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Corporate Services Policy Document

Human resources Policies

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Document Versions

Version	Revision Date	Prepared / Revised by	Business Unit	Status
1	May 2010	Siyanda Dyeshana	Human Resources	Approved
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Document Reference Library

Document File Name	Context and Relevance
The Constitution of the Republic of South Africa, 1996	Chapter 2, read with sections 32, 33, and 34 of the Constitution dealing with the Bill of Rights makes provision for fair labour relations practices, including just administrative action, between employees (through trade unions) and employers (through employers organisations)
Labour Relations Act, 1995	Code of Good Practise on fair labour practices. Chapter VII, section 115(3)(d) of the Labour Relations Act provides for the prevention and resolving disputes and employees' grievances. Schedule 8, section 3 of the Labour Relations Act requires organisations to establish disciplinary rules.
King Code	Organisational integrity/Code of ethics (check relevant sections of the King II and III Reports)
GEP Law	Refer to specific sections of the GEP Law.

Business Areas Impacted By This Policy

Name Business Unit / Area	Context and Relevance
All business units within the GEPF	To assist line management to deal with all human resource matters in accordance with the correct and fair procedure. It also assists all employees to understand the behaviour that is required or expected from them in the workplace.

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Glossary of Terminology

Abbreviation/Terminology	Description
Chairperson	An independent person appointed by the Fund to act as such.
Employee	Any person who is employed by or works for the Fund.
Fund	The Government Employees Pension Fund established by the Government Employees Pension Law (GEP Law) Proclamation 21 of 1996.
LRA	Labour Relations Act, 1995.
BCEA	Basic Conditions of Employment Act
EEA	Employment Equity Act, 1998.
OHSA	Occupational Health and Safety Act, 1993.
Misconduct	Behaviour that is in breach of the terms and conditions of employment, as set out in the Fund's policies and procedures, and/or behaviour, which is inappropriate at work.
Calendar month	a period that extends from the first to the last day, both days included, of any one of the 12 months of the year.
Day of rest	Saturday, Sunday or public holiday.
Manager	A person with managerial responsibilities who possesses the necessary authority to decide on the matter at hand.
Recognised trade union	A registered trade union in terms of the LRA, 1995 that has an organizational rights agreement with the GEPPF.
Remuneration	Any payment in money or in kind or both in money and in kind, made or owing to any person in return for that person working for the GEPPF and "remunerate" has a corresponding meaning.
Wage	The amount of money paid or payable to an employee in respect of ordinary hours of work or, if they are shorter, the hours an employees ordinarily works in a day or week.

Overview

Purpose

The purpose of this policy is to communicate the policies that govern the Human Resource management arrangements of employees of the Government Employees Pension Fund (GEPF) as approved by the Board of Trustees.

For better administration, GEPF will endeavour to incorporate all advice, future amendments to the policies and guidance that pertain to the employment and conditions of service of employees in this Manual. Employees should, however, note that the details concerning remuneration and performance management will be contained in the separate respective policies.

Legal Mandate

This handbook must always be read in conjunction with the Resolutions of the Board of Trustees of the Government Employees Pension Fund, the Pension Funds Act and the Regulations thereto.

Readers should take cognisance of the fact that different chapters of the Manual consist of both compulsory and advisory elements.

Other chapters focusing on matters to be identified will be added as they are developed and approved by the Board of Trustees. Such chapters, as well as any amendments that may be effected to existing chapters, will be circulated to all concerned.

The Principal Executive Officer is responsible for managing the divisional executives who in turn are responsible for managing employees in their divisions.

Foreword

This Human Resources (HR) Policy Manual is designed to specify and help employees and managers with the implementation of the organisation's HR policies and procedures. Its main purpose is to orientate employees with GEPPF.

It is not only a resource that provides guidelines about GEPPF's policies and procedures, but also provides employees with insight into the rights and expectations of both the employer and the employee. It therefore provides access to uniform information in order to ensure equitable and consistent application of the policies and procedures.

The nature of the HR Policy Manual is not meant to cover all possible aspects or situations that may occur and does not construe an employee contract.

It is designed to provide a frame of reference against which to measure, guide and manage employee related activities and behaviour within the GEPPF. The organisation will from time to time revise, amend and further develop this manual as and when necessary to respond to business needs.

Every effort will be made to consult on Human Resource policies to ensure that employees are kept informed in a proactive manner. However, it is also the duty of each employee to familiarize themselves with the contents hereof.

We hope that this Manual will enhance your understanding of the HR policies and procedures, and, should you need any clarity, please do not hesitate to contact the Human Resources Unit.

PRINCIPAL EXECUTIVE OFFICER

CHAPTER 1

RECRUITMENT

(ADVERTISEMENT, SELECTION, APPOINTMENT AND ON-BOARDING)

1. INTRODUCTION

GEPF is committed to exercising fair labour practices in all its employment practices to ensure that the objectives of GEPF are attained. This recruitment policy along with the supporting procedures has been designed in order to achieve this objective.

2. PURPOSE OF POLICY

The purpose of this policy is to ensure that GEPF:

- attracts the most competent and suitable person for every role; and
- that candidates are not discriminated against either directly or indirectly on the grounds of race, sex, ethnic and social origin, colour, sexual orientation, disability, religion, conscience, belief, culture, age and language.

3. DEFINITION AND CONTEXTUALISATION

- 3.1. The Recruitment Policy and Procedure is applicable to all employees of the Fund.
- 3.2. For the purpose of this chapter the terms below carry the following corresponding meaning:
- **Vacancy:** means recognised post which is not filled or occupied by a permanent employee
 - **Casual workers / part-time employee:** means an employee who is remunerated wholly or partly by reference to the time that the employee works and who works less hours than a comparable fulltime employee
 - **Temporary employees:** are employees appointed to work for the GEPF through a temporary employment service.

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- **A fixed-term employee:** is appointed for a fixed period and his/her employment will terminate at the occurrence of a specified event, or at the completion of a specified task or project or on a fixed date other than the employee's normal or agreed retirement age. The employee is employed in terms of a fixed term contract of employment, either for a specified period of time, or for a specified project.

4. VACANCIES

- 4.1. When a vacancy occurs, every consideration should be given to internal employees who have proven capabilities. Only where it is considered that a suitable internal candidate is not available will external recruitment be considered.
- 4.2. Existing employees in this case includes those who are permanently employed as well as casual and temporary employees that are sourced directly in terms of the HR data base.

5. DETERMINATION OF REQUIREMENT FOR RECRUITMENT

- 5.1. The PEO shall:
 - Ensure that Human Resource planning precedes any recruitment action. This includes forecasting the organisation's needs with respect to employees.
 - If the vacancy is based on a resignation it may be necessary to consider whether there is a need to replace the resigned employee as the function may be absorbed by other employees.
- 5.2. The HR unit and the relevant line manager shall:
 - Determine and list the inherent requirements for the position in terms of competencies i.e. knowledge, skills and values.
 - Ensure that the requirements for employment takes into account the demographic composition of the division/organisation and that these are specified as part of the employee requisition process.
 - Comply with all statutory requirements for appointment of employees.

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- Ensure that each vacant job has been evaluated before advertising, to ensure the grading and salary range for the role is confirmed prior to commencement of the recruitment process.

6. ADVERTISING

- 6.1. The Human Resources unit shall ensure that advertisements are advertised in national and/or provincial newspapers, other relevant media and internally on the organisation's website.
- 6.2. An advertisement for the position shall include the requirements and responsibilities. These will be determined by the BOT for the position of the PEO and for the position of the Executives, Managerial Positions and Non-Managerial positions it will be done by the PEO.
- 6.3. An appropriate recruitment agency/agencies may be used to source candidates for a position/s based on the level/scarcity of the position or the business need to do so subject to the GEPP's Procurement processes being complied with.

7. SHORTLISTING

Shortlisting and final selection will be done by a panel of more than one person.

8. SELECTION/INTERVIEW COMMITTEE

- 8.1. The Board will agree to the panel for the recruitment of the PEO and will approve the appointment of same.
- 8.2. For the appointment of Executives, the PEO shall exercise his discretion in determining the panel.
- 8.3. The PEO and relevant Executives and/or Managers shall constitute an interview panel for all other positions in the GEPP.

9. INTERVIEWING

- 9.1. In order to eliminate deliberate or unconscious bias, shortlisting and final selection should be done by a panel which is, as far as reasonably possible, representative of all race and gender groups.
- 9.2. Interview guides will be facilitated by the HR unit in consultation with the relevant line manager, and focus on the competency requirements of the job to ensure consistency and objectivity.

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- 9.3. Internal candidates will be subjected to the same interview process as external candidates.

10. TRAVELING EXPENSES FOR INTERVIEWS

- 10.1. Where an applicant has to travel more than 100 kilometres to an interview, the organisation will reimburse based on whichever is the cheapest, either:
- The cost of one return Economy Class air fare to the interview, or
 - Petrol expenses at the existing GEPF rates for the return journey by the shortest route.

11. EXTERNAL RECRUITMENT

If a suitable applicant is not available internally or externally, a fixed-term employee may be recruited and the vacancy kept open until a suitable person is found.

12. EMPLOYMENT OF RELATIVES

The employment of relatives is permissible subject to approval from the PEO provided that the employment does not place the employee in a potentially compromising situation and/or where there may be a concern about conflict of interest.

13. SELECTION

- 13.1. Once all the candidates have been interviewed, a final selection would need to be made based on the candidate who best meets the requirements of the job. The same principle shall also apply to internal candidates and this process will include the vetting of educational qualifications and other matters deemed necessary.
- 13.2. At this point psychometric assessments could be conducted on the top two/three candidates who are potential appointees. The assessments should not be used as a decision making tool but rather to assist the process, as the final decision should consider the results of the assessment in relation to the requirements of the job as well as the candidates performance during the interview and outcomes of reference and other checks.
- 13.3. No indication should be given to the employee at any stage as to whether they are found suitable for the new position until the above has been satisfactorily complied with.

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14. CONTRACT OF EMPLOYMENT

- 14.1. Once the HR unit and the line manager are satisfied with the outcome of 13.2 a written offer of employment must be agreed to by the Line Manager/PEO and presented to the successful applicant by HR.
- 14.2. Once the candidate has accepted the offer, a formal contract of employment must be prepared and the relevant documentation must be completed and signed by the PEO and the applicant.
- 14.3. All rejected offers must be managed by the HR unit.

15. EMPLOYMENT OF PERSONS LIVING WITH DISABILITIES

- 15.1. It is the GEPF's policy to employ persons living with disabilities provided that:
 - The disability will not prevent the employee from carrying out any part(s) of the job after any reasonable changes have been made.
 - The employee is sufficiently rehabilitated and/or adjusted to the work environment, or will be able to cope with the adjustments within a reasonable period of time.
- 15.2. GEPF will make any necessary adjustments/alterations to furniture, equipment or facilities, to accommodate such a person in line with the Employment Equity Act 55 of 1998 and the Code of Good Practice issued in terms thereof.

16. PRESENT EMPLOYEES WHO BECOME DISABLED

- 16.1. Should an employee become disabled as defined in terms of the Employment Equity Act, and be unable to continue with the job he/she has been appointed to, every reasonable effort should be made to find a more suitable position within the GEPF.
- 16.2. GEPF will bear the reasonable costs of any necessary training or re-training.

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17. PROBATION

- 17.1. All newly appointed full time employees shall be required to undergo a period of probation. The duration and nature of the probation will be determined by the nature of the position and the time required for assessing the employees' suitability for continued employment.
- 17.2. The duration for the required probation shall be six (6) months, unless extended for valid reasons approved by the PEO and relevant line manager.
- 17.3. The PEO shall appoint a mentor / buddy for each probationer, who shall ensure that:
 - 17.3.1. The probationer is informed at the commencement of the probationary period, of the performance and other requirements for obtaining confirmation of appointment.
 - 17.3.2. The probationer receives written confirmation at the end of the probation period to confirm the status of the fixed or permanent appointment if found suitable for the position as a result of his or her performance and compliance with other requirements.
 - 17.3.3. If necessary the probationer receives reasonable training, counselling or other assistance to enable him/her to meet the requirements for confirmation of appointment.
 - 17.3.4. The probationer is afforded the opportunity to state his/her case before dismissal as a result of unsatisfactory performance according to the procedures outlined in the Labour Relations Act, during which process the probationer may be represented by a colleague.
- 17.4. The PEO shall ensure that the probation period to confirm a probationer's suitability is within the required maximum period and shall not require any extension to that period except with regard to employees undergoing a training period prescribed for occupational practice or experience.

18. PROMOTION

- 18.1. The organisation may promote an employee to a vacant position if:
 - 18.1.1. The position and the associated costs of transfer have been provided for in the budget.

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- 18.1.2. The promotion has been motivated and recommended on the basis of skill, competency and ability to the PEO by the relevant Executive / Manager.
- 18.2. No employee has a right to a promotion until such a promotion has been officially motivated, recommended by the manager and approved by the PEO.

19. ON-BOARDING

- On-boarding is the process by which new employees are familiarized with the social and performance aspects of their new jobs quickly and smoothly and through which they learn the attitudes, knowledge, skills and behaviours required to function effectively within the Government Employees Pension Fund (GEPF).
- It begins upon acceptance of a formal job offer and continues in various forms throughout the early employment phase over time, using milestones of 30 – 60 – 90 – 120 days on the job up to 6 months post-entry into the GEPF.
- The purpose of the GEPF on-boarding program is to provide critical information to new employees, to introduce them to the business of GEPF and to give them insight into their new role and how it contributes towards the achievement of the strategy of the GEPF.

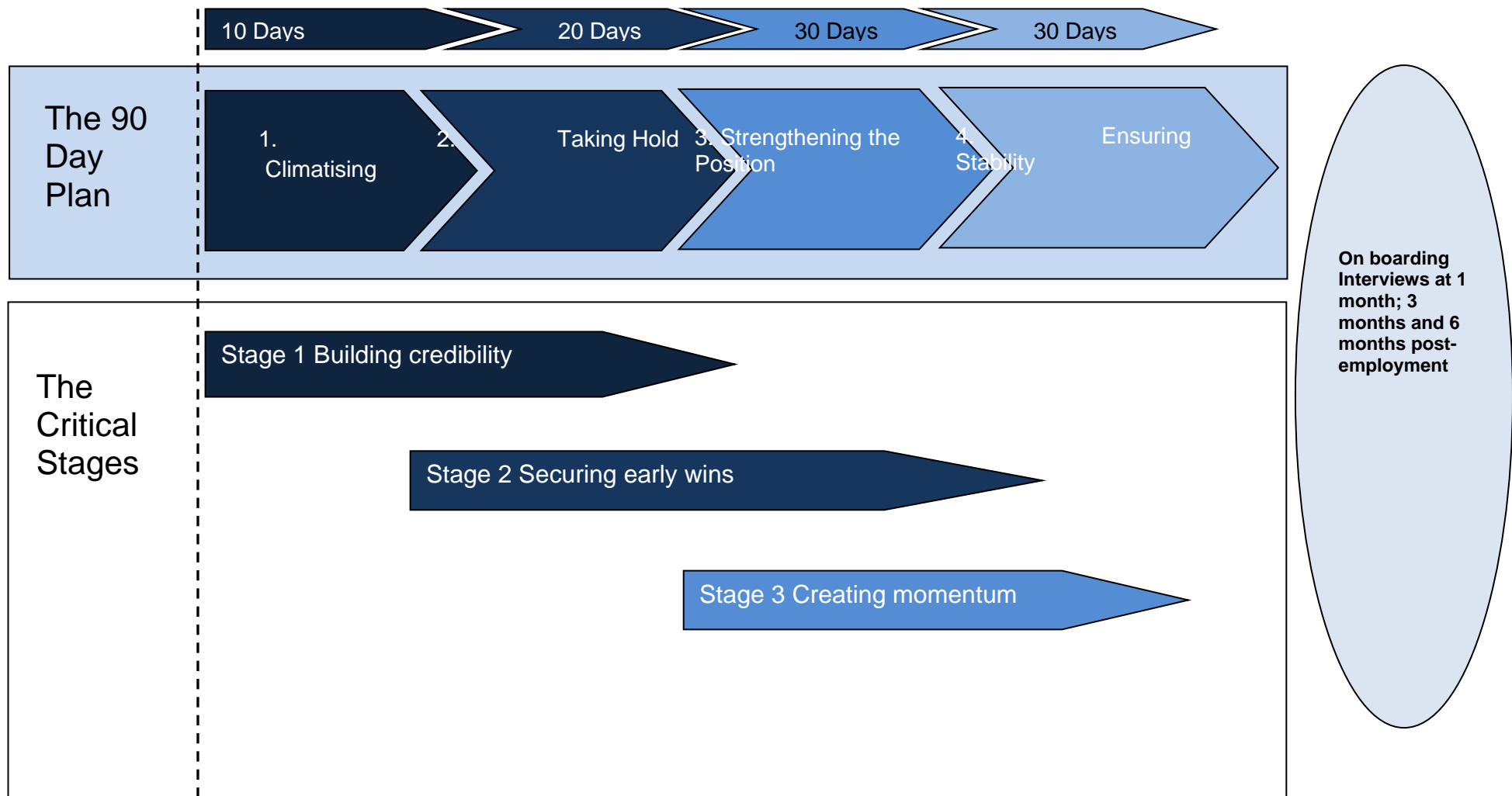
19.1. A 90 DAY PLAN

The GEPF on-boarding process begins during the recruitment and placement stage and continues for (six) 6 months post- employment. **(See figure 1).**

The purpose of the post–employment interview will be to afford the HR unit an opportunity to discuss with the new employee his/her experiences in the new job, unit and the GEPF, and to address issues that may require attention before they reach a point where the employee makes a decision to leave the organization as opposed to dealing with the issue.

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Figure 1



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ANNEXURE A

Plan, Process, Timeline and Accountability

This plan and process has to be monitored, reviewed and evaluated on an ongoing basis.

A. **Pre-Employment Activities (Pre-Arrival/One Month prior to new employee Sign-On)**

- Compile Check-List for Line Manager of tasks that need to be actioned (HRG/M)
- Organisational & Team Organogram etc. to be sent to new hire
- One-on-one meeting with Line Manager to be set up (HRG)
- Line Manager to identify 'buddy' (Line Manager & HRG)
- Set the new hire up with a 'buddy', someone on the team, ideally with a similar job, that they can go to with tactical questions. (Line Manager)
- Email address set up and ensure correct mailing lists (IT)
- Office/Desk/Phone and PC set-up (Line Manager)
- Stationery (Line Manager)
- Tax/Bank Details/Pension Fund/Medical Aid details/set-up(HRG)
- The building Security ID is ready (Security Card and Fingerprint).
- Contact the new hire. Confirm start date, time, place, parking arrangements, dress code etc. Discuss any questions they might have, and be sure to show your enthusiasm for their arrival. (HRM)

B. **First Week (Orientation to the GEPPF)**

- Welcome at Reception on day 1 (HRG)
- Meet with HRG to complete any further documentation etc. (HRG)
- Meet with HRG to give overview of Compensation and Benefits (HRG/Finance)
- Introduce your new hire to their 'buddy'(Line Manager/Buddy)
- BU and Office Tour, including Health and Safety information (HRG)
- Introduce your new hire to the team, the HR Team, and line manager. (HRM)
- Issue email notice to all employees welcoming the new employee (HRG)
- Arrange for lunch with the appropriate person(s) or buddy during the first week
- Schedule daily one-on-one meetings for the first week
- Provide new employee with a welcome pack including job descriptions, welcome letter, contact names and phone lists, mission and values, HR manual and IT Policies

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C. **2nd to 4th Week (Orientation into the new unit/department)**

- Order business cards (if relevant)
- Introductory meeting with the whole team/unit (Line Manager)
- Introduction to other key people in other business unit's (Buddy)
- One-on one with Line Manager to discuss deliverables of role in line with Managers KPA's/Unit goals and personal goals/PDP discussion based on thoughts from interview (Line Manager).
- Business Overview, Current goals of the Company, Business Plan for the year Challenges, Main Projects (Line Manager/HRM)
- Introduction to relevant computer systems and training if required (IT)
- Keep them busy – not overwhelmed. (Line Manager)

D. **First Month (Line Manager and new employee)**

- Performance management plans (goals for the coming year)
- Agree on a regular one-on-one meeting rhythm, move to weekly, monthly, etc.
- Ensure they have some early successes on the job to establish and increase confidence and engagement
- Have them shadow you at any meetings relevant to their work. (Line Manager)
- Identifying learning priorities
- Identifying business/executive's risk profile
- Identifying cultural alignment issues
- Identifying early wins to help develop a successful job pattern
- Attaining consensus on "A" item priorities
- Clarifying job expectations and resource requirements with your boss

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E. Quarterly (Line Manager, HRM and New Employee)

- Feedback Session with HRM regarding on-boarding process /progress (open & honest conversation about any issues /concerns - what worked well and what did not work well) (HRM)
- HRM to feedback on above conversation to Line Manager
- Career pathing discussion with Line Manager (development plan should be agreed upon within first quarter) - identify any initial development needs
- 3 months in – Line Manager feedback on new hire
- Discuss development opportunities and their future
- Shared vision articulated and team engagement/alignment is agreed upon
- Action plans are in place to support execution of early wins
- Alliances are in place to support early wins

F. Monitoring and evaluation

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On-boarding Interviews

On boarding interviews / feedback will be conducted at 3 month and 6 month intervals post-employment to assess the employee's progress and concerns and to address issues pro-actively with the relevant party through line management.

On-boarding Presentations (to be done quarterly when new employees have been brought on board unless it is a mission critical position which requires a customized on-boarding intervention to ensure effective engagement from the outset and cannot wait for a quarterly presentation)

Day 1

Time	Activity/Subject	Responsibility
	PEO's Office <ul style="list-style-type: none"> Welcome to the GEPF The GEPF business Overview of the GEPF with major stakeholders Legal Mandate 	PEO
	BOARD SECRETARIAT <ul style="list-style-type: none"> Board composition Committees Governance Business Continuity Ethics Programme 	COMPANY SECRETARY
	INVESTMENT AND ACTUARIAL <ul style="list-style-type: none"> Core Business Investment Mandate Actuarial Valuation Methods Responsible Investing 	HEAD: INVESTMENTS AND ACTUARIAL
	CORPORATE SERVICES <ul style="list-style-type: none"> Finance <ul style="list-style-type: none"> Facilities Sourcing and Supply Chain Regulations and Procedures Legal and Compliance <ul style="list-style-type: none"> The GEPF Legal Framework Litigation Facilities Security 	HEAD: CORPORATE SERVICES

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Time	Activity/Subject	Responsibility
	HUMAN RESOURCES MANAGEMENT <ul style="list-style-type: none"> • HR Administration <ul style="list-style-type: none"> ○ Organizational Structure ○ Conditions of Service ○ HR Policy Manual ○ Overview of the Organisation <ul style="list-style-type: none"> ▪ Its history, ○ Quality system and culture ○ ESS • Employee Relations <ul style="list-style-type: none"> ○ Disciplinary Procedure ○ Incapacity/Grievance procedure/policy • Organisational Development <ul style="list-style-type: none"> ○ Performance Management ○ Job profiling, design and structure ○ STI • Learning and Development <ul style="list-style-type: none"> ○ Learning and development Strategy ○ Learning and development plans • Remuneration <ul style="list-style-type: none"> ○ Salary structure ○ Employee Benefits 	HR MANAGER
	<ul style="list-style-type: none"> • Employee Wellness Services <ul style="list-style-type: none"> ○ Employee wellness ○ Benefits for employees ○ SHE Reps ○ First Aiders ○ Fire Marshals ○ Evacuation Plan and Emergency Exits ○ Assembly Points 	HR MANAGER & SHE REPS

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Day 2

Time	Activity/Subject	Responsibility
	Communication <ul style="list-style-type: none"> • Communication Strategy • Stakeholder Relations • GEPF Brand 	COMMUNICATIONS MANAGER
	Internal Audit <ul style="list-style-type: none"> • IA Coverage Plan • IA Structure and Time Lines 	INTERNAL AUDIT MANAGER
	Risk Management <ul style="list-style-type: none"> • Risk Register 	RISK MANAGER
	ICT Systems <ul style="list-style-type: none"> • ICT Strategy • Business Support • ICT Structure 	ICT

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1. On-boarding Questionnaire No 1 (one month post-employment)

PURPOSE

The purpose of this interview form is to afford the HR unit an opportunity to discuss with the new employee regarding his/her experiences in the new job at GEPF after the first month of employment, and to assist the GEPF in improving its on-boarding processes where necessary.

Information of the new employee

Name:..... Appointment date:
Line Manager: Unit/Department.....
Facilitator:.....

No	Question	Response
1.	Were the objectives of the on-boarding programme clearly explained to you?	
2.	How would you rate the knowledge and learnings after the on-boarding programme (good/average/poor) and do you think it was necessary to attend the on-boarding programme?	
3.	Was the overall reception on arrival a positive experience for you and did you get the impression that the GEPF had prepared well for your arrival?	
4.	Did you have a buddy assigned to you and does your buddy look after you?	
5.	Was your workstation well prepared and did you have everything that is needed to start working?	
6.	If you required some level of accommodation for a disability, did the GEPF and the Unit provide reasonable accommodation?	
7.	Were you introduced to all members of your new team?	
8.	What is your opinion of the on-boarding presentations and what in your view can be improved on?	
9.	Professionalism and appearance (good/average/poor)?	

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No	Question	Response
10.	Have you gained sufficient understanding of the expected level of performance and what is expected of you in this new position?	
11.	Is the job what you expected it to be and is the job content as described during the selection process aligned with what you actually do?	
12.	Do you receive the necessary support from your line manager and is your line manager easily accessible?	
13.	Do you envisage having a long-term career at the GEPF?	

Comments

14. Indicate any topic covered that you found particularly beneficial.

.....

.....

.....

15. Indicate any topic covered that you found of relatively little value and irrelevant.

.....

.....

.....

16. Any other comments

.....

.....

.....

SIGNATURE (EMPLOYEE):.....

DATE.....

SIGNATURE (HR MANAGEMENT):.....

DATE.....

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2. On-boarding Questionnaire No 2 (Three months post-employment)

PURPOSE

The purpose of this interview form is to afford the HR unit an opportunity to discuss with the new employee regarding his/her experiences in the new job at the GEPF 3 months post-employment, and to assist GEPF in improving its on-boarding processes where necessary.

Information of the new employee

Name:..... Appointment date:
Line Manager: Unit/Department.....
Facilitator:.....

