

# A Toolkit on Recruitment and Selection

PUBLIC SERVICE COMMISSION



# A Toolkit on Recruitment and Selection



Issued in the Republic of South Africa by:  
Public Service Commission, National Office:  
Commission House, cnr Hamilton and Ziervogel Streets, Arcadia

Private Bag X121, Pretoria  
Tel: (012) 328 7690  
Fax: (012) 325 8382  
Email: [info@opsc.gov.za](mailto:info@opsc.gov.za)

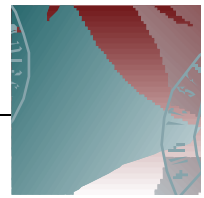
Production and Distribution by the Chief Directorate:  
Human Resource Management and Development

Design and Layout: Advertising Studio 136

---

# Foreword by Chairperson

---



It gives me great pleasure to present these guidelines in the format of a Toolkit on Recruitment and Selection for use in the Public Service.

At present Government is in the process of restructuring the Public Service with the aim of improving on its service delivery. At the same time several initiatives are being implemented in order to ensure that the process of restructuring is fair, transparent and efficient. In this regard the manner in which recruitment and selection is conducted - often viewed as a mirror of fairness and transparency within departments - becomes paramount. The nature of recruitment and selection makes it susceptible to corruption and malpractices. Thorough procedures are thus necessary to minimize subjectivity.

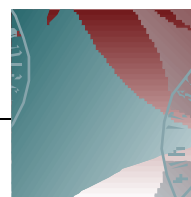
Furthermore, recruitment and selection within the government tends to be under sharp public scrutiny, and any aspersions are likely to negate the thrust of clean administration professed by government. This also undermines the morale and effectiveness of staff. With this in mind, and that the Public Service Commission has been regularly called upon to investigate recruitment and related selection malpractices, guidelines contained in this Toolkit should provide a useful directive.

It is important to emphasise that for service delivery to improve and for transformation to be taken forward, our appointments, at all levels, need to be above reproach. It is only when we select the most competent persons available, within the parameters of legislation on Affirmative Action and Employment Equity, that we will be able to provide the leadership and skills required to advance our democracy.

It is trusted that you will find this manual useful, as you play your important role in driving the collective action of government towards improving the overall quality of its public service and its performance.

Prof Stan Sangweni  
*Chairperson: Public Service Commission*





## Chapter 1: Introduction

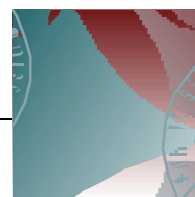
1.1	<b>The importance of recruitment and selection</b>	7
1.2	<b>Where departments go wrong</b>	
1.2.1	Specific shortcomings revealed by PSC investigations	7
1.2.2	Implications of these shortcomings	8
1.3	<b>What needs to be done?</b>	
1.3.1	Preparing the groundwork	8
1.3.2	The purpose with this Toolkit is to assist with areas of recruitment and selection	9

## Chapter 2: Objectives and Principles

2.1	<b>Regulatory framework underpinning this Toolkit</b>	11
2.2	<b>Specific objectives with this Toolkit</b>	11
2.3	<b>Important underlying principles</b>	
2.3.1	Lack of policy guidelines may detract from goal attainment	12
2.3.2	Failing to plan sets the scene for failure	12
2.3.3	Poor administration and decisions yield poor results	13

## Chapter 3: The Management of the Recruitment and Selection Process

3.1	<b>Understanding the process</b>	15
3.2	<b>Points of departure</b>	
3.2.1	Recruitment and selection is a line management responsibility	17
3.2.2	Each recruitment and selection phase should be finalised before moving on to the next phase	17
3.2.3	Reasonable time periods should be allocated to the execution of each and every phase	17
3.3	<b>Activities that need to be highlighted</b>	
3.3.1	Advertising	
(a)	What you advertise for is what you get	18
(b)	Principles applying to advertising	19
(c)	How can discrimination be avoided?	19
3.3.2	Applications	20
3.3.3	Screening	
(a)	Purpose of screening	20
(b)	Principles applying to screening	21
(c)	Important screening issues	22
3.3.4	Short-listing	
(a)	Purpose of short-listing	29
(b)	Principles applying to short-listing	29
(c)	How can discrimination be avoided?	30
(d)	Important short-listing issues	30
3.3.5	The final selection phase	
(a)	Purpose of the final selection phase	37



(b) Principles applying to the final selection phase	38
(c) How can discrimination be avoided?	38
(d) Selection techniques	40
(e) Important final selection issues	40
(f) Selection committees	44
(g) Selection instruments	46
(h) Interviewing	46
(i) Nominations	47
3.3.6 Record-keeping	47
3.3.7 Monitoring	49

## Chapter 4: The Development of a Departmental Recruitment and Selection Policy

4.1 Introduction	51
4.2 Avoiding discrimination	52
4.3 General provisions	53
4.4 Advertisements	58
4.5 Processing of applications	61
4.6 Screening of applicants	63
4.7 Short-listing of applicants	64
4.8 Selection committees	66
4.9 Interviewing	68
4.10 The physical filling of posts	70
4.11 Conclusion	71

## Annexures

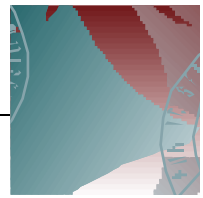
A: Screening of applicants	74
B: List of applicants	76
C: Short-listing of applicants	77
D: Final selection of applicants	81
E: Short-listing and final selection: Examples	87
F: Summary of screening, short-listing and final selection criteria	94
G: Supportive documentation required for the filling of a post	95
H: Verification checklist on the filling of a post	96

## FIGURES

Figure 1: The Recruitment and Selection Process	16
Figure 2: Screening: A breakdown of activities	21
Figure 3: Guidelines for a letter of regret after screening is completed	28
Figure 4: Short-listing: A breakdown of activities	29
Figure 5: Guidelines for a letter of regret after short-listing and final selection is completed	37
Figure 6: The final selection phase: A breakdown of activities	38

# Acknowledgements

---



This Toolkit was compiled as a result of investigations undertaken by the Public Service Commission on recruitment and selection. Following from these investigations it became clear that a need exists for guidelines on recruitment and selection at departmental level. It is intended that the Toolkit will provide departments with a practical application of guidelines on recruitment and selection.

## **Special thanks to the following:**

- HR Specialist Team, namely Commissioners Kenny Mathews, David Mashego and Mzwandile Msoki
- Odette Ramsingh: Deputy-Director General: Human Resource Management and Labour Relations
- Indran Naidoo, Eugene du Pré and Theuns Kirsten from Chief Directorate: Human Resource Management



### This Chapter deals with the following:

- 1.1 The importance of recruitment and selection
- 1.2 Where departments go wrong
- 1.3 What needs to be done?

### 1.1 The importance of recruitment and selection

The Public Service is a labour-intensive employer and the quality of its services is directly dependent on the quality and performance of its employees. Viewed from this perspective, recruitment and selection collectively represents one of the most important HR practices. Given the link between good quality recruitment and service delivery, its importance is paramount. However, its importance is often overlooked.

Mistakes made in respect of recruitment and selection require costly and extensive rescue measures at other levels, such as -

- a greater need for guidance by managers at higher levels to offset junior employees' inability to function independently;
- mentoring;
- training; and
- a concomitant heavier burden on other members of staff to ensure goal attainment.

The effectiveness of recruitment and selection is in itself dependent on the quality of HR planning, proper job descriptions<sup>1</sup> and staffing requirements dictated by transformation and service delivery objectives. If these areas are neglected, this will inevitably spill over into the area of recruitment and selection, setting off an ever-increasing vicious circle. The guidelines contained in **Chapter 3** attempt to prevent such problems from arising.

### 1.2 Where departments go wrong

#### 1.2.1 Specific shortcomings revealed by PSC investigations

The PSC has been involved in the investigation of numerous complaints regarding recruitment and selection over the last couple of years. While conducting these investigations, a definite trend emerged in terms of the problems and constraints experienced with recruitment and selection.

---

*1 Job evaluation and the subsequent development of job descriptions and duty sheets are not addressed here.*

The main findings constitute the following:

Departments generally do not -

- have detailed policies and procedures in place to inform the objective, fair, equitable, consistent and responsible application of recruitment and selection practices;
- have standardized methods and procedures in place to ensure compliance with the constitutionally prescribed values and principles as well as national norms and standards regulating HR in the Public Service;
- thoroughly consider what skills, competencies, training and traits they require from candidates that vie for vacant posts before advertising these;
- properly determine valid selection criteria and apply these consistently;
- structure their selection processes in accordance with these criteria;
- motivate and record their findings and decisions properly; and
- monitor their own conduct with a view to improvement.

### 1.2.2 Implications of these shortcomings

The above trends generally give rise to -

- the **filling of posts** taking exceptionally long (in many instances 9 months and longer);
- **screening and short-listing** not only being flawed and open to criticism, but also not producing the desired results;
- **Selection Committee members** not being sufficiently prepared for the task at hand since they -
  - are sometimes only involved at a very late stage;
  - are not always provided with sufficient information;
  - are not always familiar with the selection instruments utilised; and
  - more often than not lack the necessary interviewing skills;
- the **final selection phase** not only being flawed and open to criticism but again not producing the desired results. This is mainly because -
  - selection criteria are poorly identified; and
  - selection interviews are poorly structured.

## 1.3 What needs to be done?

### 1.3.1 Preparing the groundwork

From the foregoing it is clear that departments find themselves in a difficult situation as far

as recruitment and selection is concerned. To be able to recruit and select in a fair, equitable and transparent manner, they need to apply fundamental principles as prescribed by legislation. However, to be able to do this, they need departmental policy as an enabling tool to guide their strategies and actions. In the absence of departmental policy, the door is left wide open for abuse and all kinds of malpractices. Departments require assistance to manage recruitment and selection on a day to day basis. This will be used to also develop departmental policy. This is exactly what the PSC wishes to achieve with this Toolkit.

### **1.3.2 The purpose of this Toolkit is to assist with the following areas of recruitment and selection:**

#### *(a) Principles underlying recruitment and selection practices*

There are a number of principles that have to be taken into consideration, not only in the day to day management of recruitment and selection, but also in terms of policy development. Some of these principles are prescribed by legislation, while others can be seen as good practice approaches that have been developed over time. These have become part and parcel of recruitment and selection practices.

It is equally important to take note of principles and practices underlying non-discrimination. Workplace discrimination is prohibited by the Constitution, 1996. Section 5 of the Employment Equity Act, 55 of 1998 directs that every employer must take steps to promote equal opportunity in the workplace by eliminating unfair discrimination in any employment policy or practice. Section 6 of the Act prohibits unfair discrimination in any employment policy or practice, on one or more grounds: Race, gender, sex, pregnancy, marital status, family responsibility, ethnic or social origin, colour, sexual orientation, age, disability, religion, HIV status, conscience, belief, political opinion, culture, language and birth.

Non-discrimination is only one of a number of Constitutional values and principles governing public administration that impact on recruitment and selection. However, the historical background of the country and the special efforts required to put right imbalances of the past, makes this of paramount importance.

In terms of this Toolkit, principles are discussed as and where they find application. Although there is a chapter dealing with objectives and principles specifically, the principles are in essence addressed throughout the book.

*(b) The dynamics of recruitment and selection*

Recruitment and selection is a process consisting of different phases, which follow onto one another and are also interdependent. The phases consist of activities for which certain role-players should take responsibility and which should be executed within certain time-frames. It is therefore important that the various role-players involved should not only grasp the bigger picture, but should also understand the intricacies of the various parts of the process and the role they themselves have to play therein.

*(c) A framework for policy development*

The drafting of policy is often seen as a daunting task given the many pitfalls that one is faced with. This explains why policy development in departments is lagging behind.

Problems policy drafters usually face, are to establish what principles should find application and what issues should be addressed.

Included in the Toolkit is a chapter containing a policy framework which can serve as a basis for policy development on recruitment and selection. Although this framework does not represent a policy, it should go a long way in assisting departments in drafting an objective and fair policy.

### This Chapter deals with the following:

- 2.1 Regulatory framework underpinning this Toolkit
- 2.2 Specific objectives with this Toolkit
- 2.3 Important principles underlying recruitment and selection

#### 2.1 Regulatory framework underpinning this Toolkit

This Toolkit has been compiled with due regard to the provisions and principles contained in the -

- Constitution, 1996, in particular section 195(1)(h)(i);
- White Paper on Human Resource Management in the Public Service;
- Public Service Act, 1994, as amended;
- Public Service Regulations (PSR), 2001;
- Labour Relations Act, 1995;
- Employment Equity Act, 1998;
- Public Service Coordinating Bargaining Council (PSCBC) Resolutions;
- Senior Management Service (SMS) Handbook; and
- Promotion of Administrative Justice Act (AJA), 2000.

Since the Toolkit is also informed by requirements for fair and non-discriminatory labour practices and those pertaining to legal administrative actions, the Toolkit can, albeit with minor modification to suit department-specific circumstances, be applied throughout the Public Service.

This Toolkit can be downloaded from the PSC's Website and can be broken up into its various elements (phases of the recruitment and selection process), be modified to suit departmental requirements and these constituent elements can be used as further checklists to guide and check actions in respect of each distinct phase. Such checklists can typically be placed on top of all source documents pertaining to each step in the recruitment and selection process, similar to a route form. Utilised in this manner, the checklists will indicate at a glance which steps have been adhered to and which have not. The custodians of such checklists should typically be departmental HR Components.

#### 2.2 Specific objectives with this Toolkit

The objective of this Toolkit is to assist departments in managing generic activities with regard to recruitment and selection in such a way that the typical pitfalls that departments

succumb to, are avoided. This Toolkit therefore endeavours to -

### **2.2.1 provide guidance on the management of generic recruitment and selection processes**

This Toolkit is highly detailed to guide all role-players involved in recruitment and selection through all the constituent elements of the process;

### **2.2.2 provide guidance on the development of departmental policy**

The Toolkit serves as a frame of reference for the development of departmental policy and procedures on recruitment and selection, consistent with national norms and standards;

### **2.2.3 avert typical errors/pitfalls that departments have fallen prey to**

The Toolkit covers all major generic procedural steps to assist departments in steering clear of typical pitfalls and errors; and

### **2.2.4 introduce the concept of self-monitoring**

The structure of the Toolkit is designed in such a manner that it can be used as a set of checklists to ensure that all-important facets are covered in practice. As such, the Toolkit serves as a self-monitoring instrument to enhance the quality of recruitment and selection.

## **2.3 Important principles underlying recruitment and selection**

### **2.3.1 Lack of policy guidelines may detract from goal attainment**

To ensure that transformation objectives are realised in respect of recruitment and selection, departmental policy needs to give effect to national objectives and principles. If such policy guidelines are non-existent, there are no guarantees that these objectives will be met and this may result in departments losing direction of what should be achieved. In such circumstances, recruitment and selection is often managed clumsily, leaving the results open to scrutiny.

### **2.3.2 Failing to plan sets the scene for failure**

The various steps involved in HR practices represent building blocks where, if any of the preceding steps are neglected, all subsequent steps are compromised. In accordance with PSR I.1.1, Chapter III, it is clear that no filling of posts can commence until -

- job evaluation has been conducted and approved as far as new posts and posts from post level 9 and upwards are concerned;
- a job description has been developed from the above-mentioned job evaluation, addressing the main objectives and inherent requirements of the post (post and person specifications);
- a motivation for the filling of a post has been approved;
- the job description has been utilised for the proper drafting of an advertisement that has been approved;
- a selection committee has been appointed to handle the selection of the most suitable candidate(s);
- selection criteria for screening purposes have been identified and applied consistently for the screening of candidates;
- selection criteria for short-listing purposes have been identified and applied consistently to shortlist candidates;
- selection criteria for the final selection of candidates have been identified beforehand and applied consistently to identify the most suitable candidate(s);
- a nomination for appointing the most suitable candidate(s) has been approved by the executing authority or his/her delegate;
- unsuccessful candidates are notified timeously by means of a letter of regret;
- a candidate is informed in writing of his/her appointment as the most suitable candidate; and
- a candidate accepts, in writing, his/her appointment.

### 2.3.3 Poor administration and decisions yield poor results

Apart from ensuring a satisfactory outcome, sound administrative practices will also ensure objectivity, consistency, equity and fair labour practices.

Poor recruitment and selection decisions do not only give rise to costly grievances, complaints, disputes, litigation and discontentment, but also put strain on an entire system due to a poor post and person match, resulting in unnecessary redeployment of human resources to uphold productivity. Cognisance must therefore be taken of the provisions of the Promotion of Administrative Justice Act (AJA), 2000 wherein persons who have been unsuccessful can request reasons in writing for any decision that negatively affects their rights.

Thus viewed, the recruitment and selection processes together form one of the most important HR functions on which the ability of any institution to deliver, rests. Ensuring that sound policies and procedures are in place is most important.





