Strengthening Human Resources Management Capacities in the Lebanese Public Sector (ENPI/2013/327-618)

Deliverable 2.11: Manual of performance appraisal system and required legal amendments

March 2015

ACRONYMS[1]	
CSB	Civil Service Board
HRM	Human Resources Management
HRD	Human Resources Development
IoF	Institute of Finance
JD	Job Description
KPI	Key Performance Indicators
K/S/A	Knowledge / Skills / Attitudes
MoET	Ministry of Economy and Trade
MoI	Ministry of Industry
MoPH	Ministry of Public Health
MoSA	Ministry of Social Affairs
MoT	Ministry of Tourism
OECD	Organisation for Economic Development and Co-operation
OJT	On the job training
OMSAR	Office of the Minister of State for Administrative Reform
TNA	Training Needs Assessment
TAT	Technical Assistance Team

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[1] Applicable also to the Annexes of the present report

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__Towards an updated__

__Performance Appraisal system in__

__Lebanese Public Administration – System Manual__

1 Introduction

1.1 Background

The overall objective of the project is the improvement of the HRM capacities in the Civil Service Board (CSB) and in four Lebanese Ministries: the Ministry of Industry, Ministry of Tourism, Ministry of Public Health and Ministry of Social Affairs. According to the Terms of Reference of the project, one of the purposes is that the project "*will contribute to the strengthening of the HR structures and functions in the CSB and the four Ministries, the implementation of HR operations in an objective and effective manner, and the creation of standardised HR professional practices*". The project focuses in reforming 3 major HR systems, Recruitment, Appraisal and Advancement system of the Lebanese public sector. This manual is intending to explain in a simple and concise way the steps, procedures and relevant key issues concerning the application of the Deliverable 2.10 "Description of performance appraisal system and required legal amendments" in a proper and sustainable way within the Lebanese public administration.

1.2 Overview

How to use this manual?

Content and topics of this manual are divided in an introduction, three main parts and one annex.

- **Introduction**: Overview of the new performance appraisal system, general issues, identification of key challenges. Major emphasis is given to a broad presentation of competencies and of the proposed competency framework, in order to explain in a concise way the rationale and the meaning of this reform initiative.

- **Part 1**: 1st Phase - Performance planning. An analysis of the main steps and procedures during the performance planning phase will be presented.

- **Part 2**: 2nd Phase – Performance execution. All major activities needed, during the execution phase that will facilitate and support the conduction of the a meaningful performance assessment, will be presented.

- **Part 3**: 3rd Phase – Performance Assessment & Review. Analysis of the key issues that must be addressed before, during and after the performance appraisal meeting will be carried out.

➢ **Graph no.1: Overview of the 3 phases**

Building and conducting sustainable and workable performance appraisal systems is one of most controversial and difficult to implement chapters of Human Resource Management all over the world. But on the other hand, an effective and workable performance appraisal system is one of the most important assets, capable of producing great added value for the development and the future of an organisation, public or private. The Technical Assistance Team (TAT) perceives both the quite delicate and sensitive nature of performance appraisal systems, as well as the resistance that often comes either from administrative inertia or lack of knowledge and skills required to conduct performance appraisal.

The TAT's interventions are concerning employees (of Category 5, 4, 3 and 2) subject to legislative decree n.112/59 with its amendments (employees system concerning permanent and contractual/temporary personnel) except for the Foreign Service staff and teaching staff. Employees of Category 1 are excluded from the scope of this project.

1.3.1 Why do we need performance appraisal?

The purpose of performance appraisal is to motivate civil servants and employees

to continuously improve their professional knowledge and skills in order to be able to advance in the career and develop their full work potential. The purpose of the performance appraisal is not to sanction civil servants, but to provide them with support to better understand their capabilities and weaknesses and achieve the maximum in their professional development.

In many systems of civil service, performance appraisal is primarily perceived as a possibility for rewarding or sanctioning the civil servants, instead of being a tool for the development of their full work potential. One of the key issues concerning the sustainability of the proposed set of interventions is raising awareness about the purpose of performance appraisal and that it primarily represents a tool for personal development of individuals and not merely a means to reward or sanction a civil servant. In addition to that, the existence of a -sustainable- performance appraisal system shows to the individual that the organisation/institution cares about the quality of his/her performance. This fact itself has a positive influence on feelings of individuals. They feel that they are valuable and should work hard and that it is worthwhile to be part of a given organisation.

1.3.2 Key characteristics and principles of proposed interventions

Performance appraisal goes also beyond a list of regulations and manuals. Performance appraisal is actually a matter of building mutual trust among employees and institutions and supporting the professional and personal development of employees throughout their service in public administration.

The TAT approach is based on a strictly **positive** approach and will be consensus based, aiming at the boost of the **professionalism** and the **development** of employees. One of the TAT aims is to make Lebanese civil servants envisage performance measurement and appraisal systems in a constructive way, as a helpful feedback tool that provides information to managers and employees about how well they are doing in reaching their goals and where they might have room for improvement, and **not** as a punishing method to blame people if the numbers and the results are bad. On the other hand, no change or reform can be sustainable and workable if it does not respect and serve the core values of the Lebanese administration, in other words meritocracy, equity, legality and emancipation (from any sort of political, sectarian or other powers and pressures).

Given the above noted assumptions, the TAT is proposing a number of interventions in order to face effectively the following major challenges: Rebuilding trust, gaining employees participation and commitment in the appraisal process, raising accountability and transparency, advancing professionalism and supporting career and personal development. In Table 1, an initial matching among the seven of the most important TAT's proposals (presented thoroughly in the Deliverable 2.10) and the above mentioned challenges is presented.

Table 1: Synopsis of major interventions & matching with key challenges

		Tools - suggestions						
		Competency framework	Employees selection of level of performance	Self assessment	Mid-term review	Personal Development Plan (PDP)	Listing of key responsibility per employee	Revising of Directors role in the appraisal process
Challenges	Empowerment	√		√		√		
	Employees participation & commitment	√	√	√	√			
	Development of employees	√		√		√		
	Accountability & Transparency	√	√		√	√	√	√
	Rebuilding trust	√	√				√	√
	Professionalism	√	√	√		√		

1.3.3 Competency Framework

The cornerstone of TAT's proposal is the smooth introduction of a Competency Framework, fitted to the needs of Lebanese public administration. Based on the transition to the effective use of competencies instead of using general and vague criteria to assess the performance of the employees, a first, but major step will be achieved towards the modernization of the Lebanese public sector management system.

Why are competencies important?
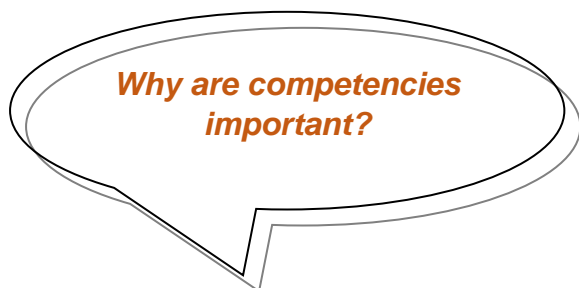
Over the last 20 years (and actually at a quite rapid pace), significant changes have influenced the very nature of jobs worldwide and thus competency based performance management is indeed becoming a more useful form for performance appraisal than the historical skill-based, transactional process. How are jobs changing? According to the Society for Human Resource Management (SHRM), the nature of work is changing from single-skilled jobs to multi-skilled jobs, from repetitive tasks to problem solving tasks, from individual work to teamwork, and from functional specialization to collaboration. Taking a look at the ways in which work is changing, it is easily understood why it may be necessary for the organization to move from skill-based performance appraisal to evaluations based on larger-scale competencies. Therefore and based on all major developments the last 20 years in the HRM systems worldwide, showing that there has been an increasing focus on the use of competencies as an element of performance management, performance is currently perceived not only as a question of what people do, but also **how** they do it in interaction with other people.

How competencies

are defined?
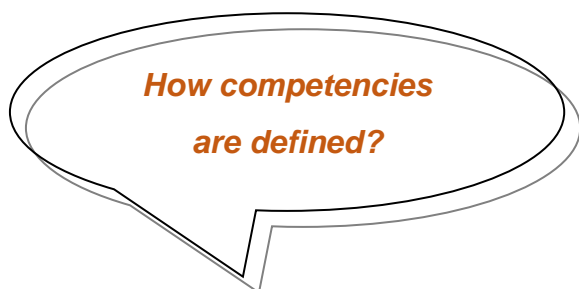
A broad definition of competencies would include the skills, knowledge, abilities and personal attributes that are essential to perform certain functions and which are critical to succeed in specific roles. One of the most important advantages of competencies is that the vast majority of employees better and easier understand them, since they describe behavioral aspects and not rigid/flat managerial terms. Behaviors include abilities, skills, expertise and proficiencies, the individual's commitment to organizational values, and the person's personal style, manner and approach. Behaviors deal with **how** the person went about doing the job and do **not**

adhere to rigid identification and measurement of quantifiable outputs of his job. In Table 2, an overview of key issues describing behaviors is presented.

Table 2: How behaviors are analyzed

Element	Focus
Behaviors	**How** the individual performed • Adherence to organizational values • Competencies/performance factors • Traits/attributes/characteristics/proficiencies • Personal style, manner and approach • Knowledge/Attitudes/Skills/Habits

Thus, a competency framework defines the **knowledge, skills** and **abilities** needed by the people working in an organization or particular profession. A competency framework enables identification of competencies required for a role within the profession and map individual suitability and efficiency for that role. It helps employees examine whether they have the skills, knowledge and abilities required to fill different roles, enabling them to better plan their career progression.