No	Question	Response
1.	Now that you have been at the GEPF for 3 months already, do you regard the GEPF as a warm/friendly and welcoming environment?	
2.	Having made the decision to accept this appointment, are you still happy with your decision to join the GEPF?	
3.	Did you at any stage think that you had made a mistake by joining the GEPF? If so why?	
4.	What has been your overall experience during the past three months?	
5.	Do you have a good understanding of the job requirements of the position you occupy?	
6.	If you required some level of accommodation for a disability, did the GEPF and the Unit provide reasonable accommodation and were you treated with the necessary sensitivity and professionalism at all times?	
7.	Are you coping with the job appointed into, and has the necessary support been provided by the line manager?	
8.	Do you have a mutually agreed to performance plan and development plan in place?	
9.	Do you truly feel part of the team/unit you	

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No	Question	Response
	operate in?	
10.	Do you find the work fulfilling and in your opinion are you adding value?	
11.	Have you had any formal or informal training yet? Please list these.	
12.	Do you have a good relationship with your colleagues and line manager? If not, then what should be addressed to improve these relationships?	
13.	Do you still have a positive relationship with your buddy/coach and what do you think of this approach to assigning a buddy to you upon appointment?	
14.	After being at the GEPF for three months, do you have any suggestions to improve the on-boarding process?	

Comments

15. Any other comments

.....

SIGNATURE (EMPLOYEE):.....

DATE.....

SIGNATURE (HR MANAGEMENT):.....

DATE.....

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3. On boarding Questionnaire No 3 (6 months post-employment)

PURPOSE

The purpose of this interview form is to afford the HR unit an opportunity to discuss with the new employee regarding his/her experiences in the new job at GEPF after the first 6 months of employment.

Information of the new employee

Name:..... Appointment date:
Line Manager: Unit/Department.....
Facilitator:.....

No	Question	Response
1.	After 6 months in your new job at the GEPF, how do you describe your overall experience during the past 6 months? What did you enjoy most and what did you enjoy least about this experience?	
2.	Are you still happy with your decision to join the GEPF? If not then what should be done to address any unhappiness you may have? If yes, what particularly about the GEPF makes you feel that you have made the right decision?	
3.	Are you coping well with the job you have been appointed into, and has the necessary line and organizational support been provided to you? Is there anything that could be improved on to ensure that you cope more effectively?	
4.	Have you and your line manager had a formal performance discussion and career development plan post-employment? Are you satisfied with the manner in which it was conducted?	
5.	Has your development/training plan been implemented to date - if so what have you been trained on?	
6.	Has your relationship with your colleagues/line manager changed in any way during the past three months since the last interview was conducted? In which	

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No	Question	Response
	way (if any)?	
7.	Do you think that you have now been well socialized into the GEPF and that the on-boarding process has contributed valuably toward this?	
8.	How long did it take you before you felt productive in your new job?	1 week 1 month 3 months 6 months
9.	What was your best experience since joining the GEPF?	
10.	What was the biggest shock or discovery you have made about the GEPF since joining?	
11.	Do you envisage a long-term career at GEPF and what needs to be implemented to ensure your career aspirations are met?	

Comments

12. Any other comments

.....

SIGNATURE (EMPLOYEE):.....

DATE.....

SIGNATURE (HR MANAGEMENT):.....

DATE.....

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4. On-Boarding Checklist

PURPOSE

This checklist is a guide to everyone involved in the on-boarding programme.

The employee carries it throughout the on-boarding process, and the person who covers each topic ticks in the appropriate boxes – then signs and dates the document next to the appropriate column.

Upon completion of the induction programme, the HR department will review and retain the checklists.

Name of New Employee:	_____	Manager/Supervisor:	_____
Start Date:	_____	Buddy:	_____
Position:	_____	Unit/ Department:	_____

- Letter to Employees

Dear employee (Name of employee)

Welcome to the Government Employees Pension Fund family. We are pleased that you have joined our organization.

We look forward to having you on board and being part of our team. It is important that you fit into our team, are comfortable and ready to start being productive and value adding as soon as possible.

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- **Security Requirements**

Dear Manager

This is a guide to on-boarding employees into the GEPF.

We recommend that you take employees throughout the information mentioned below.

- ☐ Access requirements
 - Access card
 - After hours/weekend access
 - Security risk
- ☐ Health and Safety issues
 - Office orientation and evacuation plan
 - Assembly points
 - SHE Reps
 - First Aider
 - Fire Equipment
 - Emergency exits

- **Meet the Manager**

Dear Manager

This is a guide to on-boarding employees into the GEPF.

Kindly complete (tick) and return to the employee.

The departmental on-boarding is the responsibility of the manager.

You are requested to assign one employee as a buddy to your new employee.

Only high performing and highly positive employees should be selected as buddies to ensure that the new employee's orientation to the GEPF is a positive and enlightening experience.

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We will also require the employee to attend the on-boarding presentations which are scheduled to take place soon.

- ☐ Manager introduced and welcomes the employee/s
- ☐ Roles define
- ☐ Reporting lines defined
- ☐ Relationships defined
- ☐ Contract of employment signed.
- ☐ Service Level Agreements with other units and external stakeholders established where relevant.

- **Human Resource Administration**

- ☐ Personal Information Forms Completion
- ☐ Provident Fund Forms Completion
- ☐ Nomination Forms Completion
- ☐ HR Policies
- ☐ Pay day
- ☐ Salaries structuring
- ☐ Banking Details

- **Meeting the Buddy**

Dear Buddy

You have been selected to be a buddy of the new employee joining your Unit/department.

You are requested to assist the joining employee for one month in the following:

- ☐ Facilities location
- ☐ Time table
 - Start time
 - Finish time
 - Breaks and lunch time
- ☐ Phone and Data Management policy
- ☐ General sense of GEPP Culture (i.e. how things are done here, communications, interrelations etc.)

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- **ESS/MSS**

Employee Self-Service is the system that is used by employees to apply for leave and Managers Self-Service is used by managers to approve leave for their subordinates.

- **On-boarding Follow-up**

On-boarding interviews take place at the following intervals following the employment process, and will be conducted in partnership with the HR Unit upon completion of the 1st month, the 3rd month and the 6th month of employment. The on-boarding interview is a valuable tool to assess the new employee's socialization and integration into the GEPP.

It enables the HR Unit to determine whether there are issues which require some intervention to resolve them and at the same time assess the integration of the process with the performance management process as well as the developmental needs of the employee to ensure that the employee is highly effective and productive from the outset.

Comments:

.....
EMPLOYEE SIGNATURE

.....
HR OFFICIAL SIGNATURE

CHAPTER 2

SERVICE BENEFITS AND TERMS OF EMPLOYMENT

1. INTRODUCTION

This chapter covers relevant terms and conditions of employment and service benefits for GEPF employees, including the statutory provisions pertaining to conditions of employment, specifically leave provisions as defined in the Basic Conditions of Employment Act.

The GEPF offers the following employment benefits:

1.1 PROVIDENT FUND

The GEPF has a provident fund which is administered by Alexander Forbes. It is aimed at providing benefits for fund members when they retire from employment. The fund also pays benefits when a member dies while still employed at the organisation, or is unable to work because of illness.

The schedule below summarises the retirement related benefits offering:

Fund Benefits	
On Withdrawal; retirement; death	Employees' full fund credit
Insured death cover	4 times annual fund salary
Tax replacement cover	No
Age insured death benefit stops	60 years
Continuation option	On withdrawal to normal retirement age
Death benefit medical free cover limit	R 3 000 000

Additional Benefits	
Monthly disability income benefit	75% of monthly fund salary Maximum disability benefits of R 165 000 per month
Initial period	24 months
Benefit increase while disabled (escalator)	Lower of 10% or CPI
Waiting Period	3 Months
Age insured disability benefit stops	60 years
Continuation option	On withdrawal up to five years before normal retirement age

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Funeral benefit	The funeral benefit pays if you, your spouse or one of your children pass away according to the applicable scale.
Additional voluntary contributions	<p>On-going additional voluntary contributions: Employee can make on-going additional contributions to the fund at a rate of 1%, 2.5%, 5%, 7.5% or 10% of his/her fund salary with after-tax money. If an employee chooses to make additional contributions at one of these levels, he or she will have to continue to do so until the next anniversary date of 1 April. There is no cost to use this facility.</p> <p>Lump sum additional contribution: An unlimited amount can be contributed to the fund with after-tax money. There is no cost to use this facility.</p>
Disability income benefit	Employees are covered by an insurance policy that pays a monthly income benefit if an employee cannot work due to illness or injury. The policy pays out if an employee becomes disabled (in the opinion of the insurer), through illness or injury, before normal retirement age. It does not matter if the employee becomes disabled at work or after hours.

1.2 MEDICAL AID FUND

Employees at the GEPF belong to a medical aid scheme of their own choice in order to ensure that they have covered themselves and their families should they develop a serious illness or medical condition.

Through the total cost to company remuneration structure of the GEPF, employees are required to prove that they are members of a medical aid scheme of their choice whilst initiatives are underway to have an in-house medical aid scheme to cover all employees.

1.3 OFFICIAL WORKING HOURS / ATTENDANCE

The official working hours of the GEPF are as follows:

- 1.3.1 Official working hours are from 08:30 until 1700.
- 1.3.2 The 40 hours week (eight hours per day) includes a lunch period of 60 minutes each day to be taken between 12.00 pm and 3.00 pm.

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- 1.3.3 All employees are expected to report to work regularly and on time. In those instances, when an employee cannot avoid being late for work or is unable to report to work as scheduled, they must notify their immediate supervisor within the first hour of the workday, barring extenuating circumstances that make such notification impossible or extremely difficult. Poor attendance and/or excessive tardiness may lead to disciplinary action, up to and including termination of employment.

The above does not apply to work which is required to be done without delay owing to circumstances for which the employer could not reasonably have been expected to make provision and which cannot be performed by employees during their ordinary hours of work. (Basic Conditions of Employment Act 75 of 1991, Chapter 2. S6 (2).

1.4 OVERTIME

- 1.4.1 Employees may be required to work overtime when deemed necessary by their supervisor. Overtime is paid at a rate determined by the Basic Conditions of Employment Act and will only be paid for those employees who qualify for it in terms of the Basic Conditions of Employment Act 75 of 1991.

1.5 LEAVE POLICY

A brief summary of leave provisions for employees of the GEPP is depicted in the table below:

TYPE OF LEAVE	NUMBER OF DAYS
Annual Leave	22 days per annum
Sick Leave	36 days over a 3 year period
Temporary Incapacity Leave	Conditionally max 30 days
Family Responsibility	5 days per annum
Maternity Leave	4 consecutive months
Paternity Leave	10 days
Adoption Leave	Max 45 days
Sports Leave	Max 7 days
Resettlement Leave	2 days
Study Leave	3 days (incl. Exam)
Special Leave	Max 184 days not exceeding 18 months period

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1.5.1 Definitions and contextualisation

In this section, unless the context otherwise indicates:

- “Abscond / abscondment” means the prolonged absence from work that indicates the intention not to return to work.
- “*pro rata*” means “in proportion,” in this context it means leave days in proportion to the service or entitlement of the employee.
- “Occupational injury and disease” means a personal injury sustained as a result of an accident or an illness contracted in the course of an employee’s commitment with the GEPF.
- “Incapacity” means an employee is not able to perform his/her functions due to ill health or injury.
- Working days means Monday to Friday for the purposes of taking leave.
- Sick Leave means thirty six (36) working days sick leave with full pay over a three-year (3) cycle.

1.5.2 Absenteeism

An employee who wishes to take leave must apply for leave and ideally have the leave approved by his/her Supervisor seven days ahead of the intended leave period.

In case of an emergency or sudden illness, the employee must notify his/her employer as soon as is reasonable to do so. Leave application must be submitted by the employee immediately on his/her return to work and then authorised by his/her supervisor.

1.5.3 Abscondment

An employee may be treated as absconded if he has been absent from work without notifying the GEPF for at least three (3) consecutive working days or longer. The following procedure must be followed:

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1.5.3.1 Procedure when an employee does not report for duty

- 1.5.3.1.1 Tracking and Warning the Employee: If an employee does not report for duties for at least (3) consecutive days without having reported to the supervisor or without the permission of the supervisor / manager, the GEPF must make attempts to determine the whereabouts of the employee. Those attempts may include:
 - 1.5.3.1.1.1 Sending the relevant manager to the employee's place of residence in the company of a fellow employee;
 - 1.5.3.1.1.2 Attempting to reach the employee on his/ her cellular phone;
 - 1.5.3.1.1.3 Giving the employee a written instruction that he or she must report for duty and the implications of non-compliance should be clearly outlined on the letter;
 - 1.5.3.1.1.4 Sending, in a case where the whereabouts cannot be determined, a representative or other appropriate communication to the employee's last known address; and
 - 1.5.3.1.1.5 Keeping records of all communication with the employee.
- 1.5.3.1.2 If after seven (7) days of absence no reply has been received and an employee has not reported for duty, the supervisor must send a follow up registered letter to him/her requesting that the employee returns to work;
- 1.5.3.1.3 The letter must be posted by registered mail using the known address in the employee's file.
- 1.5.3.1.4 Where it is established that ill health is the problem, the Incapacity and ill health Policy shall apply.
- 1.5.3.1.5 The attempts at reaching the employee outlined above shall be repeated in another (7) days before the employee is considered to have absconded and dismissal proceedings ensue.

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1.5.4 Responsibilities and obligations

- 1.5.4.1 The HR unit will provide the necessary training and communication to all employees of the GEPF relating to this code.
- 1.5.4.2 Managers are required to be aware when employees are not at work and the reasons thereof and to follow the process outlined in this document;
- 1.5.4.3 Employees have a duty to notify the employer when they will not be at work, and to know the policy and the process to comply with it in that regard.

1.5.5 Annual Leave

Type of Leave	Conditions
Annual leave	<ul style="list-style-type: none">• The annual leave cycle is 12 months commencing 1 January each year• Leave entitlement is 22 working days for each leave cycle• After 10 years' service, employee(s) shall be granted five (5) working days leave entitlement as a once-off provision for recognition of long-service tenure in the organisation. This once-off provision of 5 day's leave shall be required to be taken within 18 months of the employee becoming eligible for this leave provision.• The GEPF office closes from 27 December to 31 December each year, employees shall be granted special leave from work during the mandatory office closure.• Employees must take at least 10 working days leave during the annual leave cycle – preferably consecutive working days• The remaining leave days must be taken no later than 6 months after the expiry of the leave cycle where after unused leave credits shall be forfeited.
Annual leave pay-outs	<ul style="list-style-type: none">• Employees shall be paid a cash value in respect of unused leave credit upon termination of service. The payment will be limited to a maximum number of days equivalent to the annual leave entitlements.• The leave cycle remains unchanged, therefore, requests and motivations for leave payments in respect of leave credits that will be forfeited above shall be lodged by no later than 31 July in respect of each year.• Payment of annual leave credits shall be calculated using the employee's annual basic salary (with the exclusion of benefits) at the rate of pay relevant for the year the leave was

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Type of Leave	Conditions
	<p>accrued.</p> <ul style="list-style-type: none"> If an employee failed to apply for the cash payment for unused leave, the unused leave credits will be forfeited.
Annual leave accrued prior to 1 July of each year	<ul style="list-style-type: none"> Employees shall retain all audited leave credits accrued prior to 1 July of each year. The pay-outs in respect of such leave credits shall be made in the event of: Death; Retirement; Retrenchment; or Medical boarding
Annual leave with full pay granted in excess of entitlement	<ul style="list-style-type: none"> An employee may not be granted annual leave with full pay in excess of that which the employee is entitled to in terms of their respective leave entitlement. If due to a bona fide error, an employee had been granted annual leave with full pay in excess of that which stood to his/her credit at that time, such over grant must be deducted from the subsequent leave cycle. If an employee who has been over-granted annual leave with full pay exits the organisation that portion of the over-grant which exceeded his/her normal annual leave credit on his/her last day of duty must be regarded as an overpayment that must be recovered from him/her.
The granting of leave on a pro rata basis	<ul style="list-style-type: none"> Employees who are appointed after the commencement of an annual leave cycle shall be entitled to annual leave on a pro rata basis determined as a fraction of their entitlement. Temporary employees on fixed term contracts shall be granted annual leave that is proportional to their term of employment at a rate of one-twelfth of the annual credit applicable. If an employees' annual leave entitlements changes, e.g. from twenty two (22) to twenty six (26) working days per annum after ten (10) years' service, the unused leave must also be carried over to the new leave category and be administered manually.

1.5.5.1 Procedure related to annual leave application

- 1.5.5.1.1 Employees must be cautioned timeously by their line managers if, at the end of the relevant leave cycle, they have not utilised their leave entitlements.

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- 1.5.5.1.2 An employee's application for leave must preferably be submitted for consideration seven (7) days in advance.
- 1.5.5.1.3 An application for annual leave should take the service delivery requirements of the organisation into account.
- 1.5.5.1.4 An employee's application for annual leave should not be unreasonably refused.
- 1.5.5.1.5 Any refusal of annual leave must be confirmed in writing, stating the reasons and arrangements for rescheduling of the annual leave.
- 1.5.5.1.6 If due to the GEPF's service delivery requirements the application for leave is denied by a Line Manager (LM) and not rescheduled, such leave must, upon request, be paid out to the employee at the end of the six (6) months' period. An employee's request for payment of unused leave credits must be: in writing, and accompanied by written proof of refusal of leave by the PEO.
- 1.5.5.1.7 The PEO shall, at the end of the relevant eighteen (18) months' period, report to the Remuneration Committee (REMCO) on the number of employees denied annual leave, and reasons for such denial and the amount paid in this regard.
- 1.5.5.2 **Nomination of beneficiaries for leave pay-outs**
- 1.5.5.2.1 Employees may, if they so desire, designate one (1) or more beneficiaries to whom their leave pay-out may be paid in the event of their death.
- 1.5.5.2.2 The organisation should actively promote the nomination of beneficiaries in order to avoid any undue hardship to such beneficiaries.
- 1.5.5.2.3 If an employee dies and has not nominated a beneficiary, the leave pay-out may be paid:
- In full to the spouse/life partner of that employee; or
 - If there is no spouse/life partner, in equal shares for the benefit of minor and other children (including legally adopted children) of the deceased who, at the time of his or her death, were fully dependent on the employee; or
 - If there are no children, to the employee's estate.

1.5.6 Sick Leave

<p>Normal sick leave</p>	<ul style="list-style-type: none"> • Employees are entitled to: <ul style="list-style-type: none"> ○ Unused sick leave shall lapse at the expiry of the three-year (3) cycle. ○ An employee must (preferably before 08h30 on the first day of absence) notify his/her immediate supervisor of his/her inability to report for duty as well as the estimated duration of absence. • An employee may be granted sick leave in the event where an employee has to: <ul style="list-style-type: none"> ○ consult a doctor, therapist, etc. for reasons related to the employees' health/wellness, or ○ go for training related to a disability, e.g. a blind person who has to get training with his/her guide dog, or ○ go for maintenance work for equipment used as a result of his/her disability, • Where an employee is absent for a part of the day, the Divisional Executive could manually record such time off until a full day is completed as sick leave. • If normal sick leave entitlement is exhausted, then temporary incapacity leave could be considered and proof of such events/occurrences may be requested. • Employees who apply for three (3) or more sick leave days must submit a certificate citing the reason and duration of absence from a registered and recognised practitioner as defined by the HPCSA. • If an employee falls ill whilst on annual leave with full pay, such leave may be converted to sick leave provided that a certificate from a registered and recognised medical practitioner is submitted to substantiate the indisposition. • In instances where a pattern in the utilisation of sick leave has been established, a certificate may be required for absences of less than three (3) working days and an employee during his/her normal sick leave period, who has been absent from work on more than two occasions during an eight-week period, must regardless of the duration of the sickness or injury, submit a medical certificate stating that the employee was unable to work for the duration of the employee's absence on account of sickness or injury. • Sick leave may also be granted in respect of periods where an employee must be quarantined / isolated for at least ten (10) consecutive days.
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Acceptance of medical certificates	<ul style="list-style-type: none">• The Divisional Executive should accept medical certificates that might not describe an employee's illness for sick leave taken during the normal sick leave cycle. In the event of abuse of the system during the normal sick leave period of the thirty six (36) working days (e.g. a pattern of regular sick leave on Mondays or Fridays) the Divisional Executive may request a medical certificate describing the nature and extent of the illness before granting sick leave with full pay.• The Divisional Executive will only consider temporary and permanent incapacity leave with full pay if the employee submits a medical certificate describing the nature and extent of the illness and if the employee has given his/her consent the nature and extent of his/her illness to a third party, i.e. the employer.• The employer may contract a health risk manager to consider the appropriateness of health information received.• In the event of an employee refusing/failing to submit a medical certificate describing the nature and extent of the illness for purposes of temporary incapacity leave and permanent incapacity leave, the period of absence will be covered by annual leave with the employee's consent or unpaid leave.• It is extremely important that the employer should at all times treat such information with the necessary respect and confidentiality. Information concerning the medical condition of an employee may therefore not be divulged to any other person(s) not directly involved in the decision-making process regarding the granting of sick leave. If an employee involves him/herself in divulging such confidential information of one employee to any other unauthorised person, he/she should be disciplined in terms of the Disciplinary Code.
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1.5.7 Temporary Incapacity Leave

- 1.5.7.1 Incapacity leave is additional sick leave granted conditionally at the employer's discretion.
- 1.5.7.2 An employee who has exhausted his/her sick leave credit in a three-year (3) cycle and who, according to the relevant medical practitioner, requires to be absent due to incapacity that is not permanent may, at the discretion of the Divisional Executive in consultation with the Human Resources Manager be granted additional sick leave with full pay in the event of serious illness.

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- 1.5.7.3 For an employee's application for temporary incapacity leave to be considered, the:
- employee must submit sufficient proof that she/he is too ill or injured to perform his/her work satisfactorily;
 - application form must, regardless the period of absence, be accompanied by a medical certificate issued and signed by a medical practitioner that certifies his/her condition as temporary incapacity and if the employee has consented, the nature and extent of the illness or injury.
 - employee is in accordance with item 10(1) of Schedule 8 to the Labour Relations Act, 1995, afforded the opportunity to submit together with his/her application form-
 - a) any medical evidence related to the medical condition of the employee, such as medical report(s) from a specialist, blood tests results, x-ray results or scan results, obtained at the employee's expense; and
 - b) any additional written motivation supporting his/her application; and
 - c) employee is requested to give his/her consent that medical information/records be disclosed to the employer.
- 1.5.7.4 An employee must submit his/her application for temporary incapacity leave in respect of clinical procedures in advance, unless the treating medical practitioner certifies that such procedures have to be conducted as an emergency.
- 1.5.7.5 If overcome by a sudden illness or injury, the employee must personally notify his/her supervisor/manager immediately. A verbal message to the supervisor/manager by a relative, fellow employee or friend is only acceptable if the nature and/or extent of the illness or injury prevents the employee from informing the supervisor/manager personally.
- 1.5.7.6 An employee must submit an application for temporary incapacity leave personally or through a relative, fellow employee or friend within 5 working days after the first day of absence. The employee's supervisor or delegate must within two working days from receipt of the leave application form recommend/ not recommend the application and submit to the Human Resource unit.

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- 1.5.7.7 If the employee fails to submit an application within the sick leave period, the leave will be regarded as unpaid leave or annual leave.
- 1.5.7.8 The Human Resources unit, must within 5 working days from the receipt of the employee's application for temporary incapacity leave-
- conditionally grant a maximum of 30 consecutive working days temporary incapacity leave with full pay subject to the outcome of his/her investigation into the nature and extent of the employee's illness/injury; and
 - refer the application with all the supporting evidence immediately to its appointed medical practitioner for an assessment and advice on whether the employee's illness or injury justifies the granting of incapacity leave ; and which steps, if any, in accordance with the Incapacity Policy of the GEPF.
- 1.5.7.9 The Divisional Executive may request the employee to obtain a second medical opinion by medical practitioners of the employer's choice at the employer's cost. If the employee fails to honour the appointments for such medical examinations, the employee shall be held responsible for any fruitless expenses incurred.
- 1.5.7.10 The Divisional Executive must within 30 working days after receipt of both the application form and medical certificate approve or refuse the temporary incapacity leave granted conditionally. In making a decision, the medical certificate, medical information/records, the appointed medical practitioner's advice, the information supplied by the employee and all other relevant information must be considered on conditions that the organisation may determine in consultation with the HR unit, e.g. to return to work, etc.
- 1.5.7.11 The Divisional Executive, if applicable and as soon as possible, must after the receipt of the appointed medical practitioner's advice, decide on the possibility of securing alternative employment for the employee, or adapting his/her duties or work circumstances to accommodate his/her incapacity or alternative employment and, as soon as possible, approve and implement an action plan for this purpose.

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1.5.7.12 If the Divisional Executive approves the temporary incapacity leave granted conditionally, such leave must be converted into temporary incapacity leave; or refuses the temporary incapacity leave granted conditionally, s/he must notify the employee in writing:

(a) of the refusal;

(b) of the reasons for the refusal;

(c) that s/he must notify the Divisional Executive in writing within 5 working days of the date of the notice to him/her, whether or not the period of conditional incapacity leave must be covered by annual leave (to the extent of the available annual leave credits) or unpaid leave and that, if s/he fails to notify the Divisional Executive of his/her choice, the period will be covered by unpaid leave; and

1.5.7.13 If the employee is of the view that he/she has been unfairly treated with regard to the granting of additional sick leave, he/she has the right to follow the grievance procedure or the relevant dispute resolution procedures in order to settle the matter.

1.5.8 Permanent Incapacity Leave

1.5.8.1 An employee whose degree of disability has been certified by a registered medical practitioner as permanent must, with the approval of the Divisional Executive be granted up to a maximum of 30 working days' permanent incapacity leave required by the employer to finalise the feasibility of:

- alternative employment; or
- adapting duties or work circumstances to accommodate the employee.

1.5.8.2 An employee, whose degree of incapacity has been certified as permanent but who can still render a service, may be transferred to an alternate appropriate vacant post without a reduction in benefits.

1.5.8.3 In instances where the employee's transfer entails retraining or retooling, the employer must take requisite resources (time and financial) and potential returns into consideration before approving transfer.

1.5.8.4 The transfer of an employee should ensure the optimal utilisation of his/her competencies and must not compromise service delivery.

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1.5.8.5 If both the GEPF and employee are convinced that the employee will never be able to render an effective service at his/her level, the employee/employer may proceed with the process of termination of service on account of continued ill-health.

1.5.8.6 The Divisional Executive may extend the period of permanent incapacity leave by a further 30 working days in order to finalise processes already commenced.

1.5.9 Leave For Occupational Injuries And Diseases

1.5.9.1 Employees who, as a result of their work, suffer occupational injuries or contract occupational diseases, shall be granted occupational and disease leave for the duration of the period they cannot work.

1.5.9.2 If an employee suffers a work-related injury as a result of an accident involving a third party, the Divisional Executive shall grant him/her occupational injury leave provided that the employee:

- Brings a claim for compensation against the third party.
- Undertakes to use compensation (in terms of the Compensation for Occupational Injuries and Diseases Act, 1993) received to recompense as far as possible for the cost arising from the accident.