### This Chapter contains the following:

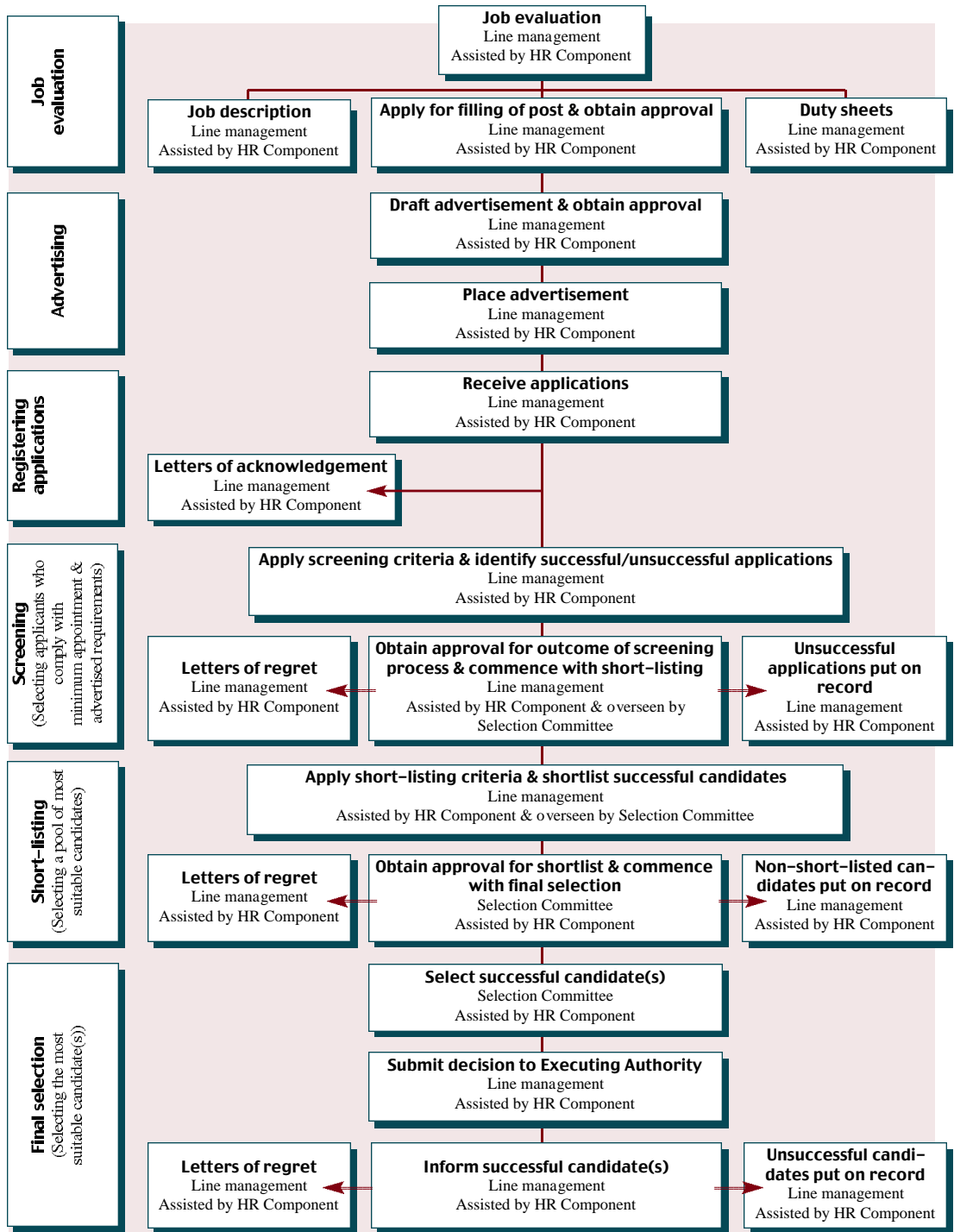
- 3.1 Understanding the recruitment and selection process
- 3.2 Important points of departure
- 3.3 Important recruitment and selection activities:
  - 3.3.1 Advertising
  - 3.3.2 Managing applications
  - 3.3.3 Screening of applicants
  - 3.3.4 Short-listing of applicants
  - 3.3.5 Final selection of the most suitable candidate(s)
  - 3.3.6 Record-keeping
  - 3.3.7 Monitoring recruitment and selection

### 3.1 Understanding the recruitment and selection process

The effective and efficient management of the various recruitment and selection activities is dependent on all role-players having a holistic view of what the process entails (see **Figure 1** on the next page). They should have a thorough grasp of what the different activities are, what the interdependencies between these activities are and what the role-players' responsibilities entail.

From **Figure 1** it is clear that the entire process can be divided into six distinct phases, starting off with job evaluation and ending up with the final selection of the most successful candidate(s). Each phase consists of a number of activities that have to be executed before role-players can commence with the next phase.

Figure 1 The Recruitment & Selection Process



HR Component: Human Resources Component

## **3.2 To enhance the management of recruitment and selection, the following points of departure could be adopted**

### **3.2.1 Recruitment and selection is first of all a line management responsibility**

It is the responsibility of line managers to ensure that posts are filled and to obtain the assistance of departmental HR Components in this regard.

Line managers are also responsible for the overall management of the recruitment and selection process. They should ensure that all relevant activities, whether handled by themselves or by their HR Components, are managed effectively and efficiently within reasonable time frames.

To do this, a clear demarcation of tasks and responsibilities is necessary, so that line managers are in control of the entire process and are in a position to question activities if reasonable time frames are exceeded.

### **3.2.2 Each recruitment and selection phase should be finalised before moving on to the next phase**

Recruitment and selection consists of different phases (advertising, screening, short-listing, etc.), which are integrated with, and follow one another in a specific order. This implies that each phase has to be finalised before the next phase commences.

Each of these phases represents a selection process. Applicants who are eliminated at a certain level (i.e. screening), are for all intents and purposes out of the process.

Nothing prohibits departments, therefore, to inform these applicants accordingly and to see to it that all relevant documentation is placed on record straight away. Departments therefore do not have to wait for the whole process to be finalised before informing unsuccessful applicants accordingly. This will also spread the administrative burden attached to each phase over time. The outcome of the screening process needs to be submitted for the approval of the executing authority or his or her delegate.

There are thus obvious benefits to be derived from finalizing phases while moving on to the subsequent phases.

### **3.2.3 Reasonable time frames should be allocated to the execution of each phase**

Since the filling of a post has major cost implications (also hidden costs), it is essential that this be undertaken in the shortest possible time. Reasonable time frames

should therefore be allocated to the various phases, taking into account the type and number of activities that have to be executed in respect of each phase.

These time frames should be known to all role-players involved and adhered to as far as possible. The HR Component should monitor and report any deviations from policies and procedures not properly sanctioned to the head of department via approved channels of communication, with a view to proactive redress.

### **3.3 To ensure effective and accountable recruitment and selection, the following activities need to be highlighted**

#### **3.3.1 Advertising**

##### *(a) What you advertise for is what you get*

The aim of an advertisement is to reach the broadest possible pool of candidates within a specifically targeted domain. For example, there is no sense in advertising a post to people who do not have the knowledge, skills and competencies to perform the job. Naturally, this does not apply to entry-level or trainee posts and care must be taken that the principle of free competition is not compromised.

It is therefore vital that an advertisement clearly sets out what the requirements are that have to be met by applicants. This will enable them to do self-selection where they can compare their candidature to what is required. Further to this, it will assist in reducing the number of non-qualifying applications.

The content of advertisements ultimately represents the selection criteria applicable to the filling of the post. It therefore stands to reason that the better the effort that goes into the content of the advertisement, the easier subsequent processes will be and the better the quality of the outcome.

The aforementioned, however, require departments to apply their minds fully to the formulation of advertisements. An advertisement is not an object on its own, but is a tool to satisfy an objective at a much higher level, i.e. at a strategic HR planning level, where thorough consideration has to be given to the need for knowledge obtained by means of tertiary education and/or skills and competencies obtained in practice.

This implies that a department has to apply its mind to what is required on person specification level before it compiles an advertisement. This will ensure that the advertisement will allow for flexibility during the recruitment and selection process.

In practice this is often not done and departments only realize, whilst busy with the selection process, that they would want to opt for a candidate that does not possess, for example, the type of tertiary qualifications advertised, but who has acquired the very skills and competence required through other means.

In order to appoint such a candidate, they have to waive the qualification requirement at this very late stage. This is not desirable, since it compromises the accessibility to such posts by other candidates who did not apply on the basis of the specific qualification requirements set in the advertisement.

**(b) *What principles apply to advertising?***

To ensure that the objectives of advertising are met, the following principles need to be adhered to:

- An advertisement should not favour, prejudice or discriminate.
- An advertisement should be fully in line with the job content and the post and person specifications.
- Advertisements should give a clear indication of requirements that must be met.
- The widest possible number of applicants must be attracted in the most cost-effective manner.
- Advertising should promote staff mobility, utilisation and career development opportunities.
- Advertisements should cater for attracting potential.
- The language and style of advertisements must be clear and simple in order to enhance employment equity.

**(c) *How can discrimination be avoided in practice as far as advertisements are concerned?*<sup>2</sup>**

**(i) Content**

The recruitment process usually begins with the placement of an advertisement. The wording of the advertisement is, of course, pivotal and the employer should take care that the advertisement is worded in such a way that it does not directly or indirectly discriminate against any group of people or places undue obstacles in their way. For example, it may amount to discrimination to require qualifications that are not absolutely necessary for the job.

It is also common to find that employers, when placing advertisements for vacant posts, add a statement that they are employment equity, affirmative action or equal opportunity employers. It should be borne in mind that employment

---

<sup>2</sup> Sections (c)(i) and (ii) are extracts from an article: *Aspects of discrimination in recruitment published in Contemporary Labour Law, Vol. 11 No 4 of November 2001*

equity includes non-discrimination. Our courts have also indicated that arbitrary appointments on the basis of race may constitute unfair discrimination.

There must be a programme (and not only a policy) through which affirmative action is to be effected and this must be designed on the basis of objective criteria, and only on this basis can a specific post be earmarked for filling by a candidate that will promote representativeness.

(ii) Placement

The placing of advertisements as such can be discriminatory if these are confined to certain centres or publications which may exclude certain applicants, or which may disproportionately reduce the number of applicants of a particular group of people. It may, in this sense, amount to discrimination if the employer advertises a vacant post in a publication that is largely read by (and largely aimed at) e.g. a male readership or certain population groups.

### 3.3.2 Applications: How does one handle 3000 applications?

Despite targeted recruitment, an advertisement can, in practice, elicit many more applications than anticipated. This is a mammoth task, which has to be conducted in a fair and open manner where no-one is unduly advantaged or disadvantaged.

Effective and accountable screening is the first step in eliminating applications that do not meet **basic** appointment criteria (as contained in section 10 of the Public Service Act, 1994, as amended), and the requirements contained in the advertisement. This should reduce the number of applications to a manageable size without sacrificing the principles of fairness and equity. This is done by applying a predefined set of criteria in respect of each and every application.

Short-listing is the next step that will help to identify a list of the most suitable candidates after having applied a set of criteria complimentary to that of screening. These two very important steps in the recruitment and selection process are discussed in more detail below.

### 3.3.3 Screening of applicants

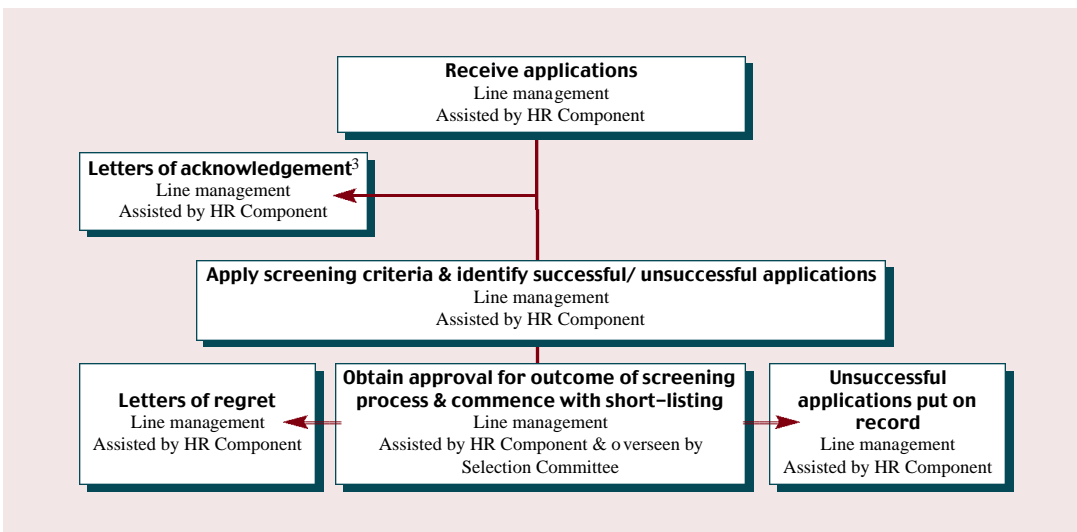
(a) *What is the purpose of screening?*

Any advertisement should specify basic criteria that must be met for an application to be eligible for consideration. If these criteria are not met, there is no obligation on the employer to consider such applications.

The screening process therefore seeks to identify those applications that meet the basic entry-level requirements (contained in section 10 of the Public Service Act, 1994, as amended), and those advertised.

Applications that are therefore incomplete or do not meet the basic appointment criteria are considered unsuccessful applications. A breakdown of the screening process is provided in **Figure 2** below.

**Figure 2 Screening: A breakdown of activities**



**(b) What principles apply to the screening process?**

For the screening process to meet its objectives, certain basic principles need to be adhered to. These are the following:

- A fair set of screening criteria should apply, which should have the sole purpose of identifying those applicants who meet the **basic appointment** and **advertised** requirements.
- Screening criteria must be in line with the job content and appointment, as well as advertised requirement so that applicants screened are clear on the criteria that apply.
- The criteria should apply to all applicants in a consistent manner.

<sup>3</sup> For practice purposes the letters of regret can also serve as letters of acknowledgment after screening has been finalised.

- Any waivers (i.e. applicants passing the screening test without meeting basic requirements) should be fully motivated and approved and be properly documented. See also conditions as discussed under **Criterion 4** of the Screening Process on page 24 and **Criterion 1** of the Short-listing Process on page 32.
- A declaration of a conflict of interest should be made if any candidate is related to or friends of an official involved in the screening process, together with steps<sup>4</sup> taken to uphold fairness, equality and objectivity, if such relationship(s) exist.
- The various activities (see **Figure 2**) of the screening process should be documented and put on record.

Adherence to these principles should ensure that the screening process is managed in an objective, fair and open manner.

(c) *Important screening issues*

- (i) May screening be utilised to reduce a vast number of applications to manageable size?

The main purpose with screening is to eliminate applications that do not meet the *advertised* and *basic appointment* requirements as contained in the Public Service Act, 1994 as amended.

The objective with the next phase of the process, namely short-listing, will be to identify a *manageable size* of applicants who best meet the requirements of the advertised post.

- (ii) Is it necessary to apply a fixed set of selection criteria for screening purposes?

In order to be fair and objective in the screening of candidates, it is essential that a fixed set of valid criteria be applied in terms of each and every candidate that applies for a position.

This will ensure that the person entrusted with the screening of candidates, does so in a responsible, objective and accountable manner.

- (iii) What can be used as selection criteria for screening purposes?

The following examples of four possible separate sets of criteria can typically be considered for screening purposes:

---

<sup>4</sup> Any employee who is related to or a friend of a candidate and forms part of the decision-making process, should -

- declare a conflict of interest;
- ensure that this is put on record; and
- recuse him- or herself from the selection process in its totality.

## Criterion 1:

### Closing date for applications should be met.

All applicants have to adhere to the closing date for applications as specified in the relevant advertisement.

*Note: Late applications may, however, be accepted on the merits of such cases, provided that sound and valid motivation is provided in writing and that this is approved by the executing authority or his or her delegate.*

## Criterion 2:

### Certain conditions should be met in relation to the format and content of –

- application forms,
- *Curricula Vitae* (CV's); and
- all other relevant documentation.

*Note: Departments may, to facilitate screening, short-listing and final selection, prescribe the manner, format, content and supportive documents to be included in applications. Where this is not met, applicants are disqualified.*

*These (if specified in (the) advertisement(s)) may include the following:*

a. *Whether the application form is -*

- *legible;*
- *complete;*
- *signed; and*
- *dated.*

b. *Whether a CV is included, is legible and contains clear information on issues highlighted in the advertisement.*

## Criterion 3:

### Basic appointment requirements should be met in terms of –

- citizenship;
- age;
- character; and
- health<sup>1</sup>.

*Note: These are prescribed in terms of the Public Service Act, 1994, as amended.*

*1 In so far as requirements may be prescribed.*

## Criterion 4:

### Minimum advertised requirements should be met in terms of –

- qualifications; and
- competencies (knowledge, skills and where required, experience).

*Note: Candidates who do not meet the minimum advertised requirements may be accepted for short-listing purposes if, for example, the candidates do not have a tertiary qualification but have acquired competencies (knowledge and skills) and possess qualities that off-set this. This is in line with what is contemplated in Chapter 5 of the White Paper on HRM in the Public Service as well as Regulation VII C.1 and C.2. of Chapter 1 of PSR,2001.*

*However, the above-mentioned is only permissible if -*

- *approval was obtained for the relaxation of appointment requirements;*
- *this flexibility is provided for in the advertisement; and*
- *such cases are properly motivated in writing and approved by the executing authority or his or her delegate and should withstand legal scrutiny in a court of law - since it has to be considered that should the advertisement have been re-advertised with waived or altered requirements, more candidates might have applied.*

- (iv) May criteria be utilised for screening purposes that were not specified in the advertisement?

Theoretically, this is permissible provided that these are in line with the job content and/or requirements specified in the advertisement or are obvious require-

ments, and provided that the provisions contained in section 10 of the Public Service Act, 1994, as amended, are met.

For example, may the legibility of application forms be used as a criterion for screening purposes although it was not explicitly mentioned in the advertisement?

The answer is yes. It stands to reason that the onus lies with applicants to ensure that what they submit is legible, clear and complete. Departments cannot be expected to decipher badly presented applications, especially where large numbers of applications are to be processed.

No employer can be expected to follow up on, for example, 3 000 applications to obtain clarity. Just like any other selection criterion applicable to the subsequent selection processes where competence is assessed, such oversights speak volumes of the work quality and attitude of applicants.

However, where such criteria are applied, these need to be applied to all candidates who have submitted applications.

(v) Who should be responsible for the screening of candidates?

Since this is a straight-forward administrative action, based on a predefined set of criteria, line management, and selection committees for that matter, need not be involved in the process. This is normally the responsibility of the department's HR Component.

Line management (who may be assisted by selection committees) should, however, oversee the process to ensure that it is executed correctly and in accordance with criteria laid down.

(vi) May a standardized format be utilised to assist with the screening process?

The utilisation of a standardized format (such as the example at **Annexure A** on page 75) has certain benefits as well as disadvantages:

**(a) Benefits** The benefits of a standardized format provides the following:

- Objectivity and openness.
- Certainty about the steps that should be taken and the criteria that should apply.
- Responsible and accountable action.
- Easy monitoring and control.
- Instant record-keeping.

**(b) Disadvantages** The biggest disadvantage is that it may contribute to the so-called “paper war” in departments. This should, however, be weighed up against the benefits mentioned earlier.

(vii) What are the steps that should be followed in ensuring the accountable screening of candidates? (See also guidelines at **Annexure A** on page 74 for utilising relevant documentation)

1. Keep a list of all applications received on which important information is captured.

#### List of Applicants for Screening Purposes:

- Names of applicants
- Outcome of screening process
- Notification of unsuccessfully screened applicants.