Table 3: Benefits of competency management per interest group

Benefits of Competency Management per Interest Group	
Employees	*A fair people management system* • Greater encouragement for personal development • Employees' participation becomes a crucial part of the performance appraisal • Better understanding of what is necessary to achieve high performance at work • Better understanding of the organization's mission and their role played in the organization
Executives	*Provides an additional instrument for motivating collaborators* • Shares a common language on people management • More transparent and appropriate criteria to make selection, performance evaluation, or training and development decisions

Organizations/ Public Administration	*Allows to identify the organizational activities that need the most improvement* • Provides clarity over the objectives to be met and the way to meet them • Allows to better integrate the organization's requirements and people's characteristics • Enables the development of a global approach to HRM • Provides more useful instruments for selection, evaluation and training, and development

Source: OECD (2010) Managing Competencies in Government: State of the Art Practices and Issues at stake for the future, Paris.

Do other countries use competency frameworks?

Introduction and development of competency frameworks are currently becoming a standard practice in the majority of developed countries worldwide. And this expansion is not only focused on private sector, but is also expanded in government and public sectors around the world. Competency frameworks have been actually proved to be effective in identifying the abilities, skills, and mostly the behaviors that employees need to have or to develop in order to perform their job in a satisfactory and often exceptional way. The general intentions when introducing competency frameworks in some of the most developed OECD countries are numerous and divergent: e.g. creating flexibility (Australia and Belgium), increasing efficiency and effectiveness of people management (Australia and Canada), providing clarity over employees' development priorities (Denmark), overcoming the classic bureaucratic model (France), strengthening government competitiveness (Korea), creating a flexible and highly professional civil service that easily adapts to the challenges confronting government (the Netherlands), a vehicle for organizational and cultural change (Belgium and UK), or strategic alignment between the individual and the organization (US).

> *How can a Competency Framework be implemented in Lebanese Public Administration?*

As noted above, the TAT proposal is based on the introduction and the development of a modern competency framework, which on the one hand will learn and gain valuable lessons from international expertise, and on the other, will be tailor-made to the principles and the needs of the Lebanese public administration. In addition to that, the proposed competency framework must take advantage of all major issues and strengths from the existing system, and incorporate them in a sustainable and workable way. Based on a consultation that preceded the drafting of the new system, the TAT selected both for symbolic as well for practical reasons to propose the introduction of 10 competencies (a combination of skills, abilities and behaviors), the following:

Table 4: 10 competencies of the Lebanese Competency Framework

10 competencies
1. **Organize, Manage and Develop people**
2. **Coordinate, Plan and Prioritise**
3. **Accountability and adequate knowledge of regulatory framework**
4. **Relationship with the administrative environment & Commitment to serving citizens**
5. **Effective communication skills and problem solving**
6. **Commitment to job ethics and morals**
7. **Self-management**
8. **Inspire Direction and Purpose & Manage change**
9. **Deliver results**
10. **Good use of equipment and facilities**

2 Operational planning of the updated system

2.1 Presentation of the 3 phases of the performance appraisal process

The new performance appraisal system, will be based on the introduction of the above mentioned major tools, which will be incorporated in a meaningful and sustainable way. Therefore the new performance appraisal system is described in three different, though strong connected and articulated phases. The Phase 1 concerns the performance planning, the Phase 2 describes the performance execution while the 3rd Phase concerns the performance assessment and review.

Graph no.2: Overview of the 3 phases

Outline of the new system

Phase 1: Performance Planning

Manager: Strategic Re-thinking about structures and people

Identification of major duties per department

Mapping of existing personnel – Assessment of needs, existing HR resources/talent and current assignment

Review of competency framework and pre-selection of competencies and competency level per employee

Employee: Elaborate on Personal Development Plan

Performance planning discussion:
- Identification of key competencies and agree on expected competency level,
- Identify key tasks
- Updating of Personal Development Plan and agreement on expected goals and KPIs for next year

(10/11 - 15/12)

Phase 2: Performance execution

Manager:

Motivating – mentoring - Reinforcing effective behavior

Recording performance

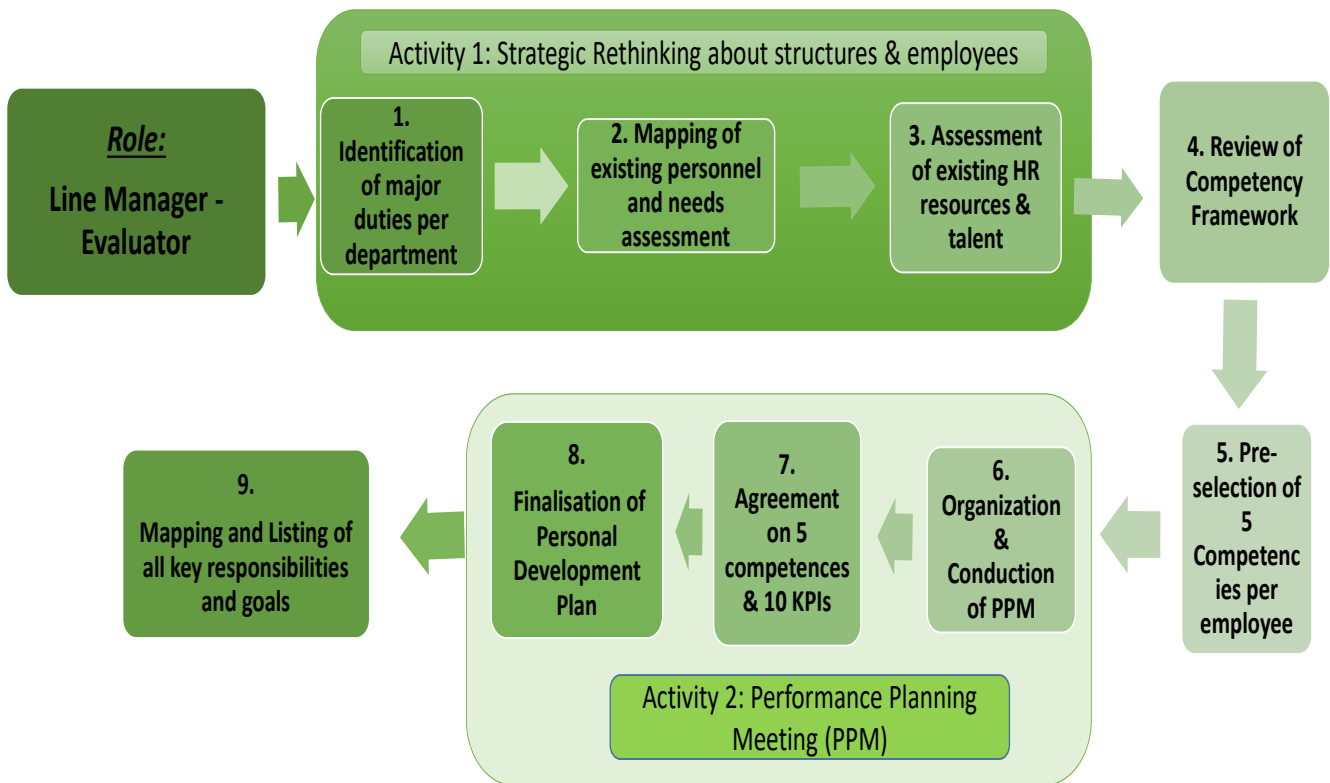Organize short monthly recap meetings

Giving periodically performance feedback

Update objectives
Midterm review (6 months)
Support execution of Employee Personal development plan

Employee:

Requesting performance feedback

Align with Personal Development Plan

Keep track of achievements

Participate in midterm review meeting and on monthly recap with line manager

January-November

Phase 3: Performance Assessment & Review

Assessment:
- Organisation of Self-Assessment of employees
- Preparing preliminary assessment by the line manager in collaboration with Director

Review:
Prepare for Performance review meeting: Review list of objectives, key responsibilities and goals
Write the official appraisal
Conducting Performance Appraisal Meeting
Discussing and comparing views and assessments

Employee:
- Self Assessment of employees
- Elaboration of Personal Development Plan

10/1-10/2

Performance management is a non-stop, day-to-day activity

Part 1: Phase 1 – Performance Planning[2]

Overall presentation of major steps and actions per role/actor. Below you can find the mapping of major steps and actions of the Line Manager/Evaluator during the Phase 1 of the Performance Appraisal System.

Graph no. 3: Overview of the required steps of the Evaluator/Line Manager for Phase 1

An analysis of the required steps regarding the Evaluator/Line Manager is described in the following tables, including both 2 major activities (Activity 1: Strategic rethinking about structures & employees, and Activity 2: Performance Planning Meeting-PPM, analyzed into specific intermediate steps:

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[2] Green colour is for the Line Manager/Evaluator. Orange colour is for the appraised employee/subordinate.

	Activity 1. Strategic rethinking on structures and people **(Including Steps 1, 2, 3)**
Who?	Head of department / section / service
When?	By November 30
How?	By November 30 at the latest, each head of department / section / service have the task to rethink both about the structures, the duties and tasks, as well about the people they direct/employee
Why?	The aim of this action is to introduce, in an immediate but effective way, strategic thinking within the public administration. Direct managers will have to think over the year that passed and review both the successes as well the weaknesses of the structures they are supervising.
Output:	A preparatory phase that supports to the conduction of an effective Performance Planning Meeting. No specific output required.

