessments are done online. This being the more modern way of learning and has advantages of time flexibility and reduction in subsistence and travel costs.
- c) Learning networks - Sessions led by subject matter specialists which is cost effective and makes use of in-house specialists.
- d) On the job delegation/empowerment - Offering junior staff an empowerment opportunity to complete tasks or projects attached to progressive posts purely for purposes of development.

The following developmental programmes are in place:

8.1 TRAINING

Training is a planned effort to facilitate the learning of job related knowledge, skills and behavior by employees. It can be accredited training (NQF aligned) meaning that some sort of assessment is conducted to assess competency/skills transfer. It occurs in three phases, Pre-Training Interventions, Arranging and Attending Training and Post Training Interventions:

8.1.1 Pre Training Interventions (Conduct a skills audit)

- a) A skills audit will be conducted annually in order to identify skills gaps and improve the skills and knowledge of the Department and its employees.
- b) Of critical importance is that the needs identified must be in line with the job description of the employee and that of the next higher level (for purposes of identifying career development needs) and must indicate an accurate analysis of the developmental needs. Poor performance,

skills deficiencies and changes in legislation, technology, departmental structure and functions, government and departmental strategy must be taken into account.

- c) The following tools must be utilized:
 - i. Job Description
 - ii. Performance Development Plans (PDP) for purposes of indicating the development needs
 - iii. Competency Frameworks (MMS and SMS)
 - iv. Performance Improvement Plan (PIP)
- d) The PDP form requires joint consultation and agreement between the supervisor and supervisee before it is signed.
- e) It is compulsory for every permanent employee within KZN Provincial Treasury to complete a PDP in order for training to be attended as HRD confirms that training requested is in line with the PDP before approval is obtained.
- f) All newly appointed SMS and MMS members will be required to complete a PDP, using the outcome of the competency assessment that must be submitted to HRD within a month of appointment.
- g) When completing PDPs, it must be noted that various reasons could be attributed to performance deficiencies within the Department and therefore training is therefore not the only option when problems exist and which may be as a result of:
 - i. Lack of workplace induction by the Supervisor leading to role ambiguity/unclear goals or performance standards
 - ii. Management/Supervisory style
 - iii. Personal problems
 - iv. Lack of information/Knowledge
 - v. Attitude of employee / deliberate poor conduct
 - vi. Inadequate facilities/equipment

8.1.2 TYPES OF TRAININGS

Training takes two forms within the department, ie, individual training and generic training, reflecting training needs determined through the analysis of PDPs received during the skills audit process.

a) Generic Training

- i. Are those common training needs identified by employees in the department such as project management, computer training.
- ii. HRD is responsible for facilitating a training provider, logistical arrangements for the training, including payments.

b) Individual Training

- i. Training for which there are fewer requests.
- ii. Employees and their supervisors are responsible for initiating a training request to HRD with possible service providers, although this is not a requirement.
- iii. HRD is responsible for obtaining approval from the HOD to attend training, the Business Unit would then be responsible for obtaining an order, arranging and paying for the training.

8.1.3 Guiding criteria for selecting Training

- a) Preference must be given to NQF aligned courses
- b) The training provider must be accredited
- c) Preference should be given to NSG and KZN Public Service Training Academy, KZN training providers

- d) Provided that the training content is relevant to the development need, cost effectiveness must be taken into account. This also includes giving preference to KZN training providers.

8.1.4 General Provisions on Training

- a) All trainings within the department must be facilitated by HRD, even if there are no cost implications, HRD will obtain approval for all trainings from the HOD.
- b) All training requests must be aligned to individual/unit PDPs. Deviations must be motivated by the respective Supervisor.
- c) Should employees be invited to attend trainings by other government organizations or arrange such training for the province, training statistics pertaining to Treasury employees must be submitted to HRD.
- d) Training requests must be submitted 2 months prior the commencement date of training.
- e) Supervisors/Heads of business units must ensure that all employees within the unit are given a fair chance to go on training regardless of rank. No officials will be permitted to attend more than 2 training per quarter (3 months).
- f) Should an employee leave the Department before the required period of the training programme is completed, he or she would be expected to refund the Department all the cost incurred for the training programme. Pro-rata recovery may be used where necessary.