1.5.9.3 The Divisional Executive shall take reasonable steps to assist an employee to claim compensation according to 3.1.

Note: When an employee is injured on duty, the employer could, depending on the circumstances, pay the medical expenses of the employee concerned, pending the outcome of the claim for an injury on duty. The purpose of this provision is therefore to recover the employer's expenses once the claim is settled.

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1.5.10 Maternity Leave

Maternity Leave	<p>Four (4) consecutive months paid maternity leave to commence:</p> <ul style="list-style-type: none"> • at any time from four (4) weeks before the expected date of birth; or • on a date from which the attending medical practitioner certifies that it is necessary for the employee's health or that of the unborn child; or • At least two weeks before the expected date of delivery provided that the employee furnishes a certificate from the attending practitioner that indemnifies the employer in the event of complications and such certificate must clearly state that the employee concerned is fit enough to work until the last two weeks before the expected date of delivery. • For at least six (6) weeks after the birth, no employee may commence with normal official duty unless the attending practitioner certifies that the employee is fit to do so. <p>Maternity leave may be interrupted if:</p> <ul style="list-style-type: none"> • the baby is born prematurely and is hospitalised during maternity leave; or • the baby becomes ill and is hospitalised for a period of longer than one (1) month during the maternity leave. <p>The provisions above are applicable to an employee, who chooses to interrupt her maternity leave in these circumstances.</p> <ul style="list-style-type: none"> • If an employee chooses to interrupt her maternity leave and fails to return to work after six (6) weeks mentioned in above, such a period must be covered with annual leave or unpaid leave if she does not have enough annual leave available. <p>Maternity leave may be extended upon application by:</p> <ul style="list-style-type: none"> • the granting of sick leave as a result of a medical complication; • the granting of up to one hundred and eighty four (184) calendar days unpaid leave; or • the granting of annual leave. <p>Employees who during the third trimester of their pregnancy, experience a miscarriage, still birth or termination of the pregnancy on medical grounds, shall be eligible for six (6) consecutive weeks maternity leave. In the event of a medical complication the provisions of the previous bullet points shall apply.</p> <p>The provisions above shall also apply to an employee who experiences a miscarriage, stillbirth or termination of pregnancy on medical grounds after the commencement of maternity leave. The period prior to the miscarriage, stillbirth or termination of pregnancy shall be regarded as special leave with full pay.</p>
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1.5.11 Adoption Leave

Adoption Leave	<ul style="list-style-type: none"> • An employee who adopts a child that is younger than two (2) years shall qualify for adoption leave to a maximum of forty five (45) working days, after which this period may be extended by: granting of additional 184 calendar days unpaid leave; or granting of annual leave. • If both spouses or life partners are employed by the organisation, both partners will qualify for adoption leave provided that the combined leave taken does not exceed forty five (45) working days. • The adoption leave must commence no later than the date on which the child is brought home.
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1.5.12 Family Responsibility Leave

Family Responsibility Leave	<ul style="list-style-type: none"> • The number of family responsibility leave days shall not exceed five (5) days in an annual leave cycle unless special circumstances warrant further leave at the discretion of the Divisional Executive. • Employees shall be granted three (3) days leave per annual leave cycle for utilisation if: <ul style="list-style-type: none"> ○ the employee's spouse or life partner gives birth to a child; or ○ the employee's child, spouse/life partner is sick. • Employees shall be granted five (5) days leave per annual leave cycle for utilisation if: <ul style="list-style-type: none"> ○ the employee's child, spouse/life partner dies; or ○ an employee's immediate family member dies. • Immediate family member for purposes of this provision means the employee's parents, adoptive parents, grandparents, children, adopted children, grandchildren or siblings. • For the purposes of this provision "child" means the employee's son or daughter, and where applicable son- or daughter-in-law, of any age. • The granting of family responsibility leave must be taken with due consideration of the employee's cultural responsibilities. Where the latter discretion is exercised, Divisional Executive must limit the total period of family responsibility leave to a maximum of five (5) days. • Family responsibility leave may be taken for part of a day. For purposes of utilising family responsibility leave entitlements, fractions or decimals must be utilised as they are. In other words fractions or decimals must not be rounded off.
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1.5.13 Special Leave

Type of Special Leave	Conditions
Examination and Study Leave	Refer to the Continuation of Study Policy document
Sport Leave	Special leave with full pay will be granted to an employee in respect of any sports participation as a competitor, coach or manager of a national or provincial sports team. A maximum of seven (7) working days will be granted.
Resettlement Leave	<ul style="list-style-type: none"> Special leave with full pay may be granted to an employee who is, transferred to the organisation from a government department, public or private entity. Two (2) day's special leave with full pay will be granted to an employee if he/she is transferred to Pretoria in order for him/her to: arrange accommodation; supervise the packing/loading and unpacking/unloading of personal effects; arrange school for children; and connect/disconnect water/lights/ Special leave for this purpose can only be taken on the basis of a bona fide need based on the physical transfer of an employee to Pretoria and should be taken within one (1) month of such transfer.
Quarantine	<ul style="list-style-type: none"> Special leave will be granted in respect of periods where an employee who is absent from duty as a result of segregation or isolation on medical instructions where he/she was in contact with a person who has contracted/suspected of having contracted an infectious/contagious disease. The granting of special leave shall be subject to the submission of a certificate by a registered medical practitioner indicating the period of and reason for segregation or isolation, for at least ten (10) consecutive days which also certifies that the employee did not contract the relevant disease.
Miscellaneous	<ul style="list-style-type: none"> Special leave with full pay may be granted to an employee, for example in the case of a Natural Disaster and the department is satisfied that it was impossible for the employee concerned at that time to continue with his/her official duties.
Unpaid Leave	<ul style="list-style-type: none"> An employee may utilise unpaid leave for absence from work due to: <ul style="list-style-type: none"> arrest, imprisonment or appearance in court on a criminal charge that leads to a conviction; or criminal sentence. If an employee is arrested and thereafter released, the "no work no pay" principle should apply. However, employees have an option to utilise their available annual leave for this purpose. Unpaid leave shall be granted to an employee who is serving a

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Type of Special Leave	Conditions
	<p>period of notice in his/her last month of service.</p> <ul style="list-style-type: none"> Unpaid study leave may be granted to an employee, provided that it should not exceed one hundred and eight four (184) days during a period of eighteen (18) months. No contractual agreement is linked to the granting of unpaid leave. All unauthorised absence from duty, irrespective of any disciplinary action of any kind, which may be taken against an official, is deemed to be leave without pay. Unpaid leave is calculated as calendar days (for example if an employee utilises unpaid leave on Thursday, Friday and Monday, five days would be without pay). The PEO shall ensure that the internal disciplinary procedures are not dependent on external processes, e.g. criminal justice processes/procedures.
Bereavement	At the discretion of the PEO, the GEPF shall allow time off for a member of the HR unit including any other employee(s) to attend a funeral of an employee who passed on or of an immediate family member of the Employee of the GEPF. Accommodation and travel shall be considered as determined by the travel policy of the Organisation

1.6 TERMINATION OF EMPLOYMENT

1.6.1.1 The contract of employment may be terminated as specified below:

- By agreement between the Company and the Employee in writing;
- By one (1) months' notice of termination, in writing, by the Employee;
- By three (3) months' notice of termination, in writing, by the Employee.
- By any other reason(s) as stipulated in the employment contract of employment.

1.7 PROCEDURE: UPON TERMINATION OF EMPLOYMENT

- The HR office shall record and keep the resignation letter on file.
- An exit form shall be completed by the HR office to confirm any outstanding leave payout, this will include any amount that the employee may still owe to the Organisation. The form shall be duly signed off and submitted to payroll.
- The employee shall be given provident fund withdrawal forms to complete.
- The employee shall be required to immediately return to the Organisation all property of the GEPF which may be in his or her possession to the Line Manager.
- The employee shall be advised of the date for the exit interview.
- The HR office shall keep the employee file on record for a period of five (5) years from the date of termination.

CHAPTER 3

TALENT MANAGEMENT

1. INTRODUCTION

The GEPF seeks to be an employer of choice. As such, it is cognisant of the requirement to always ensure that there is a flow of talent to create and maintain the required talent pool to fill key positions as they arise thereby enabling the organisation to achieve its strategic goals.

Talent Management is the discipline which incorporates a range of activities that can be used to address an organisation's challenges of identifying, managing and developing its people now and for the future.

The GEPF has a huge role to play in facilitating and supporting the management of its talent and careers of its employees whilst at the same time employees have a duty to take responsibility for managing and directing their own career choices. It is therefore necessary to institute formal career management processes as part of the talent management strategy which enable employees to better understand and develop their career skills and interests and to use these skills and interests most effectively both within the organisation and after they leave.

Career management is therefore concerned with the provision of opportunities for employees to develop their abilities and their careers in order to ensure that the organisation has the flow of talent it needs and to satisfy their own aspirations. It comprises a combination of structured plans and the active management of an employee's career development choices supported by a series of activities that contribute to an individual's career exploration, success and fulfilment, interests, knowledge, motivations and other characteristics, identifies career-related goals and establishes action plans to attain specific goals.

This chapter will cover the following:

- a) Career Management Policy and Procedure
- b) Succession Planning

2. CAREER MANAGEMENT POLICY AND PROCEDURE

2.1 PURPOSE

The purpose of this career management policy and procedure is to provide a framework to both Managers and employees of the GEPF which will enable them to manage the career pathing of all employees in an integrated, structured and focused manner.

2.2 PRINCIPLES

The GEPF embraces an integrated approach to career management and development underpinned by the following principles:

- Career management is a lifelong process: It is not a single event, it is part of an employee's career journey based on an employee identifying career goals and setting objectives in place to achieve these goals;
- Career management is an active process: An employee has to be an active participant and take responsibility for his/her own development and career progression facilitated and supported by management and the organisation.
- Career management is a structured process: It is most beneficial when it is structured and integrated with the organisations objectives, performance management processes, the organisation's learning and development plans and remuneration and reward strategies.

2.3 SCOPE

The career management policy applies to all permanent employees.

2.4 ROLES AND RESPONSIBILITIES

2.1.1. Employees

Employees must actively seek and act on opportunities for their own development and growth throughout their tenure with the GEPPF.

Employees must actively prepare for career development discussions (both the planning and review discussions) with their managers during the performance management cycle, and be aware of their individual strengths and weakness and how these impact on career choices.

Employees must take responsibility for ensuring their Personal Development Plan remains relevant and active in consultation with the manager.

2.1.2. Managers

Managers must encourage their employees to plan and act on their own career growth.

Managers must prepare, facilitate and support career development for their employees by:

- i. Preparing for career growth and development discussions by understanding the strengths, weaknesses and potential of their employees and listening to the aspirations and concerns of their employees;
- ii. Having honest conversations with their employees to appraise performance, potential and development needs and aspirations, and to plan appropriate training and development interventions for their current jobs, and development opportunities for future growth;
- iii. Actively facilitating achievement of the personal development plans of their employees advising, coaching and mentoring employees;
- iv. Collaborating with their peers in other divisions in order to identify appropriate career development interventions and enable resource mobility.

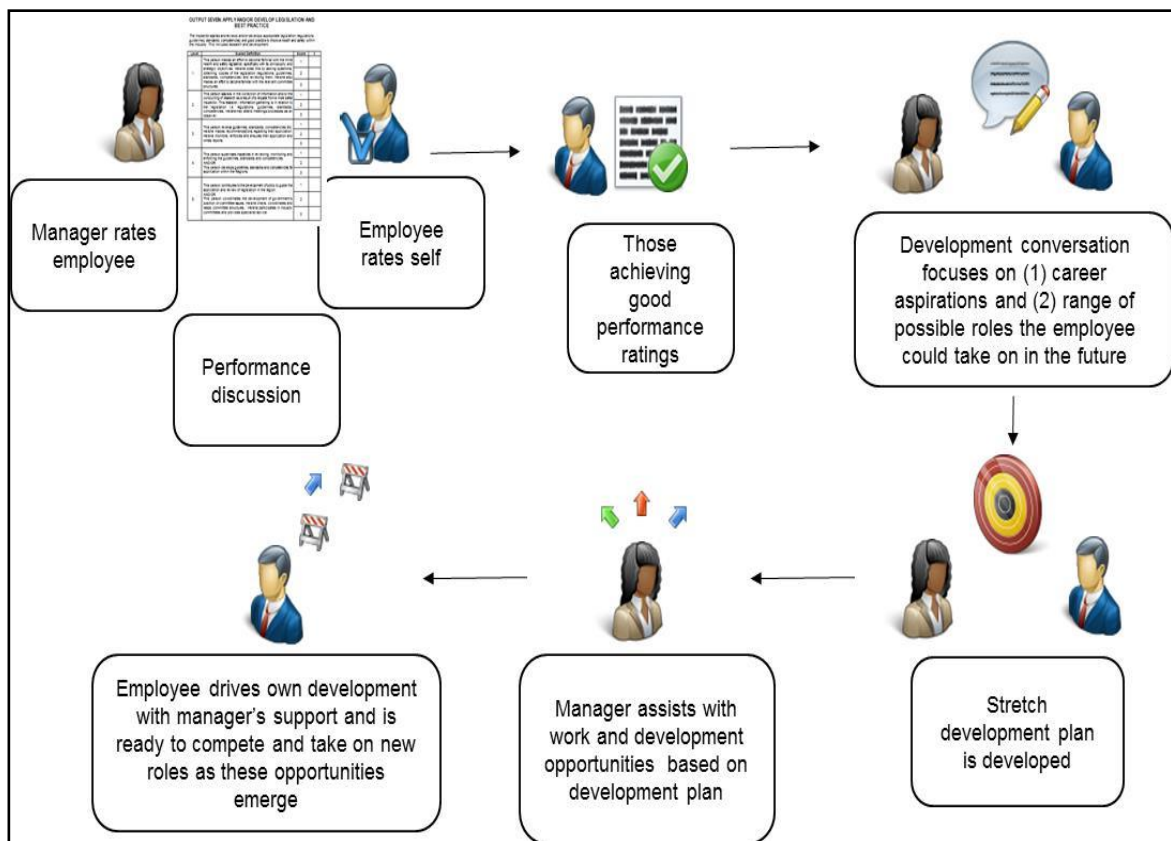
2.1.3. Human Resources

- i. Monitor and provide guidance on the interpretation of the career management and development policy and procedure to ensure it is consistently applied;
- ii. Empower and educate managers and employees on how to effectively implement the career management and development policy and procedure;
- iii. Facilitate various supporting learning and development initiatives and coordinate the organisational-wide L&D plan.
- iv. Continuously review and update the policy and procedure in line with leading practice.

2.5 THE CAREER MANAGEMENT AND DEVELOPMENT PROCESS

The diagram below shows how the career management and development process links to the performance management process within the GEPF.

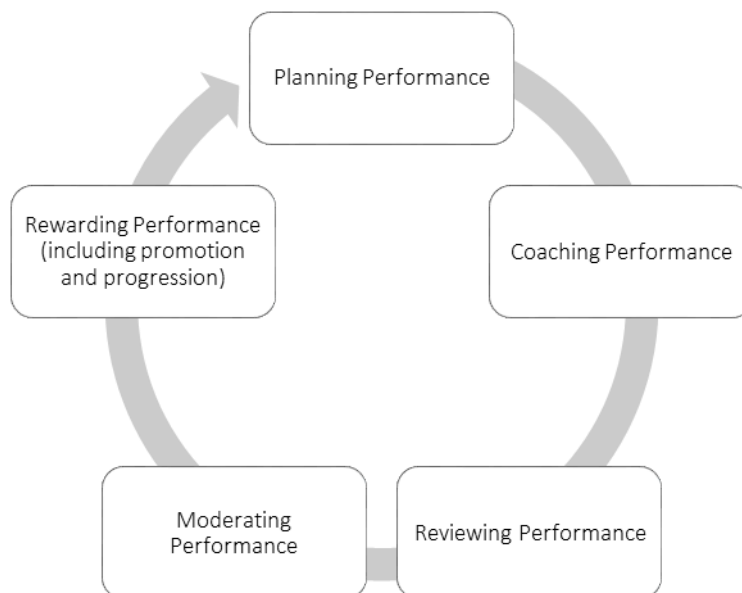
At the end of the performance review, the manager engages with the employee about his/her development and progression. For those employees who have not performed well, the discussion focuses on development interventions to close the performance gap. For those employees who have performed well the discussion focuses on development interventions to stretch the employee and help him/her achieve his/her career aspirations which are aligned to the work of the GEPF.



With this in mind the manager and employee prepare a personal development plan. The employee is ultimately responsible for his/her own development but during the year the manager assists the employee by creating opportunities, assigning tasks and allocating work to help the employee achieve his/her development plan. This prepares the employee to take on new roles and responsibilities as the opportunities arise.

2.6 THE PERFORMANCE MANAGEMENT AND CAREER PROGRESSION CYCLE

One of the key ways to manage career growth and development in the GEPF is through the performance management cycle, as depicted below. Reference to this cycle is made in the Performance Management Policy and commences with the performance planning process at the beginning of each financial year; the continuous role of managers in terms of on-going coaching; the formal performance review process at the end of the financial year accompanied by a moderation process and the rewarding of performance. The discussions at an Executive level should consider workforce planning including promotion, succession planning or any other relevant career progression of individuals based on the organisation's needs.



2.7 DEVELOPMENT INTERVENTIONS

Managers are encouraged to use development activities in addition to training courses when discussing development interventions with employees. Such development activities may include:

- i. Involvement in a specific **project or task force**.
- ii. **Mentoring:** Identifying a senior person within the GEPF or someone external to the GEPF to act as a teacher, role model, trusted advisor, challenger, encourager and counsellor. Successful mentoring relationships are largely a matter of personal suitability and of the goal of the mentoring programme. The mentee must be comfortable with the mentor who must be willing to invest time and effort to make the relationship work.

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- iii. **On-the-job training:** structured training where an expert within a division or section mentors an employee following a structured programme to develop their skills and expertise.
- iv. **Work Allocation:**
 - a. Using work allocation to challenge and grow employees and enrich jobs.
 - b. Allocating an employee(s) to a specific project or task force that will challenge and stretch them.
- v. **Secondment:** Seconding an employee to another section/division/organisation to increase their exposure to the organisation and other work processes and systems.
- vi. **Increased Delegation:** Delegating an aspect of the manager's/supervisor's work to an employee to challenge and stretch him/her.
- vii. **Job Rotation:** Rotating employees through the full value chain of a particular process or division.
- viii. **Study:** Self-directed learning and study; part time study.
- ix. **Self-Study on Demand:** This requires the employee to conduct research in a particular area in order to develop knowledge in that area;
- x. **Knowledge sharing:** Institutionalising peer-to-peer knowledge sharing opportunities.

Managers should keep the following issues in mind when planning and discussing employee development:

1. Encourage employees to take an active role. Discussions should be employee-driven.
2. Look at how to maximise the use of employee's strengths and talents.
3. Focus on development in current job.

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4. Use task forces and special projects as opportunities for development in particular areas.
5. Attempt to understand employee's motivation and interests.
6. Be realistic regarding advancement opportunities.
7. Create mentor relationships where appropriate.
8. Consider lateral transfers for employee development purposes.
9. Link training programs to individual development.
10. Follow-up periodically throughout the year.

3. SUCCESSION PLANNING POLICY AND PROCEDURE

3.1. PURPOSE

The purpose of the GEPF's Succession Policy and Procedure is to:

- i. Clearly define the process of succession planning at the GEPF and provide management with guidelines in this regard; and
- ii. Facilitate the retention of talented, competent and motivated staff.

Succession Planning (SP) is a process of identifying one or more successors for *key positions* in an organisation, and thus inform career moves and/or development activities for *all* those affected individuals, as well as retention strategies for the organisation.

SP is an information generating process, and is only of value if the outputs actually influence job filling and/or development by linking with other HR processes. Consequently the dialogue between line manager and nominated successors is as important as the process of agreeing names and actions etc. For succession planning to work, there must be collective ownership of the plan by the PEO, Executive and the Divisional Heads.

3.2. CONTEXTUALISATION

- 3.2.1. Succession planning is a systematic approach to identifying future potential leaders and managers to fill key positions in the organisation as they arise to ensure continuity. .
- 3.2.2. It is a proactive effort to mitigate the risk of disrupting the business's continuity by identifying and preparing a pipeline of talent to fill key roles on a temporary or permanent basis through workforce data and analysis which will inform the process.
- 3.2.3. The current organisational structure and human resources investment supports the organisation's planned current and medium term strategic objectives by integrating organisational career development processes into all strategic and operational plans.
- 3.2.4. In establishing a succession plan, the GEPF will adopt a top-down approach influenced and guided by the alignment of employee development plans with the GEPF's three-year strategic plan.

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- 3.2.5. Managing expectations is always a key part of any SP process; those included might confuse their own nomination with some kind of job guarantee, and those not included may well feel that future career progress in the GEPF will be constrained. Consequently SP communication should be planned carefully.
- 3.2.6. The organisation's succession plan must enable the identification and development of existing employees who can succeed the resignation, retirement, promotion or expiry of contracts of more senior employees and is directly linked to the strategic needs of the organisation.
- 3.2.7. Employees will however need to compete for vacant positions by participating in recruitment processes as outlined in the GEPF's Human Resource Management Policy bearing in mind the organisation's Employment Equity imperatives.
- 3.2.8. The selection and retention of employees must consider employees' growth potential, leadership competencies and their mastery of specialisation.

3.3. APPROACH TO SUCCESSION MANAGEMENT

- 3.3.1. Business continuity is realised through the development and maintenance of pools of high calibre employees and candidates who can support the organisation's short, medium and long-term needs by fulfilling a specific role/job.
- 3.3.2. The organisation's succession management process of the following components:
 - 3.3.2.1. *Interim and longer term planning*
 - The strategic flow and management of talent at all levels throughout the organisation must provide assurance that the supply of talent is adequate and available to align the right people with the right jobs, at the right time, based on the strategic objectives.
 - This objective is achieved through the attraction, development and retention of talent as well as identifying, tracking and monitoring existing employees' career development.
 - Optimally performing employees must be exposed to aspects of the duties and obligations of a higher-level position(s) to enable them to function in an acting capacity if required.

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- Possible successors for a position should be exposed to the Board Committee meetings; training and development opportunities; and mentoring, that will provide them with sufficient opportunity to grow into a more senior position or to comfortably act in such position for a limited amount of time.

3.3.2.2. *Utilising Available Human Resources Tools*

- The succession plan must cater for emergency and medium to long-term needs. Tools available to the organisation in this regard include the maintenance of an appropriate Organisational Structure.
- The organisational structure must support the immediate or future strategic operations of the organisation by ensuring that the allocation of employees is linked to KPA's contained in the strategic plan and that the composition of operational units sees the effective distribution of the particular work flows across more than one level of seniority. In following the top-down approach, the structure must prevent the duplication of work streams and content areas within each unit, but ensure that two (2) or more persons cover each KPA.

3.3.2.3. *Personal Development Plans (PDP'S)*

- Personal Development Plans must be aligned to the GEPF's Performance Management Policy as indicated in the Career Management Policy and Procedure and performance results and employees' career aspirations should be used to determine whether employees are suitable for inclusion in the succession plans.
- If employees perform well, then their personal development plans should be geared toward empowering them to perform the duties of their supervisor over time. Importantly, this would need to be in line with the requirements of the GEPF.

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- Where possible, the development of management competencies should be supported by among others, mentoring interventions and other opportunities such as “on the job” or “acting opportunities”, planned job assignments, formal development, assessment and feedback and/or shadowing as referenced in the Career Management Policy and Procedure.

3.4. OVERVIEW OF SUCCESSION PLAN

The GEPF’s succession plan consists of the following annual activities:

- Reviewing the organisations strategic plan and identifying KPA’s;
- Performing an organisational review to identify gaps and weaknesses;
- Identifying instances where the organisation is reliant on a single position for the performance of work against a particular strategic objective and the relevant KPA’s;
- Consulting and engaging with employees on the organisation’s performance, workplace atmosphere and identifying any pressure areas/gaps;
- Proposing additional positions or amendments to existing positions to ensure that identified gaps are closed and to ensure that at least two (2) employees, one junior and the other senior, cover a particular strategic objective (one to produce and the other to supervise);
- Using scheduled quarterly performance reviews to identify talent and potential succession candidates;
- Exposing identified employees to more senior business processes, functions and duties, and allowing them to act where possible;
- Providing mentorship and professional support to identified employees; and
- Revising and adapting PDP’s to ensure that employees are adequately capacitated.

3.5. REMUNERATION

- Remunerating employees competitively is one of the factors that influence employee behaviour and must therefore be managed in such a way that it contributes effectively to the workplace culture and environment, as well as contributing to the optimal retention of employees.
- The organisations' Performance Management Policy and incentive schemes support initiatives to retain employees and reward performance.
- In addition to remunerating employees competitively, employees in an "acting capacity" receive an acting allowance, calculated according to the Acting Allowance provisions.

3.6. CONDITIONS OF SERVICE

- The GEPF will ensure that employees' conditions of service are competitive and equitable to industry participants, in order to ensure that employees are motivated and retained for succession purposes.
- The Total Rewards Strategy, Remuneration and Performance Management Policies will be regularly reviewed and updated.

3.7. RECRUITMENT OF EXTERNAL CANDIDATES

- The organisation may elect to maintain a list of potential external candidates to fill future strategic positions in a short space of time. However, this approach has serious limitations, as potential candidates would need some certainty on the timing of possible opportunities arising and should therefore be used with caution.

3.8. MANAGING THE ABSENCE OF PROMOTION OPPORTUNITIES

- The purpose of workforce development and succession planning is to ensure that the organisation has employees with the required skills and competencies to be considered for higher level or more senior positions, which may arise in the future.

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- Where opportunities, for whatever reason, do not materialise, there remains a number of advantages, namely: the continued development of employees impacts positively on performance, promotes job satisfaction and enhances the general perception that employees have of the workplace.

3.9. OVERSIGHT, ACCOUNTABILITY AND RESPONSIBILITY

The BOT shall be responsible and accountable for approving the Organisations' Succession Policy and the succession plan for the PEO position.

- The PEO shall oversee the implementation of the organisation's Succession Policy and Plan, with the Human Resources Unit's support, and report to the Remuneration Committee annually.

3.9.1. The line managers shall be responsible for:

- Implementing the Succession Policy by identifying key competency areas that are critical to the organisation (Current vs. Future);
- Identifying and appointing potential employees; and
- Applying further measures where there are no successors for identified key positions, inclusive of the consideration of additional positions.