*[See also example at Annexure B on page 76]*

2. Identify fair screening criteria.

#### Possible screening criteria:

- The closing date for applications
- Preset conditions as far as the submission of documentation is concerned
- Minimum appointment requirements as specified in section 10 of the Public Service Act, 1994, as amended.
- Minimum advertised requirements in terms of competencies.

*[See also principles underlying the screening process on page 21 as well as criteria on pages 23 and 24]*

3. Ensure that the above criteria are (somehow) reflected in the advertisement so that candidates are aware that these form part of the selection criteria.

#### Advertisement:

An advertisement can be worded as follows in this regard:

Applications must be legible, complete, signed and dated. A CV detailing the level and extent of knowledge, skills, competencies and career exposure, must be attached.

4. Demonstrate that a fair screening process was applied by conducting a thorough paper exercise, for example, by completing the document “**SCREENING**” of each applicant.

**Outcome of the screening process:**

Applicant successfully screened?  
 Yes  No

Summary of reasons for unsuccessful screening of applicant.

*[See also process at Annexure A on page 74]*

5. Ensure that unsuccessful candidates are notified in good time by means of a letter of regret.

**Letter of regret:**

I regret to inform you that your application for the above-mentioned post was not successful.

I would, however, like to...

*[See also guidelines on page 28]*

6. Ensure that all relevant information is put on record.

**Documentation to be put on record:**

- Copy of the advertisement
- Application form
- Certificates
- CV
- Outcome of screening process
- Letter of regret.

(viii) Should the outcome of the screening process be put on record?

The screening of candidates is an important decision-making activity that forms part of the total selection process. Since this activity has an important impact on the rights and expectations of applicants, the process should be managed in a responsible and accountable manner.

For this reason, and considering that this may be challenged, it is important that it be documented and put on record.

(ix) May letters of regret be forwarded to applicants after screening is finalised?

For a number of reasons, of which fairness is an important one, applicants should be notified of the outcome of their applications as soon as possible.

Since short-listing and the final selection phase (usually by means of interviewing) are time-consuming exercises, it is only fair to inform applicants whose screening was unsuccessful that their applications have been turned down. See **Figure 3** below for guidelines. It will also place a lesser administrative burden on the HR Component of a department if the notification of unsuccessful applicants could be spread over a period of time, especially where vast numbers of applicants are involved. This should, however, only commence after approval has been obtained from the executing authority or his or her delegate on the outcome of the screening process. Further, cognisance must be given to aspects under **Criterion 4** on page 24.

Although commonly applied, it is not desirable to state in advertisements that applicants should consider their applications unsuccessful if they do not receive feedback within a specified time period. This not only portrays a negative picture of the Public Service as an employer, but offers no guarantees to applicants that a specific department has indeed received their applications. Therefore, where this approach may have merit in large departments where numerous posts are advertised simultaneously, it should nonetheless be employed with circumspection.

### Figure 3

**A letter of Regret after screening is completed should contain reasons for not being successful in respect of the following:**

- The closing date for applications
- Preset conditions as far as the submission of documentation is concerned
- Minimum appointment requirements as specified in section 10 of the PSA, 1994
- Minimum advertised requirements in terms of competencies<sup>5</sup>

Advice regarding legal remedies in terms of the Promotion of Administrative Justice Act, 2000, may also be provided.

<sup>5</sup> Knowledge, skills, and where required, experience.

### 3.3.4 Short-listing of applicants

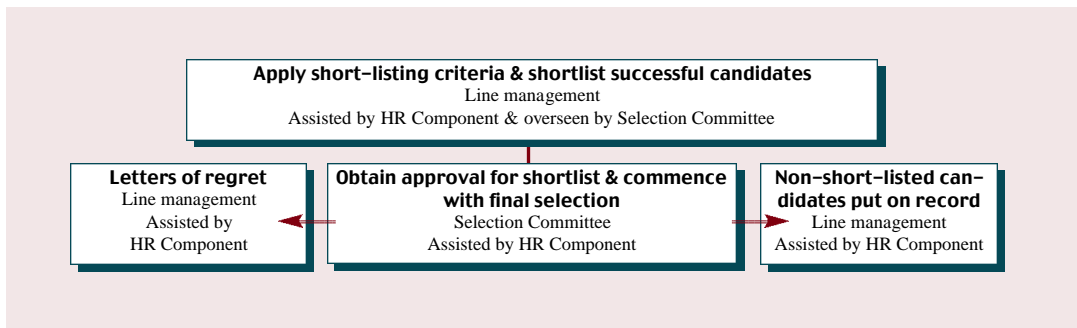
#### (a) What is the purpose of short-listing?

After having completed the screening process and eliminated those applicants that do not meet the basic requirements, the next objective should be to identify a manageable size (pool) of applicants (a short-list) who are best suited to fill the position successfully and from whose ranks the most suitable candidate(s) is/are to be selected.

Advertisements generally only specify the *minimum* appointment requirements in respect of qualifications and competencies (knowledge, skills and, where required, experience). Such candidates enjoy a legitimate expectation to be considered for the position.

However, this does not prohibit an employer from giving a more favourable consideration to applicants that surpass the minimum requirements as long as it is in line with the job content. At the end of the day it is about identifying a manageable pool of best suited candidates for a specific position, in the interest of the State, taking into account Affirmative Action and Employment Equity objectives.

**Figure 4 Short-listing: A breakdown of activities**



#### (b) What principles apply to the short-listing process?

The principles are basically the same as those for the screening process and entail the following:

- A fair set of short-listing criteria should apply, with the sole purpose of identifying a **pool of best suited candidates** for a specific position.
- Short-listing criteria must be in line with the job content and appointment, as well as advertised requirements so that applicants shortlisted are clear on the criteria that apply in a consistent manner.

- Any waivers (i.e. applicants being short-listed without meeting short-listing requirements) should be fully motivated, approved and be properly documented. See also conditions as discussed under **Criterion 4** of the Screening Process on page 24 and **Criterion 1** of the Short-listing Process on page 32.
- A declaration of a conflict of interest should be made if any candidate is related to or a friend of an official involved in the short-listing process, together with steps<sup>6</sup> taken to uphold fairness, equality and objectivity, if such relationships exist.
- The various activities of the short-listing process (see Figure 4 on previous page) should be documented and put on record.

Adherence to these principles should ensure that the objectives of short-listing are realised and that this phase is managed in an objective, fair and open manner.

(c) *How can discrimination be avoided in practice as far as short-listing is concerned?*<sup>7</sup>

- (i) Avoid a tendency to select applicants similar to oneself

Short-listing should be conducted in a neutral and objective manner. Pertinent in this regard is to take care not to shortlist applicants who are similar (in race, gender, age, etc.) to oneself. Checks and balances need to be introduced in the selection process to ensure that individual bias and stereotyping are avoided. This can, for example, be achieved by means of a selection committee consisting of persons of different race, gender, age and culture.

- (ii) Identify selection criteria with circumspection

The selection criteria used in this phase of the selection process should be clearly specified and should only relate to the job content and the minimum prescribed entry requirements for careers in the Public Service. Many advertisements in newspapers emphasise maximum or ideal requirements and formal educational requirements. Unless these form part of the inherent requirements of a job, it may be discriminatory to specify this without allowing those who have developed sufficient skills to do the work, either formally or informally and by means of experience, but who do not possess tertiary qualifications to also apply.

(d) *Important short-listing issues*

As in the case with screening, a certain level of confusion also exists around the following practical issues with regard to the short-listing process:

<sup>6</sup> See footnote on page 22.

<sup>7</sup> Sections (c)(i) and (ii) are extracts from an article: *Aspects of discrimination in recruitment published in Contemporary Labour Law, Vol 11 No 4 of November 2001*

- (i) May short-listing be used to reduce a vast number of applications to a manageable size?

As stated, the primary objective of the short-listing process is to reduce the number of qualifying applicants to a manageable size for purposes of selecting the most suitable candidate.

A further objective with short-listing is to rank candidates, and to determine a cut-off point below which candidates will not be interviewed. The criteria utilised for short-listing purposes should therefore be in sufficient detail to allow for this and should be applied consistently. Care must, however, be taken that these do not work against Affirmative Action and Employment Equity objectives.

- (ii) Is it necessary to apply a fixed set of selection criteria for short-listing purposes?

To be fair and objective in short-listing candidates, it is essential that a fixed set of selection criteria be applied in terms of each and every candidate that was screened successfully.

- (iii) What can be used as selection criteria for short-listing purposes?

The following represent three possible separate sets of criteria that can be utilised for short-listing purposes:

## Criterion 1:

### Successful screening of candidates

Only candidates that were successfully screened should be taken into account for purposes of short-listing.

*Note: Candidates who were unsuccessfully screened (i.e. candidates who do not meet the minimum appointment and advertised requirements) may still be considered for short-listing purposes on the merits of such cases, as discussed under **Criterion 4** of the Screening Process on page 24.*

*It should, however, be emphasized that the merits of such cases should be based on special considerations such as that -*

- *they possess special qualities and competencies outside of the advertised requirements;*
- *previous and current advertisements have demonstrated a limited pool of candidates in the labour market; and*
- *it is not expedient to re-advertise the post on the basis that further advertising will not render better recruitment results.*

*However, where such situations occur, the special considerations have to be thoroughly reasoned to the executing authority or his or her delegate in order to obtain approval for the waiver of any such requirements a candidate may not be complying with. In this regard, the onus rests with the applicant to demonstrate in the CV on what basis his or her qualities off-set certain advertised requirements.*

## Criterion 2:

### The level of qualifications and competencies\*

*(A higher level may be viewed as a more favourable consideration.)*

To be short-listed, a candidate should at least meet the minimum **appointment**, as well as **advertised** requirements in respect of qualifications and competencies.

In order, however, to identify a **manageable** number of applicants who can be short-listed for final selection purposes, a **higher level** of qualifications and competencies than that required as a minimum in the advertisement, may be viewed as a more favourable consideration, if it is justifiable by the nature of the post's job content.

*Note: In practical terms this implies that candidates who do meet the minimum advertised requirements, may not necessarily be short-listed.*

\* Knowledge, skills and, where required, experience.

## Criterion 3:

### The relevancy of qualifications and competencies\*

(A higher relevancy may be viewed as a more favourable consideration.)

In order to be short-listed, the qualifications and competencies of a candidate should be **relevant**. What is considered relevant, should be specified in the advertisement.

The relevancy of qualifications and competencies is dependent on the nature of the job content of the post as advertised. This may therefore vary from applicant to applicant.

The more relevant qualifications and competencies of applicants are, the more favourable their candidature to the employer. From this perspective, the employer may, for short-listing purposes, choose to select only such candidates in order to render the number of applications to consider manageable.

Note: It should be emphasized that a candidate who does not possess the qualifications and competencies as advertised may still be short-listed on the merits of such cases, provided that the conditions as mentioned under **Criterion 4** of the Screening Process (page 24) and **Criterion 1** of the Short-listing Process (page 32) are met.

\* Knowledge, skills and, where required, experience.

- (iv) May selection criteria that were not specified in the advertisement be utilised for short-listing purposes?

For example, may formal qualifications or non-tertiary professional knowledge that are at a higher level as the minimum advertised, be given a more favourable consideration for short-listing purposes than the minimum required? If it is accepted that the objective is to appoint the most suitable candidate, it stands to reason that a higher level and higher relevancy of qualifications and competencies (knowledge, skills and, where required, experience) will be more favourable to the employer, as long as these are linked to the job content, and do not work against Affirmative Action and Employment Equity objectives.

- (v) Who should be responsible for the short-listing of candidates?

Since short-listing requires an in-depth knowledge of the advertised position, line management needs to be involved first-hand in the process of short-listing candidates.

The selection committee should ideally be involved at this stage for purposes of continuity, insight, consensus and for preparatory reasons.

(vi) May a standardized format be utilised to assist in short-listing?

The utilisation of a standardized format (such as the “**SCORING MATRIX**” at **Annexure D**, page **84**) has the same advantages and disadvantages as mentioned under screening of applicants on page **25**. Information gleaned from application forms and CV’s should be used for scoring candidates by utilising the “**SCORING MATRIX**”, which should produce a “**SHORT-LISTING SCORE**” for each applicant (see example at **Annexure C**, page **79**). A realistic cut-off point should then be determined to assist with identifying a manageable pool of candidates for interviewing purposes.

(vii) What are the steps that should be followed in ensuring the accountable short-listing of candidates? (See also guidelines at **Annexure C** on page **77** for developing and utilising a “**SCORING MATRIX**”)

1. Keep a list of all applicants considered for short-listing on which important information is captured.

**List of applicants for short-listing purposes:**

- Names of applicants considered for short-listing
- Outcome of short-listing process
- Notification of applicants not short-listed.

*[See also example at **Annexure B** on page **76**]*

2. Identify fair short-listing criteria.

**Possible short-listing criteria:**

- Applicants must have been successfully screened
- The **level** of qualifications and competencies (knowledge, skills and, if required, experience)
- The **relevancy** of qualifications and competencies (knowledge, skills and, if required, experience)

*[See also the principles underlying the short-listing process on page **29** as well as criteria on page **32** and **33**]*

- 3. Ensure that the criteria are -
  - aligned towards identifying a pool of applicants who are best suited for the post; and
  - in line with the advertised requirements as well as the job content.

For instance, will more relevant and higher levels of qualifications imply better suitability for the post? If not, what will?

<b>Level:</b>	<b>Relevancy:</b>
● As required	● Partially relevant
	● Relevant
	● Highly relevant
● As required + one level higher	
● As required + two levels higher, etc.	

*[See also process at Annexure C on page 77]*

- 4. Ensure that the advertised requirements provide for the assessment of potential by making provision for non-tertiary professional knowledge obtained.

**Advertisement:**

An advertisement can typically be worded as follows:

Skills, knowledge and expertise acquired through means other than formal qualifications will also be considered. Applicants have to fully elaborate on the level of such and how these were acquired in their CV's.

- 5. Demonstrate that a fair short-listing process was applied by conducting a thorough paper exercise for example, by utilising the “**SCORING MATRIX**” for each applicant.

**Outcome of the short-listing process:**

Applicant short-listed? Yes  No

Summary of reasons for applicant not being short-listed.

*[See also example at Annexure C on page 79]*

- 6. Ensure that unsuccessful candidates are notified in due time by utilising a letter of regret.

**Letter of regret:**

I regret to inform you that your application for the above-mentioned post was not successful.

*[See also guidelines on page 37]*

7. Ensure that all relevant information is put on record.

**Documentation to be put on record:**

- Copy of the advertisement
- Application form
- Certificates
- CV
- Outcome of screening process
- Outcome of short-listing process
- Letter of regret.

(viii) Should the outcome of the short-listing process be put on record?

As in the case of screening, the short-listing of candidates too is an important decision-making activity that forms part of the total selection process.

Since this activity also has an important impact on the rights and expectations of applicants, the process should be managed in a responsible and accountable manner. For this reason and for the fact that this may be challenged, it is important that it too be documented and put on record.

(ix) May letters of regret be forwarded to applicants after short-listing is finalised?

As mentioned earlier, applicants should be notified as soon as possible about the outcome of their application for a position. Since final selection (usually by means of interviewing) can be a time-consuming exercise, it is only fair to inform applicants who were not short-listed that their applications have been turned down (see **Figure 5** on facing page). It will again also help to spread the administrative burden over a period of time. However, this should only be done once approval has been obtained from the executing authority or his or her delegate and consideration given to the candidates as indicated under **Criterion 1** on page **41**, and a nomination was made. This is to allow for the reconstruction of a shortlist, should the initial shortlist not yield a most suitable candidate.

**Figure 5**      **A letter of regret after short-listing is completed should contain reasons for not being successful in respect of the following:**

- The level of qualifications and competencies<sup>8</sup>
- The relevancy of qualifications and competencies
- The level of functioning as demonstrated by the applicant in respect of the various competencies

Advice regarding legal remedies in terms of the Promotion of Administrative Justice Act, 2000, may also be provided.

### 3.3.5 Final selection phase

*(a) What is the purpose of the final selection phase?*

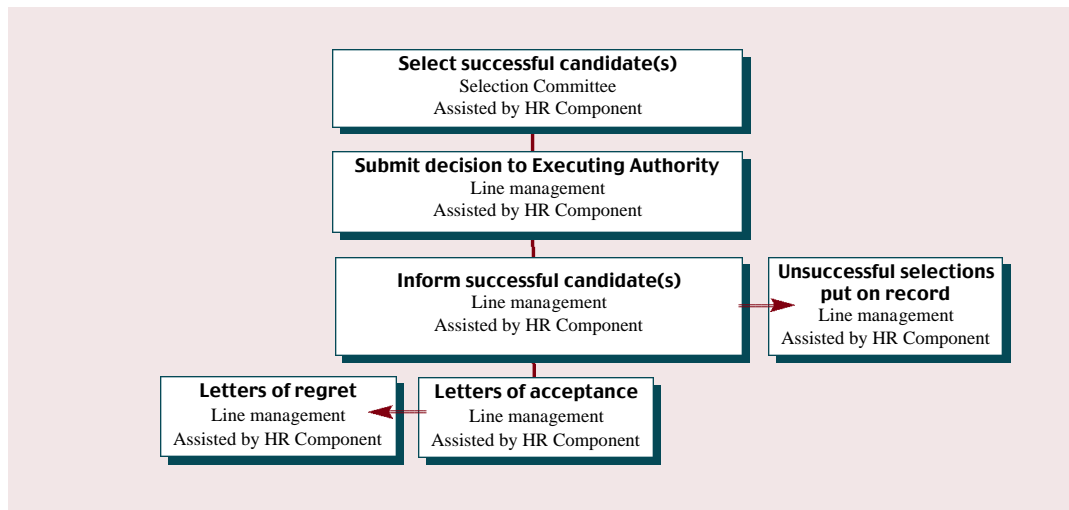
The screening and short-listing phases are directed at identifying a pool of candidates from amongst those who qualify for appointment that are **best suited** for the position.

The final selection phase, which is currently predominantly dependent on the selection interview, is to identify the **most suitable candidate(s)** from amongst this pool of candidates (short-listed candidates) with due regard to the -

- departments' HR, Affirmative Action (AA) and strategic service delivery objectives; and
- advertised post and person specifications.