8.1.5 Cancellations

Nominees must cancel ten days prior learning programme or full cost of the learning programme will be charged to the nominated employee. Those employees that confirmed training attendance and did not attend must provide a detailed written memo stating reasons and must be supported by the business **unit** head at General Manager level or above to HRD. Such memo will accompany the payment submission to the Chief Financial Office (CFO). Should the reasoning not be adequate as per the discretion of the CFO, the employee will be liable to pay 100% of the training cost. This will not be applicable should the respective employee send a replacement.

8.1.6 Portfolio of Evidence

All NQF aligned / credit bearing learning programmes require delegates to complete a POE (exam, tests, projects or assignments) and if found competent the delegates will be issued a certificate of competence, not the certificate of attendance. Should a delegate fail to submit a POE or fail to comply with any assessment requirements of training, the full cost of the training will be borne by the employee.

8.1.7 Training Budget

- a) Officials that leave the Department for employment in the private sector within 6 months of attending a course that costs R10 000.00 or more must reimburse the Department 50% of the total cost.
- b) An applicant, who attended training exceeding an amount of R10.000, will give feedback to their division to promote information sharing and skills transfer to other employees. HRD will be provided with an attendance register for record purpose of such information sharing.
- c) Interns, Learners, In Service Trainees and contract employees (excluding consultants) qualify to attend training. However, this should not exceed R 10 000.00.
- d) Conferences, seminars and symposiums should constitute 40% (vat exclusive) only of the total training budget versus formal training.

- e) Training budget expenditure is monitored quarterly and reporting escalations are submitted to the Accounting Officer.

9. POST TRAINING

The following evaluations forms are part of the post training phase:

- a) Evaluation of Training - which is conducted immediately after the training to gauge the learning experience during the training and the conduciveness of the environment and assessing the facilitator. Also, to measure the increase in knowledge or intellectual capability before and after the learning experience.
- b) Impact Assessment - In order to gauge return on investment, in other words the positive impact of training/transfer of skills, every employee attending training and his or her supervisor will be compelled to complete an Impact Assessment Questionnaire after 3 months of attending training. Failure to comply with this provision would result in future training requests being placed on hold until all outstanding impact questionnaires are up to date.

10. YOUTH SKILLS DEVELOPMENT PROGRAMMES/INITIATIVES

The Department will offer the Internship, Learnership and In Service Trainee Programmes, as well as a Bursary Scheme for which each has its own policy.

11. LEADERSHIP AND MANAGEMENT DEVELOPMENT PROGRAMMES

11.1 Succession Planning Programme

- i. This programme is directed scarce skills posts, wherein difficulty has been experienced in the filling of the post. Candidates are selected through specific selection criteria and are placed on a training plan to be developed for the higher level identified post.
- ii. In the case of a vacant post, when the post is advertised through an open advert, a candidate does not have entitlement to the vacant post.
- iii. The programme may also be applied to posts where incumbents are due for retirement, post that have a high labour turnover and post that fails to attract suitable candidates.

The following selection criteria will be used when choosing suitable candidates for Succession Planning, The identified employee must be:

- i. Fully effective (100% or higher) for the previous assessment year in terms of the Employee Performance Management and Development System;
- ii. Must have the required qualification academic or professional for the higher position (or is registered towards attaining the required qualification or related qualification) proof of registration to be provided and the candidate should be registered for the final year majors at the time of being selected on the succession planning programme);
- iii. Must be in line with the Departmental Employment Equity targets, predominantly women and persons with disabilities
- iv. SMS and MMS competencies will be used in assessing the following abilities:
 - The ability to work with and lead people (e.g. adapting to cultural differences, demonstrating behaviour that is aligned with the Public Service values, demonstrating integrity, proven loyalty, appropriate relation and identification

with management, attitude befitting a future leader, eagerness for responsibility, seeking and accepting feedback, amicable to suggestions, maturity of thought, thirst for knowledge, willingness to make a difference and take risks, mindfulness of consequences, ability to mobilise people, accurate insight and willingness to learn, learning from mistakes, a skill set that will be of value in the future, etc.).