3.9.2. The Human Resources unit shall be responsible for:

- Facilitating the annual organisational review exercise or process of the succession plan as part of the talent management review process defined in the Career Management Policy and Procedure;
- Facilitating the development of roles and/or profiles critical to the succession plan;
- Coordinating the continuous implementation of the Succession Plan
- Providing assistance to Executives in performing tasks associated with succession management and plans; and

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- Facilitating talent and succession review discussions and ensuring the succession plan is documented for each role under review. An example of a documented SP process is indicated in the table below and can be customised to suit the GEPF's needs:

Incumbent position and number of years in position	Potential successor/s	Gender	Readiness	Comments

Note that because someone is identified as a potential successor, does not mean:

- That they will automatically assume that position - progress and eligibility is reviewed annually by the PEO and Executive Team; or
- That the current incumbent will lose his/her job when a potential successor is ready.

If the gap for succession is very big and there really are no potential successors, this must be indicated, as well as what actions are required.

3.10. IMPLEMENTATION PROCESS

The implementation of the Succession Policy and Plan will be coordinated in the following manner:

- Performing an annual review of the organisation's strategic plan and key competency areas to contextualise the business requirements for the year ahead;
- Performing an annual organisational review to identify gaps and weaknesses in the organisational structure, and to assess findings and changes raised in previous reviews;

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- Using scheduled performance reviews to assess the effectiveness and readiness of identified talent and potential successors;
- Submitting quarterly progress reports on implementation of the policy and plan to the PEO; and
- Providing an annual review to the Board's Remuneration Committee on progress achieved.

CHAPTER 4

EMPLOYEE RELATIONS

1. INTRODUCTION\

The objective of employee relations is to effectively regulate the interaction between the employer and employee. This Chapter will outline the processes to follow when employees do not conduct themselves in alignment with the organisation's expected code of conduct.

It will also ensure that both upward and downward communication is facilitated in addressing employee concerns at the lowest possible levels to ensure fair, equal and consistent treatment for all employees.

The following policies will be covered in this Chapter:

- Disciplinary Code and Procedure
- Grievance Procedure
- Incapacity Poor Work Procedure

2. DISCIPLINARY CODE AND PROCEDURE

- It is the GEPF's view that a formal Disciplinary Code and Procedure is essential for the efficient operation of its business, the safety, fair and consistent treatment of all employees and for ensuring healthy industrial/employment relations.
- This chapter must always be read and applied in conjunction with the the GEP Law, Labour Relations Act, 1995 and Board Resolutions applicable to employees on the subject matter of this chapter.
- The Human Resources Unit must be approached for assistance whenever uncertainty is experienced regarding the interpretation of any provision contained in this chapter.

3. PURPOSE

The purpose of this Code and Procedure is to:

- support constructive labour relations;
- promote mutual respect between employees and the employer;
- ensure that managers and employees share a common understanding of misconduct and discipline;
- promote acceptable conduct amongst all employees;
- provide employees and the employer with a quick and easy reference and guidelines for the application of discipline;
- avert and correct unacceptable conduct at the earliest stages where possible; and
- prevent arbitrary, discriminatory or unfair application of this policy by managers toward employees.

4. DEFINITIONS AND CONTEXTUALISATION

In this Code and Procedure, unless the context otherwise indicates:

- “employer” means in respect of all employees (excluding the PEO in his/her capacity as an employee), the Executives or any employee designated to perform the specific action; in respect of the PEO of the Board,
- “fellow employee” means an employee from the same organisation as the employee being charged with misconduct;
- “recognised trade union” means any union admitted in terms of a recognition agreement.
- “Chairperson” means an independent person appointed by the Organisation to act as such.
- “LRA” means Labour Relations Act, 1995.

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- “Misconduct” means behaviour, which is in breach of the terms and conditions of employment, as set out in the Organisation’s policies and procedures, and/or code of conduct, which is inappropriate at work.

4.1. Nothing in this Code and Procedure detracts from an employee’s right to utilise dispute-settlement mechanisms provided under the Labour Relations Act.

4.2. The following principles inform the Code and Procedure and must inform any decision to discipline an employee:

- Discipline is a corrective measure and not a punitive one.
- Discipline must be applied in a prompt, fair, consistent and progressive manner.
- Administering discipline is a management function.
- A disciplinary code is necessary for the efficient delivery of service and the fair treatment of employees, and ensures that employees:
 - have a fair hearing in a formal or informal setting;
 - are timeously informed of allegations of misconduct made against them; and
 - receive written reasons for a decision taken.
- As far as possible, disciplinary procedures shall take place at the place of work and be understandable to all employees.
- If an employee commits misconduct that is also a criminal offence, the criminal procedure and the disciplinary procedure will continue as separate and different proceedings.
- Disciplinary proceedings do not replace or seek to imitate court proceedings.
- The Code and Procedure constitutes a framework within which the Organisation’s’ policies may be developed to address appropriate circumstances, provided such policies do not deviate from the provisions of the framework.

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5. CODE, RULES AND STANDARDS

- 5.1. The Code of Good Practice: Dismissal contained in Schedule 8 of the Labour Relations Act, insofar as it relates to discipline, constitutes part of this Code and Procedure.
- 5.2. Conduct that may warrant disciplinary action is listed in the Manual. This list is not exhaustive. Management may discipline an employee in respect of other conduct not specifically listed if the employee breached a valid rule of the GEPP of which he /she was aware or should have been aware of.
- 5.3. Executives/Managers must assess the seriousness of the alleged misconduct by considering:
 - the actual/potential impact of the alleged misconduct on the work of the Organisation, the employee's division, colleagues, and the public;
 - the nature of the employee's work and responsibilities; and
 - the circumstances in terms of which the alleged misconduct took place.

6. PROCEDURE: DISCIPLINARY ACTIONS

6.1. Corrective Counselling

In cases where the seriousness of the misconduct warrants counselling, the Manager of the employee must:

- bring the misconduct to the employee's attention;
- determine the reasons for the misconduct and give the employee an opportunity to respond to the allegations;
- seek to get agreement on how to remedy the conduct; and
- take steps to implement the agreed course of action.

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6.2. VERBAL WARNINGS

In cases where the seriousness of the misconduct warrants a verbal warning, the manager of the employee may give a verbal warning. The manager must inform the employee that further misconduct may result in more serious disciplinary action, and record the warning.

Verbal warnings remain valid for three (3) months. If during the validity of the warning, the employee is subjected to disciplinary action on the same or related transgression, the warning may be taken into account in deciding an appropriate sanction.

6.3. WRITTEN WARNINGS

In cases where the seriousness of the misconduct warrants a written warning, the manager may give the employee a written warning.

The following provisions apply to written warnings:

- The written warning must be given in the prescribed form.
- The manager must give a copy of the written warning to the employee, who must sign receipt of it. If the employee refuses to sign receipt, the manager must hand the warning to the employee in the presence of another employee, and sign in confirmation that the written warning was conveyed to the employee.
- The written warning must be filed in the employee's personal file.
- A written warning remains valid for six (6) months. At the expiry of the six (6) months, the written warning must be removed from the employee's personal file by the HR manager and destroyed.
- If during the six-month period, the employee is subject to disciplinary action on the same or related transgression, the written warning may be taken into account in deciding an appropriate sanction.

6.4. FINAL WRITTEN WARNINGS

In cases where the seriousness of the misconduct warrants a final written warning, a formal enquiry must be held where evidence would be led to prove allegations against the employee. If the employee has been found guilty of the offence, the Chairperson of the hearing may give the employee a final written warning.

The following provisions apply to final written warnings:

- The final written warning may be given in the prescribed form.
- The Chairperson of the hearing must give a copy of the final written warning to the employee, who must sign receipt of it. If the employee refuses to sign receipt thereof, the Chairperson of the hearing must hand the warning to the employee in the presence of another employee, who must sign in confirmation that the final written warning was conveyed to the employee.
- The copy of the final written warning must be given to the Human Resources Unit and should be filed in the employee's personal file.
- A final written warning remains valid for six (6) months. At the expiry of the six (6) months, the final written warning must be removed from the employee's personal file by the HR Manager and destroyed.
- If during the six-month period, the employee is subject to disciplinary action on the same or related transgression, the final written warning may be taken into account in deciding an appropriate sanction.
- For the purpose of determining appropriate disciplinary actions, valid warnings for similar or related transgressions by the employee shall be taken into account.

6.5. SERIOUS MISCONDUCT

If the alleged misconduct justifies a more serious form of disciplinary action, the employer may initiate a disciplinary enquiry. The employer must appoint a person as its representative, to initiate the enquiry.

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6.6. DISCIPLINARY ENQUIRY

6.6.1. Notice of Enquiry

The employee must be given notice of a hearing at least five (5) working days before the date of the hearing.

The employee must sign receipt of the notice. If the employee refuses to sign receipt of the notice, it must be given to the employee in the presence of a fellow employee who shall sign in confirmation that the notice was conveyed to the employee.

The written notice of the disciplinary hearing must be given in the prescribed format and should provide:

- a description of the allegations of misconduct and the main evidence on which the employer will rely;
- details of the time, place and venue of the hearing; and
- information on the rights of the employee to representation by a fellow employee or a recognised trade union, and to bring witnesses to the hearing and submit evidence at the hearing.

6.6.2. Precautionary Suspension

The employer may suspend an employee on full pay if:

- the employee is alleged to have committed a serious offence; and
- the employer believes that the presence of an employee at the workplace might jeopardise any investigation into the alleged misconduct, or endanger the well-being or safety of any person or the GEPF property.

A suspension of this kind is a precautionary measure that does not constitute a judgement, and must be on full pay.

During a period of suspension the employee remains entitled to all benefits and leave is accrued on the same basis as always during this period. If an employee is unable to take leave as a result of a suspension, such leave cannot be

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forfeited, since the employee did not forfeit the leave as a result of his/her own doing.

If an employee is suspended as a precautionary measure, the employer must hold a disciplinary hearing within sixty (60) days of the date of suspension. The Chairperson of the hearing must then decide on any further postponement should there be valid reason for such postponement.

6.6.3. Conducting the Disciplinary Hearing

The following checklist must be complied with in order for the disciplinary hearing to be fair:

The disciplinary hearing must be held within ten (10) working days after the notice referred to in paragraph 7.1.5.6.1 is delivered to the employee.
The employer must appoint a person as Chairperson of the disciplinary hearing.
If the employee wishes, he/she may be represented in the hearing by a fellow employee, a representative or an official of a recognised trade union.
If necessary, an interpreter may attend the hearing.
In a disciplinary hearing, the general rule is that neither the employer nor the employee may be represented by a legal practitioner, unless:
<ul style="list-style-type: none">i) The employee is a legal practitioner;ii) The employee is a member of the Executive Team;iii) The employee is the PEO; andiv) The particular nature of the allegations and their implications warrant it. <p>For the purposes of this agreement, a legal practitioner is defined as a person who is admitted to practice as an advocate or an attorney in South Africa.</p>
If the employee fails to attend the hearing and the Chairperson concludes that the employee did not have a valid reason, the hearing may continue in the employee's absence.
The Chairperson must keep a record of the notice of the disciplinary hearing and the proceedings of the meeting.
The Chairperson will read the notice for the record and start the hearing.
The representative of the employer will lead evidence on the conduct giving rise to the hearing.
The employee or the employee's representative may question any witness introduced or evidence led by the representative of the employer.
The employee will be given an opportunity to lead evidence.

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The representative of the employer may question the witnesses and evidence led.
The Chairperson may ask any witness questions for clarification.
If the Chairperson decides that the employee has committed misconduct, he/she must inform the member of the finding and the reasons for it.
Before deciding on a sanction, the Chairperson must give the employee an opportunity to present relevant circumstances in mitigation.
The representative of the employer may also present aggravating circumstances.
The Chairperson must communicate the final outcome of the hearing to the employee and the employer within five (5) working days after the conclusion of the disciplinary enquiry, and the outcome must be recorded on the employee's personal file.

6.7. Sanctions

If the Chairperson finds that an employee has committed misconduct, the Chairperson must pronounce a sanction (within the period referred to in paragraph 7.1. above, depending on the nature of the case and the seriousness of the misconduct. The employee's previous record and any mitigating/aggravating circumstances must also be considered in the process.

Sanctions may take the form of any one of the following:

- counselling;
- a written warning;
- a final written warning;
- suspension without pay, for no longer than three months;
- demotion;
- a combination of the above; or
- dismissal.

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With the agreement of the employee, the Chairperson may only impose the sanction of suspension without pay or demotion as an alternative to dismissal. If an employee is demoted, after a year he/she may apply for promotion without prejudice.

6.7.1. External Disciplinary Hearing

For all Executives and in certain instances, the employer and the employee charged with misconduct may agree that the disciplinary hearing will be chaired by an independent arbitrator. The decision of the independent arbitrator will be final and binding and only subject to review by the Labour Court.

All the provisions applicable to disciplinary hearings in terms of this Code and Procedure, will, with the necessary changes required, apply for purposes of such hearings. The employer will be responsible to pay the costs of the arbitrator.

For purposes of a disciplinary hearing in terms of this paragraph both the employer and the employee may be represented by a legal practitioner.

6.7.2. Appeal Procedure

An employee may lodge an appeal against a disciplinary action by completing the appeal form (**Form 7**) and submitting it to the Human Resources Office within five (5) working days of notification of the disciplinary hearing. This letter must include the basis upon which the individual wishes to appeal.

An appeal may be based on grounds such as:

- an incorrect finding based on the facts or the law; and/or
- the disciplinary procedure was not adhered to;
- bias or corruption on the part of the Chairperson;
- the decision of the Chairperson was substantively and procedurally unfair;
- a penalty that was too harsh in the circumstances.

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Where an employee lodges an appeal outside the prescribed time-frame, such appeal shall be accompanied by an explanation of the late lodging of the appeal, citing valid reasons for the delay as well as the period of delay. The Human Resources Manager may, on good cause shown, allow the appeal to proceed.

The Appeal Panel shall be appointed by the PEO and should consist of a member of the Management/Executive Team, the Chairperson and a Human Resources Representative. In cases where the PEO leads the charges against an employee, then such appeal should be chaired by the Independent Chairperson of the Remuneration Committee.

In the case of the PEO, his/her appeal must be forwarded to the Chairperson of the BOT or his/her nominee, who must appoint an appeal authority.

No oral evidence shall be led in respect of the appeal and the appeal hearing shall, in the main, be confined to the review of the transcript/record, audiotapes and other documentation of the disciplinary enquiry.

The Appeal Panel will determine the appeal on the documents before it.

The Appeal Panel shall decide within ten (10) working days of the appeal being lodged whether the appeal will be upheld or dismissed and will furnish the parties with its written finding (Form 8), and if necessary, ensure that the appropriate action is taken without delay.

6.7.3. **The Outcome of the Appeal will be One of the Following:**

- to uphold the disciplinary outcome decision and/or sanction; or
- to overturn the disciplinary outcome decision and/or sanction; or
- to amend the disciplinary outcome decision and/or the sanction.

Where an employee has been dismissed and successfully appeals the dismissal, the Appeal Panel may reinstate the employee on full benefits retrospectively, depending on the circumstances.

The decision of the Appeal Panel will be final.

If the employee is dissatisfied with the outcome, he/she may invoke the external dispute resolution mechanisms applicable as provided under the Labour Relations Act, 1995.

7. ACTS OF MISCONDUCT

An employee will be guilty of misconduct if she/he, among other things (this list is not exhaustive):

- Fails to comply with, or contravenes an Act, regulation or legal obligation (that will make him /her unfit to perform his/her duties)
- Wilfully or negligently mismanages the finances of the Organisation
- Without permission possesses or wrongfully uses the property of the Organisation or that of another employee and/or a visitor.
- Wilfully, intentionally or negligently damages and/or causes loss of the Organisation's property.
- Endangers the lives of self or others by disregarding safety rules or regulations in the workplace.
- Prejudices the administration, discipline or efficiency of a division, office or the Organisation.
- Misuses his/her position in the Organisation to promote or to prejudice the interest of any political party.
- Steals, bribes or commits fraud.
- Accepts any compensation in cash or otherwise from a member of the public or another employee in the course of performing her/his duties.
- Fails to carry out a lawful/legal/reasonable order or routine instruction without just or reasonable cause.
- Absents or habitually absents herself/himself from work without reason or permission.
- Commits an act of sexual harassment.
- Commits an act of harassment.

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- Discriminates against others on the basis of race, gender, disability, sexuality or other grounds outlawed by the Constitution.
- Performs poorly or inadequately for reasons other than incapacity.
- Without written approval from the PEO, performs work for compensation in a private capacity for another person or organisation either during or outside working hours.
- Sleeps on duty.
- While on duty, is under the influence of an intoxicating, illegal, unauthorised, habit-forming drug, including alcohol.
- While on duty, conducts herself/himself in an improper, disgraceful and unacceptable manner.
- Contravenes any prescribed Code of Conduct of the Organisation.
- Assaults, or attempts or threatens to assault, another employee or person while on duty.
- Incites other personnel to behave in an unprocedural manner and/or unlawful conduct.
- Displays disrespect towards others in the workplace or demonstrates abusive or insolent behaviour.
- Intimidates or victimises fellow employees.
- Prevents other employees from belonging to any trade union or body.
- Operates any money lending scheme for employees for own benefit during working hours or from the premises of the Organisation.
- Carries or keeps firearms or other dangerous weapons on the GEPP's premises, without the written authorisation of the employer.
- Refuses to obey security regulations.
- Gives false statements or evidence in the execution of her/his duties.

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- Falsifies records or any other documentation.
- Participates in unprocedural, unprotected and/or unlawful industrial action.
- Commits a common law or statutory offence while on the GEPF's premises.
- Absconding from the workplace:
 - Where the GEPF is satisfied beyond reasonable doubt that the employee has over a period of fourteen (14) consecutive days absconded and has no intention of returning to their employ the contract may be terminated subject to a disciplinary hearing held (even in the absence of the employee).
 - An employee may be given the option of returning to their employ after seven (7) working days.
 - Extension on absconding may be given if there are valid grounds, i.e. arrested or incarcerated.

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GUIDELINE ON OFFENCES AND SANCTIONS

(NB: THE LIST IS NOT EXHAUSTIVE)

Offence	1 st Offence	2 nd Offence	3 rd Offence	4 th Offence
TIME-KEEPING				
Arriving late for work at beginning of day or after meal interval	Verbal warning	Written warning	Final written warning	Dismissal
Leaving early at the end of the day or before meal interval without authorisation	Verbal warning	Written warning	Final written warning	Dismissal
Sleeping on duty	Written warning	Final written warning	Dismissal	
Unexplained absence from work for less than fourteen (14) days	Written warning	Final written warning	Dismissal	
Unexplained absence from work for more than fourteen days without a valid reason	Final written warning	Dismissal		
Failure to produce a medical certificate after being requested to do so after taking sick leave	Written warning	Final written warning	Dismissal	
WORK RELATED AND SAFETY OFFENCES				
Negligent damage to equipment/property	Verbal warning	Written warning	Final written warning	Dismissal
Intentional damage to equipment/property	Written warning	Final written warning	Dismissal	
Negligent failure to comply with safety rules	Written warning	Final written warning	Dismissal	
Intentional failure to comply with safety rules	Final written warning	Dismissal		
Smoking in a non-designated area	Final written warning	Dismissal		
ALCOHOL OR DRUG RELATED OFFENCES				
Being under the influence of alcohol/drugs while on duty	Final written warning	Dismissal		
In possession of drugs not prescribed to the possessor on company premises	Final written warning	Dismissal		
Unlawful distribution of alcohol or drugs on company premises	Dismissal			
ATTITUDE				
Using abusive or insulting language to co-workers	Final written warning	Dismissal		
Using abusive or insulting language to Manager	Final written warning	Dismissal		
Using abusive or insulting language to clients or customers	Dismissal			
Refusal to carry out lawful and reasonable instructions	Final written warning	Dismissal		
Intimidation/sexual harassment of any person	Dismissal			
DISHONESTY				
Fraud, falsification of records, bribery or corruption	Dismissal			
Performing unauthorised private work	Written warning	Final written warning	Dismissal	
Unauthorised possession of employer property or property of co-worker(s)	Dismissal			
Abuse of sick leave	Final written warning	Dismissal		
Unauthorised disclosure of information	Dismissal			
OTHER SERIOUS OFFENCES				
Theft	Dismissal			
Intimidation and/or assault	Dismissal			
Gross negligence	Dismissal			

8. GRIEVANCE PROCEDURE

A grievance is any dissatisfaction or feeling of injustice felt by an employee, or group of employees' in connection with the employment situation or work that is brought to the attention of the person who manages the individual or group, and which warrants the formal attention of the GEPF at any level, but excluding an appeal against a disciplinary/incapacity matter which is covered under the disciplinary/incapacity procedure.

It is incumbent upon all employees to ensure that they familiarise themselves with the process to follow when lodging a grievance. This Chapter will be included in the on-boarding process for all new employees.

8.1. POLICY OVERVIEW

The GEPF acknowledges that any employee who has a grievance, or is dissatisfied with any matter concerning the work situation shall have the right to lodge a written grievance with the Organisation.

It is the objective of the GEPF to:

- Resolve or facilitate the effective handling of grievances that may arise from time to time as expeditiously as possible at the earliest stage and where practical, as close as possible to the sources in the Organisation;
- Establish mechanisms to ensure that all employees have recourse to higher levels of authority should grievances arise between a subordinate and a supervisor/line manager, between colleagues or between an employee and the Organisation; and
- Ensure that a formal procedure exists to bring grievances to the attention of management without fear of discrimination or victimisation.

8.2. GENERAL PRINCIPLES

As a general rule this procedure is designed to handle, process and settle the grievances of employees in a systematic manner, by endeavouring to establish all the facts and by means of the prescribed channels of communication.

Mutual acceptance of and support for the procedure by the GEPF and all employees.

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The grievance procedure shall not interfere with the rights of an employee which are enshrined in the laws of the country.

Participation in this procedure does not constitute an agreement to extend any time-frames stipulated in relevant legislation.

An employee who wishes to register a grievance in terms of this procedure must do so within thirty (30) days of the date of the act or omission that gave rise to the grievance of such employee(s), or if it is a later date, within thirty (30) days of the date on which the employee became aware of the act or omission.

Any grievance must be made in writing.

Employees are required to use the Grievance Procedure and must attempt to resolve an issue(s) internally before referring the grievance to any external process.

All proceedings, whether informal or formal, should, as far as is practicable, remain confidential; and

In the event of a failure to obtain a satisfactory outcome pursuant to the lodging of a grievance, the aggrieved employee will be entitled to proceed to the next stage of the Grievance Procedure or to approach the Human Resources Unit for advice.

8.3. STAGES OF THE GRIEVANCE PROCEDURE

STAGE 1 – Direct Supervisor/Manager
The aggrieved employee(s) must attempt to settle the problem informally through discussion with his/her/their direct supervisor/manager. The matter must be resolved within five (5) working days of the date on which the employee registered his/her/their grievance. In the case of an Executive the matter must be referred to the Chairperson of the REMCO. In the case of the PEO, the matter must be referred to the Board of Trustees.
STAGE 2 – Divisional Executives
If the grievance is not resolved in stage one (1) above or there is unhappiness with the outcome, the direct supervisor/manager must be notified that the grievance will be forwarded formally to the next level of authority. The grievance must be raised with the divisional executive within five (5) working days of the outcome of stage 1 proving to be unsatisfactory. The employee(s) may, if he/she/they so wish, request a representative (another employee(s)) to assist in this stage of the process.
The grievance must be put in writing using the prescribed form and action taken or solution proposed must be put in writing by the direct supervisor/manager on the prescribed form annexed to this procedure.
Within five (5) working days or as soon as possible after receiving the signed statements,

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the relevant executive/manager must attempt to resolve the grievance.
The divisional executive manager must communicate his/her decision in writing on the prescribed form within a period of two (2) days to the aggrieved employee(s) and his/her/their supervisor/manager. If the employee(s) was assisted by a representative, a copy of the decision must be given to the representative.
If necessary, an interpreter must be present to ensure that the employee(s) fully understands the position.
Copies of the grievance forms should be kept by the Manager: Human Resources for record purposes.
STAGE 3 – PEO
If the employee(s) is/are not satisfied with the decision taken in stage two (2) above, the divisional executive must be notified within five (5) working days of receipt of the decision that there is an intention to raise the grievance with the PEO or his/her nominee who within five (5) working days or as soon as possible after receiving the signed statements, must meet all the parties involved in the grievance and hold a formal grievance enquiry.
The PEO or his/her nominee must then inform all the participants concerned of the decision take within said time period of five (5) days using the prescribed form annexed to this procedure. If the employee(s) was/were assisted by a representative, a copy of the decision must be given to the representative.
Copies of the grievance forms should be kept by the Manager: Human Resources for record purposes.
The time frames referred to may be extended by mutual agreement.
STAGE 4
If the employee/s is not satisfied with the outcome of the handling of the grievance in stage 3, he/she/they may refer the dispute to the Commission for Conciliation, Mediation and Arbitration.

9. INCAPACITY: POOR WORK PERFORMANCE

- 9.1. In terms of the GEPF's appointment policies and procedures, a newly appointed employee is placed on probation for 6 months during which time the employee's suitability for permanent employment is assessed.

When appropriate, the GEPF should give a new employee any evaluation, instruction, training, guidance or counselling the employee requires to render satisfactory service. Dismissal during the probationary period should be preceded by an opportunity for the employee to state a case in response and to be assisted by a fellow employee.

Upon conclusion of the probationary period an employee should not be dismissed for unsatisfactory performance unless the employer has:

- (a) Given the employee appropriate evaluation, instruction, training, guidance or counselling; and
- (b) After a reasonable period of time for improvement, the employee continues to perform unsatisfactorily.

The procedure leading to dismissal should include an investigation to establish the reasons for the unsatisfactory performance and the employer should consider other ways, short of dismissal, to remedy the matter.

In the process, the employee should have the right to be heard and to be assisted by a fellow employee.

- 9.2. Guidelines in cases of dismissal for poor work performance for all employees:

In the process of determining whether a dismissal for poor work performance is unfair it should be considered:

- (a) Whether or not the employee failed to meet a performance standard; and
- (b) If the employee did not meet the required performance standard whether or not:
 - (i) The employee was aware, or could reasonably be expected to have been aware, of the required performance standard;
 - (ii) The employee was given a fair opportunity to meet the required performance standard; and

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- (iii) Dismissal was an appropriate sanction for not meeting the required performance standard.

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FORMS AND STANDARD DOCUMENTS

FORM
WRITTEN WARNING

[DATE]

[NAME OF EMPLOYEE]

[PERSONAL DETAILS OF THE EMPLOYEE]

This is a written warning in terms of the disciplinary procedure. Should you engage in further misconduct, the written warning may be taken into account in determining a more serious sanction.

The written warning will be placed in your personal file and will remain valid for a period of six (6) months from the date of the written warning. After six (6) months the written warning will be removed from your personal file and be destroyed.

If you object to the warning, you may direct an appeal to **[NAME]** within five (5) working days.