	Step 1. **Identification of major duties per section or department**
Who?	Head of department / section / service
How?	Each head of a section and department will review the existing major role and duties that the department/section/service had over the previous year. He/she must identify which are the major activities that were carried out the previous 12 months by his/her unit, which of them derive from its official assignments, and which of them, despite the fact that were not officially assigned or described to his official mission and duties, were actually performed by his section or department.
When?	By November 20
Why?	To support gradual mentality shift of the public servants and especially those holding executive positions to a more strategic direction & approach.
Output:	No drafting of official documents is required

Step 2.	
Mapping of existing personnel and needs assessment	
Who?	Head of department / section / service
How?	Based on the input of Step 1, each head of department / section / service will rethink over the existing personnel, allocation of duties per subordinate. In addition to that, executives must also review possible deficiencies or needs in terms of expertise or know how, in order to achieve more effective and efficient accomplishment of department / section / service duties.
When:	By November 25
Why?	The aim of this activity is to introduce, in an immediate way, a rethinking about the existing personnel and the HR resources needed in order for the department/section/service to perform better.
Output:	For the execution of this activity, no drafting or submission of official documents from the stakeholders within the organization is required. For the convenience of the allocation of the assignments per subordinate, a template (see Annex 3.7. & 3.8.) is available.

Step 3.	
Assessment of existing HR resources & talent	
Who?	Head of department / section / service
How?	Heads of department / section / service must also rethink about the effectiveness of the allocation of tasks and duties among their supervised employees. In other words, managers should review the matching of existing tasks to the specific skills and abilities of their subordinates, based on their performance the last 12 months.
When:	By November 25
Why?	The aim of this activity is to introduce in an immediate way of making good use of the reallocation of tasks, one of the most important - non financial - motives that are directly related to recognition and to the

	boosting of employees performance.
Output:	For the execution of this activity, no drafting or submission of official documents from the stakeholders within the organization is required. For the convenience of the allocation of the assignments per subordinate, a template (see Annex 3.7. & 3.8.) is available.

	Step 4. **Review of competency framework**
Who?	Head of department / section / service
How?	Heads of department / section / service must spend some time reviewing thoroughly the competency framework, the behaviors described for each one of the five levels of performance and the significance of the 10 competencies in regard to units needs and characteristics.
When?	By November 30
Why?	The aim of this activity is the best possible preparation of the performance planning meeting from the part of the head of sections and departments
Output:	For the execution of this activity, no drafting or submission of official documents from the stakeholders within the organization is required.

Step 5. **Pre-selection of 5 competencies per employee**	
Who?	Head of department / section / service

How?	Based both on the input offered from the above mentioned actions and the elaboration of the competency framework, each head of department / section / service will prepare the performance planning discussion with each one of his subordinates. The manager must read carefully the competency framework and identify the 5 competencies that are most appropriate for each employee and at the same time more useful for the achievement of the section's or department's goals. The selection of 5 competencies per subordinate must be made in accordance to the superior who comes before the direct superior (i.e. a director who supervises a head of section or a head of service). In cases where more than one subordinates perform the same duties, the selected 5 competences must be common to those employees.
	
	In addition to that, the evaluator must also follow the differentiation of competencies per group of employees, and select the right (pre-selected by the performance appraisal system) 2 key competencies per appraised employee.
	
	Based on the clustering of employees into 3 groups, the TAT proposes the customization of competencies and the mandatory pre-selection of 2 out of 5 competencies per employee. Therefore:
	
	• Employees (holding executive position i.e. Head of Directorates, Head of Sections, Head of Services - Category 2 & 3), will be mandatory assessed every year in the following two competencies
	
	    o Competency no.1. Organize, manage and develop people.
	
	    o Competency no.7. Inspire direction, purpose & manage change,
	
	• All employees (non-executives performing special or technical duties and tasks Category 4 & 3 & 2) will be mandatory assessed every year in the following two competencies (the other 3 out of 5 will be defined by his superior or higher committee):
	
	    o Competency no.5. Effective communication skills and problem solving,
	
	    o Competency no.9. Deliver results
	
	• All employees (non-executives, performing supportive administrative duties and tasks) will be mandatory assessed every year in the following two competencies
	
	    o Competency no.4. Relationship with the administrative

	environment & commitment to serving citizens, o Competency no.3. Accountability and adequate knowledge of regulatory framework.
When?	By November 30
Why?	The aim of this activity is the best possible preparation of the performance planning meeting from the part of the head of sections and departments
Output:	For the execution of this activity, no drafting or submission of official documents from the stakeholders within the organization is required.

	Activity 2. **Performance Planning Meeting** **(Including Steps 6, 7, 8)**
Who?	Head of department / section / service
How?	The evaluator/line manager is responsible for the overall organization and conduction of the performance planning meeting, including both logistics and organizational matters, as well direction and management of the meeting and the relevant discussion and issues raised.
When?	By December 15
Why?	The aim of this activity is the best possible organization and conduction of the performance planning meeting from the part of the head of sections and departments. The true meaning of the Performance Planning Meeting is the gradual improvement of the communication between executives and subordinates and the development of a common language that over the years will ease and advance the trust within the public administration.
Output:	- Drafting of a performance planning report (see Annex 3.3.) - Personal Development Plan (see Annex 3.2.)

Step 6. **Organization & Conduction of Performance Planning Meeting**	
Who?	Head of department / section / service
How?	The evaluator must execute all necessary preparatory actions described above, and make sure that all possible actions that will ease the conduction of the planning meeting have been made. The evaluator must also communicate with the appraised employee and make sure that the latter is aware about his own duties and about the date of the conduction of the Performance Planning Meeting.
When?	By December 10
Why?	The evaluator is responsible to prepare, organize and steer the Performance Planning Meeting in order to achieve maximum level of consensus between the evaluator and the appraised employee. The best possible preparation and organization, will facilitate the conduction of the planning meeting and will contribute to building a trustful relationship and a common language between both parties.
Output:	Drafting or Performance Planning Template (see Annex 3.3.) and signature of both parties is required.

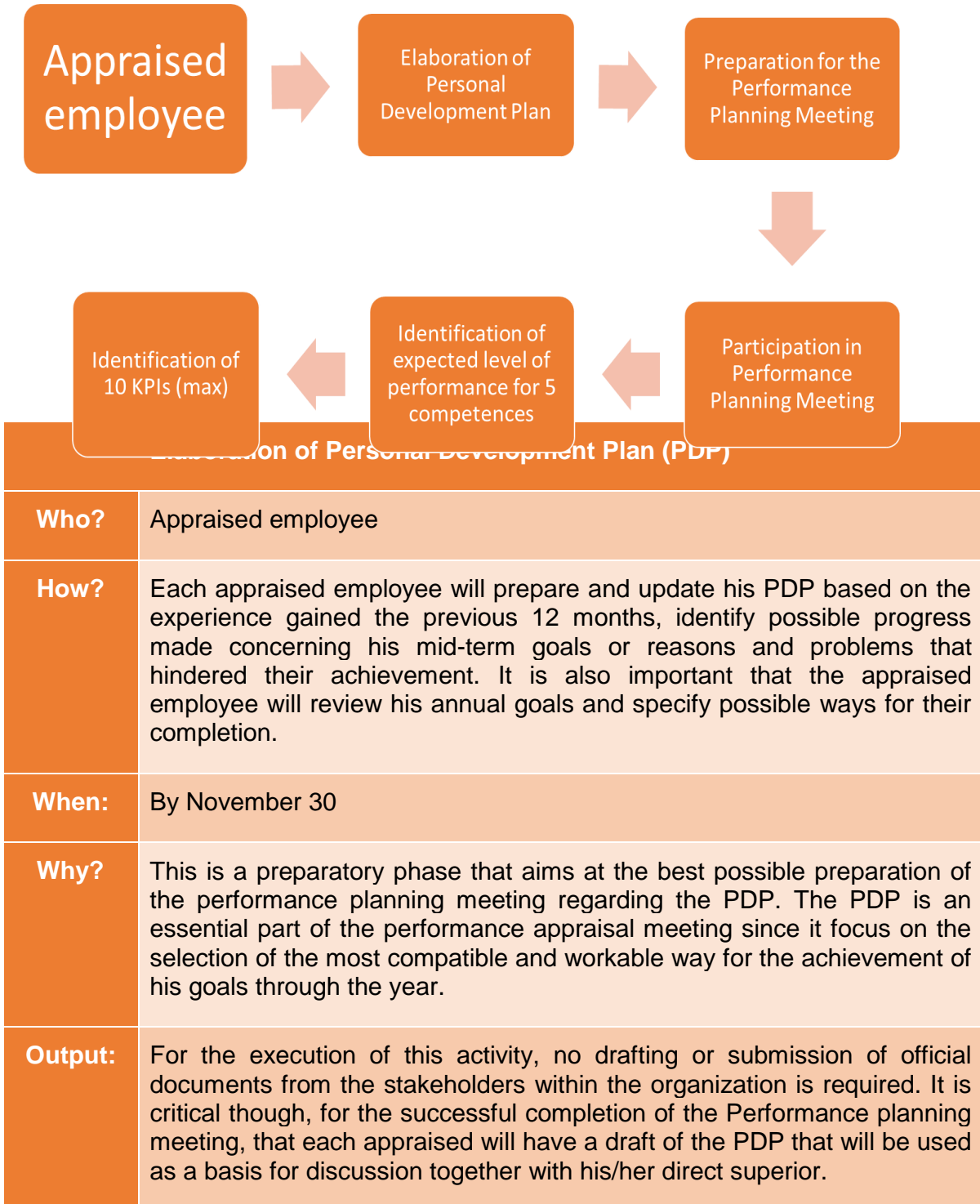|	
Step 7. **Agreement on 5 competencies & 10 KPIs**	
Who?	Head of department / section / service
How?	During the Performance Planning Meeting, the direct superior must inform his/her subordinate about the decision made, together with the 2nd line manager (the superior who comes before the direct superior) concerning the selection of 5 competencies. - The appraised employee/subordinate, supported by his direct superior must identify the expected level of his/her performance for each one of the 5 pre-decided competences. - The subordinate must also select the respective behavioral Key Performance Indicators within the expected level of performance for each one of the 5 pre-decided competences (at least 50% and in any case not less than 2 of the total behavioral Key Performance Indicators described

	within each expected level of performance). In cases were Behavioral Key Performance Indicators are too generic for some specific jobs or requirements of a post, then the manager may (optionally) develop, in accordance with his subordinate, not more than 2 quantifiable KPIs per competency (Not more than 10 KPIs (2 KPIs x 5 competencies = 10 KPIs) can be identified each year per employee.
When?	By December 10
Why?	The aim of this activity is to achieve an agreement between both parties concerning the goals and the objectives for the next year. The discussion and the sharing of the responsibilities help reaching a **consensus** that contributes to the building of trust and of a common language within the public service.
Output:	Performance Planning Report (see Annex 3.4.)