- v. This programme will focus on those individuals that are on salary level 9 and above;
- vi. The probation of the official must be confirmed.
- vii. The employee must be in employment of the Department in their current post for 12 months or longer.

11.2. Management Development Programme

- i. This programme is a three year developmental training for unemployed Chartered Accountants whom are employed on a contractual basis and delegated with Senior Management responsibilities, in the process the Department will generate a pool of trained CA's for the Province and which by nature is a scarce and difficult to recruit occupational field.
- ii. These financial professionals when qualifying would possess financial technical experience but will lack management experience. This programme is therefore aimed at bridging the experience gap of such professionals.
- iii. The normal recruitment process will apply to source candidates for this programme and will be appointed on contract.
- iv. Nominated mentors are responsible for developing a training plan and ensuring implementation thereof. Quarterly monitoring thereof is the responsibility of HRD.
- v. Such candidates are not automatically absorbed should a vacancy arise but will be expected to contest through the recruitment and selection process.
- vi. The Trainees will be required to complete Workplans, based on a senior management post, EPMS will be used to monitor their performance and there will be a quarterly monitoring of their training plan progress.
- vii. The trainees will be entitled to attend all trainings and treated as contract workers.

11.3. Trainee Accountant Programme

The Trainee Accountant Programme serves an intervention to address the scarcity of Chartered Accountants within the Public Sector specifically within the Province so as to enhance financial and fiscal advisory services. The following partnerships relate to the above programme:

a) Thuthuka Bursary Fund (SAICA)

- i. The department shall pay sponsorship fees into the Bursary Fund for undergraduate studies and Honours.
- ii. The trainees for the programme shall be recruited by SAICA and receive trainees for articleship at the end of the four years of sponsorship.
- iii. The implementation of the programme will be strictly in terms of the learnership agreement the trainees has with SAICA, and the employment contract letter with terms and conditions signed with Provincial Treasury.
- iv. Provincial Treasury will be responsible for the administration of the programme.
- v. Trainees will qualify to attend training paid by the Department.
- vi. Leave benefits will be applicable same as that for contract employees.

b) National Treasury Trainee Accountant Programme

- i. Provincial Treasury will serve as the training site under National Treasury.
- ii. Recruitment of trainees will be the responsibility of National Treasury.
- iii. The implementation of the programme will be directed by the Memorandum of Understanding between National and Provincial Treasury. Trainees will also be required to sign a Provincial Treasury workplace contract.

12. OTHER DEVELOPMENT PROGRAMMES

12.1. Trainee Ranks Programme

- a) The department will also enforce the implementation of the Training ranks which is applied to scarce skills posts.
- b) Authority must be granted by the Head of Department to advertise scarce skill posts as Trainee positions and it must be substantiated that:
 - I. Efforts to fill the respective vacancy with its full experience requirements, as determined through job evaluation have been unsuccessful.
 - II. The vacancy is advertised with its required qualifications but reduced experience requirement, as will be guided by the line manager in consultation with Human Resources.
 - III. The appointment of the successful candidate through the recruitment and selection process on this programme is done at a lower salary scale and placement against the higher approved vacant position, the absorption therein is subject to successful completion of the programme and satisfactory performance.
 - IV. The training period will be determined by the number of years of experience that is required to bridge the experience gap in relation to the experience requirements of the identified post.
 - V. The mentor must ensure that a training plan and a workplan are in place and that performance is assessed quarterly through the EPMDS system.
 - VI. HRD has a responsibility to monitor progress quarterly.

12.2. Compulsory Induction Programme

The Department will emphasize the full awareness of governmental priorities and their implications for HRD practice in the Department. The activities that the Department will undertake will include the following; compulsory induction programme of all newly appointed employees, this will create the required awareness to the new employee on government initiative and objectives. This will be supplemented with orientation and re-orientation of all government employees on new government programmes. This programme will be conducted on a quarterly basis for all occupational levels.