The nature of the misconduct is:

SIGNATURE OF EMPLOYEE
DATE

SIGNATURE OF SUPERVISOR
DATE

SIGNATURE OF WITNESS (If applicable)
DATE

[DATE]

[NAME OF EMPLOYEE]

[PERSONAL DETAILS OF THE EMPLOYEE]

This is a final written warning in terms of the disciplinary procedure. Should you engage in further transgressions, it could lead to formal misconduct proceedings being instituted against you.

This final written warning will be placed in your personal file and will remain valid for a period of six (6) months from the date of the written warning. After six (6) months the written warning will be removed from your personal file and be destroyed.

If you object to the warning, you may direct an appeal to **[NAME]** within five (5) working days.

The nature of the misconduct is:

SIGNATURE OF EMPLOYEE
DATE

SIGNATURE OF REPRESENTATIVE OF THE EMPLOYER
DATE

SIGNATURE OF WITNESS (If applicable)
DATE

[DATE]

[NAME OF EMPLOYEE]

[PERSONAL DETAILS OF THE EMPLOYEE]

You are hereby given notice to attend a disciplinary hearing in terms of clause 7.1.5 of the Disciplinary Code.

Charge:

The alleged misconduct and available evidence are:

[A DETAILED DESCRIPTION OF MISCONDUCT MAY BE ATTACHED].

The meeting will be held at _____ **[PLACE]** on _____ **[DATE]** at _____ **[TIME]**.

If you do not attend and cannot give reasonable grounds for failing to attend, the meeting will be held in your absence.

A fellow employee or a representative of a recognised union may represent you.

You may give evidence to the hearing in the form of documents or through witnesses. You will be entitled to question any witness introduced by the employer.

If the enquiry holds that you are guilty of misconduct, you may present any relevant circumstances in determining the disciplinary sanction.

SIGNATURE OF EMPLOYEE

DATE

SIGNATURE OF REPRESENTATIVE OF THE EMPLOYER

DATE

SIGNATURE OF WITNESS (If applicable)

DATE

*This section to be completed by the **employee***

Name of employee:

.....

Department and Designation:

.....

Name of representative (if applicable):

.....

Nature of grievance(s):

.....
.....
.....
.....
.....

Suggested resolution of grievance(s) desired:

.....
.....
.....
.....

.....
Signature of **employee**

.....
Date

.....
Signature of **employee representative**

.....
Date

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FORM GRIEVANCE PROCEDURE FORM

*This section to be completed by **Manager***

Name of employee:

.....

Department and Designation:

.....

Nature of grievance(s):

.....
.....
.....
.....
.....
.....
.....
.....

Outcome of investigation/ Solution proposed:

.....
.....
.....
.....

.....
Signature of supervisor

.....
Date

.....
Signature of employee(s)

.....
Date

FORM
GRIEVANCE PROCEDURE FORM

*This section to be completed by the **Divisional Executive***

Outcome:

.....
.....
.....
.....
.....
.....

If after discussion, the outcome of settlement is acceptable to the **employee** the following signatures are required:

.....
Signature of **employee**

.....
Signature of divisional executive

If settlement is not reached the **manager** should state the reason(s): (Attach additional documentation if necessary)

.....
.....
.....
.....
.....

.....
Signature of divisional executive

.....
Date

.....
Signature of **employee(s)**

.....
Date

FORM
GRIEVANCE PROCEDURE FORM

*This section to be completed by the **PEO***

Outcome:

.....
.....
.....
.....
.....
.....
.....

Signature of PEO or nominee:

.....

If after discussion, the outcome of settlement is acceptable to the **employee** the following signatures are required:

.....

Signature of **employee**

.....

Signature of PEO

If settlement is not reached the PEO should state the reason(s): (Attach additional documentation if necessary)

.....
.....
.....
.....
.....

.....

Signature of PEO or nominee

.....

Date

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APPEAL FORM

Mr / Ms:.....

Department:.....

Date:.....

Mark with an 'X' where applicable:

I wish to appeal against the finding of guilty -

I wish to appeal against the sanction imposed -

I wish to appeal against both the finding of guilty and the sanction imposed -

GROUND FOR APPEAL:

.....

.....

.....

.....

.....

.....

Employee Signature

Date

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APPEAL DECISION AND REASONS

Mr / Ms:.....

Department:.....

Date:.....

CONSIDER APPEAL GROUNDS:

.....
.....
.....
.....

APPEAL DECISION:

.....

Finding:

.....
.....
.....

Conclusion:

.....

Appeal Panel

Name:

Designation:

Date:

DISMISSAL / SUMMARY DISMISSAL

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Mark applicable warning with an 'X'

DISMISSAL -

SUMMARY DISMISSAL -

Mr / Ms:.....

Department:.....

Date:.....

Description of incident:

(Set out sufficient details of the incident)

I refer to the disciplinary enquiry held on _____ and confirm that your behaviour in connection with the abovementioned incident was unacceptable in terms of the disciplinary policy, code and procedure.

Having taken into account both the mitigating and aggravating factors in this case and also noting the seriousness of the transgression(s), the appropriate sanction under the circumstances is that you are summarily dismissed or you are dismissed (**delete whichever is not applicable**) with one (1) month notice pay.

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You have the right to appeal against this sanction. Should you exercise your right to appeal, you must submit your appeal on the prescribed form to the Human Resources Manager within four (4) working days of receipt of this letter.

We thank you for your co-operation.

For and on behalf of GEPP

Chairperson of Enquiry

Date

Employee Signature

Date

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Appointment of the Investigator Form

Mr / Ms:

Department:

APPOINTMENT TO INVESTIGATE ALLEGED MISCONDUCT

You are hereby appointed to investigate the following:

1.;
2.;
3. any misdemeanour on the part of the aforementioned employee; and
4. the impact on the efficiency of the Fund.

You may request any documents and may interview any person(s) whom you deem necessary in order to conduct a proper investigation.

You must submit a report to (relevant supervisor/line manager) within ten (10) working days after the conclusion of the investigation, which will contain your findings and recommendations.

I would like to thank you for your willingness to investigate this matter.

For and on behalf of GEPPF

Line Manager/PO/HRM

Signature of the appointee

Date

Date Received

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Notification of Suspension

Mr / Ms:.....

Department:.....

Date:.....

Re: SUSPENSION LETTER

1. This letter serves to notify you that the Fund has become aware of serious allegations against you involving contravention of rules and regulations which require immediate investigation.
2. Due to the nature of the allegations against you, you are suspended on full pay and on normal benefits pending the outcome of the disciplinary enquiry. You are also prohibited from entering or being in the vicinity of any place of business of the Fund, other than for the purposes of attending the disciplinary enquiry.
3. You are prohibited from contacting or intimidating employees of the Fund. Should you require access to the premises and/or other employees for purposes of preparing for the disciplinary enquiry, you are required to obtain written permission therefore from the undersigned, which permission will not be unreasonably withheld.
4. During the period of your suspension you are required to:
 - a. contact your Line Manager telephonically every Monday, Wednesday and Friday of each week commencing from (date)..... between 09h00-09h30 each day for easy communication and contact with the Fund whilst on suspension.
 - b. make yourself available at any given time to assist the investigation team.

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5. You will be informed of the date of the disciplinary enquiry in due course.
6. Should you have any query regarding the content of this letter, please contact the Human Resources Manager.

Yours sincerely,

For and on behalf of GEPF

Line Manager/PO

Date

Signature of the Employee

Date

CHAPTER 5

TOTAL REWARDS STRATEGY

(REMUNERATION, REWARD AND PERFORMANCE MANAGEMENT)

Chapter 5 includes all aspects of Total Rewards, Remuneration, Performance Management and Job Evaluation Policies

1. TOTAL REWARDS POLICY

The Total Rewards Strategy informs the Performance Management Policy and the Remuneration and Reward Policy. These should all be read together to ensure clarity and consistency.

- 1.1. The Strategy is aimed at creating a Total Rewards environment that attracts, measures and retains sufficient employees of the right calibre and competence, and motivates them to perform in alignment with the GEPPF's Strategic Goals and Objectives. At the same time GEPPF aims to reward outstanding achievement by recognising those who perform outstanding and exceptional work.
- 1.2. The value of a Total Rewards Strategy and related policies is that it meaningfully integrates with the Human Resources Strategy and other relevant related elements, to the extent that it contributes to improved organisational performance and employee engagement.
- 1.3. Total rewards relate to the components outlined in the table below:

Table 8.1

Individual	Tangible		Group
	<u>Compensation</u>	<u>Variable pay</u>	
	Base pay Benefits: Provident Fund Medical Scheme Paid time off	Short term incentives	
	<u>Learning and development</u>	<u>Work environment</u>	
	Training Workplace development Career development Performance management	Organisational values / culture Leadership Recognition Employee Engagement Work-life balance	
	Intangible		

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- 1.4. The Strategy is aimed at creating an integrated approach to rewards management in the GEPF which supports the Organisational Strategy, Mission, Vision and Strategic Objectives and assists GEPF to create an Employee Value Proposition thus resulting in it being viewed as an Employer of Choice.
- 1.5. The overall strategic aims of the GEPF's Total Rewards Strategy are to:
- Develop and implement the appropriate reward and recognition policies, processes and practices required to support the achievement of GEPF's Goals by helping to ensure that GEPF has the ability to attract and retain competent, well-motivated and committed people to meet its short, medium and long term employee requirements at all levels;
 - Motivate and reward its employees through performance related rewards and recognition to enable them to achieve their full potential;
 - Maximise the employees' value added contributions to the business, operational and strategic success of GEPF and thus optimise stakeholder satisfaction; and
 - Minimise costs to GEPF arising out of the loss of trained and experienced employees.
 - The GEPF recognises that the Rewards Strategy is an integrated business issue and needs to be aligned with the Organisational Strategy. The Rewards Strategy will therefore have a direct impact on the operational expenditure, profitability, organisational culture, employee behaviour and ultimately the sustainability of the GEPF.
- 1.6. The Total Rewards Strategy will at all times align with the strategic direction and specific value drivers of GEPF and at the same time acknowledge our focus on building a high performance driven organisation. This strategy supports GEPF's Vision, Mission and Values.
- 1.7. As such, a compelling rewards and remuneration strategy will play a critical role in attracting and retaining high performing individuals, thereby supporting GEPF's commitment to ensuring competitiveness in the Financial Sector and more specifically the Retirement Fund Industry. Through the Total Rewards Strategy GEPF will also reinforce, encourage and promote superior performance and achievement of the organisation's strategic goals.
- 1.8. Total Rewards will not be a stand-alone management process, but will be fully integrated with the Human Resources Strategy and any other relevant management processes.

- 1.9. Rewards will consider the economic impact on GEPP and will also be commensurate with the practices in the country.
- 1.10. The Total Rewards Strategy is diagrammatically represented in Figure 8.1.

Figure 8.1: Total Rewards Strategy



2. TOTAL REWARDS STRATEGY

GEPP competes for talent within the South African National Market with specific reference to the South African National Market. The South African National Market Median (50th Percentile) is thus adopted as the anchor point for remuneration practices at GEPP and the 75th Percentile is adopted as the anchor point for all critical jobs/skills as identified in the critical workforce segmentation guidelines which will be reviewed from time to time in alignment with the GEPP's strategic objectives.

2.1. DESIGN PRINCIPLES

The following design principles will govern the GEPP's Total Rewards Strategy:

Competitive Pay Levels	GEPP is committed to paying remuneration packages that are competitive relative to the defined target market.
Pay for Performance	GEPP firmly believes that, in order for its employees to maximize their potential contribution to the organization, it must adopt policies which encourage and reward high performing employees, and drive value added delivery and contributions to the Organisation.

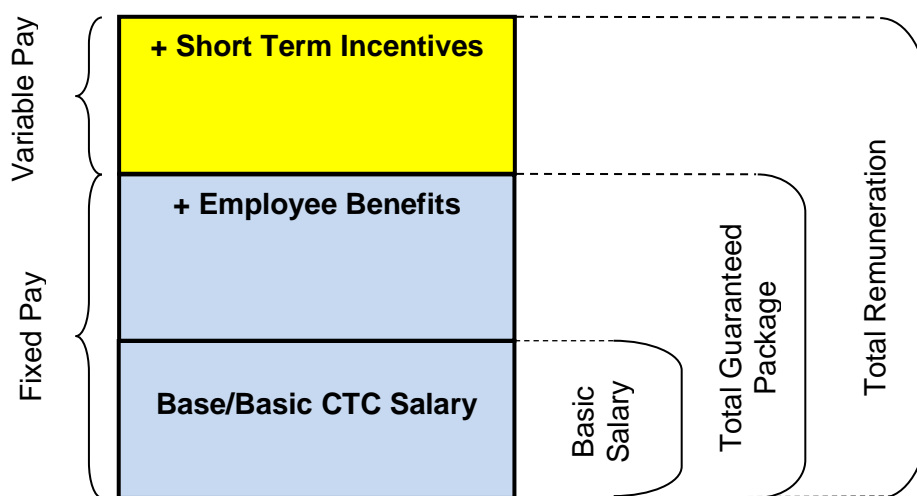
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Internal Equity	Remuneration differentiation between employees will be based on criteria that are fair, objective and transparent. Wherever possible, GEPF will be guided by market related pay and reward structures in developing its own reward frameworks. In following this approach, the GEPF will seek to balance external market pay rates with its own internal organizational pay equity.
Cost Management	<p>GEPF will manage the total cost of employment for all employees. GEPF also has responsibilities towards its stakeholders, and must ensure that its Total Rewards Strategy and practices do not have a negative impact on the organisation's long term operational and business objectives, and cost effective, affordable services.</p> <p>Any adjustments in the level of GEPF's compensation to employees in the form of pay, benefits and allowances must therefore be subject to the principles of financial affordability and sustainability, solvency and liquidity.</p>
Holistic Approach	<p>GEPF chooses to adopt an integrated approach to its Total Rewards Strategy. The Total Rewards Strategy solution of the organisation should encompass a balanced design that includes all of the following components:</p> <ul style="list-style-type: none">• Guaranteed Pay• Variable Pay• Performance Management• Career Growth and Development• Non-Financial Rewards & Recognition• Work Environment
Regular Revision	GEPF recognises that the Total Rewards Strategy and each component of the Remuneration Policy are dynamic and should be revisited regularly to ensure that its remuneration approach keeps pace with both the Organisation's objectives and market practices.
Communication	GEPF is committed to ensuring that all employees are aware of the Total Rewards Strategy.
Transformation	GEPF will, where required to, use its reward practices to assist in its transformation objectives.

2.2. MARKET POSITION

The South African National Market Median will be utilised for remuneration design including the pay scale design. GEPF will anchor its remuneration at the 50th percentile for support personnel but for critical skills it will anchor at the 75th percentile, as it recognizes the need to pay a premium for the attraction and retention of mission critical and core skills. GEPF will utilise the various Skills Categories as described in the Critical Workforce Segmentation document as a guideline in this respect. The market position in general will be as follows:

Figure 8.2: Total Remuneration



The management of Total Remuneration will be conducted in accordance with the GEPF Remuneration Policy.

2.3. SERVICE BENEFITS

GEPF subscribes to a Total Rewards Strategy which is based on a meaningful integration of different related elements, to the extent that it contributes to improved organisational performance and employee engagement. The benefits available to GEPF employees are described in further detail in Chapter 2 of the Policy Manual.

2.4. WORK-LIFE BALANCE

GEPF strives to cement its reputation as good corporate citizen, thus it aims to pay particular attention to a manageable balance between employees' work commitments and life demands to enable them to achieve success within and outside the workplace.

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GEPF upholds the highest standards and seeks to add value to the lives of employees through employer-employee interactive engagements, policies, practices and programs to enhance this objective.

2.5. PERFORMANCE AND RECOGNITION

GEPF aims to be a high performance organisation and therefore the basis of establishing an individual's remuneration level within a pay scale will be performance, as described in GEPF's Performance Management policy:

- Performance related pay (PRP) is institutionalised as the norm at the GEPF;
- All employees will have a portion of their pay determined by their individual performance and the Divisional performance;
- Management pay is determined by means of integration of the Individual Performance Management Score and Corporate/Divisional Balanced Scorecard (BSC) Score as illustrated in the Annual Increases.
- The Non-Management performance based pay will be implemented in a phased approach which will include the integration of the Average Individual Performance Management Score and the Divisional Balanced Scorecard (BSC) Score. A phased approach will be followed as Illustrated in the Annual Increases. These will be referenced in greater detail in the Remuneration Policy.
- The Balanced Scorecard Measures will be determined annually by consensus agreement at the Annual Strategy Session and will be ratified by the Board.

2.5.1. Incentive Schemes

Incentive Schemes are based on the GEPF Remuneration Policy. It is important that alignment is ensured between the following elements of the Human resources Management Strategy:

- Total Rewards Strategy;
- Performance Management; and
- Short Term Incentive Scheme

2.5.2. **Short Term Incentive Scheme**

The Short Term Incentive Scheme is applicable to all employees regardless of level. Short term incentives, annually determined by market benchmarks, will only be paid under the following conditions:

- A GEPF Performance Rating of “On-Target” must be achieved;
- A Performance Score of “Above- Average Performance” must be achieved to qualify for a Short Term Incentive Bonus; and
- The incentive will be formula driven taking into account individual; and organisational performance scores calculated as a percentage of total cost to company.

The rules and application of the scheme are described in detail in the Remuneration Policy.

2.5.3. **Pay for Performance**

Pay for Performance is institutionalised at GEPF and each person will have a portion of their pay determined by their Performance Rating. A total performance based Pay System will be applied to all qualifying employees in line with the provisions as outlined in the Remuneration Policy.

2.5.4. **Pay Progression Model**

A Pay Progression Model will be implemented to recognise the performance of each employee and to ensure progression within the pay ranges. The rules, guidelines and elements of the Model are described in Clause 8.2 of the GEPF Remuneration Policy.

2.5.5. **Recognition**

Employees displaying the behaviours associated with the Mission, Vision and Values will be recognised through a formal recognition scheme. This may be awarded via cash or non-cash recognition awards (i.e. non-financial rewards and recognition).

2.5.6. Development and Career Opportunities

The GEPF recognises the need for continuous development by providing learning and development experiences and career growth, so that it enhances employees' skills and competencies so that they are enabled to perform optimally within the organisation. All development and career opportunities will be aligned to the Performance Management and Talent Management Systems utilising Personal Development Planning interventions.

3. REMUNERATION POLICY

3.1. PURPOSE

The Remuneration Policy aims to crystallise the spirit of a total rewards plan envisaged by GEPF, and therefore seeks to ensure that the remuneration and rewards framework matches the strategic needs of GEPF. As such, it seeks to provide specific, motivating direction to guide decisions relating to remuneration in the organisation in line with the broader Total Rewards Strategy of the organisation.

3.2. GEPF STRATEGY

The Government Employees Pension Fund (GEPF) strives to be a best-in-class pension fund, providing financial security, peace of mind and exceptional service to government employees, pensioners and other stakeholders. The GEPF is entrusted as the custodian of a significant portion of the wealth of the public servants in South Africa. In order to effectively and efficiently manage and administer the pensions and related benefits on behalf of its members, pensioners, and other related beneficiaries, the GEPF strives to both administer and provide benefits and related services, and manage and invest government pension funds.

GEPF recognizes that its vision and mission should form the overarching foundation on which its competitiveness and service excellence is built. In this regard, it is important to emphasize the vision of GEPF, namely to be a role model for pension funds world-wide. This vision therefore also forms the cornerstone for a Total Rewards Strategy, which is aligned to the vision through the GEPF Strategic Business Plan as developed and approved from time to time. In particular, any performance related component of total remuneration payable to GEPF employees should be directly related to the achievement of those corporate objectives identified in the GEPF Strategic Business Plan as developed and approved from time to time.

3.3. STRATEGIC AIMS OF THE REMUNERATION POLICY

In line with the Total Rewards Strategy of GEPF, the overall strategic aim of the Remuneration Policy is to develop and implement the reward policies, processes and practices required to support the achievement of the organisation's goals by helping to ensure that GEPF has the ability to attract and retain competent, well-motivated and committed people.

The objective is therefore to create reward processes that are based on beliefs about what the organisation values and is prepared to pay for. The Remuneration Policy is therefore driven by the need to reward the right outcomes to convey the right message about what is important in terms of expected behaviours and outputs.

The GEPF's remuneration practice will reflect the dynamics of the market and context in which it operates, thus alignment with the Retirement Fund Sector will also be targeted with the aim of creating equity within the Pension and Retirement Fund Sector. The GEPF is a respected organisation, recognised for its achievements and leadership in the field of the Retirement Fund Industry.

The Remuneration Policy will at all times align with the strategic direction and specific value drivers of the GEPF and at the same time acknowledge our focus on building a high performance driven organisation.

3.4. REMUNERATION PHILOSOPHY

The Remuneration Philosophy as applicable to the GEPF is as follows:

- The philosophy underpinning the GEPF's Remuneration Policy is the Total Rewards Strategy that supports the Organisation's Vision, Mission, Values and Strategic Goals.
- The GEPF subscribes to the South African National Market Median and thereby ensures that remuneration neither leads nor lags the selected market.
- We believe our Remuneration Policy is a management tool, that, when aligned with an effective communication plan is designed to support, reinforce, and align our values, business strategy, operational and financial needs with a goal of growth and sustainability.
- The GEPF's Remuneration Policy is designed to attract, reward, measure, motivate and retain talented employees who drive the Organisation's success.

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- We believe that for the Organisation to retain mission critical and core skills within its employ, such skills would attract certain premiums as determined by market forces. The GEPF needs to have a particular incentive scheme that will ensure that mission critical skills are engaged, recognised and rewarded appropriately in order to enhance retention and competitiveness in the industry.
- We strive to provide a base salary that meets the Market Median (50th Percentile) when employees are fully proficient and meeting performance and delivery expectations.
- We believe that employees who consistently perform above expectations and are proficient in the role should be rewarded with a higher base pay and incentive payments.
- Employees who are new to their role and / or not meeting performance/delivery expectations would be paid below the targeted Lower Quartile (25th Percentile).
- In addition to base salary, the Organisation will utilize incentive or variable pay as a way to meet the strategic goals. Incentive pay will be available to some employees with consideration of a number of factors and will be based on individual goals that relate to the Organisation's goals as well as overall performance of the Organisation.

The GEPF will work hard to administer the Remuneration Policy in a manner that is consistent and free of discrimination.

3.5. GUIDING PRINCIPLES OF THE GEPF REMUNERATION POLICY

- 3.5.1. The aims and objectives of the GEPF Remuneration Policy will guide the GEPF in its approach to dealing with remuneration and reward.

The three primary aims of the GEPF Remuneration Policy are to:

- articulate a distinctive value proposition for current and prospective employees, which will assist in attracting and retaining employees who have the skills, capabilities and values needed by the GEPF;
- provide a framework for the design, administration, and communication of remuneration and reward programs and practices, which support the achievement of business goals and objectives; and

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- achieve maximum motivational impact and desired behaviour through remuneration and reward programs and practices.

3.5.2. The objectives of the GEPF Remuneration Policy are to enable it to:

- attract, and retain suitably qualified experienced and productive employees to meet the short, medium and long term staffing requirements of the GEPF at all levels;
- motivate and reward its employees through performance related rewards to enable them to achieve their full potential;
- maximize employees' value added contributions to the business, operational and strategic success of the GEPF, and thus to optimize stakeholder satisfaction; and
- minimize costs to the GEPF arising out of the loss of trained and experienced employees.

3.6. RESPONSIBILITIES

Who	What
GEPF	<ul style="list-style-type: none">• Facilitate the implementation through line management of all aspects of the remuneration and related strategies/policies;
	<ul style="list-style-type: none">• Develop and maintain the strategies, information, database records and tools required to implement the remuneration and related policies such as Pay Scales, Job Profiles, Position Grades, Performance Ratings etc.;
	<ul style="list-style-type: none">• Benchmark the GEPF's Remuneration policy and practice on a regular basis, against the relevant market, and make recommendations where changes are required;
	<ul style="list-style-type: none">• Review and render decisions on matters for which the GEPF has delegated powers, ensuring adherence to sound practices and consistency across the GEPF;
	<ul style="list-style-type: none">• Identify, review and take corrective action for all deviations from established remuneration and related strategies/policies.
Line Managers	<ul style="list-style-type: none">• Review and plan the functions to be performed by each employee and prepare, maintain and submit up-to-date job profiles and duty lists;
	<ul style="list-style-type: none">• Review and manage the Level of each job and request the re-evaluation of each job as and when necessary;

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Who	What
	<ul style="list-style-type: none"> Review and manage the performance of each employee in accordance with the GEPF Performance Management Policy;
	<ul style="list-style-type: none"> Ensure the best interest of the GEPF and its employees when making considerations regarding remuneration;
	<ul style="list-style-type: none"> Accurately communicate all elements of the GEPF remuneration structure to employees they are accountable for.
Employee	<ul style="list-style-type: none"> Ensure that Performance Contracts, aligned to Job Profiles and the Organisational Strategy, are completed at the start of each new Performance Cycle;
	<ul style="list-style-type: none"> Ensure that performance is reviewed in accordance with the Performance Management Policy to ensure fair and equitable remuneration;
	<ul style="list-style-type: none"> Inform line management of changes to jobs that may impact on the job grade to enable facilitation of the re-evaluation of the job;
	<ul style="list-style-type: none"> Conform to the requirements of the Remuneration Policy;
	<ul style="list-style-type: none"> Perform work in accordance with the agreed upon job profiles and performance contracts.

3.7. ELEMENTS OF THE REMUNERATION POLICY

In achieving its Remuneration Policy objectives, the GEPF has adopted the following key elements to guide the development of its remuneration and reward practices:

World Class Reward Practice

The GEPF aims to manage its remuneration and reward in line with generally accepted world class reward practices. This includes, amongst others, the pursuance of the principles set out in the table below, which form the basis and guidelines for all reward actions of the GEPF.

These principles underlie the approach and rationale for the payment of remuneration and the provision of rewards to all its employees. The table also indicates the broad processes which could be followed to adhere to each of those principles.

Principles	Processes
Total rewards, including financial and non-financial reward elements	<ul style="list-style-type: none"> Introduce an integrated reward mix, which contains financial and non-financial rewards. Allow for individual flexibility in remuneration

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Principles	Processes
	<p>structuring to accommodate different needs.</p> <ul style="list-style-type: none"> Develop a system of non-financial employee recognition, and motivational rewards.
Reward policies and Practices aligned to business objectives	<ul style="list-style-type: none"> Ensure employee buy-in to business objectives. Align performance agreements to business objectives. Always direct rewards to the achievement of business objectives.
Consistent and fair job evaluation scheme	<ul style="list-style-type: none"> Use comprehensive job specifications as basis for job evaluation. Select most appropriate off-the-shelf or custom job evaluation methodology in accordance with the needs of the GEPF.
Competitive pay through reliable benchmarking	<ul style="list-style-type: none"> Subscribe to reputable local remuneration surveys. Use up-to-date remuneration survey data as basis for benchmarking and related pay adjustments.
Clear, transparent and fair career opportunities	<ul style="list-style-type: none"> Develop career paths for employees. Facilitate training and development in accordance with career paths and organizational needs.
Fair pay which motivates a high performance culture	<ul style="list-style-type: none"> Improve performance measurement system so that it supports a high performance culture. Perform consistent pay reviews, which ensure equal pay for work of equal value.
Manage performance to facilitate developmental and performance improvements	<ul style="list-style-type: none"> Reward employees according to their contributions and value add. Conduct regular informal performance assessments, and cyclical formal performance appraisals. Ensure corrective and reinforced measures are implemented after assessments and appraisals.
Cost-effective and flexible employee benefits	<ul style="list-style-type: none"> Align election criteria for employee benefits to individual needs and preferences. Remain up-to-date with appropriate and effective employee benefits practices, products and trends in comparative markets.
Effective use of up-to-date reward management tools	<ul style="list-style-type: none"> Develop transparent reward and performance criteria.