<sup>8</sup> Knowledge, skills, and where required, experience.

**Figure 6** The final selection phase: A breakdown of activities.



*(b) What principles apply to the final selection phase?*

The following principles apply:

- A fair set of final selection criteria should apply, which should have the sole purpose of identifying the **most suitable candidate(s)** from a pool of best suited candidates.
- Final selection criteria must be in line with and limited to what is relevant in terms of job content, as well as appointment and advertised requirements so that applicants interviewed are clear on the criteria that apply in a consistent manner.
- Any waivers (i.e. applicants being selected without meeting final selection requirements) should be fully motivated and approved and be properly documented as prescribed by Regulation VII C.1 and C.2. of Chapter 1 of the PSR, 2001.
- a declaration of a conflict of interest should be made if any candidate is related to or a friend of an official on the selection committee, together with steps<sup>9</sup> taken to uphold fairness, equality and objectivity, if such relationships exist.
- The various activities (see **Figure 6** above) of the final selection process should be documented and put on record.

<sup>9</sup> See footnote on page 22.

(c) *How can discrimination be avoided in practice as far as interviews are concerned?*<sup>10</sup>

(i) Informal discussions: Handle with care

The interview process is by its very nature intimidating to many applicants. Interviewers should deliberately endeavour to make applicants feel at ease. This can be accomplished by informal discussions and questions before the real interview starts. However, it is at this point that questions, such as those about children, schools, family responsibilities, marital status, etc., which can be viewed as discriminatory by applicants, may crop up. Informal discussions should therefore be confined to neutral issues such as the weather, sport or any other such actuality.

(ii) Cultural differences: Consider questions carefully

Interviewers should be aware of the possible misunderstandings that can arise in situations where people are from different cultural backgrounds and they should also be aware of employment equity and affirmative action measures. Questions about religion, sexual orientation, marital status, dependants, child-care arrangements, health or disability status should, as far as possible, be avoided.

(iii) Respect the right to privacy

The job interview may never be regarded as a “free-for all”. The applicant has a right to privacy. This must be balanced against the right of the employer to obtain as much relevant information as possible from the applicant. This balance can be attained by structuring the interview around a fixed set of questions, based on the advertised requirements, that will be posed to all applicants appearing before the interviewing panel in a consistent manner.

(iv) Confine questions to interview objectives

The committee should be made aware of the criteria for the job to be filled - i.e. the key performance indicators. They should also be made aware of the fact that the objective of the interview is to ascertain whether the applicant possesses (or has the capacity to acquire in a reasonable time) the skills necessary for successfully doing the work at the level required. Subsequently, all questions should be confined to this objective.

(v) Be consistent

Consistency in approach should also be emphasised in that all applicants should be subjected to more or less the same approach in the interview and the same

---

<sup>10</sup> Sections (c) (i) - (v) are extracts from an article: *Aspects of discrimination in recruitment published in Contemporary Labour Law, Vol 11 No 4 of November 2001*

issues should be canvassed with each applicant. The only exception here being probing questions, provided that no-one is either advantaged or disadvantaged by these. The same committee should conduct all the interviews and policies should provide for the fact that the absence of a member of the selection committee would vitiate the entire interviewing process.

*(d) What selection techniques can be utilised?*

Selection can be based on one or more of the following well structured techniques:

- Interviews
- Psychometric testing
- In-basket simulations
- Written tests
- Review of past accomplishments
- Assessment centers
- Reference-checking.

No specific technique is prescribed for the Public Service, but interviews are by far the most commonly used technique. Nonetheless, whatever method(s) of selection is/are used, care must be taken that these do not work *contra* to Affirmative Action and Employment Equity objectives.

*(e) Important final selection issues*

- (i) What may be used as selection criteria for the final selection phase?  
(See also **Annexure F** on page **94** for a summary of screening, short-listing and final selection criteria)

The following represents two possible separate sets of criteria that can be utilised for final selection purposes:

## Criterion 1:

### Successful short-listing of candidates

Only candidates that were *successfully* short-listed should be taken into account for the final selection of candidates.

Note: Candidates who were unsuccessfully short-listed (i.e. candidates who do not meet the minimum appointment and advertised requirements) may still be considered for the final selection on the merits of such cases, as discussed under **Criterion 4** of the Screening Process on page 24. It should, however, be emphasized that the merits of the case should be based on special considerations (see **Criterion 1** of short-listing on page 32).

## Criterion 2:

### An applicant's level of functioning

The level of functioning, as demonstrated by the applicant with regard to a *specific area of work*, should be determined in respect of the following competency areas:

- Knowledge
- Skills/expertise
- Experience/exposure, if required
- Aptitude/attitude/behaviour.

Note: To determine the level of functioning, the **core competencies** or **functions**, as these relate to the **competency areas** applicable, should be analysed. The core competency or functions should be derived from the job description/ duty sheet and should be further broken down into -

- competency elements; and
- competency issues.

To be able to do this analysis, the following needs to be done first:

- **Questions** need to be developed for all the competency issues that are identified
- A **scale** needs to be identified against which each competency issue can be assessed
- Each competency issue needs to be **scored**.

[See **Annexure D** on page 81 for guidelines]

- (ii) What are the steps that should be followed in ensuring the accountable final selection of candidates? (See also guidelines at **Annexure D** on page **81** for utilising a “**SCORING MATRIX**”)

1. Keep a list of all applicants considered for final selection on which important information is captured.

#### List of applicants for final selection purposes:

- Names of applicants considered for final selection
- Outcome of final selection
- Notification of applicants not selected.

[See also example at **Annexure B** on page **76**.]

2. Identify fair selection criteria for the final selection phase.

#### Possible selection criteria:

- Applicants must have been short-listed
- An applicant’s level of functioning demonstrated by the applicant with regard to a specific area of work in respect of the following competency areas:
  - Knowledge;
  - Skills/expertise;
  - Experience/exposure, if required; and
  - Aptitude/attitude/behaviour -

[See also the principles underlying the final selection phase on page **38** as well as criteria on page **41**]

3. Develop a “**SCORING MATRIX**” to ensure that the criteria are -

- aligned towards identifying the applicant(s) who is/are best suited for the post; and
- in line with the advertised requirements as well as the job content.

#### Scoring Matrix

##### Core competency or function

Identify the main *competencies* or *functions* of the post:

- Each core competency or function needs to be broken down into competency *elements*.
- Each competency element needs to be broken down into *competency issues*.

Competency areas	Competency elements	Competency issues
<p>The main competency <i>areas</i> are:</p> <ul style="list-style-type: none"> <li>• Knowledge</li> <li>• Skills/expertise</li> <li>• Experience/exposure</li> <li>• Aptitude/attitude/behaviour</li> </ul>	<p>Each competency <i>element</i> needs to be evaluated in terms of each competency area.</p>	<p>Each competency <i>issue</i> needs to be evaluated in terms of each competency <i>element</i>.</p> <p>[Develop carefully designed questions based on what is required in respect of each competency issue.]</p>

**Level**

Identify various levels of functioning and describe synoptically what is expected at each level:

- Beginner
- Semi-competent
- Competent.
- Semi-expert
- Expert

After having scored each competency area, the overall score as well as the level at which an applicant is functioning should be determined to form an overall picture of the applicant's suitability for the post.

*[See also guidelines at Annexure D on page 81]*

**4.** Ensure that each selection committee member is provided with all the relevant information pertaining to each short-listed applicant beforehand to enable them to acquaint themselves with the applicants as well as the interviewing instrument.

**Relevant information:**

- Job description
- Advertisement
- Application form
- Certificates
- CV
- Outcome of the screening and short-listing process
- The interviewing instrument and an explanation/guideline of its application.

**5.** Ensure that the interviews are conducted in a fair and effective manner and that each candidate is weighed comprehensively against the requirements as advertised.<sup>11</sup>

**Principles underlying interviews:**

- Obtain acceptance of the interviewing instrument from the selection committee members as well as on the screening and short-listing results before the interviews start.
- Kick off with the interviews where short-listing stopped and do not touch on screening or short-listing issues since these have been finalised.
- Focus on the sole purpose, namely to identify the most suitable candidate
- Pose the same questions to all applicants
- Record/minute all responses.

*Note: Remember, the interviews are aimed at establishing each candidate's knowledge, skills, expertise and insight with regard to the job content in order to select (a) candidate(s) that best suit(s) the requirements of the job.*

<sup>11</sup> Interviewees should be requested to submit certified certificates detailing the level and extent of knowledge, skills and competencies.

6. Ensure that a comprehensive motivation is compiled in respect of all the applicants interviewed and that it is submitted timely to the executing authority, or his or her delegate.

#### Index:

- Particulars of the post advertised
- Summary of the process
  - Number of applicants
  - Summary of screening process
  - Summary of short-listing process
- Particulars of the applicants short-listed
- Motivation
  - Unsuccessful applicants
  - Successful applicant(s)
- Nomination(s).

7. Obtain a letter of acceptance<sup>12</sup> from the most successful candidate/s and ensure that all applicants are informed about the outcome of the final selection phase.

#### Letters of acceptance and regret:

I regret to inform you that your application for the above-mentioned post was not successful.

*[See also guidelines on page 37]*

8. Ensure that all relevant information is put on record.

#### Documentation on record:

- Copy of the advertisement
- Application forms
- Certificates
- CV's
- Outcome of screening process
- Outcome of short-listing process
- Outcome of the final selection phase
- Approval of the nomination
- Letters of regret.
- Appointment letter(s)

#### (f) *Selection committees: Where do selection committees go wrong?*

The identification of the most suitable candidate(s) by a **selection committee** is prescribed to ensure a responsible, fair and objective process.

For the very purpose of ensuring that this is achieved, selection committees should ideally become involved in the process when short-listing takes place. Not only will committee members be able to oversee the process of short-listing, but they will also obtain

<sup>12</sup> The appointment of a candidate should be subject to the submission of all certified certificates required.

valuable background information on the candidates that are short-listed, to prepare them for the final selection phase. This will also enable them to identify shortcomings (i.e. advertising, etc.) in respect of the process up until short-listing that will have to be addressed before final selection can commence. Consideration should, however, always be given to practical and cost implications.

In the PSC's experience, selection interviews tend to be very superficial and generalistic. As derived from motivations analysed, the majority of selection interviews do not probe each short-listed candidate's proficiency and ready knowledge in relation to the advertised post and person specifications.

This can be attributed to -

- committee members not being *au fait* with the job contents of vacant posts;
- committee members not preparing themselves thoroughly beforehand to probe the level of applicants' competencies (knowledge, skills and, where applicable, experience);
- selection interviews not being structured around the advertised post and person specifications; and
- committee members not being adequately versed in conducting interviews.

Therefore, as far as selection is concerned, the following should be expected of committee members:

- To be fully conversant with the job description, duty sheets and post and person specifications as advertised.
- To be fully conversant with the selection instrument and its application, and to be comfortable that the instrument will produce the desired results.
- To be fully informed on all the particulars of the candidates short-listed before the onset of the final selection process.

To enable a committee member to be fully informed and properly prepared he/she should be provided with the following information well in advance:

- A copy of the application form, CV and any other information obtained of all short-listed candidates, together with a copy of the outcome of the screening and short-listing processes.
- A copy of the advertisement.
- The most recent job description and duty sheet.
- A copy (and an explanation of its application) of the selection instrument.
- Full details concerning fellow committee members.
- Full details on all arrangements.

*(g) Selection instrument: How do you design a selection instrument?*

The selection instrument is highly dependent on the recruitment and selection model or approach that is followed. If a competency-based approach is followed, the main emphasis will be to establish the competency levels at which a candidate is functioning. The sole objective should be to link competency levels to job content in a manner that will assist interviewers in scoring and comparing interviewees in a responsible and accountable manner (see also guidelines at **Annexure D**, page 81).

Whatever approach may be followed, it is desirable to have a “**SCORING MATRIX**” developed to assist with both short-listing as well as the final selection of candidates. From the “**SCORING MATRIX**” a competency profile can be drawn which should not only assist with final selection, but also with development and training during probation.

*(h) Interviewing: How do you select the most suitable candidate in less than an hour?*

The majority of interviews are conducted within an hour on average. This implies that committee members have less than an hour to form sufficient impressions about candidates to enable them to select the most suitable candidate(s). The hour or so spent on an interview, however, should represent a rather **small portion** of the time that a committee member utilises to prepare him/herself for an interview by working through the advertisement, application form, CV, job description, duty sheet and outcome of the short-listing process in order to obtain a profile of each candidate to be interviewed. The purpose of the selection interview is, against this background, only supposed to focus on obtaining clarity and more information on specifically identified areas of an applicant’s candidature and to test the accuracy of information contained in the application form and CV with regard to the nature, level, extent and depth of competencies (knowledge, skills and, if justified, experience).

A committee member should also spend sufficient time on becoming conversant with the selection instrument and should never commence with the selection of candidates while not fully conversant with the instrument or feeling uncomfortable with the application thereof, or if not having drawn a profile of each candidate beforehand.

It should also be noted that the short-listing process ultimately rank applicants on the basis of the information contained in their application forms and CV’s. It may, however, very well turn out in practice that a candidate lower down the shortlist outperforms his/her peers during the interview on the basis of superior competencies (knowledge, skills and insight into the job content). There need therefore not be a correlation between the ranking of candidates during the short-listing process and the outcome of the final selection process.

(i) *Nomination(s): Can a less suitable candidate be recommended for appointment?*

Committee members have to ensure that the selection instrument they are using enables them to -

- evaluate each and every candidate in the same manner (i.e. pose the same questions, etc.);
- weigh each and every short-listed candidate comprehensively against the requirements as advertised and as contained in the job description and duty sheets;
- distinguish between the competencies of short-listed candidates in a responsible and accountable manner; and
- promote objectiveness, fairness and equity.

However, an executing authority, or his/her delegate, may decide not to heed the recommendation by a selection committee and may opt to approve the appointment of a candidate other than the candidate(s) nominated by the selection committee. This is permissible, provided that this decision is **properly motivated in writing** and **confined to the advertised requirements**.

### 3.3.6 **Record-keeping: What could and should be documented?**

The recruitment and selection process consists of a number of actions, viz:

- Advertising
- Screening
- Short-listing
- Selection
- Appointment.

All of these actions represent important decision-making milestones, which make up the total selection process. Since these activities have an important impact on the rights and expectations of applicants, the process should be managed in a responsible manner. For this reason and for the fact that the outcome of the process may be challenged, it is important that all activities that involve decision-making are documented and put on record as soon as each activity is finalised. See **Annexure G** on page **95** for an indication of all the documentation involved in the process of recruitment and selection.

In this regard, the following should be documented and put on record:

**■ Approval for the filling of the post**

- Copy of the outcome of the evaluation of the post
- An approval for the filling of a post.

**■ Advertising**

- A copy of the advertisement (both internal and external, where applicable)
- Approval for any deviation from the standard requirements linked to a post as contained in the applicable CORE.

**■ Screening**

- The application forms of all applicants
- The screening criteria that were utilized and a description of the process followed.

**■ Short-listing**

- The application forms and support documentation (i.e. CV's and certificates) of all applicants
- The short-listing criteria that were utilized during short-listing and a description of the application thereof
- The names of those applicants who were short-listed.

**■ Selection**

- Particulars of the members of the selection committee
- The selection criteria that were utilized during interviews and a description of the application thereof, as well as the selection instrument (e.g. structured questionnaires)
- The decision of the selection committee with full motivation.

**■ Appointment**

- An approval for the transfer/promotion/appointment of the successful candidate
- Approval for any deviation from what is prescribed
- A declaration of whether any candidate is related to or a friend of an official who forms part of the decision-making process, together with steps taken to uphold fairness, equality and objectivity, if such relationship exists
- A letter of acceptance from the successful candidate/s.

### 3.3.7 Monitoring: Why monitor?

For purposes of this Toolkit, a distinction should be drawn between monitoring and auditing. Within the context of this Toolkit, monitoring is seen as a continuous process that takes place while an activity is **in process**. Auditing usually takes place at given intervals, and mostly **after** an activity has been executed.

For instance, while busy screening candidates for short-listing purposes, a checklist could be used (see example at **Annexure H**, page **96**) to ensure that all the necessary requirements are met as far as screening is concerned.

The management of recruitment and selection should be monitored for the following reasons:

- To ensure that recruitment and selection objectives are met.
- To ensure that the management of recruitment and selection is sound and that the department cannot be challenged successfully in this regard.
- That mismanagement is detected as soon as possible and rooted out.
- That reliable information is fed into the HRM planning of the department.
- That developmental needs are addressed in good time.



### This Chapter contains the following:

- 4.1 Introduction
- 4.2 Avoiding discrimination
- 4.3 General provisions
- 4.4 Advertisements
- 4.5 Processing of applications
- 4.6 Screening of applicants
- 4.7 Short-listing of applicants
- 4.8 Selection committees
- 4.9 Interviewing
- 4.10 The physical filling of posts

#### 4.1 Introduction

Before any role-player can embark on a policy development exercise, cognisance needs to be taken of what is already on the table. National policy addresses the broad framework and important underlying principles applicable. Detail issues are, however, seldom addressed at this level. If departments therefore want to create structure, consistency and adherence to fairness and equity in managing recruitment and selection, they will have to address that which is not prescribed by national policy.

Drafting departmental policy is not a simple task. This could be one of the reasons why departmental policies on recruitment and selection are almost non-existent. One of the first stumbling blocks encountered, is to decide upon a framework. In other words, what should departmental policy on recruitment and selection address? If this hurdle can be overcome, the drafting of such policy becomes a much easier task. One of the objectives of this Toolkit is therefore to provide a basic framework that may assist departments with the drafting of policy on recruitment and selection.

The Toolkit, therefore, attempts to provide the reader with an oversight of existing recruitment and selection prescripts, as well as a shopping list of what needs to be addressed at departmental level. Neither is meant to be exhaustive. Whatever is addressed at departmental level, the policy developer needs to ensure that these are within the framework of, and also gives effect to what is already prescribed in terms of national norms and standards.

## 4.2 Avoiding discrimination in drafting departmental recruitment and selection policy<sup>13</sup>

### (a) *Pitfalls*

Many of the discriminatory pitfalls involved in the recruitment, selection and appointment process can be eliminated proactively by means of a detailed recruitment policy and set of procedures. The exact scope and nature of this policy and procedures will depend on the department itself.