13. PROFESSIONAL BODIES

- a) Employees that are required to pay annual affiliation fees to professional bodies will be responsible for such payments.
- b) The exception would be in instances wherein employees undergoing training eg. Learnership Programme, in such instances the department will pay for the duration of the entire programme.
- c) As a good practice, over and above adhering to the ethical standards of the Public Service Code of Conduct, employees belonging to professional bodies will be required to conduct themselves in the performance of their duties as per the ethical framework of those bodies. In the main, the following principles are important:-

- I. Integrity
- II. Objectivity
- III. Professional competence and due care
- IV. Confidentiality
- V. Professional behavior
- VI. Compliance with legislation

14. HUMAN RESOURCE DEVELOPMENT PLAN

In terms of the Public Service Regulation, 2016, regulation 28, the Department will prepare and implement a human resource development strategy taking into account the Human Resource Plan for the Department.

The Head of Department shall monitor and evaluate the implementation of the plan.

An executive authority shall prepare and implement a human resource development plan for his or her department taking into account the human resource plan contemplated in the Public Service Regulation, 2016, regulation 26.

An executive authority shall monitor and evaluate the implementation of the plan contemplated in subregulation (1).

15. CODE OF ETHICS FOR HRD PRACTITIONERS

The purpose of this code of conduct is to promote an ethical culture within Human Resource Development, to conduct activities in a professional and ethical manner and for all clients to be aware in advance of the ethical and moral attitudes, the values of responsibility, integrity, respect and competence that are upheld by HRD officials. The HRD unit aspires and are committed to providing excellent client service through valuable, leading and quality development opportunities.

Further, to provide quality HRD services to attract, develop, motivate and retain a diverse workforce within a supportive work environment, with an emphasis on client service, based on continuous consultation and communication and by focusing on addressing both individual and departmental needs. The ethical identity of the unit is to bring meaning and quality of work life to those that are served by the unit and the ethical values of the unit are:-

15.1 Responsibility

A responsibility to contribute to transforming the lives of those that we serve by means of development and thereby contributing to the success and sustainability thereof. We are committed to meeting the needs of our clients in a cost effective manner and accepting responsibility for our actions, interventions and outcomes.

15.2 Professionalism

We strive to uphold a high level of professionalism and accept to conduct ourselves with all due professionalism in every aspect of our work as well as abide by any professional standards associated with the profession and the Department.

15.3 Integrity

We are committed to abiding by exemplary ethical conduct which is characterised by honesty, objectivity, fairness, consistency, loyalty, honesty, diligence and responsibility. We are also committed to observing the law and not being party to or engaging in any activity that will discredit the profession or the Department.

15.4 Confidentiality

HRD officials will respect the value and ownership of information and will not disclose information without authority to do so. We will be prudent in the use and protection of information acquired and will not use any information for personal gain.

15.5 Respect

We are committed to tolerance, basic respect for human dignity and upholding the human rights as prescribed by the Constitution of the country at all times. We are further committed to providing a HRD environment that is free of arrogance, prejudice, bias, harassment and intimidation.

15.6 Competency

HRD officials will apply the necessary knowledge skills and experience needed in the performance of their duties and shall continually strive to improve their proficiency, effectiveness and quality of services offered. We also aspire to uphold and promote continuous professional development and improve the competence of all the individuals that we serve.

16. ROLES AND RESPONSIBILITIES

16.1 Performance Management and Development Systems

The EPMDS section must inform HRD of any training needs identified in all Improvement Plans emanating from EPMDS assessments of the employee.

16.2 Employee Health and Wellness Section

EHW must communicate with HRD should they receive a case that may be the result of training needs related matter.

16.3 Supervisor Role

- a) Develop and implement a structured development plan, defining each employee's training needs in order to enhance his/ her knowledge, skills and competencies.
- b) Assess the execution of the employee's development plan on a quarterly basis.
- c) Keep employees informed of career opportunities within the respective occupation and assist employees to meet these aspirations.
- d) Provide on the job coaching/mentoring as a development initiative.

16.4 Employees Role

- a) Assist in developing structured development plan, identifying training needs and career development needs.
- b) Take responsibility for his/ her own training and development.

- c) Participate in Skills Development activities within the Department that is relevant to his/her training needs.

17. MONITORING, EVALUATION AND REVIEW

The Directorate: Human Resources is responsible for the development of this policy and ongoing monitoring of thereof. Any inputs or amendments to this Policy can be directed to the Director: Human Resources.

18. COMMUNICATION

The Directorate: Human Resources is responsible for communicating this policy to all employees within the department.