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Principles	Processes
	<ul style="list-style-type: none"> • Use reputable remuneration data, advice and products. • Ensure knowledge of different rewards products in the market.
Effective and transparent two-way reward communication	<ul style="list-style-type: none"> • Determine specific rewards needs of all employees. • Openly communicate details relating to performance measurement criteria and processes, affordability, eligibility, and individual choices. • Ensure all employees understand reward policies and practices.
Defined roles for line managers in reward scheme	<ul style="list-style-type: none"> • Facilitate training, coaching and guidance to line managers, to ensure clear understanding of their roles. • Incorporate line managers' responsibilities in relation to rewards in their performance contracts.
Effectiveness within affordability constraints	<ul style="list-style-type: none"> • Budget properly for rewards, and in line with market trends and own financial capabilities. • Communicate any affordability constraints to all employees well in advance of rewards decisions.
Regular evaluation of effectiveness and changing needs	<ul style="list-style-type: none"> • Regularly engage all employees on effectiveness of rewards options and practices. • Stay abreast of market trends and reward developments.
Cost to Company (CTC)	<ul style="list-style-type: none"> • Align employee remuneration to a total cost to company package structure.

3.8. INTERNAL AND EXTERNAL EQUITY

The Pay Scales will support both internal equity and external competitiveness.

- Internal equity refers to the relative grade assigned to different jobs within the GEPP. Internal equity is supported by ensuring that relative grades are defensible on two levels, namely horizontally, (i.e. between Divisions) and vertically (i.e. within one Division).
- External equity is the second consideration in design of a pay structure. The focus in this area is on external equity (i.e. the competitiveness of the level of remuneration assigned to each grade) and the GEPP need to compete in a free market for skills. Part of this competition is the management of labour costs – ensuring that the labour force is neither overpaid nor underpaid, possibly leading to a high turnover or labour unrest/low morale which could harm employee effectiveness.

3.9. PARALLEL PAY SCALES

The GEPP recognises the need to create an optimal Employee Value Proposition (EVP) whilst maintaining affordability. To ensure an optimal EVP a parallel pay scale will be used with the midpoint anchored at the 75th percentile of the targeted market. The application is limited to the designated jobs as per the GEPP Workforce Segmentation Guidelines.

3.10. TECHNICAL CONSIDERATIONS

The base date of the Pay Scales is 1 July each year. The Pay Scales must be reviewed on an annual basis (ideally in January each year well ahead of the annual review), based on pay increase trends, performance, inflation and principles of affordability, liquidity and solvency.

- **Generic/Portable Jobs**

Generic/Portable jobs are anchored at the 50th percentile of the National Market. Jobs in this category being paid below the 10th percentile will be moved to the 10th percentile to ensure that all employees are paid within the National Benchmarks.

- **Mission Critical/Specialist/Professional Jobs**

Mission Critical/Specialist/Professional jobs are anchored at the 75th Percentile of the National Market to ensure that the jobs are remunerated at

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a competitive level. Jobs in this category being paid below the 25th percentile will be moved to the 25th percentile of the Specialist/Professional Pay Scale to ensure parity and competitiveness.

- **Executive Jobs**

Executive Jobs will be anchored against the Median of the National Market. The Board of Trustees may, at its discretion, review the pay level should a specific market premium be required to attract the correct talent.

3.11. **COMPETITIVENESS**

GEPF, by the very nature of its business, operates in an increasingly sophisticated and complex financial services environment where, for the foreseeable future, there will continue to be a shortage of professional and skilled employees. GEPF also recognizes that while in some areas of its operations the operational skills and experience required can best be obtained within the financial services and pension fund industries, such skills, once developed, are in high demand elsewhere in the economy and indeed globally. Competitive reward structures and practices therefore form the cornerstone of the GEPF Remuneration Policy, for the attraction and retention of vital human resource assets. In light of GEPF's strategic positioning, there will be a need to be innovative in establishing the Value Proposition to attract and retain the best talent within the Organisation i.e. innovative reward strategy.

3.12. **MARKET RELATED REWARD STRUCTURES**

GEPF believes that the most appropriate means to achieving a competitive reward structure is to adopt, as far as possible, market related pay and benefits. It recognizes however, its responsibility to provide its services as cost effectively as possible. GEPF is conscious therefore of the need to minimize any negative impact changes to its reward structures may have on the level of service efficiency it provides.

The competitors for GEPF employees are in the private sector of the economy. It is primarily from this market where the GEPF recruits most of its professional and administrative employees, but also from where the GEPF faces the biggest danger of losing employees.

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Therefore, in order to effectively compete in the South African private sector the GEPF will seek, as far as possible, to place its reward policies and practices as follows:

- (i) employees will be remunerated on the approved level of the position and flexibility will be applied to remunerate scarce and mission critical skills anywhere within the broad band of the position, in recognition of the need to compete effectively for scarce professional and mission critical skills; and
- (ii) structured mainly as guaranteed salary plus a performance bonus in recognition of the nature of the work performed at the GEPF.

In order for the GEPF to apply the correct market pricing levels for each position, it will subscribe to and participate in two reputable South African remuneration surveys. The survey results of each of these surveys will be used as a basis to find an equitable benchmark for the GEPF remuneration generally.

Adjustments to the GEPF remuneration levels and packages will be effected annually on 01 July, and all adjustments will be justified on the basis of objective market data. The GEPF recognizes however that there are imperfections within the market which may be brought about by shortages of employees with a particular skill. The GEPF believes that where such imperfections exist they should not result in a distortion to its pay structure.

3.13. **PERFORMANCE BONUS STRUCTURE**

The GEPF has made provision for a performance related incentive reward structure which is detailed in the organisation's Performance Management Policy document as updated from time to time.

3.14. **PERFORMANCE BASED REMUNERATION REVIEW**

The GEPF will endeavour to review employee guaranteed remuneration annually in July. The following factors amongst others will inform such a review process:

- GEPF affordability and general business performance
- Economic indicators with an emphasis on Consumer Price Index (CPI) movement
- Market pay movement based on approved surveys

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- Individual performance level to differentiate reward allocations and foster a continued culture of performance

For employees who are found to be remunerated above the maximum pay scale of the position, in order to normalize their remuneration within their pay scales, the GEPF will pay such employee(s) a monthly non-pensionable cash allowance equivalent to the percentage increase they would have received until such time that their remuneration is in line within the respective salary bands.

3.15. **AFFORDABILITY AND SUSTAINABILITY**

Any increases in the level of the GEPF's compensation to employees in the form of pay, benefits and allowances must therefore be subject to the principles of financial affordability, liquidity, solvency and sustainability.

3.16. **CONSULTATION, COMMUNICATION AND NEGOTIATION**

The GEPF firmly believes that communication and consultation with employees over issues relating to rewards, pay and benefits, is an essential element of its commitment to a policy of equity and transparency.

The GEPF will therefore communicate and consult with employees through established consultative machinery on remuneration related matters, which may have a significant impact on employees, including the implementation of any job evaluation processes and the development and application of performance management systems.

The remuneration and reward schemes operated by the GEPF will be reviewed annually, and adjustments made where necessary to improve its efficiency.

3.17. **BENEFIT STRUCTURES**

The GEPF, wherever possible, will adopt reward and pay structures which maximise direct disposable earnings to employees. The GEPF recognises that current remuneration and reward practices show a close resemblance to those offered to senior managers in the South African public service, as a result of the historical development of the Fund and its administration, but nevertheless intends to translate such policies and practices to a state that closer resembles those of global leaders in the pension fund industry.

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The GEPF is a participating employer to the Government Employees Pension Fund in respect of only those employees who were members of such Fund on 31 December 2008, which members are allowed to remain members within such Fund on the same basis as before they joined the GEPF's employees' complement.

In respect of such members, the GEPF will follow the rules relating to the structuring of salaries in the South African Public Service. Employees who joined the GEPF after 31 December 2008 are required to become members of the approved GEPF umbrella fund.

Currently the GEPF will offer such benefits and allowances to its employees that:

- Protect the social well-being of employees, including pension, medical aid and life insurance; and
- In accordance with the broad principles which make up the GEPF's remuneration policy, the GEPF will adopt band and pay structures which:
 - Are equitable and internally consistent, based on an objective system of job measurement. In relation to this principle, the GEPF will participate in and subscribe to at least two South African leading remuneration surveys, which are able to correlate their data to the most prominent job measurement tools.
 - Adopt the principle of broad-banding to optimize the ability of the GEPF to reward performance within salary ranges.
 - Follow the principle of equal pay ranges for positions of equal value, provided that where it is necessary in order to attract, motivate and retain particular employees, the GEPF must have the flexibility to respond to changing market conditions, and, within the broad principle, recognise individual ability and value.
 - Provide, where possible, opportunities for career development and progression within the core business areas of the GEPF.
 - Adhere to principles of transparency and objectivity, and provide a mechanism for appeal in an event where an employee is aggrieved by a decision affecting the employee's band, or pay.
 - Maximise the ability of line managers to manage the remuneration and reward system within their business units, in accordance with the GEPF's remuneration policy, strategy, and practices.

3.18. RULES AND CRITERIA FOR MOVEMENT WITHIN PAY SCALES

Only in exceptional circumstances should employees fall outside the scales. Movement within the scales is based on performance and the employee's current comparison to the Pay Scales.

3.18.1. Placement within the Pay Scales

Employees are placed, based on their performance, at the relevant salary scale level as follows:

- **Minimum** – Does not meet required performance levels. The employee's performance is below the standard requirements set. Little or no evidence exists of the employee's competence.
- **Lower Guide** – Partially meets required performance levels/delivery standards. The employee's performance partially meets all the threshold requirements set. Evidence exists of the employee's competence.
- **Midpoint** – Meets required performance levels. The employee's performance exceeds the threshold requirements set for the job. Tangible evidence shows that job outputs have been exceeded. The National Market Median (P50) is used as an anchor here.
- **Upper Guide** – Exceeds the required performance levels. The employee's performance meets the stretch requirements set. Tangible evidence exists of the employee's sustained exceptional and on-going achievements far beyond the requirements of the post.
- **Maximum** – Outstanding Performance. The employee's performance is visibly on a sustained basis and far exceeds the requirements set. Tangible evidence exists of the employee's on-going achievements.

3.19. ELEMENTS OF THE PAY PROGRESSION MODEL

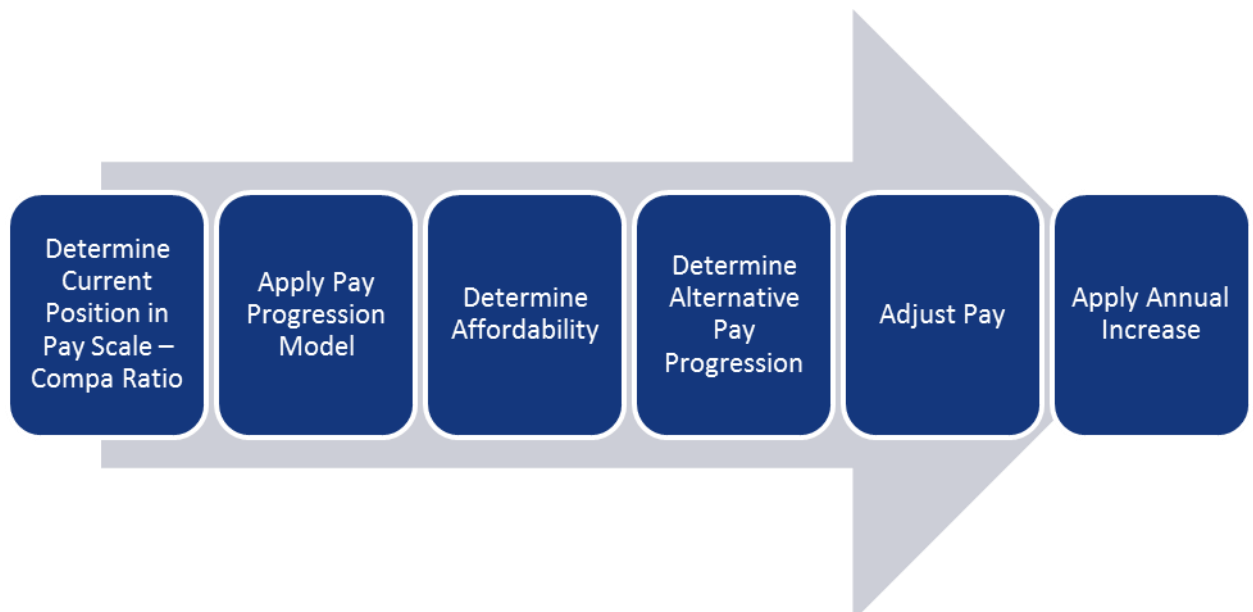
The GEPF Pay Progression Model will be implemented with the aim of recognising the performance of each employee and to ensure progression within the pay ranges taking into consideration the following elements:

- Performance Score average over three (3) years.
- Competence level (level of work).
- Criticality of the role
- Employee educational qualifications. (i.e. educational qualification must be related to the position. If the position for example requires a 3 year Qualification at NQF 5 recognition will be limited to improving the qualification to NQF 6 once off only)
- Work experience of the employee in the current position only.

The weighting of each of the elements will be determined by Management and approved by the Remuneration and Human Resources Committee every second year so that it is aligned with the organisation's strategic imperatives.

3.19.1. Application of the Pay Progression Process:

Pay progression must be applied in line with the application flow chart reflected below:



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- The GEPF remuneration structure shall be used to determine the correct positioning of a role within the pay scale targeted policy level prior to any pay progression consideration.
- All possible salary movements must be sufficiently funded annually in order to ensure affordability.
- Alternative pay progression methods shall be considered as part of the application process.
- The GEPF will cap pay progression adjustments to a maximum of the 65th percentile for all generic roles and to a maximum of the 75th percentile for all critical roles as identified in the Critical Workforce Segmentation framework.

Pay progression shall be conducted bi-annually as part of a holistic review of remuneration in the organisation, utilising the model to determine the relevant position of each employee. The pay progression review shall take place in May every second year, and shall be presented to the Remuneration and Human Resources Committee for approval should any adjustments be required to be effected for notification/recommendation to the Board for implementation based on the impact to the total GEPF payroll (i.e. if impact is more than 1.5% of the annual wage bill, then adjustments must be approved by the Board).

3.20. NEW APPOINTMENTS

On appointment to a new position an employee should be appointed as follows:-

- The GEPF Pay Scale will be applied to determine the Minimum and Maximum guidelines.
- An Offer of Appointment will be made based on the current remuneration of the successful applicant.
- The appropriate Executive may approve an offer to a maximum value of 20% above the current remuneration depending on the criticality of job.
- The Principal Executive Officer will approve all exceptions above the 20% of the current remuneration threshold in conjunction with the Human Resources Manager for all GEPF employees, on condition that the salary offered is within the benchmark ranges for the function.

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- The Remuneration and Human Resources Committee shall recommend any exceptions above the 20% of the current remuneration threshold in relation to the Principal Executive Officer to the Board of Trustees for approval.

3.21. INTERNAL PROMOTIONS

When an employee is appointed to a higher position with a higher grade, they should be appointed as follows:

- Current Remuneration below the Minimum of the Promoted Pay Range: Remuneration will be adjusted to the minimum of the Pay Range or receive an increase of 20% whichever is the greater.
- Current Remuneration within the Pay Range of the Promoted Position: If the current remuneration is already within the higher pay range the individual will receive an increase to a maximum of 20%. Any exception must be motivated to and approved by the PEO.
- Employees Paid Outside the Pay Range: In cases where the individual's current remuneration is already above a compa ratio of 125 to the 90th percentile of the maximum of the salary band of the next job grade, based on historical factors, such a person should be paid a monthly non-pensionable cash allowance to ensure normalisation within the next 5 years to fit within the salary band of that particular job.

Table 8.2: Illustration of the Calculation of the Once-Off Cash Reward

Variable	Value
Maximum of Pay Range	R100 000
Individual Remuneration	R130 000
Compa Ratio	130
Median of Pay Range	R75 000
Performance Score	3
Increase variable	6%
Cash Reward	6% x R75 000 = R4 500 / 12m

In such cases the monthly non-pensionable cash allowance will be capped against the Performance Management score with its commensurate increase multiple at the 50th Percentile of the pay scale. This is illustrated in Table 8.2 above.

3.22. ACTING ALLOWANCE

- 3.22.1. The GEPF shall compensate an employee for acting in a higher vacant position by the difference in salary between his/her actual salary and the minimum of the salary scale for the position in which he/she is acting, determined as the acting allowance.
- 3.22.2. If the employees' current remuneration package is above the 25th percentile of the higher-level position, the acting allowance shall be payable at 10% of the median of the higher position
- 3.22.3. The GEPF may also compensate an employee for acting in a position, which is vacant temporarily due to the actual incumbent of the position acting in a higher vacant position.
- 3.22.4. An employee appointed in writing to act in a higher position, by the PEO, shall be paid an acting allowance, provided that:
- the higher position in which he/she is acting is vacant and funded, and
 - the period of appointment is uninterrupted and longer than 6 (six) weeks.
- 3.22.5. A maximum of two (2) employees may receive the acting allowance proportionally if they are appointed to act in a single higher vacant position, provided that:
- the responsibilities attached to the higher vacant position are divided between the two (2) employees acting in such a position and expressed in the form of a ratio (i.e. 30/70%) before they are appointed to both act in such higher vacant position;
 - the maximum (combined) acting allowance to be paid to the two (2) employees is the difference between the inclusive flexible remuneration package of the lowest graded employee and the commencing inclusive flexible remuneration package of the higher graded vacant position. (This means that the expenditure may not exceed the expenditure if only the lowest graded employee would have been appointed to act in the higher graded vacant position.); and
 - the employees' individual acting allowances are to be determined proportional to the above-determined ratio. (This means that if the split in responsibilities between the employees is 30/70% the one employee will

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qualify for 30% and the other employee 70% of the maximum (combined) acting allowance).

- 3.22.6. The employee must accept the acting appointment in writing before the acting allowance is payable.
- 3.22.7. The acting allowance is non-pensionable.
- 3.22.8. The employer will pay the acting allowance on a monthly basis provided that the first payment takes place in the month following the completion of the period backdated to the date that the employee officially began acting in the position.
- 3.22.9. An employee may only act in a higher position for a maximum uninterrupted period of six (6) months, unless approved by the PEO.
- 3.22.10. The acting allowance may only be paid to an acting employee for a maximum of six (6) months, after which permanent appointment will be considered for the relevant vacant and funded higher position unless prior approval is obtained from the PEO for re-appointment of the acting employee or appointment of a new employee in the said position in an acting capacity.
- 3.22.11. The fact that an employee has been appointed in an acting capacity does not create a right / a legitimate expectation to be appointed when the vacant position is advertised.
- 3.22.12. The acting allowance is calculated on the basis of the difference between the current remuneration package of the employee and the commencing remuneration package of the higher position.
- 3.22.13. An employee on an inclusive flexible remuneration package, which includes a personal package, which is higher than the commencing inclusive flexible remuneration package of the higher graded vacant position should receive the difference between his/her current package and the next higher remuneration package applicable to the vacant higher position, provided there is a difference.

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3.22.14. If the payment of the acting allowance referred to in paragraph 3.2.1 commences after the first day/terminates before the last day of a month, the daily tariff is calculated by dividing the annual amount by twelve (12) (number of months per year) and then by the number of days for the specific month.

3.22.15. The six (6)-month period referred to in paragraph 3.2.6 above will run from the date of appointment to act in the higher position.

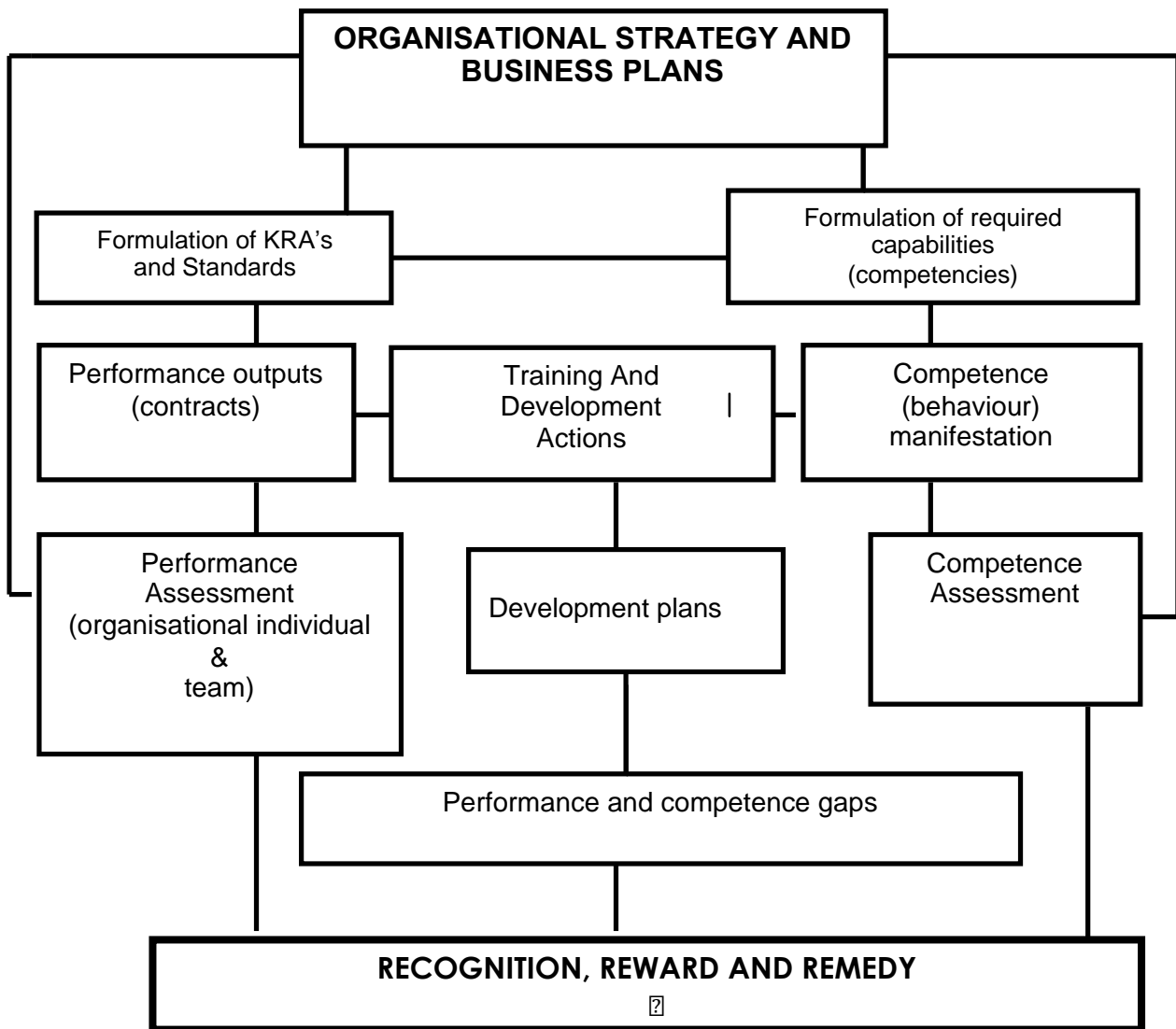
4. PERFORMANCE MANAGEMENT POLICY

4.1. INTRODUCTION

The Government Employee's Pension Fund (GEPF) Performance Management Policy is a management tool to assist the organisation in translating its strategic objectives and values into actual deliverables, as well as linking individual performance with organisational performance.

- Performance measurements shall be open, transparent and participative.
- Performance Management and Development shall be developmental by simultaneously enhancing outstanding performance and dealing with poor performance.
- Performance and competence plans flow from the organisation strategy and business planning processes. In understanding that the GEPF needs certain capabilities to deliver the results stated in its business plan, an assessment of performance against agreed objectives (key result areas) and of critical capabilities (competencies) provide the basis for training and development which is regarded as key for the performance of the organisation and individuals.
- The performance management process is graphically represented below:

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4.2. PURPOSE

The Performance Management system assists the GEPF to manage performance of employees in a systematic, fair and transparent manner.

The GEPF Performance Management and Development System focuses on a competency-based approach in order to pay particular attention to the human capabilities that will yield effective work performance at all levels. Competencies will allow the GEPF to make more accurate assessments of learning and development needs and thereby enabling the organisation to measure both actual work outputs and demonstrated abilities in key work areas.

4.3. DEFINITIONS AND CONTEXTUALISATION

Appraisee: The individual whose performance is to be assessed by an Appraiser.

Appraiser: An evaluator with the expertise and official capacity to assess the level of an individual's performance.

Assessment instrument: An assessment tool used to assess the performance of an individual employee in relation to the achievement of key result areas and competencies contained in the work plan.

Competence: Relates to an employee's capacity to meet the job requirements.

Competency: It is a particular mix of knowledge, skills and attributes required to effectively perform a job/task/role.

Development: It involves learning and development activities to enhance the employee's competencies and to improve performance.

Key Results Area (KRA): An area of a job in which performance is critical for making an effective contribution to the achievements of the organisational strategies, goals and objectives.

Outcome: A broad statement about a specific objective, aim or intent, the achievement of which will require one or more specific outputs to be achieved.

Output: A concrete result or achievement (i.e. a product, action or service) that contributes to the achievement of a key result area.

Performance contract: A document agreed upon and signed by an employee and his/her supervisor/manager, which includes a description of the job, selected KRA's, a work plan and the employee's personal developmental plan.

Performance cycle: A 12-month period for which performance is planned, managed and assessed.

Personal development plan (PDP): A requirement of the performance whereby the important competencies and other developmental needs of the employee are documented together with the means by which these needs are to be satisfied, which includes timelines and accountabilities.

Performance incentives: A set of financial rewards linked to the results of performance assessment, including performance incentives.

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Performance indicator: means a measure used to gauge the extent to which an output has been achieved (such as a service having been rendered).