However, a sound starting point is to realize that the outcome of any HR practice is potentially open to legal scrutiny, e.g. by either the CCMA, Sectoral Councils, the Labour Court, or oversight bodies such as the PSC.

### (b) *The employer's approach to recruitment*

As a starting point, the policy should set out the employer's approach to recruitment and selection and reaffirm the principles of non-discrimination. Even though these statements of general principle will be relatively vague, they nevertheless create an important positive non-discriminatory context for those who are applying the policy. Affirmative action and employment equity issues should, for instance, be spelled out in as much detail as required, if necessary cross-referencing with other employer documents on these issues.

In addition to the above policy fundamentals, it is also prudent to provide procedural guidance as well. A sound way of approaching this is to unpack the recruitment and selection processes, break them up into their constituent parts and address each of these parts separately.

### (c) *Drafting policy on the following activities:*

#### (i) Advertisements

Advertisements serve to publicise both the department and post and care should be taken to ensure its professionalism. The procedures should include in what format advertisements should be placed, who is responsible for the placement,

---

<sup>13</sup> Sections (a),(b) and (c) are extracts from an article: *Aspects of discrimination in recruitment* published in *Contemporary Labour Law*, Vol 11 No 4 of November 2001

information that must be included in advertisements and in what media advertisements are to be placed, plus who should authorize the content and placement of advertisements. There should also be clear responsibility for the checking of the wording of any advertisement, before being placed, for any possible discriminatory wording in the text.

(ii) Selection

The selection procedure should address all possible pitfalls that may be discriminatory by nature and should link the short-listing process to the key performance indicators of the job.

The object of the selection process is to ascertain whether an applicant is “suitably qualified” (in the sense of section 20 of the Employment Equity Act, 1998) for the vacant position. The policy document should also provide clear guidelines on what would constitute relevant selection criteria and those criteria that may be discriminatory by nature (age, race, gender, etc).

The interviewing procedure may be highly regulated to guide members of the interviewing panel in respect of their obligations and responsibilities in the interviewing process. The principles of consistency, fairness, equality of all applicants, objectivity, and non-discrimination should be captured in a process that is workable, practical and fair to all the applicants, regardless of their backgrounds.

(iii) Post-interview procedures

Finally, the recruitment policy and procedure may also specify the process to be followed in respect of post-interview procedures, including the vital and often poorly conducted motivation of the selection of the most suitable candidate and the elimination of the others, and proper documentation of all considerations informing all decisions and the placement on record of such documents.

### 4.3 General provisions

In essence, the current national norms and standards on recruitment and selection represent values and principles underlying this process. These should be taken into account when developing departmental policy. These provisions should therefore be utilised before and after policy has been developed as a checklist in guiding policy development.

### 4.3.1 What general provisions currently exist as far as recruitment and selection is concerned?

#### (a) *The Employment Equity Act, 1998*

The Employment Equity Act, amongst others, stipulates the following:

- Every employer must take steps to promote equal opportunity...by eliminating unfair discrimination in any employment policy or practice.
- No person may unfairly discriminate, directly or indirectly, against an employee...
- It is not unfair discrimination to -
  - take affirmative action measures consistent with the purpose of this Act; and
  - distinguish, exclude or prefer any person on the basis of an inherent requirement of a job.
- Medical testing of an employee is prohibited, unless -
  - legislation permits or requires the testing; or
  - it is justifiable in the light of medical facts, employment conditions, social policy, the fair distribution of employee benefits or the inherent requirements of a job.
- Testing of an employee to determine that employee's HIV status is prohibited unless such testing is determined to be justifiable by the Labour Court...
- Psychological testing and other similar assessments of an employee are prohibited unless the test or assessment being used -
  - has been scientifically shown to be valid and reliable;
  - can be applied fairly to all employees; and
  - is not biased against any employee or group.
- Every designated employer must, in order to achieve employment equity, implement affirmative action measures for people from designated groups in terms of this Act.
- A designated employer must prepare and implement an employment equity plan...

**(b) *The Public Service Act, 1994, as amended***

Service The PSA stipulates that no person shall be appointed permanently in the Public Service unless such a person -

- is a South African citizen;
- is of good character; and
- in so far as health is concerned, complies with such requirements as may be prescribed.

The PSA further stipulates that in the making of appointments and the filling of posts in the Public Service -

- due regard shall be had to equality and the other democratic values and principles enshrined in the Constitution;
- all persons who qualify shall be considered; and
- the evaluation of persons shall be based on training, skills, competence, knowledge and the need to address imbalances of the past to achieve a broadly representative Public Service.

**(c) *The Public Service Regulations, 2001***

The PSR stipulate that an executing authority shall -

- determine composite requirements for employment in any post on the basis of the inherent requirements of the job;
- record the inherent requirements of a job;
- ensure that the requirements do not discriminate against persons historically disadvantaged; and
- comply with any statutory requirement for appointments.

**(d) *The SMS Handbook***

The SMS Handbook stipulates that recruitment is -

- one of the most important ways in which the Public Service meets its human resource capacity requirements;
- the primary instrument for achieving employment equity by opening up the Public Service to all sections of society; and
- an important tool to be utilised by departments in order to ensure that the skills needed to meet their operational needs are acquired.

Recruitment policy should -

- set targets...;
- spell out objectives...;
- enable departments to attract those applicants who have the training, skills, competence and knowledge relevant to the requirements of the post; and
- include a clear specification of all the human resource needs... and be free of any bias... and any form of discrimination.

Principles governing recruitment programmes are as follows:

- Recruitment should be targeted for maximum accessibility.
- The image of the Public Service must be promoted.
- All recruitment actions should be undertaken with a view to seek the ideal applicant...
- Recruitment strategies must be underpinned by the principle of employment equity.
- Recruitment strategies must ensure the acquisition and retention of human resources with appropriate competencies.

Although not conclusive, the following recruitment methods other than advertising in newspapers can be utilised:

- **Posting**  
This method may be used to reach communities which cannot normally be reached through the more conventional recruitment methods.
- **Radio advertising**  
This is another form of recruitment which may typically be utilised to reach rural communities.
- **Study aid**  
For purposes of recruitment, study aid is normally granted in those fields where difficulty is experienced to recruit suitably qualified candidates.
- **Skills search (head-hunting)**  
This individually based method of recruitment may be used to seek

and identify suitable candidates for positions where difficulty is experienced to recruit suitably qualified candidates as well as candidates from historically disadvantaged groups.

This method should be used only in conjunction with the normal advertising of vacancies, i.e. an identified suitable candidate should be requested to apply for the advertised position, whereafter the normal processes will apply.

In cases where no suitable candidates were identified after the final interviews, further head-hunting may be undertaken. Such an identified candidate must, however, be assessed by the same selection committee and against the same criteria used during the interviews of the other candidates.

■ **Referrals**

Employees/officials may be requested to communicate information about vacancies to acquaintances.

■ **Recruitment agencies**

Recruitment agencies may be used to act as intermediaries between the employer and prospective employees.

■ **A skills database**

A skills database may be maintained at departmental level to facilitate the identification of potential appointees. However, the application of this method would be akin to head-hunting.

**4.3.2 What needs to be addressed as far as the introduction of a policy on recruitment and selection is concerned?**

Departmental policy needs to regulate -

- (a) *department-specific principles that underlie all recruitment and selection strategies;*
  - What fundamental principles as far as equity, justice, fairness and transformation must be upheld?
- (b) *specific recruitment and selection objectives; and*
  - What objectives need to be satisfied by recruitment and selection? (For example skills search, promoting representativeness, etc.)
  - What is the objective of each and every recruitment and selection practice?

- (c) *Employment Equity and Affirmative Action (AA) goals and programmes.*
- What are the goals that impact on recruitment and selection?
  - How do these impact?

## 4.4 Advertisements

National norms and standards on advertisements suggest a couple of underlying principles. The placement of advertisements implies four distinct phases:

- (a) Obtaining approval for the filling of a post
- (b) Drafting an advertisement
- (c) Placing an advertisement
- (d) Placing an advertisement on record.

These need to be addressed thoroughly and systematically by means of departmental policy to ensure structure, consistency, fairness, equality and adherence to overriding principles.

### 4.4.1 What is currently prescribed in respect of the placing of advertisements?

#### (a) *The White Paper on Human Resource Management in the Public Service*

The White Paper addresses a number of important principles with regard to the advertising of posts. In short, these are as follows:

- The advertisement should contain an accurate description of the duties and the criteria that will apply in selection.
- Qualifications required should include skills and relevant experience.
- The advertisement should make it clear that the Public Service is committed to employment equity.
- Advertising should be designed to reach the widest possible number of people in the most cost-effective manner.
- The effectiveness of advertising campaigns should be reviewed from time to time.
- Requirements for additional health and security clearances should be clearly stated in advertisements.
- Advertisements for targeted competition must provide reasons which are consistent with the purpose of the White Paper.

#### (b) *The Public Service Regulations, 2001*

The following principles are addressed in Regulation VII. C.2 of Chapter 1 of the PSR, 2001 with regard to advertising:

- Posts shall be advertised so as to reach, as effectively as possible, the entire pool of potential applicants, especially persons historically disadvantaged.
- An advertisement shall specify -
  - the inherent requirements of the job;
  - the job title; and
  - core functions.
- Vacant posts on level 13 and higher shall be advertised nation-wide.
- Any vacant post below level 13 shall be advertised within a department as a minimum, but may also be advertised -
  - elsewhere in the Public Service; or
  - outside the Public Service either nation-wide or locally.
- A vacant post may be filled without having it advertised, provided that certain requirements are met.
- An agency may be utilised for selection purposes, as long as it complies with the PSR.

(c) *The SMS Handbook*

Any vacant post of a senior manager must be advertised nation-wide. The following options can also be utilised in collaboration with nation-wide advertisement:

- Advertising within a defined area.
- Advertising internally by means of the Public Service Vacancy Circular.
- Advertising internally by means of departmental circulars.
- Advertising by means of posting.

A vacant post may still be filled without having it advertised if the -

- department can fill the post from the ranks of supernumerary members of equal grading;
- department can absorb into the post an employee/ member who was appointed under an affirmative action programme, if he or she meets the requirements of the post;
- department plans to fill the post as part of a programme of laterally rotating or transferring members to enhance organisational effectiveness and skills;
- post is filled in terms of section 3B of the PSA (deployment of HoDs); and

- post is upgraded and the incumbent employee/ member complies with the stipulations in Regulation V C.6 of Chapter 1 of the PSR.

According to the Handbook, advertisements should specify the following:

- Job title
- Place to be stationed
- Core functions and requirements of the post
- All-inclusive package
- Contact person
- Closing date
- Term (if applicable)
- Reference to employment contract and performance agreement.

*(d) PSCBC Resolution No. 3 of 1999*

Qualification requirements for a position must be interpreted to permit recognition of equivalent competencies.

#### 4.4.2 What needs to be addressed as far as the placing of advertisements is concerned?

Departmental policy needs to regulate -

- (a) procedures and delegations for obtaining approval for the filling and advertising of a post;*
- What prerequisites apply before a post may be filled?
  - Who should draft submissions to obtain approval for the filling of a post?
  - What information should be contained in a submission?
  - In what format should submissions be drafted? (Provide an example)
  - Who should approve the filling of posts at various levels?
  - Under what circumstances need posts not be advertised, and who approves this?
- (b) standardized guidelines for the drafting of advertisements;*
- Who should draft advertisements in respect of the various levels of rank?
  - From where and how should post and person specifications (requirements) be derived?

- What role do job descriptions play in this regard?
  - In what format should advertisements be compiled? (Provide an example)
  - Who should approve the format and contents of advertisements and at what levels?
  - What information should advertisements contain? (i.e. AA)
  - Who should check that substantive and procedural requirements are met?
  - Who should approve the waiving of requirements and at what stage and on what basis is this permissible?
- (c) *guidelines for the placing of advertisements; and*
- What media should be utilised for what posts and on what basis?
  - Who should approve the placement of an advertisement?
  - Who should place advertisements?
  - What posts should always be advertised?
  - Who should approve earlier than normal closing dates and on what basis?
- (d) *record-keeping specifications in respect of advertisements*
- What should be put on record, where, by whom and for how long?
  - Who should oversee the process and how often?

## 4.5 Processing of applications

National policy does not currently address the issue of processing applications by prescribing certain fundamental principles which have to be adhered to. This issue, therefore, needs to be addressed at departmental level. The processing of applications consists of three distinct phases which need to be addressed thoroughly and systematically by means of departmental policy:

- (a) *Receipt of applications*
- (b) *Logging of applications*
- (c) *Filing applications.*

#### 4.5.1 What is currently prescribed in respect of selection in general?

##### The SMS Handbook

Selection should be based on the following principles:

- Merit
- Job-related selection criteria
- Fairness
- Equity
- Transparency.

#### 4.5.2 What needs to be addressed as far as the processing of applications is concerned?

Departmental policy needs to regulate -

(a) *the registering of applications;*

Selection should be based on the following principles:

- In what format should applications be registered? (Provide an example)
- Who should be responsible for registering applications?
- How should late applications be managed? (i.e. on what basis can such applications be accepted and on whose approval?)

(b) *acknowledging receipt of applications; and*

- In what format should applications be acknowledged? (Provide an example)
- At what stage should acknowledgements be done?
- Who should be responsible for acknowledging receipt of applications?

- (c) *the record-keeping of applications.*
  - What should be put on record, where, by whom and for how long?
  - Who should oversee the process?

## 4.6 Screening of applicants

Except for the SMS Handbook, which addresses a number of basic principles as far as the screening process is concerned, this process is presently not covered by national policy. This issue, however, forms a very important part of the overall selection process since it entails the identification and application of screening criteria and obtaining approval for the outcome of the screening process. If not addressed by policy, uncertainty will prevail and the door will be left open for discrimination, corruption, nepotism and favouritism.

### 4.6.1 What is currently prescribed in respect of the screening process?

#### The SMS Handbook

The SMS Handbook sets the following screening steps:

- Determine whether applicants comply with basic criteria laid down in the advertisement.
- When in doubt, additional information should be requested.
- Applicants not complying may be eliminated with noting of reasons.
- Legends may be used to denote advertised criteria:
  - A Lack of specific knowledge, competencies or high-level skills.
  - B Lack of identified managerial skills.
  - C Lack of proven high-level communication skills.
  - D Non-compliance with regard to educational qualifications.

### 4.6.2 What needs to be addressed as far as the screening of applicants is concerned?

Departmental policy needs to provide guidelines/establish procedures for -

- (i) **the formulation of screening criteria;**
  - From where and how should screening criteria be derived?
- (ii) **applying the screening criteria and utilising documentation in support thereof;**
  - Who should manage the screening process?
  - In what format should individual screening be done? (Provide an example)

- (iii) **drawing up of screening lists;**
  - Who should inform candidates who were unsuccessfully screened, and when?
  - In what format should such notifications be drafted - what should these contain? (Provide an example).
- (iv) **record-keeping of the screening process; and**
  - In what format should the result of the screening process be documented? (Provide an example).
  - What should be put on record, by whom and for how long?
  - Who should oversee the process?
- (v) **obtaining approval on the outcome of the screening process.**
  - Who should draft the submission for approval on the screening of candidates?
  - In what format should such submissions be drafted - what should these contain? (Provide an example)
  - Who should approve the outcome of the screening exercise?

## 4.7 Short-listing of applicants

Short-listing is only addressed in the SMS Handbook. Short-listing forms an important part of the overall selection process. It too entails the identification and application of a specific set of criteria, the drawing up of shortlists and obtaining approval for the outcome of the process. If not addressed explicitly, the door is once again left open for discrimination, corruption, nepotism and favouritism.

### 4.7.1 What is currently prescribed in respect of the short-listing process?

#### The SMS Handbook

The SMS Handbook sets the following short-listing steps:

- A rating scale must be used to determine the most suitable candidates.

- The elimination of candidates must be done in a justifiable manner and the reasons must be documented.
- Short-listing may only be concluded on the basis of information provided in the application form and CV of a candidate.

#### 4.7.2 What needs to be addressed as far as the short-listing of applicants is concerned?

Departmental policy needs to provide guidelines/establish procedures for -

- |  |   |
|--|---|
| (i) <b>the formulation of short-listing criteria;</b>  | <ul style="list-style-type: none"> <li>■ From where and how should short-listing criteria be derived? (Provide an example)</li> </ul>   |
| (ii) <b>applying short- listing criteria and utilising documentation in support thereof;</b> | <ul style="list-style-type: none"> <li>■ In what format should short-listing be done? (Provide an example)</li> <li>■ Who should inform candidates who are not short-listed, and when?</li> <li>■ In what format should such notifications be drafted - i.e. what should these contain? (Provide an example)</li> </ul> |
| (iii) <b>drawing up of shortlists;</b>   | <ul style="list-style-type: none"> <li>■ In what format should shortlists be compiled? (Provide an example)</li> <li>■ Who should draw up shortlists?</li> </ul>  |
| (iv) <b>record-keeping of the outcome of the short-listing; and</b>                          | <ul style="list-style-type: none"> <li>■ What should be put on record, by whom and for how long?</li> <li>■ Who should oversee the process?</li> </ul>  |
| (v) <b>obtaining approval of the short-lists:</b>  | <ul style="list-style-type: none"> <li>■ Who should draft the submission to obtain approval of the shortlist?</li> <li>■ In what format should these submissions be drafted? (Provide example)</li> <li>■ Who should approve the short-list(s) at the various levels of rank?</li> </ul>                                |

## 4.8 Selection committees

The PSR, 2001, as well as the SMS Handbook, cover the appointment of selection committees in enough detail to guide this matter effectively. However, these provisions do not address the very important aspect of a possible conflict of interest that selection committee members may run into (see paragraph 3.3.5 (b) on page 38). This should be addressed in no uncertain terms in departmental policy.