Step 8. **Finalization of Personal Development Plan**	
Who?	Head of department / section / service
How?	The direct superior in close collaboration with the subordinate will draft and finalize the Personal Development Plan. During the performance planning discussion they will identify areas of potential for improvement, they will agree development activities designed to improve performance together with indicators by which improvement may be measured and will also set respective targets and time-scales for improvement.
When?	By December 10
Why?	During the conduction of a Personal Development Plan, the employee and manager co-decide the route, the steps, the goals and the method to improve employee's performance. The responsibility to create and update the PDP is shared between both parties. The PDP employs a concept that emphasizes discussion and joint decisions by the employee and the supervisor on the specific developmental experiences necessary to fulfill the mutual goals of organizational enhancement.
Output:	Personal Development Plan

	Step 9. **Mapping and Listing of all key responsibilities and goals**
Who?	Head of department / section / service
How?	The beginning of each year, after the line manager will have completed the interview process, elaborate and co-decide with the employees about the main duties for the next year (ideally not more than 7) and the goals predefined, each manager will have to make one more step. He will have to integrate in a common and single form (Annex 3.8.) all the above mentioned main duties and will share it to all employees concerned, as well as to his/her supervisors.
When?	By January 10
Why?	• To raise accountability, to reduce cases of favoritism and inequalities, to raise self-control and objectivity • To drive executives think more strategically, to revise the task allocated to his personnel, to spot and identify overlaps of the responsibilities that at first sight were not obvious, and to reshuffle the tasks in order to make it in a more effective and appropriate way. • The openness of the task allocation process will also support the strategic orientation of the whole organization since the tasks assigned to each employee must be aligned to the strategic vision the organization (Ministry) and interconnected with the roles and responsibilities or the other departments or Directorates of the organization. This way not only the executives will think and act in a more strategic way, but also the employees will understand better their role within the organization and help them develop their performance.
Output:	A common and single form (Annex 3.8.) listing all the above mentioned main duties and objectives/goals

In Graph no.4. below, you can find the overview of the major steps and actions required for the appraised employee during the 1st Phase of the Performance Appraisal system.

Graph no4: Overview of the required steps of the Appraised Employee for Phase 1

Appraised employee	→ Elaboration of Personal Development Plan → Preparation for the Performance Planning Meeting

Identification of 10 KPIs (max)	← Identification of expected level of performance for 5 competences	← Participation in Performance Planning Meeting

Elaboration of Personal Development Plan (PDP)

Who?	Appraised employee
How?	Each appraised employee will prepare and update his PDP based on the experience gained the previous 12 months, identify possible progress made concerning his mid-term goals or reasons and problems that hindered their achievement. It is also important that the appraised employee will review his annual goals and specify possible ways for their completion.
When:	By November 30
Why?	This is a preparatory phase that aims at the best possible preparation of the performance planning meeting regarding the PDP. The PDP is an essential part of the performance appraisal meeting since it focus on the selection of the most compatible and workable way for the achievement of his goals through the year.
Output:	For the execution of this activity, no drafting or submission of official documents from the stakeholders within the organization is required. It is critical though, for the successful completion of the Performance planning meeting, that each appraised will have a draft of the PDP that will be used as a basis for discussion together with his/her direct superior.

	Preparation of the Performance Planning Meeting
Who?	Appraised employee
How?	The appraised employee, must also be well prepared before the performance planning meeting. In other words, he/she must have read thoroughly the competency framework, think over their performance during the previous year, elaborate their personal development plan, think of alternatives of how they can support their own personal development (training, seminars, new professional applications or expertise etc),
When:	By December 5
Why?	The Performance Planning Meeting must be perceived as the end of well-prepared process from both sides. Therefore, the appraised employee must also prepare himself for this meeting in order to support a meaningful performance appraisal system.
Output:	No specific official output is required

	Participation in the Performance Planning Meeting
Who?	Appraised employee
How?	According to the proper and on time notification by the Evaluator regarding the date of the Performance Planning Meeting, the appraised employee must participate and act willingly and actively in the meeting
When:	By December 10
Why?	Participation of both parties is a prerequisite for the conduction of the Performance Planning Meeting
Output:	Signing of the Performance Planning Meeting template (see Annex 3.3.)

Identification of the expected level of performance for 5 competencies	
Who?	Appraised employee
How?	During the Performance Planning Meeting, the direct superior must inform his/her subordinate about the decision made, concerning the selection of 5 competencies. Based on those predefined 5 competencies, the subordinate must identify the expected level of his/her performance for each one of the 5 pre-decided competences. In addition to that, the employee must also identify within the expected level of performance for each one of the 5 competencies, at least 2 behavioral KPIs, as described in the Competency Framework. (see Graph no.5)
When:	By December 10
Why?	Through the sharing of the responsibility between both parties, the appraised employee is encouraged to actively participate in the performance planning process, to raise his accountability and have a final say on the performance appraisal process.
Output:	Identification of expected level of performance and behavioral KPIs will be included in the performance planning meeting report (see Annex 3.3)

Graph no.5: The role of the appraised employee in the identification of behavioral KPIs

THE ROLE OF THE EMPLOYEE - APPRAISEE

The employee selects the level of performance he believes he can reach within the next year

➕

And identifies 50% of expected behaviors (minimum 2)

Competency	Below expectations	Development needed	Successfully meets expectations	Exceeds expectations	Outstanding
	He/She find difficult to:	He/She:	He/She effectively:	He/She effectively:	He/She effectively:
6. Deliver Results (Achieve results through efficient use of resources and a commitment to quality outcomes) Applicable for: - **Employees** - **Managers** (Category 2 & 3)	- Complete own work tasks under guidance, within set restrictions, timeframes and standards - Take the initiative to progress own work - Identify resources needed to complete allocated work tasks - Seek clarification when unsure of work tasks	- Completes work tasks to agreed restrictions, timeframes and standards - Takes the initiative to progress and deliver own and section/department work - Contributes to allocation of responsibilities and resources to ensure achievement of section/department goals - Seeks and applies specialist advice when required	- Takes responsibility for delivering on intended outcomes - Makes sure section or department staff understand expected goals and acknowledge success - Identifies resource needs and ensures goals are achieved within given restrictions and deadlines - Identifies changed priorities and ensures allocation of resources meets new organisation needs - Uses own expertise and seek others' expertise to achieve work outcomes	- Fosters a culture of achievement and acknowledge of the input of others employees - Investigates and creates opportunities to enhance the achievement of organisational objectives - Makes sure others understand that on-time and on-budget results are required and how overall success is defined - Controls output of organisations' (Ministrys') unit to ensure government outcomes are achieved within budget - Progresses organisational priorities and ensures effective acquisition and use of resources - Seek and apply the expertise of key individuals to achieve organisational outcomes	- Creates a culture of achievement, fostering on-time and on-budget quality outcomes in the organisation - Identifies, recognizes and celebrates success - Establishes systems to ensure all staff are able to identify direct connection between their effort and organisational outcomes - Identifies and removes potential barriers or hurdles to ongoing and long term achievement of outcomes - Initiates and communicates high level priorities for the organisation to achieve government outcomes - Uses own professional knowledge and expertise of others to drive organisational and government objectives forward

Behavioral KPI's + Commitment= Accountability + Effectiveness

Identifications of 10 KPIs (max)	
Who?	Appraised employee
How?	The appraised employee, in cooperation with his evaluator can identify maximum 2 quantifiable KPIs per competency. The development of quantifiable goals and objectives must be based on the internationally known S.M.A.R.T. methodology (see deliverable 2.10 and table below). *Not more than 10 KPIs (2 KPIs x 5 competencies = 10 KPIs) can be identified each year per employee.* Numerous combinations of behavioral KPIs and quantifiable KPIs will be possible.
When:	By November 30
Why?	In cases where a further specialization of the behavioral KPIs is needed, quantifiable KPIs could also be selected, in order to specify the appropriate goals and metrics for each civil servant.
Output:	Identification of KPIs will be included in the performance planning meeting report (see Annex 3.3)

In order to identify proper goals and quantifiable KPIs, there is one method that has stood the test of time. Although there have been variations to what the acronym stands for over time, the main definition of SMART goal is one that is:

"SMART" Performance Goals:

S pecific

M easurable

A ttainable

R ealistic

T ime-related

To ensure that the objectives are properly defined, each of the following questions must be answered positively:-

(i)   Does the statement of performance targets/goals limit the results to one specific area?

(ii)   Are the results well defined in terms of what is expected of the job holder?

(iii)   Are the objectives measurable and observable? Were objectives quantified whenever possible?

(iv)   Was a time frame specified?