Performance management: A purposeful, continuous process aimed at managing and developing employee behaviour for the achievement of the organisation's strategic goals, the determination of the correct activities as well as the evaluation and recognition of tasks/duties with the aim of enhancing their efficiency and effectiveness; and a means of improving organisational, teams and individuals' results within an agreed framework of planned goals, objectives and standards.

Performance standard: Mutually agreed criteria to describe work in terms of time-lines, cost, quantity and/or quality to clarify the outputs and related activities of a job by describing what the required result should be.

Performance assessment: The measurement and rating of employee performance.

Recognition and rewards: These are any form of recognition and acknowledgment of employees' performance for sustained above average or excellent performance, which can be monetary or otherwise.

Supervisor/Manager: The individual to whom an employee formally directly reports, as per the official approved organisation structure, and who would normally be responsible for matters such as approving leave, assessing performance, and ensuring the employee has the resources to be able to do their job.

Work plan: A document which is part of the performance contract and which contains KRA's, associated activities/outputs and their performance standards and resource requirements.

360° / Multi-rater: A system or process in which employees receive confidential, anonymous, feedback from the people who work around them (e.g. Stakeholders, Customers).

4.4. PRINCIPLES

- 4.4.1. The GEPF is committed to a high performance based culture, including the application and implementation of a Performance Management and Development System for all employees.
- 4.4.2. All employees shall enter into a performance contract with their supervisor/managers at the beginning of each financial year and employees

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appointed after 1 April shall enter into a performance contract during the on-boarding process. The Principal Executive Officer shall enter into a performance contract with the Chairperson of the Board or his/her delegate.

- 4.4.3. All employees shall be consulted on the review and/or development of this policy.
- 4.4.4. It is expected of both the supervisor/manager and subordinates to conduct regular performance feedback.
- 4.4.5. This GEPF Performance Management Policy shall be reviewed on a 2- yearly basis.
- 4.4.6. Robust performance outputs will be developed for all employees in line with the GEPF's performance management guidelines - where appropriate, this will form part of a negotiated agreement.
- 4.4.7. There is a direct link between the GEPF's success and the achievement of performance management objectives.
- 4.4.8. Rendering services to stakeholders according to their needs is at the heart of the GEPF's activities.
- 4.4.9. The value of each employee's contributions (outcomes) amounts to enhanced service delivery and the ultimate satisfaction of stakeholder needs.

4.5. **PERFORMANCE PLANNING (PERFORMANCE CONTRACT)**

- 4.5.1. The goals and objectives of the GEPF for a financial year must be determined prior to the start of the financial year.
- 4.5.2. These objectives shall be cascaded from Senior Management to the lowest level of employee in the hierarchy of the GEPF.
- 4.5.3. Supervisor/Managers shall cascade organisational objectives to individual performance contracts. Following a bottom-up approach, all the activities measured in a Business Unit must include everything that an employee should do to contribute to reaching a specific Business Unit objective.

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- 4.5.4. All employees of the GEPP shall enter into a performance contract with their supervisor/manager on an annual basis before 31 May, effective 1 April for the new financial year. New employees appointed after the beginning of the financial year shall enter into a performance contract during the on-boarding process.
- 4.5.5. Individual Personal Development Plans must be recorded in these performance contracts.
- 4.5.6. A performance contract shall be kept and referred to during assessments, coaching and final assessments.
- 4.5.7. Weights are attached to each group of Key Responsibility Area's (KRA's). The sum of the weights must be one hundred per cent (100%) as follows:

Key Responsibility Area	Weight
Key Responsibility Area 1	XX%
Key Responsibility Area 2	XX%
Key Responsibility Area 3	XX%
Key Responsibility Area 4	XX%
Key Responsibility Area 5	XX%
Total Weight	100%

- 4.5.8. The Weighted Total for the KRA's is used to determine the Final Score. The number of KRA's should preferably not exceed 7. The Key Result Indicators (KRI's) will include:
- Quality; and
 - Timelines
- 4.5.9. Appraisers for the multi-rater assessments are identified and selected by the Supervisor/Manager and the Appraisee before signing the performance contract. The agreed Appraisers are recorded in the performance contract. The Supervisor/Manager must ensure the selection of Appraisers is both appropriate and valid and that a minimum of 5 to 7 Appraisers are selected for each Appraisee. (Guideline: selected Appraisers should be people who have direct dealings with the employee in the performance of their objectives/responsibilities, in order to be able to rate their performance.
- 4.5.10. The multi-rater assessments shall be conducted and measured as part of the developmental assessments and not part of the key responsibility areas (KRA's).

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- 4.5.11. The planning phase is concluded by signing a performance contract between the supervisor/manager and the employee as well as between the Principal Executive Officer and the Chairperson of the Board or his/her delegate, in respect of the following period of the assessment.

4.6. PERFORMANCE ASSESSMENT AND REVIEWS

- 4.6.1. Performance will be reviewed on a quarterly basis with the final assessment taking place at the end of the financial year. The purpose of this approach is to provide for more than one assessment so that a more objective view of performance is obtained at the final assessment.
- 4.6.2. It is incumbent upon the appraisee being assessed to submit or make available a portfolio of evidence as proof of performance achieved. This could be in different forms (e.g. electronic, printed documents, items etc.).
- 4.6.3. The conducting of continuous quarterly reviews will enable employees to receive ongoing feedback so that timeous interventions can be implemented to improve performance through coaching, on-the- job training as well as formal learning and development. The second and final assessments must be formally recorded and signed by both the Supervisor/Manager and the Appraisee. The quarterly assessments will take place as follows:
- First Performance Review: Developmental Assessment
 - Second Review: **Formal Mid-Year Assessment**
 - Third Review: Developmental Assessment
 - Final Assessment: **Formal Year-End Assessment**
- 4.6.4. The Second Review: Formal Mid-Year Assessment and Final Assessment: provide an opportunity to compare the individual's overall performance results with the objectives established in the performance plan. These assessments are conducted between the supervisor/manager and the employee. In addition, the formal assessment at mid-year and year-end will also involve 360 degree /multi-rater input from the Appraisers, selected during the contracting phase.

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4.6.5. The formal assessments will include amongst others the following:

- a discussion of the quarterly assessments conducted during the performance period;
- an assessment of actual performance results compared with the expectations set out in the work plan (it is the employee's responsibility to provide proof of evidence in a format of a portfolio of evidence);
- identification of performance gaps, specific achievements and areas of improvement;
- an assessment of the outcomes of the individual developmental activities;
- a discussion of external factors affecting work performance (either positive or negative) and if negative how these may be addressed; and
- completion and signing of the assessment tool.

4.6.6. In order to ensure consistency in the application and interpretation of the Performance Management and Development Policy and its assessment tools, a Moderating Committee constituted as follows will be appointed:

- A Committee of Executive Managers under the Chairpersonship of the Principal Executive Officer, in respect of managerial and non-managerial employees;
- The Board Remuneration and Human Resources Committee and Principal Executive Officer, in respect of Executives; and
- The Board Remuneration and Human Resources Committee, in respect of the Principal Executive Officer.

4.6.7. The Moderation Committee will also advise the GEPF on the payment of performance incentives. In exceptional cases (for example when a Line Manager has resigned), the Committees may assist with the Performance Assessment.

4.6.8. The Moderation Committee(s) mentioned above with the assistance from the Human Resources Manager shall also have the responsibility to ensure that all performance contracts and work plans are consistently aligned towards achieving business objectives and that KRA's adhere to the SMART principle and stretch targets are properly set.

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- 4.6.9. The assessment of the Principal Executive Officer will be conducted by the Chairperson and Vice-Chairperson of the Board.

4.7. ASSESSMENT TOOL FOR ANNUAL PERFORMANCE ASSESSMENT

- 4.7.1. The following assessment tool is applied separately in respect of each KRA for the employee, the results are weighted according to the weights agreed in the plan for the year, and are summed up to get an overall rating for the employee. This is then translated into a percentage, with a score of 3 corresponding to 100%.

TERM	DESCRIPTION	RATING
Excellent performance	Performance significantly exceeds the standard expected of an employee at this level. The assessment indicates that the jobholder has achieved exceptional results against all performance criteria and indicators for this activity and maintained this throughout the year.	5
Performance significantly above expectations	Performance is higher than the standard expected. The assessment indicates that the employee has achieved better than fully effective results for this activity.	4
Fully effective	Performance fully meets the standard expected for this activity. The assessment indicates that the employee has achieved effective results	3
Performance not fully satisfactory	Performance is below the standard required for this activity. Improvement is necessary to bring performance up to the standard expected.	2
Unsatisfactory performance	Performance does not meet the standard expected. The assessment indicates that the employee has not met one or more fundamental requirements for this activity and/or is achieving results that are well below the performance criteria and indicators. The employee has failed to demonstrate the commitment or ability to bring performance up to the level expected despite management efforts to encourage improvement.	1

4.8. APPLICATION OF OUTCOMES OF PERFORMANCE ASSESSMENTS

4.8.1. Probation/On-boarding

The performance of employees during the probationary/on-boarding process is managed in terms of the GEPF Performance Management and Development System process read with the *Labour Relations Act, 1995*. The process is as follows:

- The performance assessment must be conducted quarterly and must link with the GEPF performance cycle (at least one on-boarding report at the end of the probationary period);
- At expiry of the probationary period the supervisor/manager of the new incumbent must make a recommendation on whether or not the appointment should be confirmed. If the incumbent is not deemed suitable for the relevant post, other options such as the extension of the probationary period, formal registration on the incapacity programme or dismissal, should be considered; and
- An employee's on-boarding period will not necessarily coincide with the performance cycle; however, the GEPF assessment tool must be used for assessment and the results captured on the performance assessment form.

4.8.2. Managing of performance that is not fully effective

Supervisors/Managers are required to first identify and then, in line with a developmental approach, deal with unacceptable performance of employees under their supervision. The supervisor/manager must comply with the procedural requirements of the Incapacity Code contained in the Labour Relations Act, No/66 of 1995.

Performance monitoring, including performance assessments, provide opportunities to ensure that poor performance is not dealt with at a late stage. Interventions by the supervisor/manager to overcome performance shortfalls on the part of the employee can include any or all of the following:

- Personal counselling;
- On-the-job training, mentoring and coaching;
- Formal training/re-training;

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- Restating the work-plan performance requirements (with referral for prior approval to the Moderating Committee if the restatement is material); and/or
- Work environment audits to establish other factors affecting performance.

Should the employee not respond to reasonable and continue attempts to improve performance, the employee must be managed in terms of an Incapacity Code and be advised of this in writing. Further reference to this is made in Schedule 8 (S9) – Code of Good Practice of the Labour Relations Act No. 66 of 1995.

4.9. **PERFORMANCE BASED REMUNERATION**

The basis of establishing an individual's remuneration level within a pay scale will be years of experience, performance level, developed skills and competencies.

Performance related pay (PRP) is institutionalised as the norm at GEPPF.

All employees will have a portion of their pay determined by their individual performance and the Divisional performance;

A portion of the employees' pay shall also be determined by the employees' outputs against corporate scorecard targets.

4.9.1. **Performance Based Remuneration for Management**

Management's pay is determined by means of integration of the Individual Performance Management Score and Corporate/Divisional Balanced Scorecard (BSC) Score as illustrated in the Annual Increases;

The Balanced Scorecard will be determined annually by consensus agreement at the Annual Strategy Session and will be ratified by the Board;

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4.9.2. Performance Related Increases

Performance based increases will be implemented by identifying a baseline increase with a possible extra reward to recognise superior performance.

- 4.9.2.1. Performance based increase shall be awarded to an employee who meets the required performance standard by obtaining a minimum score of a three (3) rating during the financial year's assessment.
- 4.9.2.2. The base increase will also be informed by the projected consumer price index (CPI) for the current year which will be used for a possible remuneration adjustment to qualifying GEPF staff members based on 4.9.2.2 above.
- 4.9.2.3. In order to differentiate an appropriate reward allocation over and above the base level for the recognition of individual performance, up to a maximum of an additional 2% of cost to company will be allocated subject to the Board of Trustees approval.

4.9.3. Awarding of performance Incentives

- 4.9.3.1. Employees achieving an "above expectation" performance rating may qualify for a performance incentive. The Principal Executive Officer (in the case of employees) or the Board Remuneration and Human Resources Committee, (in the case of the Principal Executive Officer after recommendation of the Moderating Committee, may propose the awarding of performance incentives to the Board. The approval of the performance incentives remain the sole prerogative of the Board.
- 4.9.3.2. The performance incentive will be paid as a cash reward to the qualifying employees separately from increases or adjustments to the total guaranteed package.
- 4.9.3.3. The incentive will be based on a formula calculated as a percentage of Total Cost to Company integrating the results of the Organisational Performance and individual performance results.
- 4.9.3.4. The GEPF final performance assessments shall be verified by an independent Internal Audit (IA) resource.

4.10. EMPLOYEES INCENTIVE

- 4.10.1. A performance incentive is a financial reward granted to an employee in recognition of sustained performance that is either excellent or above expectation and is rated as such in terms of the rating scale. In order to qualify for the granting of an incentive, an employee must complete a continuous period of at least twelve months in her/his position by the end of the financial year. Employees, who have been appointed after the beginning of the financial year and have completed at least six months' service in their positions, may also qualify for a pro-rated performance incentive if their performance ratings are excellent or above expectations. The value of an incentive is calculated as a percentage of the employees' total guaranteed package.

Table 8.3: Incentive Approach for Paterson Levels A, B, C

Period From	Divisional BSC Score Informed) (A)	Weighted Final Score on Key Performance Areas (B)	Weighted Performance Score (A+B) = (C)	Final Performance rating
2016/17	10%	90%	(A + B)	C
2016/17	Movement to Total Performance Based Pay			

- 4.10.2. For Paterson D Levels, total performance based pay is determined utilising the results of the divisional performance integrated with the individual performance management result as is illustrated in Table 8.4.

Table 8.4: Incentive Approach for Paterson Levels D

Year	Divisional Performance Score (A)	Weighted Final Score on Individual Key Performance Areas (B)	Weighted Final Score (A + B) C	Final Performance Score
2016/17	30%	70%	(A + B)	C

- 4.10.3. For Paterson E Levels Total Performance Based Pay will be applied to all Executive Positions regardless of the level they may be at within the broader GEPF structure. For this level a higher degree of accountability on Organisational performance shall be apportioned to the Executive Team. Total performance based pay is determined utilising the results of the Corporate Performance Score integrated with the individual performance management result as illustrated in Table 8.5.

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Table 8.5: Incentive Approach for Paterson Levels E

Year	Corporate BSC Score (A)	Weighted Final Score on Individual Performance Areas (B)	Weighted Final Score (A + B)	Final Performance Score
2016/17	60%	40%	(A + B)	C

- 4.10.4. Total Performance Based Pay will be applied to the Principal Executive Officer Position. Total performance based pay is determined utilising the results of the Corporate Performance Score integrated with the individual performance management result as illustrated in Table 8.6.

Table 8.6: Incentive Approach for the Principal Executive Officer

Year	Corporate BSC Score (A)	Weighted Final Score on Individual Performance Areas (B)	Weighted Final Score (A + B)	Final Performance Score
2016 / 2017	90%	10%	(A + B)	C

The following table illustrates the quanta that will be used to base the payment of performance incentives on:

Table 8.7

Typical Paterson Grade	Performance Sub-level	<u>Board Discretionary</u> short term incentive payments as a percentage of guaranteed remuneration package range
D, E and F	Stretch	25.2%
	Excellent	35%
A, B and C	Stretch	21.6%
	Excellent	30%

PERFORMANCE LEVEL	CATEGORIES	TOTAL SCORE
Performance above expectations	Stretch	3.6 – 4.5
Excellent Performance	Excellent	4.6 – 5.0

4.11. INCENTIVE SCHEMES

4.11.1. Incentive Schemes are based on the Remuneration Policy. It is important that alignment is ensured between the following elements of the Human resources Management Strategy:

- Total Rewards Strategy
- Performance Management
- Short Term Incentive Scheme

4.11.2. To ensure that the Short Term Incentive is self-funding only employees with a Superior Performance Rating (3.6) and above may qualify for inclusion in the incentive payment.

4.11.3. Short term incentives will be determined through a Total Performance Base with the Line of Sight Principle applicable, i.e. the final rating is determined by the direct impact on Organisational and Divisional Strategy execution.

4.11.4. Table 8.8 (Appendix 1). which provides insight into the Market Illustrative Short Term Incentive Increase Quanta will be used as a guide to the GEPP. It is updated every 2nd year and the updated table will be provided to the Remuneration and Human Resources Committee to base any recommendations on to the BOT.

4.12. PAYMENT DISTRIBUTION METHODOLOGY

At the discretion of the Board of Trustees, the national benchmark for short-term incentives (STI's) shall be utilised and applied in accordance with the GEPP and Business Units' performance, or the short term incentive scheme payment, based on the Lower Quartile or Median of the Market, expressed as a percentage of the annual Total Guaranteed Package. The Remuneration and Human Resources Committee shall oversee all changes to the above STI structure and Appendix 1 as the need arises.

4.13. NON-FINANCIAL INCENTIVES

4.13.1. In terms of the GEPP Total Rewards Strategy, the GEPP will recognise employees who display behaviours in alignment with the GEPP's values through non-financial remuneration / awards.

4.13.2. The GEPP's recognition program is a means of rewarding employee contributions after the fact, e.g. the decision to acknowledge the contribution will be made

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retrospectively. The emphasis is on the psychic value provided to the recipient rather than on the financial value of the award.

4.13.3. This recognition program is a critical element in the GEPF's Total Rewards Strategy and it is designed to reinforce employees' commitment to organisational objectives and values.

4.13.4. The recognition program shall further be complemented with other schemes which would include a variety of recognition schemes, such as training and developmental opportunities and programmes, international exposure, secondments to other institutions within the financial or pension funds sector, exchange programmes with international pension funds, etc.

4.14. PERFORMANCE MANAGEMENT CYCLE

The performance management cycle of the GEPF will be linked to the financial year (1 April to 31 March of the following year). Informal or interim assessments will take place on a continuous basis, but preferably on a quarterly basis. Compulsory performance assessments, which must be recorded, will take place in the middle of October while the annual performance assessment will take place in the middle of April. The final assessment in April will assist in deciding on the payment of performance incentives and other career incentives.

4.15. FINANCIAL IMPLICATIONS

GEPF shall make provision for the cost of monetary and other rewards in its annual budget.

5. JOB EVALUATION STATEMENT AND PROCEDURE

5.1. JOB EVALUATION STATEMENT AND PROCEDURE

5.1.1. Job evaluation is the systematic process for assessing the relative worth of jobs within the GEPF. A comprehensive analysis of each position's tasks, responsibilities, knowledge, and skill requirements is used to assess the value to the employer of the job's content and provide an internal ranking of the jobs. It is important to remember that job evaluation is a measurement of the internal relativity of the position and not the incumbent in the position.

5.1.2. It is incumbent on the GEPF to treat employees equitably and fairly, without discrimination and this imperative is reinforced in the Employment Equity Act. While establishing a job evaluation policy and procedure is not a legal

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requirement, job evaluation is an effective objective tool that the GEPP will use in meeting requirements of pay equity in line with the remuneration policy.

- 5.1.3. The purpose of evaluating jobs is to provide a rational and consistent process to determine salary equity among all jobs within the GEPP. The implication is that all pay bands within the Fund, shall be based on consideration of the post and its requirements, not on the post-holder or any particular skills, qualifications or experience that they may possess.
- 5.1.4. The job description is the basis for a job evaluation and this procedure applies to all jobs in the GEPP. The procedure furthermore is an integral component of the remuneration policy of the GEPP, using the Patterson system of Job Evaluation.
- 5.1.5. A job evaluation or re-evaluation may be undertaken on the following basis:
- Where a new role has been established and/or following a review of a vacancy to meet changing business demands.
 - As part of an Organisational Change process.
 - Where a job-holder believes that they have evidence that their job has changed significantly or since the effective date of assimilation onto a pay-band which would justify re-assessment of the job to reflect the changes.

NB: *All job evaluations should be conducted taking into account the structure within which the particular job is placed and should also be conducted on the basis of an “organisation sizing” exercise having been done.*

- 5.1.6. A job evaluation can be requested by:
- A manager or supervisor of the new/affected position
 - The Human Resources Manager
 - The Principal Executive Officer
- 5.1.7. In undertaking the Job evaluation process, the Fund will use the services of a reputable service provider. Both respective line management and human resources management shall sign off on the job evaluation outcome.

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5.1.8. The procedure when a job evaluation is requested is as set out in the table below:

- The Manager/Supervisor develops a job description for a new position in consultation with the Human Resources Manager on the basis that the new position has been approved by the Principal Executive Officer / Board based on the justifiable business case. If there is an incumbent and the position is a request for a review, then the incumbent and manager co-designs the job description, which is an overview of the role as it exists and both sign it off for final review by the Human Resources Manager.
- Human Resources ensures consistency in the job description and if necessary makes changes for final approval by the Manager and incumbent.
- Human Resources arranges for the evaluation of the job with the service provider and the evaluation is attended by the incumbent, the direct Manager and the Human Resources Manager. If it is a new job then only affected Manager and Human Resources Manager will be in attendance at the job evaluation session.
- Upon completion of the job evaluation, the Human Resources Manager will inform the Manager of the results of the job evaluation and the incumbent will be informed thereafter.
- The necessary changes are recorded on the GEPP's post register to reflect the level and concomitant remuneration implications and also signed off by the Principal Executive Officer.
- If the job is re-evaluated and the outcome is at a higher level, then the incumbent is informed via letter and the change in remuneration is effected with the necessary approvals effective from the next month following the month in which the final outcome has been confirmed.
- If the outcome of the job evaluation remains as it is at the time of the evaluation, then no further action is taken.
- There may be instances where the outcome of a job evaluation is lower than it was before the job evaluation. Should such a situation arise, then the incumbent's remuneration is not affected in any way. The process of normalization of the remuneration will take place in terms of the GEPP's remuneration policy, where provision is made for such normalization. When the downgraded post is vacated it shall be advertised at the lower grade.

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- The employee/Manager may request a review of the evaluation on the basis of procedural or technical irregularities and must be submitted within ten working days of receipt of the letter advising the incumbent and the line manager of the result of the evaluation.
- If there are legitimate grounds for a review or there is new information which was not presented at the first evaluation session, the Human Resources Manager will convene a review session which will comprise of the Human Resources Manager, the line manager, the incumbent and any other specialist or subject matter expert who could add value to the review process. The decision of the Review Panel shall be final.
- The job evaluation outcome of the Principal Executive Officer role will be signed off by the Remuneration and Human Resources Committee.

5.2. **FACTORS TO EXCLUDE WHEN JOBS ARE EVALUATED:**

- 5.2.1. The performance or abilities of the current or future jobholder.
- 5.2.2. The Workload or work volume.
- 5.2.3. Unlikely or rare events and once-off situations.
- 5.2.4. Factors such as a scarcity of skills, non-performance, power and politics.
- 5.2.5. Responsibilities that may be added to the job in the near future.
- 5.2.6. Retention strategies for certain people because of their skills, or as an effort to keep them from resigning.
- 5.2.7. Considerations to decrease or increase the pay of an individual.
- 5.2.8. Temporary responsibilities or assignments.

Table 8.8: Market Illustrative Short Term Incentive Increase Quanta

			Market STI Quanta - Annual - % of TGP			
Strategic Level	Typical Paterson	Performance	Lower Quartile	Median	Upper Quartile	90th Percentile
Top Management; Strategic Intent	F Upper	Stretch	30%	60%	75%	200%
		Excellent	50%	78%	110%	500%
	F Lower	Stretch	20%	33%	57%	75%
		Excellent	35%	56%	73%	180%
General Management; Strategic Execution	E Upper	Stretch	15%	25%	45%	65%
		Excellent	25%	52%	65%	110%
Senior Management; Strategic Execution	E Lower	Stretch	12%	20%	35%	55%
		Excellent	20%	40%	55%	75%
Middle Management; Qualified Professionals; Experienced Professionals	D	Stretch	10%	15%	20%	40%
		Excellent	14%	35%	45%	60%
Advanced Operational; Skilled Technical; Academically Qualified; Junior Management	C	Stretch	5%	8%	12%	20%
		Excellent	10%	12%	20%	30%
Operational & Primary; Semi-skilled	B	Stretch	5%	7%	10%	17%
		Excellent	7%	9%	15%	22%
Operational & Primary; Unskilled	A	Stretch	5%	7%	10%	17%
		Excellent	7%	9%	15%	22%

The Market illustrative STI quanta shall be reviewed and updated every two years.

CHAPTER 6

HEALTH AND SAFETY IN THE WORKPLACE

1. INTRODUCTION

This Chapter of the HR Manual focuses on the obligations and duties that GEPF has in respect of providing and ensuring a work environment that is mindful of Health and Safety regulations which assigns responsibility for the implementation thereof through the organisational internal structures. Furthermore, GEPF recognizes that HIV/AIDS and TB co-epidemics are serious public health problems which have socio-economic, employment and human rights implications. It is also recognized that the impact of HIV/AIDS and TB in the workplace will have consequences on prolonged staff illness, absenteeism, productivity, employee benefits, occupational health and safety, workplace morale, and ultimately death.

The organisation seeks to minimize and impact the social and economic consequences of these epidemics in the GEPF by implementing a policy on the management of HIV/AIDS and TB which focuses on prevention, care and support, whilst promoting a working environment that is non-discriminatory and conducive for persons infected and affected by HIV/AIDS and TB. More information on the latter is further explained in more detail further down under HIV/AIDS and TB.

2. SHE POLICY

2.1. INTRODUCTION

- 2.1.1. The Government Employees Pension Fund (GEPF) recognizes the need to create and maintain a healthy, safe and supportive work environment for its employees, in all its business operations. The organisation accepts that the necessary equipment and training should be provided to fulfil this obligation. GEPF will comply with all applicable laws and relevant standards of practice regarding protection of health and safety of its employees in the work place and any other persons who may be visiting its business offices and the prevention of environmental pollution. Every employee is expected to read this policy and accept their own personal responsibility for safety, health and environment (SHE) at work.
- 2.1.2. GEPF endeavours to be an employer of choice by committing to prevent accidents and injury to health arising out of, linked with or occurring in the course of work, by minimizing, so far as is reasonably practicable, the causes of hazards inherent in the working environment.

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- 2.1.3. Together with the employees, the employer will address issues associated with health promotion, hygiene, and the psychology of employees for a successful occupational health and safety programme.
- 2.1.4. GEPF will also strive to protect the environment within which it conducts its business through adhering to sound environmental health practices.

2.2. **PURPOSE**

The aim of this policy is to prevent and minimise workplace injuries, and thus minimise the social and economic consequences to the organisation's employees and any other persons who may be affected by its business activities.

The organisation commits itself to implement a SHE programme which will encompass:

- Health Risk Assessment
- Sound Environmental Health practices and
- Support to affected employees through the COID Acts and its processes.