### 4.8.1 What is currently prescribed in respect of selection committees?

#### (a) *The Public Service Regulations, 2001*

As far as a possible conflict of interest is concerned, the following is prescribed in Chapter 2 of the PSR, 2001:

An employee -

- will recuse herself/himself from any official action or decision-making process which may result in improper personal gain, and this should be properly declared by the employee;
- refrains from favouring relatives and friends in work-related activities and never abuses her or his authority or influences another employee, nor is influenced to abuse her/his authority;
- As far as the composition of selection committees is concerned, the following is prescribed in Regulation VII.D of Chapter 1 of the PSR, 2001:

An executing authority shall appoint a selection committee to make recommendations on appointments. Such a committee shall have the following characteristics and functions:

- It shall consist of at least three members who should at least be of a grading equal to that of the post to be filled or suitable persons from outside the Public Service.
- A manager graded lower than the post advertised in his/her component, may still be a member of the committee.
- Employees of a grading lower than that of the post to be filled may only provide a secretarial and advisory service to the committee.
- The Chairperson, who shall be an employee, shall be of a higher grading than that of the post to be filled.
- In respect of the appointment of a head of department, a certain composition is prescribed.
- A committee shall, where possible, include adequate representation of historically disadvantaged persons.

- A committee shall make a recommendation on the suitability of a candidate after having considered certain categories of information.
- A committee shall record reasons for its decisions.
- An executing authority shall record the reasons for not approving a recommendation of a selection committee in writing.

**(b) *The SMS Handbook***

As far as selection committees are concerned, the following is addressed by the SMS Handbook:

- The role of the selection committee.
- Requirements for committee members.
- Confidentiality of interviews.
- Composition of selection committees.

**4.8.2 What needs to be addressed as far as selection committees are concerned?**

Departmental policy needs to formulate -

- (i) **the role and responsibilities of a selection committee; and**
  - What should be the role and responsibilities of selection committee members?
  - How should the selection committee be structured/composed with regard to -
    - who should be Chairperson;
    - levels of rank;
    - competency in/ knowledge of the job content in respect of which the selection process will occur;
    - knowledge/ competency in interviewing; and
    - race, gender and disabledness.
  
- (ii) **guidelines for compelling officials to declare a possible conflict of interest and to recuse themselves from the selection process in toto.**
  - At what stage, how and in what format should such a possible conflict of interest be declared (provide an example) and by whom should selection committee members be requested to declare whether they have a possible conflict of interest?

- What constitutes a possible conflict of interest?
- How should selection committee members manage a possible conflict of interest?

## 4.9 Interviewing

Guidelines with respect to interviewing is provided by the SMS Handbook only. Interviewing forms a very important, if not the most important, part of the overall selection process. As in the case of screening and short-listing, it entails the identification and application of specific criteria, the development of an interview questionnaire (checklist), recommending the most suitable candidate and obtaining approval for the outcome of the interviews. These represent a number of sub-processes for which guidelines are needed.

### 4.9.1 What is currently prescribed in respect of interviewing?

#### The SMS Handbook

As far as interviewing is concerned, the following is addressed by the SMS Handbook:

##### Objectives:

- Probe applicants' background, experience and interest.
- Form impressions on personality, values and attitudes.

##### Types of interviews:

- Structured
- Semi-structured
- Unstructured.

The Handbook provides 7 practical guides with regard to the conducting of interviews.

The recommendation of the most suitable candidate must be based on the following:

- Information based on valid methods, criteria or instruments for selection that are free from any bias or discrimination.
- The training, skills, competence and knowledge necessary to meet the inherent requirements of the post.
- The need of the department for developing human resources.
- The representativeness of the component where the post is located.

- The department's affirmative action programme.

Before a final recommendation is made, information provided by the applicant must first be verified (qualifications, citizenship, experience, etc.) and security clearance be done, depending on the nature of the post.

Reasons for decisions must be recorded, with reference to the selection criteria.

Reasons for not accepting the recommendation of the selection committee must be in writing.

#### 4.9.2 What needs to be addressed as far as the interviewing of applicants is concerned?

Departmental policy needs to provide guidelines/establish procedures for -

- |   |  |
|---|--|
| <p>(i) <b>the formulation of interviewing criteria that are linked to the advertised requirements;</b></p>  | <ul style="list-style-type: none"> <li>■ From where and how should the final selection criteria be derived?</li> <li>■ What role do the advertisements play in the above regard?</li> <li>■ What role do job descriptions play in the above regard?</li> </ul>   |
| <p>(ii) <b>the development of an interview checklist and a scoring grid;</b></p>  | <ul style="list-style-type: none"> <li>■ In what format should interview checklist and scoring grids be drafted? (Provide an example)</li> <li>■ Who should be responsible for drawing up interview checklists and scoring grids?</li> <li>■ Who should check that substantive and procedural requirements are met?</li> </ul> |
| <p>(iii) <b>documentation in support of the interviewing process with due regard to the thorough discussion, based on the advertised requirements, of why the selected candidate is the most suitable candidate, and why the remaining candidates are eliminated;</b></p> | <ul style="list-style-type: none"> <li>■ In what format should interview results be recorded and by whom? (Provide an example)</li> <li>■ Who should inform the candidates of the outcome of the selection process and when?</li> <li>■ in what format should these notifications be drafted? (Provide an example)</li> </ul>  |
| <p>(iv) <b>record-keeping of the interviewing process; and</b></p>  | <ul style="list-style-type: none"> <li>■ What should be put on record, by whom and for how long?</li> <li>■ Who should oversee the process?</li> </ul>   |

- (v) **obtaining approval for the outcome of the interviewing process and the transfer, promotion and/or appointment of the most suitable candidate.**
  - Who should draft the submission to obtain approval for the final selection of candidates?
  - In what format should such submissions be drafted and what support documents should be attached? (Provide an example)
  - Who should approve the outcome of the final selection phase and at what levels?

## 4.10 The physical filling of posts

### 4.10.1 What needs to be addressed as far as the physical filling of posts is concerned?

Departmental policy needs to formulate -

- (a) *the absorption of staff into vacancies;*
  - What is absorption?
  - What are the conditions for absorption?
  - Who should draft submissions for absorption?
  - What information should be contained in a submission?
  - In what format should submissions be drafted? (Provide an example)
  - Who approves absorptions and at what levels?
  
- (b) *transferring staff to vacancies;*
  - What is a transfer?
  - What are the conditions for transferring?
  - Who should draft submissions for transfers?
  - What information should be contained in a submission?
  - In what format should submissions be drafted? (Provide an example)
  - Who approves transfers and at what levels?

(c) *promoting staff into vacancies; and*

- What is promotion?
- What are the conditions for promotion?
- Who should draft submissions for promotion?
- What information should be contained in a submission?
- In what format should submissions be drafted? (Provide an example)
- Who approves promotion and at what levels?

(d) *seconding staff.*

- What is secondment?
- What are the conditions for secondment?
- Who should draft submissions for secondment?
- What information should be contained in a submission?
- In what format should submissions be drafted? (Provide an example)
- Who approves secondment and at what levels?

## 4.11 Conclusion

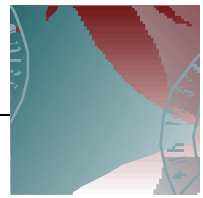
From the above, it is clear that although the national regulatory framework addresses important principles as far as the various activities of recruitment and selection are concerned, there are still many substantive and procedural issues that are not covered, which should be addressed in terms of departmental policy.

Before embarking on a policy drafting exercise, it is important to firstly consider the fair and equitable principles that underpin the process of recruitment and selection. Whereas this Toolkit is aimed at providing practical guidance on the application of recruitment and selection, it can never address all situations that may arise in departments. The onus, therefore, lies with departments to ensure that their decisions are based on sound procedures and reasoning and that these will not compromise the accessibility of others to either careers in the Public Service or upward mobility in a manner that is open to legal scrutiny.



# Annexures

---



## SCREENING OF APPLICANTS

Steps that may be followed in utilising documentation for the accountable screening of candidates

### Step one

On the document: **LIST OF APPLICANTS** (see example at **Annexure B** on page 76), fill in the post particulars, the names of the candidates and indicate the documents received with each application.

### Step two

- (a) On the document: **SCREENING** (see example on page 75), fill in the post particulars and closing date for applications.
- (b) Make a copy of this document for each applicant who needs to be screened and fill in the personal particulars of each candidate.
- (c) Apply the screening criteria by completing this document and determine which applicants are successful or not in terms of the screening process.

### Step three

- (a) Indicate the outcome of the screening process on the document: **LIST OF APPLICANTS**.
- (b) Obtain approval from the executing authority or his or her delegate for the outcome of the screening process and forward a **Letter of regret** (see guidelines in **Figure 3** on page 28) to the candidates who are unsuccessfully screened.
- (c) Indicate the notification of candidates on the document: **LIST OF APPLICANTS**.

### Step four

Place the following on file:

- A submission containing the approval of the outcome of the screening process by the executing authority or his or her delegate.
- A copy of the document: **LIST OF APPLICANTS**.
- A copy of the **Advertisement**.
- In terms of the candidates who are unsuccessfully screened:
  - The **application form** of each candidate.
  - A copy of **certificates** and **CV** of each candidate.
  - The document: **SCREENING** of each candidate.
  - A copy of the **Letter of regret** to each candidate.

Fill in the post particulars (A) and the closing date for applications (C), make a copy for each applicant who needs to be screened and complete for each applicant.

### Screening of the following applicant:

Surname: ..... Initials: .....

#### Screening is normally limited to complying with -

- the closing date for applications
- preset conditions as far as the submission of documentation is concerned
- minimum appointment requirements as specified in section 10 of the PSA, 1994
- minimum advertised requirements in terms of competencies

#### A. POST PARTICULARS

Component: ..... Post designation: .....  
 Post level: ..... Post No: .....  
 Advertisement No: .....

#### B. PERSONAL PARTICULARS OF APPLICANT

Date of birth: ...../...../..... Field of expertise: .....  
 Citizenship: .....  
 Qualifications: .....  
 Skills: .....

#### C. GENERAL REQUIREMENTS

<b>Closing date for applications:</b> ...../...../.....	Received on or before closing date?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	Legible?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Completion of application form:</b>	Completed?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	Signed?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	Dated?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>CV:</b>	Attached?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	Legible?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	Sufficiently detailed?	Yes <input type="checkbox"/> No <input type="checkbox"/>

#### D. POST & PERSON REQUIREMENTS

1	<b>Appointment requirements:</b> (in terms of the PSA, 1994, as amended)	Does the applicant meet the age requirement?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
		Does the applicant meet the citizenship requirement?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
		Does the applicant meet security clearance requirements as prescribed?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
		Does the applicant meet the health requirements as prescribed?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
A S  A D V E R T I S E D	2	<b>Qualifications required:</b>	Does the applicant meet the qualification requirements as advertised?	Yes <input type="checkbox"/> No <input type="checkbox"/>
			3	<b>Operational knowledge required:</b>
	4	<b>Skills/expertise required:</b>	Does the applicant meet the skills/expertise requirements as advertised?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	5	<b>Experience/exposure required:</b>	Does the applicant meet the experience/exposure requirements as advertised?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	6	<b>Representativeness required:</b> Yes <input type="checkbox"/> No <input type="checkbox"/>	Does the applicant meet representativeness requirements?	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>

#### E. OUTCOME OF SCREENING PROCESS

Applicant successfully screened?  
 Summary of reasons for unsuccessful screening of applicant: .....

Name of screener \_\_\_\_\_ Rank \_\_\_\_\_ Date \_\_\_\_\_

- If screening is unsuccessful, a letter of regret must be forwarded to the applicant and a copy of the letter, together with the outcome of the screening process, copy of the advertisement, application form, certificates and CV must be put on record
- If screening is successful, short-listing should commence

# LIST OF APPLICANTS

Post particulars		SCREENING				SHORT-LISTING				FINAL SELECTION									
Component: .....		Documents received		Outcome of screening process		Notification of candidate		Scores obtained		Outcome of short-listing process		Notification of candidate		Outcome of final selection process		Notification of candidate			
Post designation: .....		CV		Successful		Date		Formal knowledge		Successful		Date		Successful		Date			
Post level: .....		Certificates		Unsuccessful				Operational knowledge		Unsuccessful				Unsuccessful					
Reference No: .....		Application form						Skills/experience						Skills/experience					
Circular No: .....								Experience/exposure						Aptitude/attitude/behaviour					
Advertisement No: .....		Other .....						Total						Total					
Closing date: ...../...../.....																			
No	Name	Documents received		Outcome of screening process		Notification of candidate		Scores obtained		Outcome of short-listing process		Notification of candidate		Scores obtained		Outcome of final selection process		Notification of candidate	
1																			
2																			
3																			
4																			
5																			
6																			
7																			
8																			

## SHORT-LISTING OF APPLICANTS

Steps that may be followed in developing and utilising a **SCORING MATRIX** for the accountable short-listing of candidates

### Step one

- (a) Identify the main core competencies or functions as derived from the job description/duty sheets and fill it in on the **SCORING MATRIX** (see (a) on page 84 and examples at **Annexure E** on page 87).
- (b) Identify the competency **areas** (i.e. knowledge, skills/ expertise, experience/ exposure and attitude/ aptitude/ behaviour) and fill it in on the **SCORING MATRIX** (see (b) on page 84 and examples at **Annexure E**).
- (c) Identify competency **elements** with regard to each competency area and fill it in on the **SCORING MATRIX** (see (c) on page 84 and examples at **Annexure E**).
- (d) Identify competency **issues** in the form of questions with regard to each competency element and fill it in on the **SCORING MATRIX** (see (d) on page 84 and examples at **Annexure E**).
- (e) Identify a **scale** in respect of each competency issue and fill it in on the **SCORING MATRIX** (see (e) on page 84 and examples at **Annexure E**).
- (f) Identify a **scale** in respect of the overall **ratings** of the candidate (see (g) on page 84 and examples at **Annexure E**).

### Step two

- (a) Make a copy of the **SCORING MATRIX** for each Core Competency/Function and then make a copy of the whole set for each applicant who needs to be scored for short-listing purposes.
- (b) By utilising the **SCORING MATRIX** and gleaned information from application forms and CV's, each candidate should be scored in the column for 'Short-listing' with regard to each Core Competency/Function (see examples at **Annexure E**).
- (c) Determine the **Short-listing Totals** for each Competency Area of each Core Competency/Function on the **SCORING MATRIX**.
- (d) Carry the **Short-listing Totals** for all the Competency Areas of all the Core Competencies/Functions of each candidate over to the document: **SHORT-LISTING SCORE** (see examples on page 79) and determine a **Total Short-listing Score** for each candidate.

### Step three

- (a) Indicate the Short-listing Scores, obtained by each candidate on the document: **LIST OF APPLICANTS** (see example at **Annexure B** on page **76**).
- (b) Identify a realistic **cut-off point** that will provide the selection committee with a manageable size of applicants, which will serve as the **shortlist** for interviewing purposes.  
  
[It should, however, be ensured that the shortlist has enough **depth** (numbers) to draw from in the event of short-listed candidates not showing up for interviews, withdrawing their applications or declining appointment.]
- (c) Fill in the cut-off point for short-listing purposes on each candidate's form: **SHORT-LISTING SCORE** and determine whether the candidate is successful in being short-listed or not.
- (d) Motivate the successfulness or unsuccessfulness of each candidate: By referring to the **Short-listing Scores** in the **SCORING MATRIX**, summarise the outcome of all the Competency Areas of all the core Competencies/Functions of each candidate by utilising the framework as displayed in the document: **SHORT-LISTING SUMMARY** (see example on page **80**). From all these individual summaries, formulate a combined summary.
- (e) Indicate the outcome of the short-listing process on the document: **LIST OF APPLICANTS**.

### Step four

- (a) By utilising the above-mentioned information, submit a comprehensively compiled motivation to the executing authority or his or her delegate in respect of those candidates short-listed.
- (b) Draft a letter of regret (see guidelines in **Figure 5** on page **37**) to the candidates who are not short-listed, but only forward this once the final selection process has been finalised and a nomination made. This will allow for the compilation of further shortlists, should this be necessary.

### Step five

Place the following on file:

- A submission containing the approval of the outcome of the shortlist by the executing authority or his or her delegate.
- A copy of the document: **LIST OF APPLICANTS**
- A copy of the **Advertisement**.
- In terms of the candidates who are unsuccessful in being short-listed:
  - The **application form** of each candidate.
  - A copy of **certificates** and **CV** of each candidate.
  - The document: **SCREENING** of each candidate.
  - The **SCORING MATRIX** and **SHORT-LISTING SCORE** and **SUMMARY** of each candidate.
  - A copy of the **Letter of regret** to each candidate.

Name:..... Initials:.....

**A. The extent to which the candidate meets the requirements as advertised**

Competency area		Competency element	Score	
<b>A S A D V E R T I S E D</b>	<b>Formal knowledge</b>	1		
		2		
		3		
		4		
		5		
		6		
			<b>Score: Formal knowledge</b>	
	<b>Operational knowledge</b>	1		
		2		
		3		
		4		
		5		
		6		
			<b>Score: Operational knowledge</b>	
	<b>Skills/expertise</b>	1		
		2		
		3		
		4		
		5		
		6		
			<b>Score: Skills/expertise</b>	
	<b>Experience<sup>14</sup>/exposure</b>	1		
		2		
		3		
		4		
5				
6				
		<b>Score: Experience/exposure</b>		
		<b>TOTAL SCORE:</b>		
<b>Cut-off point (value) for short-listing purposes:</b>				

**B. Outcome of short-listing process**

Applicant short-listed? Yes  No   
 Summarise reasons for applicant not being short-listed by utilising the framework on page 80.

Name of short-lister \_\_\_\_\_ Rank \_\_\_\_\_ Date \_\_\_\_\_

- If short-listing is unsuccessful, a letter of regret must be forwarded to the applicant as soon as a nomination is made and the letter, together with the outcome of the screening as well as the short-listing process, a copy of the advertisement, application form, certificates and CV must be put on record
- If short-listing is successful, selection of the most suitable candidate should commence

Name:..... Initials:.....