(v)   Are the performance targets/goals reasonable and within the reach of the job holder?
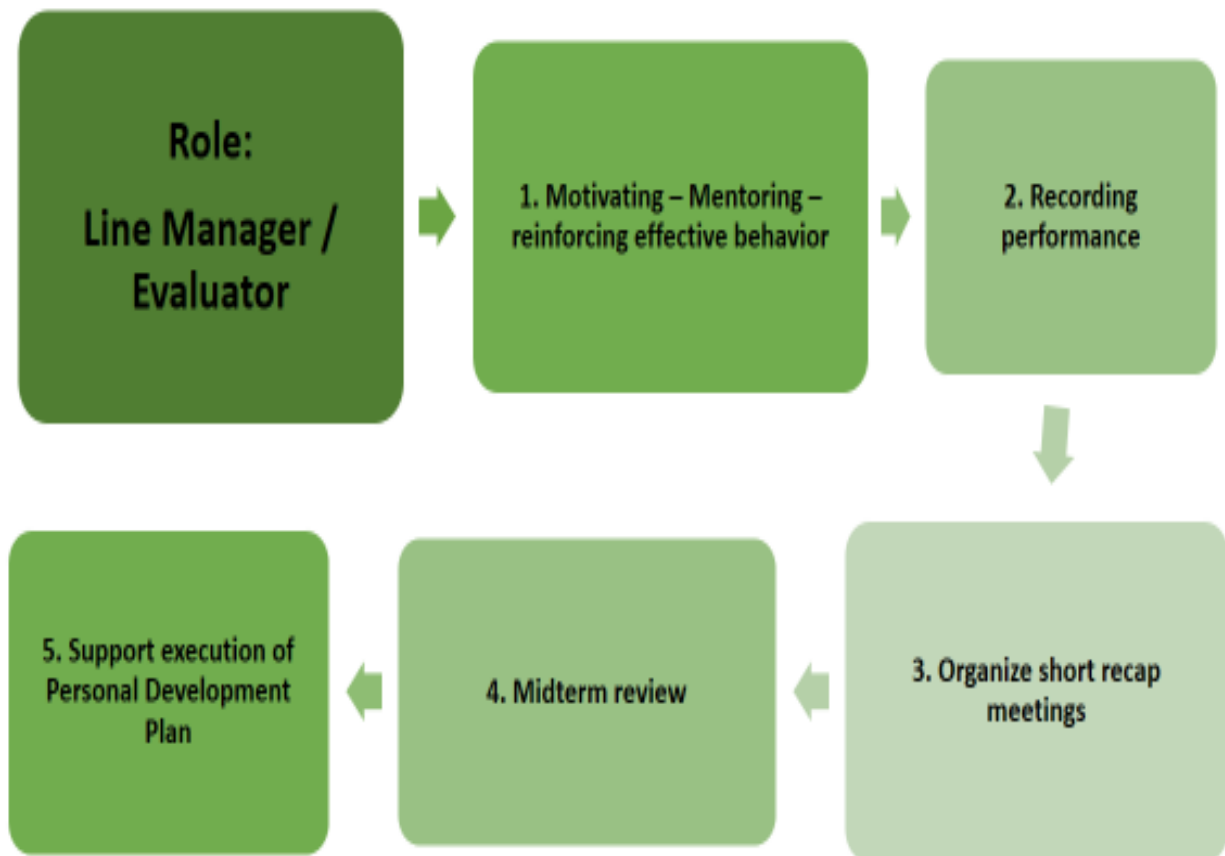
Graph no.6: Overview of all steps
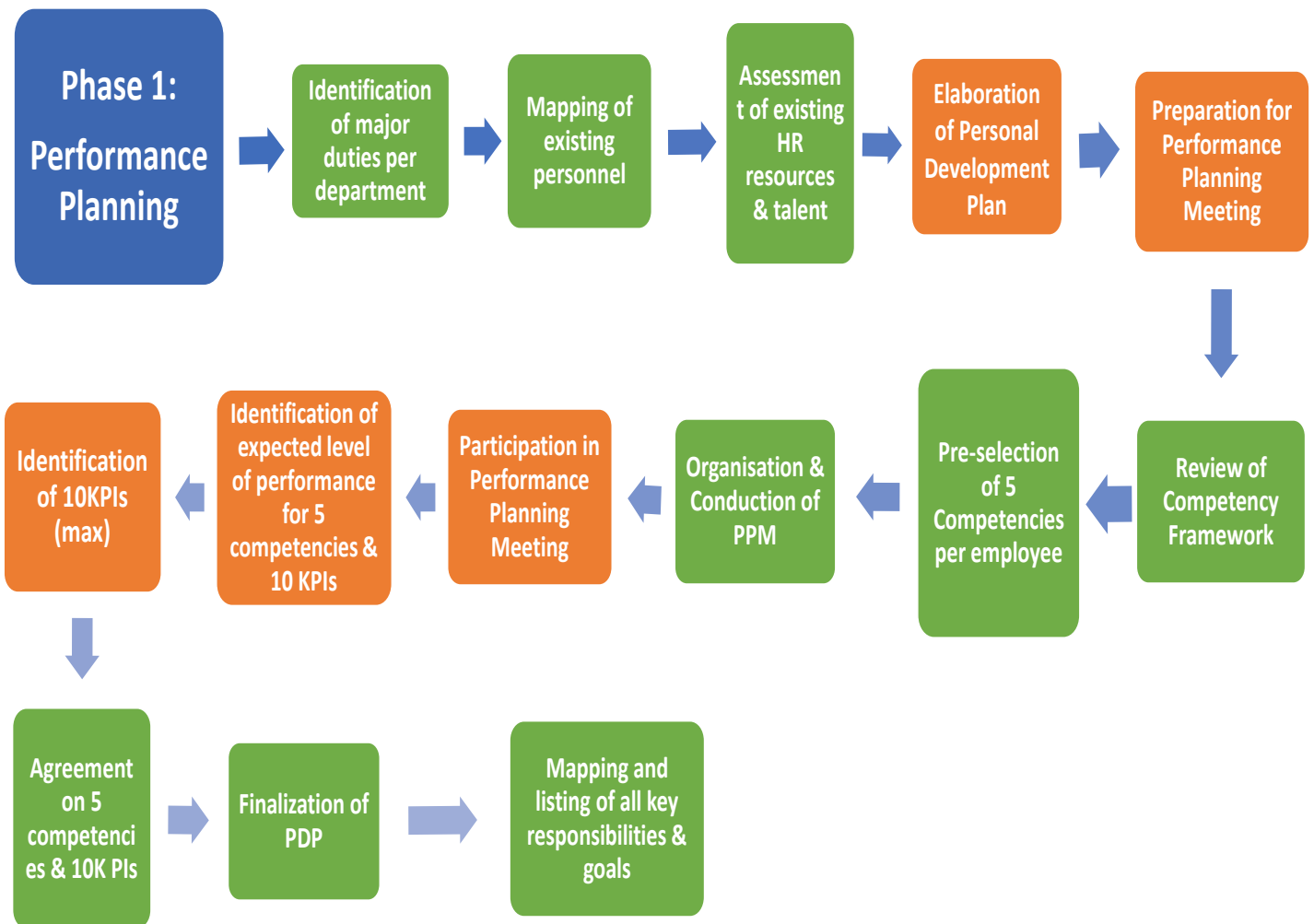
Part 2: Phase 2 – Performance Execution

At the beginning of January and after the completion of the Phase 1 concerning the performance planning, follows the 2nd Phase of the new performance appraisal system. Performance execution concerns the monitoring of the performance and the interaction between the appraiser and the appraised employee during the year.

Overall presentation of the key responsibilities and duties per role/actor: Below you can find the mapping of major steps and actions of the Line Manager/Evaluator during the Phase 2 of the Performance Appraisal System.

Graph no.7: Overview of the key responsibilities and duties of the Evaluator/Line Manager for Phase 1

	Step 1.
	Motivating – Mentoring – Reinforcing effective behavior
Who?	Head of department / section / service
How?	Support positive behaviors, give positive and often feedback to employees, guide them in order to find solution to problems, build steady connections and gain subordinates trust.
When?	Throughout the year
Why?	To provide feedback and coaching for success. Unless someone tells them differently, most people believe that they are doing a good job and are meeting the organization's expectations. Providing routine and ongoing feedback is one of the characteristics of an effective manager.
Output:	No specific output is required

|	**Step 2.**
	Recording performance
Who?	Head of department / section / service
How?	Use a memo pad and write short notes in a periodical base issues, behaviors, incidents etc worth remembering concerning the performance of all employees.
When?	Throughout the year
Why?	Every line manager has to keep track of how well his subordinates are doing. Too often, managers wait until the time for performance appraisal rolls around to discover that they can only remember what their employees did in the last six weeks or so. That's why it's important to maintain good records of individuals' performance during the entire year. Attention must be paid to avoiding keeping track only of performance problems. Respective records should also include examples of both results and behaviors that deserved attention and recognition.
Output:	No specific output is required

	Step 3. **Organize short recap meetings**
Who?	Head of department / section / service
How?	In accordance to Mid-term review and to need for enhancing communication among executives and subordinates, a frequent, though unofficial, exchange of views is introduced. Not more than 5-10 minutes each month for informal discussion between the evaluator and the appraised employee are required.
When?	Throughout the year
Why?	Performance monitoring and steady exchange of feedback gives the staff a satisfaction because there is someone who is interested in their work.
Output:	No specific output is required

	Step 4. **Midterm Review**
Who?	Head of department / section / service
How?	Six months after the finalization of the performance planning meeting, the evaluator will invite (with minimum on week prior notice), the appraised employee in order to make an overall assessment of the last 6 months performance, to discuss possible problems or impediments that are preventing the last one from reaching his objectives, and also to make an update on the Personal Development Plan
When?	From 15 of June until 15 of July
Why?	Within 12 months several unexpected or unpredictable developments may alter the initial planning or call for a significant update of the personal goals and behavioral KPIs of an employee. Likewise, quite a few employees change position within the public administration and in these cases an update of their personal goals and the adjustment with their new tasks is a necessity. Therefore an official update and review of the current situation may offer precious input and solve several problems concerning

	the performance appraisal of employees.
Output:	Drafting of a short memo (see Annex 3.6.)