The purpose of the SHE Policy therefore, is to:

- Reduce the number of work-related accidents within the GEPF; and
- Provide for compensation benefits to those who are injured in work-related accidents. These compensation benefits will be in alignment with national legislation.

2.3. **SCOPE**

This policy is applicable to all employees of the GEPF and includes contractors deemed to be employees and students working at the GEPF premises.

2.4. **PRINCIPLES**

The principles that guide this policy include:

- Universal coverage of all employees, students and contractors deemed to be employees when on duty.

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- The prioritisation of Prevention - the GEPF will exercise all necessary steps to prevent and promote a culture of prevention in the workplace.
- Information, Education and Communication – information, education and communication shall be provided to all employees of the GEPF about SHE with the goal of creating awareness and promoting prevention by changing attitudes, behaviour and practices.
- Training - appropriate training of the GEPF employees, management and policy makers in order to improve the performance of the workplace SHE programme implementation.
- Employee rights - employees will be protected from workplace hazards by the organisation through Health Risk Assessments (HRA) of the workplace in which processes they shall participate.
- Access to services - the policy will address the issues of access to appropriate services for safety and disease prevention for all employees of the GEPF.
- Expedite appropriate and fair compensation and rehabilitation - the policy will ensure that all employees are assisted with the provision of meaningful, accessible and equitable compensation and rehabilitation services as provided by legislation.
- Privacy and confidentiality - the policy will endeavour to respect the privacy and confidentiality of employees' health records. As such no employee is expected to disclose or have his health records exposed without their full consent in line with international guidelines and national legislations in respect of health records.
- Health and Safety at work - the policy will advocate for a workplace that is safe and healthy for all employees.
- Environment – the policy will strive to protect the environment within which it conducts its business.

2.5. ROLES AND RESPONSIBILITIES

Role	Responsibilities
PEO	<ul style="list-style-type: none"> Establish, as far as is reasonably practicable, what hazards to the health or safety of persons are attached to any work which is performed and any machinery which is used in his business; Establish the precautionary measures that should be taken with respect to such work and machinery in order to protect the health and safety of persons, and he shall provide the necessary means to apply such precautionary measures; Provide such information, instructions, training and supervision as may be necessary to ensure, as far as is reasonably practicable, the health and safety at work of his employees; As far as is reasonably practicable, not permitting any employee to do any work or to produce, process, use, handle, store or transport any substance or to operate any plant or machinery, unless the precautionary measures contemplated have been taken; Take all necessary measures to ensure that the requirements of this policy are complied with. Enforce such measures as may be necessary in the interest of health and safety.
Executive Management	<ul style="list-style-type: none"> With written permission from the PEO, he/she shall be delegated with duties with regard to the implementation of this policy within their jurisdiction and are nominated by the PEO to fulfil all assigned duties; Ensure the implementation and maintenance within the GEPF business units, of an effective system of management for SHE consistent with the GEPF SHE Policy and other legislative requirements; Integrate SHE management into all levels of the management within the organization.

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Role	Responsibilities
Human Resources Manager	<ul style="list-style-type: none"> • Is the nominated representative to carry out the operational responsibilities of the GEPF PEO for the SHE programme; • Coordinates all SHE activities within the GEPF; • Manages the SHE Programme; • Responsible for the SHE policy development, review, and implementation; • Ensure that the office has about two or more health and safety representatives and, establish a health and safety committee; • Take the prescribed steps to ensure that the health and safety committee complies with the provisions of section 19(4) of the OHS Act and performs the duties assigned to it by sub-sections (1) and (2) of the OHS Act.
Health and Safety Representatives	<ul style="list-style-type: none"> • Review the effectiveness of SHE measures; • Identify potential hazards and potential major incidents at the work place; • In collaboration with his/her employer examine the causes of incidents at the work place; • Investigate complaints by any employee relating to that employee's health and safety at work; • Make representations to the employer on general matters affecting the health and safety of the employees at the workplace; • Inspect the workplace, including any article, substance, plant, machinery or health and safety equipment at that workplace with a view to, the health and safety of employees, at such intervals as maybe agreed upon with the employer: provided that the health and safety representative shall give reasonable notice of his or her intention to carry out such an inspection to the employer, who may be present during the inspection; • Participate in consultations with inspectors at the workplace and accompany inspectors on inspections of the workplace.

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Role	Responsibilities
OSHA Manager	<ul style="list-style-type: none"> • In his/her capacity as the health and safety representative attend meetings of the health and safety committee of which he/she is a member, in connection of any of the above functions.
Health and Safety Committee	<ul style="list-style-type: none"> • Make recommendations to the employer or, where the recommendations fail to resolve the matter, to an inspector regarding any matter affecting the health or safety of persons at the workplace or any section thereof for which such committee has been established; • Discuss any incident at the work place or section thereof in which or in consequence of which any person was injured, became ill or died, and may in writing report on the incident to inspector; • Perform such other functions as maybe prescribed; • Keep record of each recommendation made to an employer in terms of subsection 1(a) of the OHSA and of any report made to an inspector in terms of subsection 1(b) of the OHSA; • A health and safety committee or a member thereof shall not incur any civil liability by reason of the fact only that it or he/she failed to do anything which it or he/she may or is required to do in terms of OHSA.
Employees	<ul style="list-style-type: none"> • All employees must take all reasonable care for their own health and safety and that of others who may be affected by their conduct at the workplace; • No employee shall wilfully interfere with or misuse anything provided in the interests of health and safety or welfare and must cooperate with the GEPF in relation to actions taken by the GEPF to comply with SHE legislation; • All employees must not wilfully place at risk the health and safety of any person in the workplace; • All employees shall carry out any lawful order given to him/her, and obey the health and safety rules and procedures laid down by his/her employer or by anyone authorized thereto by his/her employer, in the interest of health and or safety; • Every employee shall refuse work if any situation which

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Role	Responsibilities
	is unsafe or unhealthy comes to his/her attention, as soon as practicable report such situation to his/her employer or to the health and safety representative for his/her workplace or section thereof, as the case maybe, who shall report it to the employer; and if he/she is involved in any incident which may affect his/her health or which has caused an injury to himself or herself, report such incident to his/her employer or to anyone authorized thereto by the employer, or either report to his/her health and safety representative by the end of business day or as soon as practicable thereafter.
Visitors	<ul style="list-style-type: none"> Visitors are required to comply with all instructions given by authorized GEPF employees for the protection of their health and safety whilst on the GEPF premises.
Contractors	<ul style="list-style-type: none"> Adhere to contractual requirements of the GEPF in relation to the SHE in addition to the GEPF's health and safety requirements specified in the relevant SOP's.
Labour Unions/Employee Reps	<ul style="list-style-type: none"> Be informed of and review the SHE policy Support the policy, systems and programmes Inform members about the policy Ensure members adhere to the policy.

2.6. GEPF MANAGEMENT STRATEGIES

2.6.1. Policy Objective

To provide leadership, commitment and undertake to provide support to the policy and programme and all related activities.

2.6.2. Policy Tenets

- Provision of adequate financial, material and human resources for the implementation of the policy.
- Compliance with local legislation (OHSA, COIDA, BCEA and EEA) with regard to recruitment, development and retention of employees.

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- To provide a safe working environment and without risk to all employees and contractors of the GEPF as required by the Occupational Health and Safety Act, No. 181 of 1993.
- Provide equitable access to SHE services for all employees.
- Ensure that all employees are informed about COIDA and the compensation process.
- Where an employee's health status renders him/her unable to continue working in a certain position, alternatives, within the scope of reasonable accommodation, shall be sought, in consultation with the concerned employee.
- Where appropriate and in line with stated policy, extend medical services to the employee's immediate family.

2.7. SHE WORKPLACE INTERNAL ACTIVITIES

2.7.1. Policy Objective

To provide a comprehensive SHE workplace programme that is in line with National Legislation and guidelines.

2.7.2. Policy Tenets (HRA)

- The GEPF will conduct a Health Risk Assessment (HRA) of its premises and activities in order to identify the hazards and risks that its employees might be exposed to while at work.
- The GEPF will develop and distribute appropriate administrative procedures for the prevention of injuries in the workplace.
- The organisation shall identify all potential hazards in the workplace and compile guidelines and regulations for the proper prevention of injuries due to such hazards.

2.7.3. Policy Tenets (Biological Agents)

The GEPF shall cause for the development of an HIV and TB in the workplace policy, due to the importance of these two conditions in South Africa.

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2.7.4. Policy Tenets (Medication)

- The GEPF prohibits working when taking medication, if such use will result in side effects that may lead to the employee causing harm to other employees or property.
- Employees using medication, which may result in side effects that may lead to the employee causing harm upon other employees or property while at work, shall inform management accordingly and where appropriate their Health and Safety Representatives (HSR).

2.7.5. Policy Tenets (Accidents)

- All accidents that occur while on duty shall be reported to Management and HSR.
- The SHE Team shall co-operate with Human Resources (HR) who shall be responsible for the processing of all claims, which are sent to the Compensation Commissioner (CC) in Pretoria.

2.7.6. Policy Tenets (Information and Training)

- The GEPF shall provide employees with appropriate health and safety information and training.
- The health and safety information and training may include among others First Aid Training, safe handling of hazards, fire warden etc.
- The information and training should take into consideration HR and Communications policies and guidelines with reference to language needs.

2.7.7. Policy Tenets (Pregnant workers)

- All pregnant employees shall inform the Line Manager (LM) ideally in the first trimester.
- Confidentiality of the employee's pregnancy shall be respected by management at all times, until the employee opts to disclose.
- The organisation shall cause a HRA of all work processes that can affect pregnant employees and inform all employees about such risks if present.

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- It is the responsibility of the pregnant employee to bring to the attention of management any alleged side effects resulting in the compromise of the foetus due to exposures in the workplace.

2.7.8. Policy Tenets (Tobacco use in the workplace)

The organisation shall cause for the development of a Tobacco use in the workplace Policy, in alignment with national legislation.

2.7.9. Policy Tenets (Admittance of Persons)

- The organisation shall not permit a person to enter a workplace where the health and safety of such a person is at risk, unless such a person enters the workplace with the express permission of, and subject to the conditions laid down by the organisation.
- This permission shall not apply in respect of a person entitled, by law, to enter the workplace, e.g. Health or Labour Department Inspector.

2.7.10. Policy Tenets (Safety Rules)

Each employee is expected to:

- Familiarise themselves with, obey and follow all safety rules and signs.
- Report unsafe working conditions.
- Follow housekeeping rules.
- In case of intoxication, the employee or any other person must report it in line with the GEPF Code of Conduct.
- All employees are expected to adhere to the SHE policy.
- The organisation shall make available the SHE Policy to all employees.

2.7.11. Policy Tenets (Bomb Threats)

The organisation shall notify the employees on what to do in case of Bomb Threats.

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2.7.12. Policy Tenets (Emergency Evacuations)

The organisation shall make known a procedure to be followed in an emergency evacuation in line with the evacuation procedure of the building/s occupied by the GEPF employees.

2.8. EVACUATIONS

2.8.1. Policy Tenets (Accidents and First Aid)

The organisation shall inform all employees on what to do when accidents occur in the workplace and when First Aid assistance is required or being provided.

2.8.2. External Activities

The Fund takes to work with communities and other partners in reducing the SHE impact through GEPF services in communities wherein the organisation operates. This commitment is also in line with the GEPF's Responsible Investing policies.

2.8.3. Policy Tenets

The organisation shall assess on a regular basis the internal environmental impact of its activities.

2.8.4. Implementing and Resourcing the Policy

- The GEPF shall be responsible for securing the necessary resources to implement the policy.
- The SHE Team together with all relevant stakeholders will be responsible for formulating action plans, which shall include annual budgets for implementation of the policy programmes.
- The planning shall coincide with all other budget planning cycles of the GEPF.
- As a demonstration of commitment to the health and safety within the organisation a copy of the Health and Safety Policy will be made available in the shared drive to be accessed by all.

2.8.5. Reporting on the Policy

- The SHE team shall put in place mechanisms for monitoring and evaluating the implementation of the policy with a focus on specified input and process indicators (such as the establishment of a health and safety committee, nomination and training of Health and Safety Representatives, etc.).
- The SHE Team will submit regular reports to the EXCO which will form part of the broader HR MIS reporting. These reports will comprise of analysis from the health information system and the SHE Activities within the GEPF.

2.8.6. Policy Review

- The policy shall take effect upon being approved by the Board of Trustees and duly signed by the Board Chairperson.
- The policy shall be reviewed every five (5) years to ensure suitability, adequacy and effectiveness, unless a reason or need arises to review the policy earlier than the stipulated period.

3. HIV/AIDS & TB POLICY

3.1. PRINCIPLES

The GEPF is committed to the fundamental principle that HIV/AIDS and TB are workplace issues that deserve the full commitment of management and employees. HIV/AIDS and TB will be treated like any other serious life-threatening condition.

The principles that guide this policy include:

- **Information and Education**
Information, education and awareness shall be provided to all employees of GEPF about HIV/AIDS and TB with the goal of creating awareness and promoting prevention by changing attitudes, behaviour and practices.
- **Training**
Training of relevant GEPF employees and management in order to ensure the effective implementation of the workplace HIV/AIDS and TB policy and programme will be done.

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- **Human rights and dignity**

Affected or infected employees will be protected from unfair treatment, discrimination or prejudice by GEPF based on their disease status or vulnerability. The policy will also seek to protect those infected and affected by HIV/AIDS or TB from stigma in the workplace. Discrimination against HIV/AIDS and TB positive employees by fellow employees, based on their status, shall not be condoned and shall be subject to such employees being dealt with through the GEPF's disciplinary process.

- **Access to services**

The GEPF will ensure access to counselling services for employees affected or infected by HIV/AIDS and TB. Specific activities aimed at prevention, care and support will include among others, condom distribution and post-exposure prophylaxis.

- **Privacy and confidentiality**

GEPF will respect the privacy and confidentiality of employees' health records. However, voluntary disclosure to specified professionals with expressed consent will however, be encouraged. Test results shall not be discussed with Management without the employee's written consent and such disclosure shall be treated as strictly confidential. Only registered professionals shall be permitted to provide therapeutic interventions.

- **Safety at work**

GEPF, as far as reasonably practical will provide a workplace that is safe and healthy for all employees. The provisions of the Compensation of Occupational Injuries and Diseases Act and Occupational Health and Safety Act shall be followed with regard to infection of HIV/AIDS and TB in the course and scope of employee duties in order that such infection shall qualify as an injury on duty.

3.2. ROLES AND RESPONSIBILITIES

Role	Responsibilities
PEO	<ul style="list-style-type: none">• Show leadership as part of the response to HIV/AIDS and TB in the workplace• Mobilize resources to ensure that HIV/AIDS and TB programmes in the workplace are funded• Encourage adherence to national laws and policies relating to TB/HIV & AIDS

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Role	Responsibilities
	<ul style="list-style-type: none"> • Ensure that the Policy on HIV/AIDS and TB management is endorsed and implemented
Human Resource Manager	<ul style="list-style-type: none"> • Ensure that recruitment, promotion and development of policies and practices do not discriminate against people who are HIV/AIDS positive or have TB • Ensure workers infected with HIV/AIDS and TB will be entitled to the same type, level, and form of benefits as other employees with serious illnesses • Provide advice on measures which may be instituted to accommodate workers with TB and AIDS-related illnesses • Report to the PEO the impact of the policy on the health of the employees. • Co-ordinate the implementation of HIV/AIDS and TB Management programs, projects and interventions at the GEPP • Facilitate counseling of individual employees and their immediate family members • Co-ordinate activities of Health and Safety Representatives and Committee • Initiate and arrange staff training with respect to HIV/AIDS and TB • Analyse and evaluate data, and communicate information, statistics and results to various stakeholders and management • Promote work-life balance for employees • Obtain and make condoms available at the workplace and provide education in the usage thereof
Health & Safety Reps and Committee	<ul style="list-style-type: none"> • Monitor and review with HR Manager the implementation of the HIV/AIDS and TB policy • Review the effectiveness of health and safety measures implemented for TB and HIV prevention • Investigate complaints by any employee relating to that employees' health or safety at work • Inspect the office environment from time to time to ensure compliance to the policy

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Role	Responsibilities
	<ul style="list-style-type: none"> Record and report all incidents in the workplace to the executive committee Make recommendations to the organization about the health and safety of the employees Maintain confidentiality of all medical records of employees and only disclose if legally required with the consent of the employee
Employees	<ul style="list-style-type: none"> Take the appropriate action on being informed about HIV/AIDS and TB to protect him/herself and their families Comply with the HIV/AIDS and TB policy in the workplace Support and participate in all activities aimed at reducing HIV/AIDS and TB in the workplace TB infected employees should take care of themselves and others to avoid re-infection or infecting others Take reasonable care of his/her health and that of other employees who may be affected Report as soon as possible any unhealthy situation which comes to her/his attention, to the HR Manager or Health and Safety Representatives Contribute to the enabling of a working environment for care treatment and support
Visitors	<ul style="list-style-type: none"> Comply with the GEPF's regulations pertaining to health and safety in the workplace.

3.3. HIV & AIDS AND TB WORKPLACE INTERNAL ACTIVITIES

3.3.1. Policy Objective

To provide HIV/AIDS and TB workplace events in the Organisation.

3.3.2. Policy Tenets (prevention)

- Minimize the risk of HIV transmission by ensuring that all employees have access to information, education and communication for both HIV/AIDS and TB

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- Promote the dissemination of current, accurate information on HIV/AIDS and TB that is culturally sensitive to employees and their families
- Ensure adequate and sustained condom distribution of good quality at the work place
- Development of a sustained Employee Assistance Programme (EAP) and HIV/AIDS Counselling and Testing (HCT)
- Implement smoking cessation peer talks to reduce the risk of TB infection

3.3.3. Policy Tenets (treatment and care)

- Provide access to confidential HCT in the workplace
- Provide voluntary HIV testing for all employees diagnosed with TB
- The organization may establish a referral system to a wellness clinic that will provide TB treatment, ARVs, Sexually Transmitted Infection (STI) treatment and Opportunistic Infections (OI) treatment. In the event that an employee does not have sufficient/appropriate medical aid insurance, the GEPF shall carry the cost of medication for HIV/AIDS and TB for that particular employee.

3.3.4. Policy Tenets (Support for employees)

- Provide counselling and other forms of social support services to workers and their families infected and affected by HIV/AIDS and TB
- Provide protection from stigmatisation and discrimination by other fellow employees, employers or clients for persons in the workplace infected with or affected by HIV/AIDS and TB
- Ensure non-discrimination against HIV/AIDS and TB infected employees in access to standard social security benefits and occupational related benefits

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3.3.5. Implementing and Resourcing the Policy

GEPF shall be responsible for securing the necessary resources to implement the policy.

The Health and Safety Committee will be responsible for drafting action plans or activities, which shall include budgets for implementation of the policy.

The planning shall coincide with all other budget planning cycles of GEPF.

3.3.6. Monitoring, Evaluation and Reporting on the Policy

The Human Resources unit including the Health and Safety Committee shall monitor, evaluate and report on the implementation of the policy.

The team will submit quarterly reports to the executive committee of the GEPF and annual reports to the REMCO and the BOT.

3.3.7. Policy Review

The policy shall take effect upon the approval by the Board of Trustees.

The policy shall be reviewed every five (5) years to ensure suitability, adequacy and effectiveness, unless a reason or need arises to review the policy to possibly factor in changes in legal frameworks, political and economic trends as well as outcomes of monitoring and evaluation.

CHAPTER 7

INCAPACITY POLICY AND PROCEDURE

This Chapter deals with issues relating to incapacity directly related to ill health or injury. An employee can be incapable of performing his/her duties due to illness or injury resulting in the employee being incapacitated to perform his/her work.

1. INCAPACITY: ILL-HEALTH OR INJURY

1.1. INTRODUCTION

The LRA makes provision for the fair treatment of employees who are incapacitated as a result of illness or injury. Incapacity on the grounds of ill health or injury may be temporary or permanent and it is therefore a necessary imperative for the GEPP to ensure that there is a policy in place which provides guidelines in respect of the management of employees who are unable to perform their work due to such illness or injury.

1.2. PURPOSE

The objectives of this policy are to:

- ensure that the employer and employees share a common understanding of incapacity;
- prevent arbitrary or discriminatory actions by the employer toward employees;
- give reasonable assistance to employees who are incapable of performing in accordance with the needs of their jobs;
- promote mutual respect between employees and between employer and employees; and
- support constructive labour relations in the organisation.

1.3. SCOPE

This policy is applicable to all permanent and fixed-term employees of the GEPP.

1.4. **CODES, RULES AND STANDARDS**

The Code of Good Practice on Dismissal, contained in Schedule 8 of the Labour Relations Act, insofar as it relates to incapacity, constitutes part of this procedure.

In applying this procedure, the employer must assess the incapacity by considering:

- the extent to which the incapacity impacts on the work of the organisation, the employee's division, colleagues, and the public;
- the extent to which the employee fails to meet the required performance standards established by the employer;
- the extent to which the employee lacks the necessary skills to perform in accordance with his/her performance agreement;
- the nature of the employee's work and responsibilities; and
- the circumstances of the employee.

1.5. **INCAPACITY PROCEDURES IN RESPECT OF ILL-HEALTH OR INJURY**

1.5.1. **Procedure in respect of ill-health or injury**

- i. If an employee is temporarily unable to perform the work that the employee has been employed to do as a result of ill health or injury, the employer should investigate the extent of the incapacity or the injury. If the employee is likely to be absent for a time that is unreasonably long in the circumstances, the employer should investigate all the possible alternatives short of dismissal.
- ii. When alternatives are considered, relevant factors might include the nature of the job, the period of absence, the seriousness of the illness or injury and the possibility of securing a temporary replacement for the ill or injured employee.
- iii. In conducting this investigation a trade union representative or a fellow colleague could represent an employee in an investigation conducted by an employer. The employer must give the employee, and his/her representative of choice, the opportunity to state the employee's case and the opportunity of being heard on all the issues that the employer investigates and considers. Relevant medical and other information must be considered.

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- iv. After the investigation the employer must provide the employee with a written report setting out the results of the investigation.
- v. In this investigation the employer must consider:
 - the nature of the job;
 - the likely period of absence;
 - the seriousness of the illness or injury;
 - the remuneration of the employee during her/his period of absence; and
 - the possibility of securing a temporary replacement for the ill or injured employees.
- vi. If the employee's ill-health or injury is of a permanent nature the employer must investigate the possibility of:
 - securing alternative employment for the employee;
 - adapting the duties or work circumstances of the employee to accommodate his/her disability; and
 - offering boarding on the grounds of ill-health or injury.
- vii. The cause of incapacity may also be relevant. In the case of the investigation indicating that the employee's ill-health is as a result of alcohol, drugs, or any other substance abuse, the employer may consider the following steps in managing the employee:
 - counselling;
 - encouraging the employee to attend a formal rehabilitation programme which the employee will be expected to follow; or
 - terminating the employment of the employee after following fair procedures, if the behaviour is repetitive.
- viii. If the employee fails to follow the formal programme to attend rehabilitation or to address the problem of alcohol, drug or any other substance abuse, the employer must give the employee and his/her representative a written report and consult again with the employee. After consulting with the employee the employer may consider whether to terminate the employment of the employee after the normal disciplinary process is concluded.

APPEAL FORM

Mr / Ms:.....

Department:.....

Date:.....

Mark with an 'X' where applicable:

I wish to appeal against the finding of guilty ☐

I wish to appeal against the sanction imposed ☐

I wish to appeal against both the finding of guilty and the sanction imposed ☐

GROUND'S FOR APPEAL:

.....

.....

.....

.....

.....

.....

Employee Signature

Date

APPEAL DECISION AND REASONS

Mr / Ms:.....

Department:.....

Date:.....

CONSIDER APPEAL GROUNDS:

.....
.....
.....
.....

APPEAL DECISION:

.....

Finding:

.....
.....
.....

Conclusion:

.....

Appeal Panel

Name:.....

Designation:.....

Date:.....

DISMISSAL / SUMMARY DISMISSAL

Mark applicable warning with an 'X'

DISMISSAL

☐

SUMMARY DISMISSAL

☐

Mr / Ms:.....

Department:.....

Date:.....

Description of incident: (Set out sufficient details of the incident)

I refer to the disciplinary enquiry held on _____ and confirm that your behaviour in connection with the abovementioned incident was unacceptable in terms of the disciplinary policy, code and procedure.

Having taken into account both the mitigating and aggravating factors in this case and also noting the seriousness of the transgression(s), the appropriate sanction under the circumstances is that you are summarily dismissed or you are dismissed **(delete whichever is not applicable)** with one (1) month notice pay.

You have the right to appeal against this sanction. Should you exercise your right to appeal, you must submit your appeal on the prescribed form to the Human Resources Manager within four (4) working days of receipt of this letter.

We thank you for your co-operation.

For and on behalf of GEPP
Chairperson of Enquiry

Date

Employee Signature

Date

Appointment of the Investigator Form

Mr / Ms:.....

Department:.....

APPOINTMENT TO INVESTIGATE ALLEGED MISCONDUCT

You are hereby appointed to investigate the following:

1.;
2.;
3. any misdemeanour on the part of the aforementioned employee; and
4. the impact on the efficiency of the Fund.

You may request any documents and may interview any person(s) whom you deem necessary in order to conduct a proper investigation.

You must submit a report to (relevant supervisor/line manager) within ten (10) working days after the conclusion of the investigation, which will contain your findings and recommendations.

I would like to thank you for your willingness to investigate this matter.

For and on behalf of GEPP
Line Manager/PEO/HRM

Date

Signature of the appointee

Date Received

Notification of Suspension

Mr / Ms:.....

Department:.....

Date:.....

Re: SUSPENSION LETTER

1. This letter serves to notify you that the Fund has become aware of serious allegations against you involving contravention of rules and regulations which require immediate investigation.
2. Due to the nature of the allegations against you, you are suspended on full pay and on normal benefits pending the outcome of the disciplinary enquiry and you are prohibited from entering or being in the vicinity of any place of business of the Fund, other than for the purposes of attending the disciplinary enquiry.
3. You are prohibited from contacting or intimidating employees of the Fund. Should you require access to the premises and/or other employees for purposes of preparing for the disciplinary enquiry, you are required to obtain written permission therefore from the undersigned, which permission will not be unreasonably withheld.
4. During the period of your suspension you are required to:
 - a. contact your Line Manager telephonically every Monday, Wednesday and Friday of each week commencing from (date)..... between 09h00-09h30 each day for easy communication and contact with the Fund whilst on suspension.
 - b. make yourself available at any given time to assist the investigation team.
5. You will be informed of the date of the disciplinary enquiry in due course.
6. Should you have any query regarding the content of this letter, please contact the Human Resources Manager.

Yours sincerely,

For and on behalf of GEPP
Line Manager/PEO

Date

Signature of the Employee

Date