Motivate successfulness/unsuccessfulness

A  
S  
A  
D  
V  
E  
R  
T  
I  
S  
E  
D

Summary: Formal knowledge

Summary: Operational knowledge

Summary: Skills/expertise

Summary: Experience<sup>15</sup>/exposure

Combined Summary:

Name of short-lister

Rank

Date

15 If required

## FINAL SELECTION OF AN APPLICANT

Steps that may be followed in utilising a **SCORING MATRIX** for the accountable final selection of candidates

### Step one

- (a) The **SCORING MATRIX's** utilised for those candidates successfully short-listed should also be used in the interviews for final selection purposes.
- (b) Conduct interviews and by utilising the **SCORING MATRIX**, score each candidate in the column for 'Final selection' with regard to each Core Competency/Function (see examples at **Annexure E**).
- (c) Capture any comments for each Competency Area on the **SCORING MATRIX**, which may assist later on with summarising the outcome of all the Competency areas.
- (d) Determine the **Final Selection Totals** for each Competency Area of each Core Competency/Function on the **SCORING MATRIX** and use it to determine a **Final Selection Rating** for each Competency Area.
- (e) Carry the **Final Selection Totals** for all the Competency Areas of all the Core Competencies/Functions of each candidate over to the document: **FINAL SELECTION SCORE** (see example on page **85**) and determine a **Total Final Selection Score** for each candidate.
- (f) Motivate the successfulness or unsuccessfulness of each candidate: By referring to the Final Selection Scores, the Final Selection Ratings, as well as the comments made in the **SCORING MATRIX** of each candidate, summarise the outcome of all the Competency Areas of all the Core Competencies/Functions of each candidate by utilising the framework as displayed in the document: **FINAL SELECTION SUMMARY** (see examples on page **86**). From all these individual summaries, formulate a combined summary.
- (g) Use the **FINAL SELECTION SUMMARY**, Final Selection Ratings and Final Selection Scores to identify the most suitable candidate(s).
- (h) By utilising the above-mentioned information, submit a comprehensively compiled motivation to the executing authority or his or her delegate in respect of both the nominee(s) and those candidates who are deemed less suitable than the nominee(s).

### Step two

- (a) Draft a letter of regret (see guidelines in **Figure 5** on page **37**) to the candidates who are not selected.
- (b) Inform successful candidate(s) and obtain a letter of acceptance.

### Step three

Place the following on file:

- A submission for the approval of the nomination(s) by the executing authority or his or her delegate.
- The document: **LIST OF APPLICANTS**.
- A copy of the **Advertisement**.
- In terms of the candidates who are successful/unsuccessful in being finally selected:
  - The **application form** of each candidate.
  - A copy of **certificates** and **CV** of each candidate.
  - The document: **SCREENING** of each candidate.
  - The **SHORT-LISTING SCORE** and **SUMMARY** of each candidate.
  - The **SCORING MATRIX** and **FINAL SELECTION SCORE** and **SUMMARY** of each candidate.
  - A copy of the **Letter of regret** to each candidate.

**The final selection phase is normally limited to an assessment of -**

- those applicants short-listed; and
- applicants' level of functioning based on the level and extent of -
  - knowledge<sup>16</sup>;
  - skills/ expertise;
  - experience/exposure, if required; and
  - aptitude/ attitude/ behaviour - demonstrated with regard to a specific area of work.

*Note: The executing authority must verify that the nominee qualifies in all respects for the post and that the nominee's claims in his or her application for the post have been verified.*

*(Regulation VII D.8 of Chapter 1 of the PSR,2001)*

**A. Choose a selection technique or a combination of techniques:**

Selection techniques are normally comprised of one or more of the following:

- Interviews
- In-basket simulations
- Written tests
- Review of past accomplishments
- Assessment centres
- Reference-checking.

**B. Develop a SCORING MATRIX (See examples at Annexure E on pages 87 to 93)**

**Core competency or Function:**

- Identify the main **competencies** or **functions** of the post. From a practical point of view, it should be a manageable size.
- Each core competency or function needs to be broken down into competency **elements**.
- Each competency element needs to be broken down into competency **issues**.

Competency areas	Analysis			
	Competency elements	Competency issues	Scale	Score
The main competency <b>areas</b> are: <ul style="list-style-type: none"> <li>• Knowledge</li> <li>• Skills/ expertise</li> <li>• Experience/exposure</li> <li>• Aptitude/ attitude/ behaviour</li> </ul>	Each competency <b>element</b> needs to be evaluated in terms of each competency <b>area</b> .	Each competency <b>issue</b> needs to be evaluated in terms of each competency <b>element</b> . [Develop carefully designed questions based on what is required in respect of each competency issue.]	A <b>scale</b> needs to be identified against which each competency <b>issue</b> can be assessed.	Each competency <b>issue</b> needs to be <b>scored</b> . [When totaled, it will provide a score in terms of each competency <b>area</b> and also an overall score for an applicant.]

**C. Identify the level at which an applicant is functioning:**

After having scored each competency area, an overall score, together with the level at which an applicant is functioning, should be determined to form an overall picture of the applicant's suitability for the post.

<b>Beginner</b>	Possesses the required knowledge/ skills/ attitude/ behaviour, but will require <b>intensive</b> guidance and assistance to apply these in the work area
<b>Semi-competent</b>	Possesses the required knowledge/ skills/ experience/ attitude/ behaviour, but will <b>occasionally</b> require guidance and assistance to apply these in the work area
<b>Competent</b>	Possesses the required knowledge/ skills/ experience/ aptitude/ attitude/ behaviour, will be able to function <b>independently</b> and will only require guidance and assistance in <b>exceptional</b> cases
<b>Semi-expert</b>	Possesses the required knowledge/ skills/ experience/ aptitude/ attitude/ behaviour, will be able to function <b>independently</b> and will be able to <b>advise</b> others on subject matter with <b>little need</b> for assistance and guidance
<b>Expert</b>	Possesses the required knowledge/ skills/ experience/ aptitude/ attitude/ behaviour, will be able to function <b>independently</b> and will be able to also <b>independently</b> provide <b>advice</b> to others and guidance to subordinates

<sup>16</sup> Includes operational knowledge

Component: .....  
 Post level: .....  
 Surname: .....

Reference No:.....  
 Circular No: .....  
 Advertisement No: .....  
 Initials: .....

**Post:**

**Core competence/function: (a)**

**Competency Area: (b)**

**Competency Element: (c)**

Competency issues: (d)

(e) Scale				(f) Score	
				Short-listing	Final selection
	1		1 2 3		
	2		1 2 3		
	3		1 2 3		
	4		1 2 3		

**Competency Element: (c)**

Competency issues: (d)

	1		1 2 3		
	2		1 2 3		
	3		1 2 3		
	4		1 2 3		

**Total score**

(g) Final selection rating		Comments:
Level	Scale	
Beginner		
Semi-competent		
Competent		
Semi-expert		
Expert		

Surname:..... Initials:.....

## A. The extent to which the candidate meets the requirements as advertised

Competency area		Competency element	Score	
A S A D V E R T I S E D	<b>Formal knowledge</b>	1		
		2		
		3		
		4		
		5		
		6		
	Score: Formal knowledge			
	<b>Operational knowledge</b>	1		
		2		
		3		
		4		
		5		
		6		
	Score: Operational knowledge			
	<b>Skills/expertise</b>	1		
		2		
		3		
		4		
		5		
		6		
	Score: Skills/expertise			
	<b>Experience<sup>17</sup>/exposure</b>	1		
		2		
		3		
4				
5				
6				
Score: Experience/exposure				
<b>Aptitude/attitude/ behaviour</b>	1			
	2			
	3			
	4			
	5			
	6			
Score: Aptitude/attitude/behaviour				
TOTAL SCORE:				

## B. Outcome of final selection process

Applicant finally selected? Yes  No

Summarise reasons for applicant not finally being selected by utilising the framework on page 86.

Chairperson of Selection Committee \_\_\_\_\_

Rank \_\_\_\_\_

Date \_\_\_\_\_

- If final selection is unsuccessful, a letter of regret must be forwarded to the applicant as soon as a nomination is made and the letter together with the outcome of the screening, short-listing as well as the final selection process, a copy of the advertisement, application form, certificates and CV must be put on record
- If final selection is successful, the candidate must be notified accordingly

Surname:..... Initials:.....

**Motivate successfulness/unsuccessfulness**

**A  
S  
A  
D  
V  
E  
R  
T  
I  
S  
E  
D**

**Summary: Formal knowledge**

**Summary: Operational knowledge**

**Summary: Skills/expertise**

**Summary: Experience<sup>18</sup>/exposure**

**Summary: Aptitude/attitude/behaviour**

**Combined Summary:**

*18 If required*

**Post:** State Admin Officer

**Core Competency/Function:** Investigate complaints and produce reports thereon

**Competency Area:** Formal Knowledge

Competency Element:	1. Human Resource Management	Scale				Score	
				Short-listing	Final selection		
Competency issue:	1. Has the applicant acquired a formal qualification?	As required (e.g. BA)	1	Partially relevant Relevant Highly relevant	1 2 3		
		As required plus one level higher (e.g. BAHons)	2	Partially relevant Relevant Highly relevant	1 2 3		
		As required plus two levels higher (e.g. MA)	3	Partially relevant Relevant Highly relevant	1 2 3		
		As required plus three levels higher and more (e.g. DPhil)	4	Partially relevant Relevant Highly relevant	1 2 3	12	12
	2. Has the applicant acquired informal training?	Equivalent to what is required	1	Partially relevant Relevant Highly relevant	1 2 3		
		Equivalent to what is required plus one level higher	2	Partially relevant Relevant Highly relevant	1 2 3		
		Equivalent to what is required plus two levels higher	3	Partially relevant Relevant Highly relevant	1 2 3		
		Equivalent to what is required plus three levels higher and more	4	Partially relevant Relevant Highly relevant	1 2 3		
<b>Subtotal: Human Resource Management</b>						<b>12</b>	<b>12</b>

Competency Element:	2. Labour Relations	Scale				Score	
Competency issue:	1. Has the applicant acquired a formal qualification?	As required (e.g. BA)	1	Partially relevant Relevant Highly relevant	1 2 3		
		As required plus one level higher (e.g. BAHons)	2	Partially relevant Relevant Highly relevant	1 2 3		
		As required plus two levels higher (e.g. MA)	3	Partially relevant Relevant Highly relevant	1 2 3		
		As required plus three levels higher and more (e.g. DPhil)	4	Partially relevant Relevant Highly relevant	1 2 3		
	2. Has the applicant acquired informal training?	Equivalent to what is required	1	Partially relevant Relevant Highly relevant	1 2 3		
		Equivalent to what is required plus one level higher	2	Partially relevant Relevant Highly relevant	1 2 3	4	4
		Equivalent to what is required plus two levels higher	3	Partially relevant Relevant Highly relevant	1 2 3		
		Equivalent to what is required plus three levels higher and more	4	Partially relevant Relevant Highly relevant	1 2 3		
<b>Subtotal: Human Resource Management</b>						<b>4</b>	<b>4</b>
<b>Total: Formal knowledge</b>						<b>16</b>	<b>16</b>

Final selection rating	
Level	Scale
Beginner	0 - 2
Semi-competent	3 - 4
Competent	5 - 12
Semi-expert	13 - 18
Expert	> 18

Comments:

**Post:** State Admin Officer

**Competency Area/Function:** Investigate complaints and produce reports thereon

**Competency Area:** Operational Knowledge

Competency Element:	1. Research	Score	
		Short-listing	Final selection
Competency issue: 1. At what level has the applicant conducted research?	Scale		
	Grade 12 + 1 year	1	
	Grade 12 + 2 year	2	
	Grade 12 + 3 year	3	
	Grade 12 + 4 year	4	4
	Grade 12 + 5 year	5	
	Grade 12 + 6 year	6	
<b>Subtotal: Research</b>		<b>4</b>	<b>4</b>

Competency Element:	2. Data management	Score		
Competency issue: 2. How many courses/ seminars has the applicant attended.	Introduction none	1		
	Introduction one	2		
	Introduction more than one	3	3	
	Advanced none	4		
	Advanced one	5		
	Advanced more than one	6		
	3. Can the applicant list the most important steps in data collection?	Unsatisfactory	1	
		Satisfactory	2	2
		Above average	3	
		Exceptional	4	
	4. Can the applicant list and describe any computer software that can assist in the processing of data?	Unsatisfactory	1	
		Satisfactory	2	
Above average		3	3	
Exceptional		4		
<b>Subtotal: Data Management</b>		<b>3</b>	<b>8</b>	

Competency Element:	3. Report-writing	Score		
Competency issue: 1. How many courses/ seminars on report-writing has the applicant attended?	None	1		
	One	2		
	More than one	3	3	
	2. Can the applicant provide a layout of a typical report format?	Unsatisfactory	1	
		Satisfactory	2	
		Above average	3	3
		Exceptional	4	
	3. Can the applicant list the most important principles underlying a good report?	Unsatisfactory	1	
		Satisfactory	2	2
		Above average	3	
		Exceptional	4	
	<b>Subtotal: Report-writing</b>		<b>3</b>	<b>8</b>
<b>Total: Operational Knowledge</b>		<b>10</b>	<b>20</b>	

Final selection rating	
Level	Scale
Beginner	0 - 7
Semi-competent	8 - 12
Competent	13 - 16
Semi-expert	17 - 21
Expert	> 21

Comments:

**Post:** State Admin Officer

**Core Competency/Function:** Investigate complaints and produce reports thereon

**Competency Area:** Skills/Expertise

Competency Element:	1. Research	Scale		Score	
				Short-listing	Final selection
<b>Competency issue:</b>	1. Can the applicant mention any research skills/ expertise generally required for conducting investigations into complaints?	Unsatisfactory	1		
		Satisfactory	2		
		Above average	3		3
		Exceptional	4		
	2. How many of the above-mentioned research skills/expertise has the applicant acquired? How, and can sufficient proof be provided?	Unsatisfactory	1		
		Satisfactory	2		2
		Above average	3		
		Exceptional	4		
<b>Subtotal: Research</b>				<b>0</b>	<b>5</b>

Competency Element:	2. Data Management	Scale		Score	
				Short-listing	Final selection
<b>Competency issue:</b>	1. Can the applicant mention any data management skills/expertise generally required for conducting investigations into complaints?	Unsatisfactory	1		
		Satisfactory	2		2
		Above average	3		
		Exceptional	4		
	2. How many of the above-mentioned data management skills/expertise has the applicant acquired? How, and can proof be provided?	Unsatisfactory	1		
		Satisfactory	2		
		Above average	3		
		Exceptional	4		4
<b>Subtotal: Data Management</b>				<b>0</b>	<b>6</b>

Competency Element:	3. Report-writing	Scale		Score	
				Short-listing	Final selection
<b>Competency issue:</b>	1. Can the applicant mention any report-writing skills/expertise generally required for conducting investigations into complaints?	Unsatisfactory	1		
		Satisfactory	2		2
		Above average	3		
		Exceptional	4		
	2. How many of the above-mentioned report-writing skills/expertise has the applicant acquired? How, and can sufficient proof be provided?	Unsatisfactory	1		
		Satisfactory	2		
		Above average	3		3
		Exceptional	4		
<b>Subtotal: Report-writing</b>				<b>0</b>	<b>5</b>
<b>Total: Skills/Expertise</b>				<b>0</b>	<b>16</b>

Final selection rating	
Level	Scale
Beginner	0 - 6
Semi-competent	7 - 10
Competent	11 - 17
Semi-expert	18 - 21
Expert	> 22

Comments:

**Post:** State Admin Officer**Core Competency/Function:** Investigate complaints and produce reports thereon**Competency Area:** Experience/Exposure

Competency Element:		1. Research	Score	
		Scale	Short-listing	Final selection
<b>Competency issue:</b>	1. How many years experience/ how much exposure does the applicant have in conducting research in general, of which sufficient proof can be provided?	None	1	
		1 to 5 years/ equivalent	2	
		5 to 10 years/ equivalent	3	3
		>10 years/ equivalent	4	
	2. How many years experience/ how much exposure does the applicant have in conducting research as far as HRM is concerned, of which sufficient proof can be provided?	None	1	
		1 to 5 years/ equivalent	2	2
		5 to 10 years/ equivalent	3	
		>10 years/ equivalent	4	
<b>Subtotal: Research</b>			<b>5</b>	<b>5</b>
Competency Element:		2. Data Management		
<b>Competency issue:</b>	1. In how many investigations was the applicant involved, of which sufficient proof can be provided?	None	1	
		1 to 5	2	
		5 to 10	3	3
		More than 10	4	
	2. In how many of the above-mentioned investigations was the applicant involved in data management, of which sufficient proof can be provided?	None	1	
		1 to 5	2	2
		5 to 10	3	
		More than 10	4	
<b>Subtotal: Data Management</b>			<b>0</b>	<b>5</b>
Competency Element:		3. Report-writing		
<b>Competency issue:</b>	1. In respect of the drafting of how many reports has the applicant been involved and on what subjects? What was the extent of the involvement and can sufficient proof be provided?	None	1	
		1 to 5	2	
		5 to 10	3	
		More than 10	4	3
	2. How many of the above reports did the applicant draft? Can copies thereof be made available?	None	1	
		1 to 5	2	2
		5 to 10	3	
		More than 10	4	
<b>Subtotal: Report-writing</b>			<b>0</b>	<b>5</b>
<b>Total: Experience/Exposure</b>			<b>5</b>	<b>15</b>

Final selection rating	
Level	Scale
Beginner	0 - 6
Semi-competent	7 - 12
Competent	13 - 17
Semi-expert	18 - 20
Expert	> 20

**Comments:**

<b>Post:</b>	State Admin Officer
<b>Core Competency/Function:</b>	Investigate complaints and produce reports thereon
<b>Competency Area:</b>	Aptitude/Attitude/Behaviour

Competency Element:	1. Research	Scale		Score	
				Short-listing	Final selection
<b>Competency issue:</b> 1. How much time does the applicant prefer spending on research as far as investigations are concerned?	<10%	1			
	10 - 15%	2			
	15 - 20%	3			
	>20%	4			4
	<b>Subtotal: Research</b>			<b>0</b>	<b>4</b>

Competency Element:	2. Data management	Scale		Score	
				Short-listing	Final selection
<b>Competency issue:</b> 1. To what extent does the applicant enjoy working with figures?	Not at all	1			
	To a limited extent	2			
	To a reasonable extent	3			
	Very much	4			4
2. To what extent does the applicant enjoy working with illustrations and graphs?	Not at all	1			
	To a limited extent	2			
	To a reasonable extent	3			3
	Very much	4			
3. To what extent does the applicant enjoy working with software programs such as Microsoft Excel, PowerPoint, etc?	Not at all	1			
	To a limited extent	2			
	To a reasonable extent	3			
	Very much	4			4
<b>Subtotal: Data Management</b>				<b>0</b>	<b>11</b>

Competency Element:	3. Report-writing	Scale		Score	
				Short-listing	Final selection
<b>Competency issue:</b> 1. To what extent does the applicant enjoy reading?	Not at all	1			
	To a limited extent	2			
	To a reasonable extent	3			3
	Very much	4			
2. To what extent does the applicant enjoy writing?	Not at all	1			
	To a limited extent	2			
	To a reasonable extent	3			
	Very much	4			4
3. To what extent does the applicant enjoy drafting a report?	Not at all	1			
	To a limited extent	2			
	To a reasonable extent	3			3
	Very much	4			
<b>Subtotal: Report-writing</b>				<b>0</b>	<b>10</b>
<b>Total: Aptitude/Attitude/Skills</b>				<b>0</b>	<b>25</b>

Final selection rating	
Level	Scale
Beginner	0 - 7
Semi-competent	8 - 13
Competent	14 - 17
Semi-expert	18 - 24
Expert	> 24

Comments:

Name:..... Initials:.....