	Step 5. **Support execution of Personal Development Plan**
Who?	Head of department / section / service
How?	To provide developmental experiences and opportunities to appraised employee all year long.
When?	Throughout the year
Why?	People develop when they are presented with challenging situations, when they successfully complete the demands posed by those challenging situations, and when they reflect on what they did well and what they would do differently the next time a similar situation arises. Managers can accelerate the development of their people by making sure that they are intentionally presented with situations that will force them to learn and to grow.
Output:	No specific output is required

The appraised employee is also responsible during the year to:
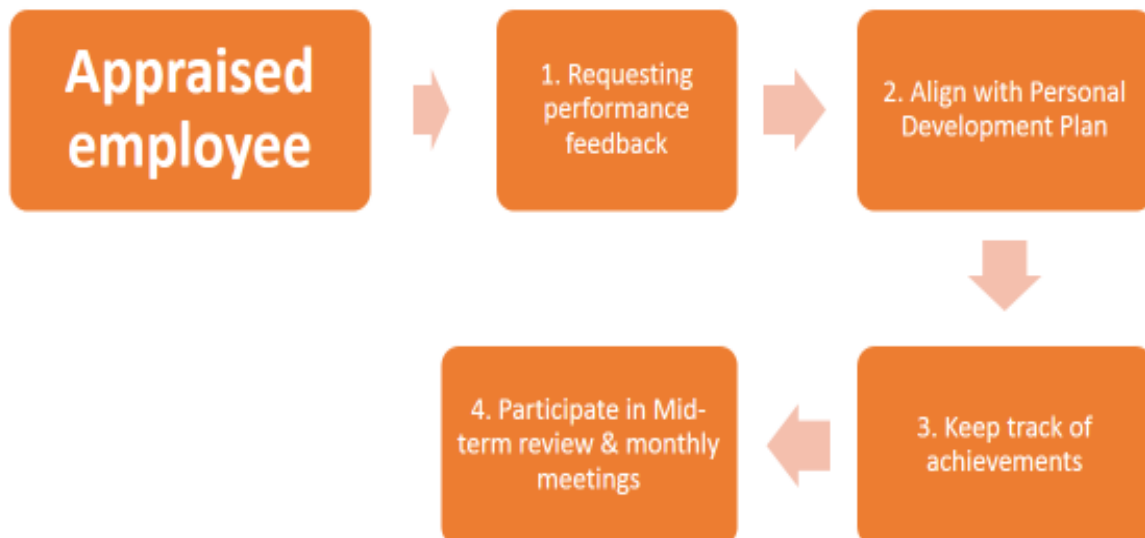
In order to briefly describe the content of each activity, a short description is integrated in the following tables:

1. Requesting performance feedback	
Who?	Appraised employee
How?	The appraised employee must often seek the evaluator's feedback concerning his performance on specific issues, tasks, duties etc throughout the year, in order to build a good relationship and a build trust.
When:	By November 30
Why?	Solicit performance feedback and coaching. While the manager is responsible for providing performance feedback, the employee is also responsible for requesting it. It's important for employees to let managers know when they are running into obstacles. And it's important for managers to respond appropriately when bad news is announced
Output:	No specific official output is required

2. Align with Personal Development Plan	
Who?	Appraised employee
How?	To stay as close as possible to the execution of the personal development plan. Once the subordinate and the manager have agreed on the personal development plan, the subordinate is mostly responsible for the supervision of its successful execution. And just as it's important to bring any changes in objectives to the manager's attention, the individual is also responsible for letting the line manager know about any significant changes in the personal development plan
When:	Throughout the year
Why?	Personal Development Plan is one of the most effective tools in order to achieve coherence and steady career growth. Active participation from the side of the employee is essential for the PDP goals.
Output:	No specific official output is required

3. Keep track of achievements	
Who?	Appraised employee
How?	Write all significant milestones, problems, achievements, deficiencies, activities during the year and create a short archive of your own performance.
When:	Throughout the year
Why?	Just as the manager is responsible for keeping track of how well people are doing and maintaining performance records, so individuals have a similar responsibility to maintain their own records of their hits and misses. Keeping good records of one's own performance is also helpful in case there is a significant difference of opinion between the employee and the line manager during the performance assessment discussion.
Output:	No official output is required

4. Participate in Mid-term review & monthly meetings	
Who?	Appraised employee
How?	Participate actively both in the Mid-term review as well in the monthly recap meetings with positive spirit and support free dialogue with the evaluator.
When:	Throughout the year
Why?	While ongoing, informal feedback, ideally in monthly basis through short monthly recap meeting is essential for effective job performance, a more formal mid-cycle review is a powerful technique for ensuring that people's performance stays on track. On the other hand, employees can get significant benefits by being able to find out exactly how their performance is perceived before it becomes a matter of formal record (and an element of the permanent personnel record) at the time of the final year-end review.
Output:	Signing the Mid-term review

Part 3: Phase 3 – Performance assessment and review

Assessment of an employees' performance is one of the last activities in an effective appraisal system, not one of the first. As explained in the Phase 1, the performance appraisal process should start with performance planning, the discussion between the manager and the subordinate in which they discuss the goals, competencies, objectives, and key job responsibilities. The next phase of an effective performance management system is performance execution (Phase 2). For the employee this involves accomplishing his duties, tasks and goals, while for the line manager it means creating the conditions that motivate and solving performance problems. The 3rd Phase of the proposed system concerns two major issues of any efficient and effective performance appraisal throughout the world, that is performance assessment (step 1) and performance review (step 2).

Performance assessment (step1)

The **Evaluator/line manager** has five primary responsibilities in the performance assessment:

The Evaluator has 5 key responsibilities	
1.	*To review the selected set of competencies, the identified behavioral key performance indicators, as well as the key position responsibilities*
2.	*To work over a preliminary assessment of the employee's performance, achievements, weaknesses and strengths during the last 12 months*
3.	*To review the appraisal with your manager and obtain concurrence.*
4.	*To write the official performance appraisal using the appraisal form.*
5.	*To prepare for the performance review meeting.*

Both the manager and the subordinate have responsibilities in the performance assessment phase of the process, just as they do in each of the other phases. The **appraised employee/subordinate** has four key responsibilities:

4 key responsibilities of appraise/subordinate	
1.	*Review personal performance over the year.*
2.	*Assess own performance and accomplishments against the development plan.*
3.	*Write a self-appraisal using the appraisal form.*
4.	*Consider any revisions needed to your key position responsibilities, goals, objectives, competencies, and development plans* for the next performance review cycle.

Especially for the self-assessment, a further description is provided below:

Self-assessment[3]	
Who?	Appraised employee
How?	Focus both on the skills/competencies/talents that the employee believes he/she possesses and is willing to develop, as well as to the characteristics that he believes that further training and development is needed.
When:	Must be completed before the performance appraisal meeting
Why?	The aim of the self-assessment process is to motivate employees think over their performance through the year, identify their own weaknesses and strengths, pinpoint achievements, elaborate on the experience gained, identify impediments and bottlenecks in reaching goals etc.
Output:	Signing the Self-assessment report

[3] Self-appraisal should always be a voluntary process. People should be invited/requested/permitted to complete a self-appraisal as part of the performance management process, but they should never be required/coerced/compelled to do so. Compelling self-appraisal will defeat the benefit of having people think carefully about how they have performed over the year. It will likely bring resentment. A better approach is simply to point out that self-appraisal has some benefits and ask informally that the individual complete one

Performance Review (step 2)

Possibly the most important element of the performance management process (and that which is often badly carried out) is the performance appraisal interview during which the employee and his/her manager review the appraisal, reflect on the performance measures and the reasons for them and, importantly, agree a strategy to maximize performance for the future reporting period. Specifically, the interview will provide a forum to:

- Allow employees to express concern and/or satisfaction with the way the job is going and to seek support, guidance and encouragement where necessary.
- Enable employees and their line managers to review past behavior and achievements against objectives and targets (the behavioral and quantifiable key performance indicators - KPI's) during the reporting period.
- Record strengths and limitations but perhaps more importantly, the areas where the individual has the potential to improve.
- Explore and agree ways to improve performance.
- Consider job preferences and career aspirations.
- Agree new objectives and targets for the next reporting period.
- Realign goals and priorities when changes in the work schedule occur during the performance year.
- Recognize and record any significant accomplishments that were achieved during the year, that are additional to the normal job requirements but nevertheless contribute towards improved performance.
- Agree a written personal development plan to address the needs identified.
- Consider any other issue that either party believes would help to improve performance or job satisfaction.

In order to summarize, in a concise way, the basic issues **before**, **during** and **after** a performance appraisal interview, are included in the following tree tables:

Table 5: Before the appraisal meeting

Before the appraisal	**Keep good records**	Both praise and criticism are most meaningful when supported by factual examples
	Review previous goals	Use previous goals to evaluate progress
	Get input from others	Seek feedback from others who work with the appraisee in areas they will have objective knowledge of and get examples where available
	Prepare carefully	Prepare in advance so that you can deliver the message that you intend to
	Prepare administrative	• Agree on a time - set aside at least one hour. Avoid postponing the appointment, and give the employee full attention.

details		• select a location - office or conference room is best. • ask employee to prepare - ask the employee to review his/her goals, and come prepared with questions.

Table 6: During the appraisal meeting

During the appraisal	**Explain the meeting agenda**	Outline what is about to happen for the session
	Encourage communication	• Listen • Encourage two-way communication • Ask for ideas on how they can improve their performance • Ask for how they feel you can help them • Ask for feedback on the appraisal section
	Stay focused	Keep the session focussed on past and future performance, summarise discussion issues often to ensure agreement
	Communicating shortcomings	The employee expects and should know what he/she needs to improve
	Be open	Be versatile and open-minded if you hear things that cause you to change your opinion
	Evaluation process	• Begin with the positive things that were well done • Follow this with areas that need improvement and work on the Personal Development Plan. • Conclude with a reinforcement of your desire to help the person grow and improve
	Making promises	Don't make promises you do not have control over (e.g. salary increments, promotions, transfers etc)
	Review goals	Concentrate on a few areas- things that make a difference. Try to encourage continuation and growth in the areas of strength. Set up "smart" goals that will build strength in areas needing attention

Table 7: After the appraisal meeting

After the appraisal	Administration	• Complete the paperwork required for the results of the appraisal • Make sure the appraisee signs on the bottom line • Mark the calendar on when your next appraisal session with the person will be
	Follow-up	Follow-up on agreements made during the appraisal
	Learning	Review what you have learnt about the employee, your records and systems, yourself, the appraisal process and your management style

The performance appraisal form together with objectives, competencies and targets for the coming review period and attached personal development plan are both signed by both the individual employee and his/her line manager to signify agreement to:

• the record of the discussion.

• that the employee has been advised of his/her rating. This does not imply that the appraisee necessarily agrees with the ratings.

• the stated objectives and targets.

• the personal development plan and appropriate development interventions.

The purpose of the performance appraisal interview is to enable the appraisee to get feedback about his/her work during the entire performance appraisal period and to present his/her opinion about the fulfilment of the work objectives, as well as to gain a better understanding of his/her roles and responsibilities within the organisation. The objective of the interview is to identify positive aspects in employees' work, as well as his/her weaknesses. In the end, the purpose of the interview is for the appraisee to get recommendations on how to improve performance and to consider the work objectives for the forthcoming period.

The interview is conducted upon expiration of the performance appraisal period. It is usually conducted in the beginning of December. The interview should take place at latest 7 days prior to deadline for completion of the performance appraisal, so that other persons involved in the performance appraisal process (e.g. controller, HRM unit, head of the body) have enough time to acquaint

themselves with the work of the employee, i.e. to have enough time left for the decision on the final grade to be made.

Interview techniques are of crucial importance:

The interviewing technique itself will depend on the experience of the evaluator and his interviewing skills. There are several golden rules on how to conduct the performance appraisal interview. These are the following:

Technique no1: **Appropriate conditions for conducting the interviews**

The performance appraisal interview requires certain preparations since it is a formal event. It is necessary to ensure appropriate conditions and plan time needed, so that the interview could be conducted without any interruptions. It is recommended that:

- The interview should take place in the evaluator's office or another adequate business premises where no one but the evaluator and appraisee would have access to and where it would be possible to conduct the interview without any disturbances. In principle, it is the evaluator's responsibility to ensure the privacy, so that the interview would not be disturbed by the third parties.

- The length of the interview will vary on a case by case basis, but the interview should on average last approximately 30 minutes considering that it is necessary to discuss two mutually connected but still different issues: performance during the previous appraisal period, plan for professional development.

- The evaluator has to prepare himself/herself for the interview by examining the relevant materials, such as job description and personnel files, and has to be prepared to explain the grades awarded for each work objective and be prepared for different situations, in particular the problematic ones, which, unfortunately may arise.

- The appraisee has to be informed about the subject-matter of the interview in advance so that he/she can prepare adequately, think about the issues and arguments that he/she could present, all with the objective to make sure there are no surprises for the appraisee.

- It is also important that the appraisee is prepared for the discussion about the professional development and training

Technique no 2: **Creating the right atmosphere.**

It is important to create a friendly atmosphere at the very beginning of the interview. The evaluator should open the interview with informal and neutral questions in order to reduce the nervousness of the appraisee and create a relaxing atmosphere. The evaluator should avoid questions related to the appraisee's privacy and all those questions that could instigate strong reactions. Informal part of the interview should last for few minutes.

After the first, informal and mostly introductory conversation, the best option for the evaluator would be to proceed with the explanation of the purpose of the interview. The evaluator should explain to the appraisee that they would first discuss the fulfilment of each of the work objectives and appraisal against other performance appraisal criteria, followed by the proposals for the professional development and training of the civil servant and work objectives for the next performance appraisal period.

The evaluator has to explain to the appraisee that he/she is expected to actively participate in the interview and not to be a mere observer. The appraisee should be encouraged to speak, because it is the exchange of information that is the purpose of the interview. It is very important for the evaluator to avoid answering his/her own questions.

Technique no 3: Active listening to the appraisee.

Active listening to the appraisee is of particular importance during the performance appraisal interview. It is necessary to allow the appraisee to present facts and evaluate his/her work. The evaluator has to be an active listener during the greater part of the interview, as much as 75% of the interview. The evaluator has to focus of posing the questions and listening to the answers, because only by active listening, the evaluator can get to know the appraisee better. In addition, careful listening is of particular relevance when it comes to detecting the real reasons for the failure at work.

Particular attention should be paid to nonverbal communication. Nonverbal communication is believed to comprise at least 55% of every communication. If verbal and nonverbal communications are not consistent (e.g. if the evaluator is looking at the appraisee strictly while speaking positively about his/her work), nonverbal communication will outweigh the verbal communication (the appraisee will understand that the line manager is not pleased with his/her work). During the interview, the evaluator should, while listening to the appraisee, introduce positive communication elements, such as head nodding, smile, look in the eye, etc. Besides, it is important to sit at the same level as the appraisee, avoid exaggerating hand gestures, and sit at appropriate distance from the appraisee. By looking the appraisee in the eye, the evaluator confirms that he/she is interested in the appraisee's opinion. Visual contact should be also maintained during critical phases of the interview, for example, when presenting the shortcomings in the appraisee's work.

Technique no 4: Interview should be based on facts

The interview should be based on facts and any generalisations should be avoided. It is desirable that the evaluator, when presenting either positive or negative evaluation, focuses of the facts supported by **adequate examples** in order to avoid any misunderstandings by the appraisee. The evaluator has to

keep the interview under control at any moment and must not bring emotions into the conversation. It is essential that the evaluator talks about the appraisee's activities and not his/her personality. **Any discussion about personal shortcomings has to be avoided**, unless they are directly linked to the work performance.

During the interview, it is necessary to adhere to the key facts related to the fulfilment of the work objectives (behavioral or quantifiable KPIs). It is recommended to the evaluator to first ask the civil servant to present his/her opinion about his/her performance and fulfilment of each individual objective. After that, the evaluator has the obligation to review, together with the appraisee, whether the work objectives were clear and understandable to the appraisee, and whether the deadlines were adequate, or if there were any special circumstances affecting the fulfilment of the work objectives.

After the appraisee presents his/her opinion about his performance, the evaluator is obligated to present the grade for the fulfilment of work objectives and explain to the appraise his/her comment with regard to each individual work objective in terms of quality, quantity and timeliness. When discussing each individual work objective, the evaluator should first focus on the positive aspects, good performance of the appraisee and express his/her satisfaction in that regard. If the positive evaluation is presented first, the appraisee will gain self confidence which will make it easier for him/her to stand criticism when weaker features of his/her performance are presented.

After presenting positive aspects of the appraisal, it is necessary to discuss possible weaknesses in the fulfilment of work objectives. One of the most important responsibilities of the evaluator is to present criticism in a positive and realistic manner and most importantly to support it with concrete facts.

Technique no 5: Use of methods to overcome conflicts

Any criticism of civil servant's performance has to be **constructive** in order to **avoid conflict situations**. The evaluator always has to talk about the shortcoming in the performance, and **not about personality characteristics**. It might happen that offensive language is used when presenting the negative evaluation, which is **entirely unacceptable**. The evaluator has to avoid harsh, degrading or sarcastic comments. The evaluator has to illustrate his/her comments by appropriate examples in order to make them more understandable. The shortcomings and weaknesses should not be discussed only superficially, as that would be counterproductive.

Discussion between the evaluator and appraisee has to be active: the appraisee has to be asked about his/her opinion and suggestions as to how his/her performance could be improved and what, in his/her opinion, should be done to overcome the existing difficulties. The evaluator should not impose his/her views and solutions, but the solutions have to be the results of a mutual agreement. It is necessary to consider a possibility of development of plans in terms of what should be done differently, because good intentions themselves do not guarantee good results if there is no adequate plan and agreement on its

implementation. Upon completion of the interview, both the evaluator and the appraisee have to know what areas require further improvement and how to achieve it.

It is recommended that the civil servant is addressed by "we", instead of "you" so that the civil servant could feel as a part of the organisation and active co-operation with the management. In addition, it is recommended not to use a conjunction "but" because it can entirely annul earlier positive communication. Instead, it is better to use a conjunction "and" which emphasises the continuity in the communication, which should, generally speaking, set a constant positive tone.

Technique no 6: Dedicating equal attention to the performance appraisal and to Personal Development Plan

Proposed forms of training can be directed towards the overcoming of shortcomings in work of the appraisee or towards the advancement in the career. During this segment of the interview, the appraisee should be encouraged to consider and propose his plan of personal development. Afterwards, it is necessary to discuss a possibility of the implementation of the proposed plan and see how the appraisee's objectives match the objectives of the organisation. In the end, it is desirable that the evaluator and the appraisee discuss and establish what positive effects would be the outcome of the plan.

In the end, the evaluator should sum up the interview results and thank the appraisee for cooperation, thus closing the interview in a friendly way, assured that there is a mutual understanding with regard to the results achieved and the plan of work and professional development of the appraisee for the forthcoming performance appraisal period.