**A. The extent to which the candidate meets the requirements as advertised**

Competency area		Competency element	Score
<b>Formal knowledge</b>	1	Human resource Management	12
	2	Labour Relations	4
	3		
	4		
	5		
	6		
	<b>Score: Formal knowledge</b>		
<b>Operational knowledge</b>	1	Research	4
	2	Data management	3
	3	Report-writing	3
	4		
	5		
	6		
	<b>Score: Operational knowledge</b>		
<b>Skills/expertise</b>	1	Research	
	2	Data management	
	3	Report-writing	
	4		
	5		
	6		
	<b>Score: Skills/expertise</b>		
<b>Experience<sup>19</sup>/exposure</b>	1	Research	5
	2	Data management	0
	3	Report-writing	0
	4		
	5		
	6		
	<b>Score: Experience/exposure</b>		
<b>TOTAL SCORE:</b>			<b>31</b>

A  
S  
A  
D  
V  
E  
R  
T  
I  
S  
E  
D

**Cut-off point (value) for short-listing purposes:**

**B. Outcome of short-listing process**

Applicant short-listed? Yes  No

Summarise reasons for applicant not being short-listed by utilising the framework on page 80.

Name of short-lister \_\_\_\_\_

Rank \_\_\_\_\_

Date \_\_\_\_\_

- If short-listing is unsuccessful, a letter of regret must be forwarded to the applicant as soon as a nomination is made and the letter together with the outcome of the screening as well as the short-listing process, a copy of the advertisement, application form, certificates and CV must be put on record
- If short-listing is successful, selection of the most suitable candidate should commence

Surname:..... Initials:.....

## A. The extent to which the candidate meets the requirements as advertised

Competency area		Competency element	Score
<b>Formal knowledge</b>	1	Human resource Management	12
	2	Labour Relations	4
	3		
	4		
	5		
	6		
	<b>Score: Formal knowledge</b>		
<b>Operational knowledge</b>	1	Research	4
	2	Data management	8
	3	Report-writing	8
	4		
	5		
	6		
	<b>Score: Operational knowledge</b>		
<b>Skills/expertise</b>	1	Research	5
	2	Data management	6
	3	Report-writing	5
	4		
	5		
	6		
	<b>Score: Skills/expertise</b>		
<b>Experience<sup>20</sup>/exposure</b>	1	Research	5
	2	Data management	5
	3	Report-writing	5
	4		
	5		
	6		
	<b>Score: Experience/exposure</b>		
<b>Aptitude/attitude/behaviour</b>	1	Research	4
	2	Data management	11
	3	Report-writing	10
	4		
	5		
	6		
	<b>Score: Aptitude/attitude/behaviour</b>		
<b>TOTAL SCORE:</b>			<b>92</b>

## B. Outcome of final selection process

Applicant finally selected? Yes  No

Summarise reasons for applicant not finally being selected by utilising the framework on page 86.

Chairperson of Selection Committee \_\_\_\_\_

Rank \_\_\_\_\_

Date \_\_\_\_\_

- If final selection is unsuccessful, a letter of regret must be forwarded to the applicant as soon as a nomination is made and the letter together with the outcome of the screening, short-listing as well as the final selection process, a copy of the advertisement, application form, certificates and CV must be put on record
- If final selection is successful, the candidate must be notified accordingly

**SCREENING**

[Paper exercise]

**Criterion 1:**

**Closing date** for applications should be met.

**Criterion 2:**

Certain conditions should be met in relation to the **format** and **content** of -

- application forms,
- Curricula Vitae (CV's); and
- all other relevant documentation.

**Criterion 3:**

**Basic appointment** requirements should be met in terms of -

- citizenship;
- age;
- character;
- security clearance<sup>21</sup>; and
- health<sup>21</sup>.

*21 In so far as requirements may be prescribed.*

**Criterion 4:**

Minimum **advertised** requirements should be met in terms of -

- qualifications; and
- competencies (knowledge, skills, and where required, experience).

**SHORT-LISTING**

[Paper exercise]

**Criterion 1:**

Successful **screening** of candidates.

*[Note: Candidates who were unsuccessfully screened (i.e. candidates who do not meet the minimum appointment and advertised requirements) may still be considered for short-listing purposes on the merits of such cases, as discussed under **Criterion 4** of the Screening Process on page 24.]*

**Criterion 2:**

The **level** of qualifications and competencies (knowledge, skills and, where required, experience).

*[A higher level may be viewed as a more favourable consideration.]*

**Criterion 3:**

The **relevancy** of qualifications and competencies (knowledge, skills and, where required, experience).

*[A higher relevancy may be viewed as a more favourable consideration.]*

**FINAL SELECTION**

[Interviewing, etc]

**Criterion 1:**

Successful **short-listing** of candidates.

*[Note: Candidates who were unsuccessfully short-listed (i.e. candidates who do not meet the minimum appointment and advertised requirements) may still be considered for the final selection on the merits of such cases, as discussed under **Criterion 4** of the Screening Process on page 24. It should, however, be emphasized that the merits of the case should be based on special considerations (see **Criterion 1** of short-listing on page 32).]*

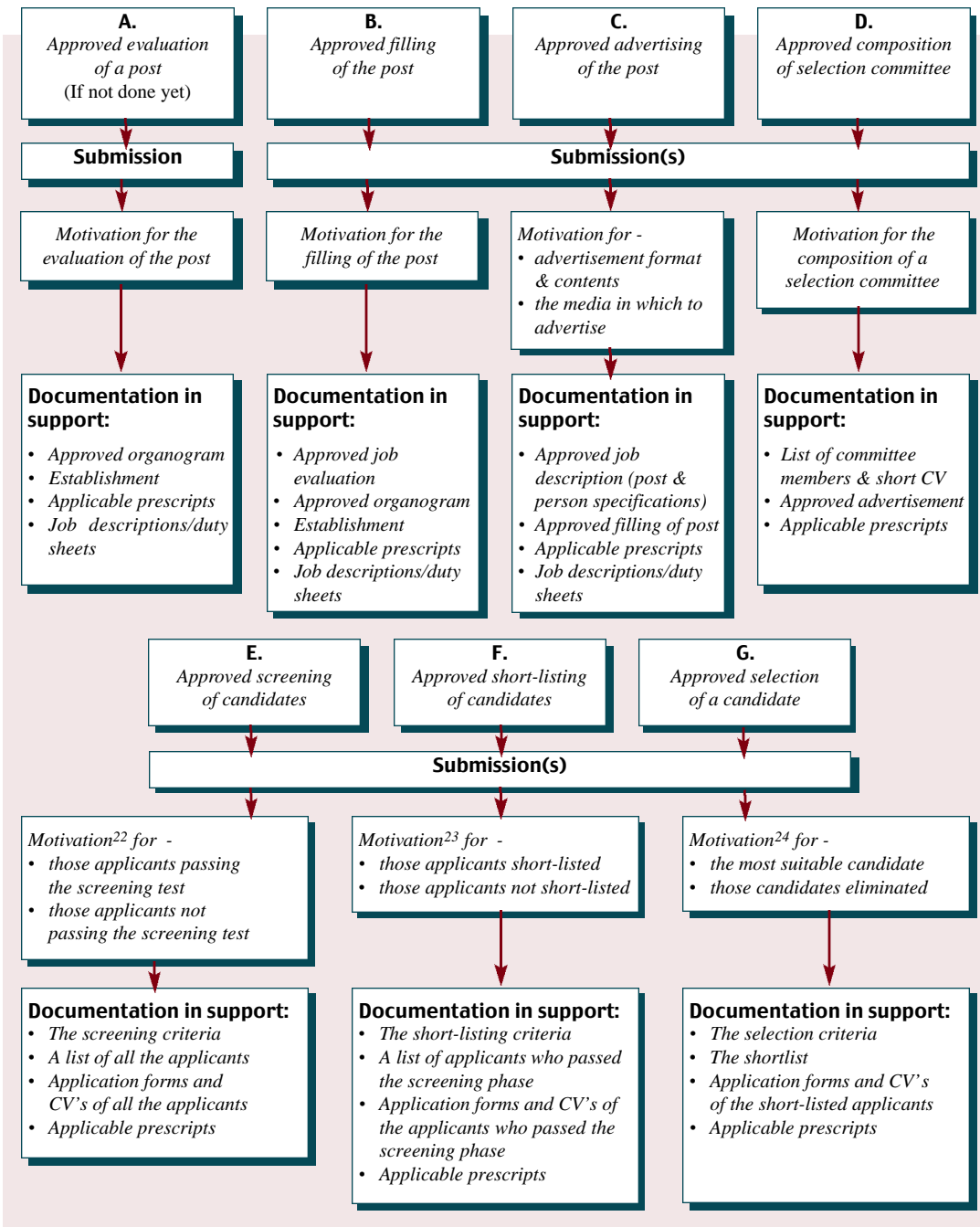
**Criterion 2:**

An applicant's **level of functioning**

The level of functioning should be determined, as demonstrated by the applicant with regard to a *specific area of work*, in respect of the following competency areas:

- Knowledge
- Skills/ expertise
- Experience, if required
- Aptitude/ attitude/ behaviour.

## IMPORTANT STEPS AND SUPPORTIVE DOCUMENTATION REQUIRED FOR THE SOUND FILLING OF A POST



22 The document: **SCREENING** (Annexure A) can be utilised for this purpose  
 23 The **SCORING MATRIX** (Annexure D) can be utilised for this purpose  
 24 The **SCORING MATRIX** (Annexure D) can be utilised for this purpose

**Verification checklist on the filling of the following post:**  
(Regulation VII D.8 of Chapter 1)

**RANK:** ..... **LEVEL:**.....  
**DEPARTMENT:** .....  
**PROVINCE:**.....  
**COMPONENT:**.....  
**DATE OF APPOINTMENT:** ...../...../.....  
**APPOINTEE:**.....

**1. RECRUITMENT POLICY:**

A. Was the departmental policy on recruitment and selection adhered to?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
B. Was the departmental AA policy adhered to?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>

**2. POST DETAIL:**

A. Is the post an <b>approved and funded</b> post on the establishment?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. If not, was the filling of an unfunded post <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
● By whom? ..... Rank: .....		
Date: ...../...../..... Ref no: .....		

**3. JOB EVALUATION:**

A. Was the post, in the event of a newly created post, advertised <b>with out</b> being evaluated?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
B. Was a mandate obtained for this from the Minister for Public Service and Administration?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
● Date: ...../...../..... Ref no: .....			

C. Was the post filled at the advertised level?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D. If not, was the decision to deviate <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
● By whom? ..... Rank: .....		
Date: ...../...../..... Ref no: .....		

E. Was the post <b>upgraded/downgraded</b> and was this done before being advertised?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
F. Was the upgrading/downgrading <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
● By whom? ..... Rank: .....			
Date: ...../...../..... Ref no: .....			

**4. ADVERTISEMENT:**

A. Was the post advertised before being filled?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. If the post was not advertised before being filled, was it done in line with the conditions as contained in PSR C.2.5, Part VII?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. If the post was advertised before being filled, was the advertisement as well as the advertising media to be utilised <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
● By whom? ..... Rank: .....		
Date: ...../...../..... Ref no: .....		

D. Did post and person specifications contained in the advertisement(s) <b>deviate</b> from the applicable duty sheet and/or job description/ applicable CORE?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
E. Does this represent a relaxation of appointment requirements?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. If yes, was the decision to relax <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
● By whom? ..... Rank: .....		
Date: ...../...../..... Ref no: .....		

G. Did post and person specifications contained in the advertisement(s) deviate from the Department's Affirmative Action policy?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
H. If yes, was the decision to deviate <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
● By whom? ..... Rank: .....			
Date: ...../...../..... Ref no: .....			

I. Was the post advertised internally?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
J. Was the post advertised externally?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
K. Were the inside and outside advertisements worded differently?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
L. If yes, was the decision to deviate <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
● By whom? ..... Rank: .....		
Date: ...../...../..... Ref no: .....		

M. Was head-hunting utilised?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
N. If yes, was the decision to head-hunt <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
● By whom? ..... Rank: .....			
Date: ...../...../..... Ref no: .....			

O. Was the post re-ad vertised?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
P. If yes, was the decision to re-advertise <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
● By whom? ..... Rank: .....			
Date: ...../...../..... Ref no: .....			

## 5. APPLICANTS:

A. Were late applications accepted for the filling of the post?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
B. If yes, was this <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
● By whom? ..... Rank: .....			
Date: ...../...../..... Ref no: .....			

C. Is the application form of the nominee(s)/ appointee(s) properly signed and dated?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D. Does the date on the application form of the nominee(s)/ appointee(s) precede the closing date?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
E. Were relevant qualification certificates of the nominee(s)/ appointee(s) submitted together with the application form?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. Were the qualification certificates certified?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
G. Were the qualification certificates authenticated?	Yes <input type="checkbox"/>	No <input type="checkbox"/>

## 6. SCREENING (sifting):

A. Was a list compiled that contains relevant information in respect of each applicant?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. Was each applicant scored according to formally identified screening criteria?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. If yes, did the criteria deviate from the advertised post and person specifications?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D. If yes, was the decision to deviate <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
● By whom? ..... Rank: .....		
Date: ...../...../..... Ref no: .....		

E. Was the screening done by a panel?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. Were any candidates who did not meet the screening requirements included for short-listing purposes?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
G. If yes, did that include the nominee/appointee?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
H. Was the decision to include candidates who did not meet the screening requirements <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<ul style="list-style-type: none"> <li>● By whom? ..... Rank: .....</li> <li>Date: ...../...../..... Ref no: .....</li> </ul>		

## 7. SHORT-LISTING:

A. Was a list compiled that contains relevant information in respect of each applicant that was short-listed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. Was each candidate that passed the screening test scored according to formally identified short-listing criteria?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. If yes, did the criteria deviate from the advertised post and person specifications?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D. If yes, was the decision to deviate <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<ul style="list-style-type: none"> <li>● By whom? ..... Rank: .....</li> <li>Date: ...../...../..... Ref no: .....</li> </ul>		

E. Was the short-listing done by a selection committee?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. If short-listing was done by a selection committee, was it the same committee that did the preliminary screening?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
G. Were any candidates who did not meet the short-listing requirements short-listed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
H. If yes, did that include the nominee/appointee?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
I. Was the decision to shortlist candidates who did not meet the short-listing requirements <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<ul style="list-style-type: none"> <li>● By whom? ..... Rank: .....</li> <li>Date: ...../...../..... Ref no: .....</li> </ul>		

J. Were candidates who met the short-listing criteria excluded from the shortlist?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
K. Was the exclusion of candidates who met the short-listing criteria <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<ul style="list-style-type: none"> <li>● By whom? ..... Rank: .....</li> <li>Date: ...../...../..... Ref no: .....</li> </ul>		

## 8. SELECTION COMMITTEE MEMBERS:

A. Was the composition of the committee <b>duly</b> approved?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. Did the committee consist of committee members at (at least) the same level or one level higher than that of the post in question?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. If not, was the decision to deviate <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
● By whom? ..... Rank: .....		
Date: ...../...../..... Ref no: .....		

D. Was the chairperson appointed at (at least) one level higher than that of the post in question?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
E. If not, was the decision to deviate <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
● By whom? ..... Rank: .....		
Date: ...../...../..... Ref no: .....		

F. Was the committee representative in terms of gender?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
G. Was it representative in terms of race?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
H. Was it representative in terms of disabledness?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
I. If the committee was not representative, was it <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
● By whom? ..... Rank: .....		
Date: ...../...../..... Ref no: .....		

J. Were all the interviewees satisfied with the composition of the committee?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
K. If not, was their dissatisfaction entertained and was the committee recomposed as a result?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
L. Was anyone who served on the committee related to, or a close friend of any of the candidates who were interviewed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
M. If yes, was this relationship/conflict of interest declared?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
N. If it was declared, did he/she recuse him-/herself from the process and was the panel recomposed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>

## 9. INTERVIEWING:

A. Was a list compiled that contains relevant information in respect of each interviewee?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. Was each interviewee scored according to formally identified selection criteria?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. If yes, did the criteria deviate from the advertised post and person specifications?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D. Was the decision to deviate <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
● By whom? ..... Rank: .....		
Date: ...../...../..... Ref no: .....		

E. Was a structured questionnaire utilised for interviewing?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
F. Was the questionnaire based on the identified selection criteria?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
G. Was each interview formally minuted/ recorded?	Yes <input type="checkbox"/>	No <input type="checkbox"/>

H. Were any non-short-listed candidates interviewed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
I. If yes, did that include the nominee/appointee?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
J. Was the decision to interview non-short-listed candidates <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
● By whom? ..... Rank: .....		
Date: ...../...../..... Ref no: .....		

K. Were any of the short-listed candidates not interviewed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
L. Was the decision to exclude such (a) candidate(s) <b>duly</b> authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
● By whom? ..... Rank: .....		
Date: ...../...../..... Ref no: .....		

## 10. RECOMMENDATIONS OF SELECTION COMMITTEE:

A. Was each candidate weighed against the advertised requirements?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
B. Was the candidature of each interviewee discussed comprehensively in terms of advertised requirements and the duties of the post?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
C. Is it evident from the nomination documentation that each interviewee was posed the same questions?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
D. Was the committee's recommendation accepted/approved?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
E. If not, was the decision to deviate <b>duly</b> motivated and authorized?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
● By whom? ..... Rank: .....		
Date: ...../...../..... Ref no: .....		







AND  
SELECTION