Common Rating Errors

Whilst completing the appraisal form, the appraiser is advised to exercise caution, as there may be several pitfalls which may skew the assessment:

Halo Effect:

> A person outstanding in one area tends to receive outstanding or better than average ratings in other areas as well, even when such a rating is undeserved

Negative Effect:

> A low rating in one area yields lower than deserved ratings for other accomplishments

Central Tendency:

> Assigning an average rating for all qualities

Confrontation Avoidance:

> Discomfort with giving negative feedback

Initial Performance:

> Rating an employee based solely on initial impressions of performance

Recency:

> Rating an employee based solely on most recent performance which overshadows the entire year's performance

3 Annex

3.1 Template of the Competency Framework

Competency	Below expectations	Development needed	Successfully meets expectations	Exceeds expectations	Outstanding
1. Organize, Manage and Develop People (People Engage and motivate staff and develop capability and potential in others)	He/She hardly does the following: - Clarify work required, expected behaviors and outputs - Contribute to developing team capability and recognize potential in people - Give support and regular constructive feedback that is linked to development needs - Identify appropriate learning opportunities for team members - Recognize performance issues that need to be addressed and seek appropriate advice	He/She: - Ensures that roles and responsibilities are clearly communicated. - Collaborates on the establishment of clear performance standards and deadlines in line with established performance development frameworks - Develops team capability and recognize and develop potential in people - Is constructive and build on strengths when giving feedback - Identifies and acts on opportunities to	He/She effectively: - Defines and clearly communicates roles and responsibilities to achieve sections or/and department outcomes - Negotiates clear performance standards and monitor progress - Develops sections or/and departments plans that take into account team capability, strengths and opportunities for development - Provides regular constructive feedback to build on strengths and achieve results - Addresses & resolves sections'	He/She effectively: - Refine roles and responsibilities over time to achieve better business outcomes - Recognizes talent, develop individual and team capability and undertakes succession planning - Coach and mentor staff and encourage professional development and continuous learning - Provides timely, constructive and objective feedback to his supervisor - Addresses and resolves team and individual performance issues, including serious	He/She effectively: - Ensures performance development frameworks are in place to manage staff performance, drive development of organisational capability and undertake succession planning - Drives executive capability development and ensures effective succession management practices - Implements effective approaches to identify and develop talent across the organisation - Models and encourages a culture of continuous learning and leadership, which

		provide coaching and mentoring - Recognizes performance issues that need to be addressed and work towards resolution of issues - Acknowledges outcomes which were achieved by effective collaboration	or/and departments' as well as individual performance issues, including non-satisfactory performance in a timely and effective way - Monitor and report on performance of team in line with established performance development frameworks	unsatisfactory performance, in a timely and effective way - Implements performance development frameworks to align workforce capability with the organisation's current and future priorities and objectives - Recognise outcomes which resulted from effective collaboration between teams	values high levels of constructive feedback, and exposure to new experiences - Instills a sense of urgency around addressing and resolving team and individuals performance issues and ensure that this is cascaded throughout the organisation - Seeks out and facilitates opportunities to engage and collaborate with stakeholders to develop organisational, whole-of-government and cross-jurisdictional solutions

Competency	Below expectations	Development needed	Successfully meets expectations	Exceeds expectations	Outstanding
2. Coordinate, Plan and Prioritise Plan to achieve priority outcomes and respond flexibly to changing circumstances	He/She hardly does the following: - Plan and coordinate allocated activities - Re-prioritise own work activities on a regular basis to achieve set goals - Contribute to the development of team work plans and goal setting - Understand team objectives and how own work relates to achieving these	He/She: - Understands the section and departments objectives and align operational activities accordingly - Initiates, and develops team goals and plans and use feedback to inform future planning - Responds proactively to changing circumstances and adjust plans and schedules when necessary - Considers the implications of immediate and longer term organizational issues and how these might impact on the achievement of sections &	He/She effectively: - Takes into account future aims and goals of the section & department when prioritising own and others' work - Initiates, prioritises, consults and develops sections or/and departments goals, strategies and plans - Anticipates and assesses the impact of changes, on section or/and department objectives and initiates appropriate responses - Ensures current work plans and activities support and are consistent with organisational change initiatives - Evaluates own and teams	He/She effectively: - Understands the links between the section or/and department and the organisation (or whole-of-government) agenda - Ensures sections or/and department goals are clear and appropriate including contingency provisions - Monitors progress of initiatives and makes necessary adjustments - Anticipates and assess the impact of changes to sections or/and department plans and initiatives, and responds appropriately - Considers the implications of a	He/She effectively: - Establishes broad organisational objectives, ensures that these are the focus for all planning activities and communicates to staff or colleagues - Understands the organization's current and potential future role within government and the community, and plans appropriately - Ensures effective governance frameworks and guidance - Enables high quality strategic, corporate, business and operational planning - Considers emerging trends, identifies long-term opportunities and aligns organisational requirements with

Competency	Below expectations	Development needed	Successfully meets expectations	Exceeds expectations	Outstanding
		departments goals - Accommodate and respond with initiative to changing priorities and operating environments	achievements and adjusts future plans accordingly	wide range of complex issues and shifts sections or/and department priorities when necessary	desired outcomes - Drives initiatives in an environment of ongoing, widespread change, including whole of government policy directions
3. Accountability and adequate knowledge of regulatory framework. (Be responsible for own actions, adhere to legislation and policy and be proactive to address risk)	He/She hardly does the following: - Take responsibility for own actions - Be aware of delegations and act within authority levels - Be aware of section or/and department goals and their impact on work tasks - Follow safe work practices and take reasonable care of own and others health and safety - Escalate issues when these are	He/She: - Takes responsibility and is held accountable for own actions - Understands delegations and act within authority levels - Identifies and follows safe work practices, & is vigilant about his application by self and others - Is alert to risks that might impact the completion of an activity and escalate these when	He/She effectively: - Assesses work outcomes, identifies and share learnings to inform future actions - Ensures that actions are focused on achieving organisational outcomes - Exercises delegations responsibly - Identifies and implements safe work practices, taking a systematic risk management approach to ensure	He/She effectively: - Support or designs and develops systems to establish and measure accountabilities - Ensures accountabilities are exercised in line organizations' goals - Exercises due diligence to ensure work health and safety risks are addressed - Oversees quality assurance practices - Model the highest standards of financial probity,	He/She effectively: - Support or guides the development of effective systems for the establishment and measurement of accountabilities, and evaluate ongoing effectiveness - Promotes a culture of accountability with clear line of sight to government goals - Sets standards and exercise due diligence to ensure work health and safety risks are addressed - Inspires a culture which respects the

	identified	identified - Uses financial and other resources responsibly	health and safety of self and others - Conducts and reports on quality control audits - Identifies risks to successful achievement of goals, and take appropriate steps to mitigate those risks - Encourages a culture of recognizing the value of collaboration	demonstrating respect for public monies and other resources - Monitors and maintains sections or/and department organizational memory and compliance with legislative and regulatory frameworks - Incorporates sound risk management principles and strategies into business planning - Build a culture of respect and understanding across the organisation	obligation to manage public monies and other resources responsibly and with probity - Ensures that legislative and regulatory frameworks are applied consistently and effectively across the organization - Directs the development of short and long term risk management frameworks to ensure the achievement of government aims and objectives - Establish a culture and supporting systems that facilitate information sharing, communication and learning

Competency	Below expectations	Development needed	Successfully meets expectations	Exceeds expectations	Outstanding
4. Relationship with administrative environment and commitment to serving citizens (Provide citizens centric services in line with public service and organisational objectives)	He/She finds difficult to: - Understand the importance of serving citizens - Help citizens understand the services that are available - Take responsibility for delivering services which meet citizens requirements - Keeps citizens informed of progress and seek feedback to ensure their needs are met - Show respect, courtesy and fairness when interacting with citizens	He/She: - Supports a culture of a citizens oriented service in the organisation - Demonstrates a good knowledge of the services provided and relay to citizens - Identifies and responds to citizens needs - Considers citizens service requirements and develops solutions to meet needs - Tries to resolve complex citizens issues and needs - Co-operates across work areas to improve outcomes for citizens	He/She effectively: - Takes responsibility for delivering high quality citizen oriented services - Understands citizens perspectives and ensures responsiveness to their needs - Identifies citizens service needs and implement solutions - Finds opportunities to co-operate with internal and external parties to improve outcomes for citizens - Connects and collaborates with relevant stakeholders within the community	He/She effectively: - Promotes a culture of quality citizens service in the organisation - Ensures that the organisation's systems, processes, policies and programs respond to citizens needs Promotes and manages alliances within the organisation and across the public, private and community sectors - Liaise with senior stakeholders on key issues and provide expert and influential advice - Initiates and develops partnerships with citizens to define and evaluate service performance	He/She effectively: - Creates a culture which embraces high quality citizen service across the organisation, ensuring that management systems and processes drive service delivery outcomes - Engages and negotiates with stakeholders on strategic issues related to policy and standards of citizen service and accessibility, and provide influential advice - Making clear to colleagues or subordinates that responsiveness to citizen's needs is central to the organisation's strategic planning

Competency	Below expectations	Development needed	Successfully meets expectations	Exceeds expectations	Outstanding
			outcomes - Identifies and incorporates the interests and needs of citizens in process design	processes - Participates in setting overall performance standards for service delivery across the organisation and monitor compliance	
5. Effective communication skills and problem solving	He/She finds difficult to: - Communicate clearly, actively listen to others and respond with respect - Find and check information needed to complete own work tasks - Acknowledge and be responsive to diverse experiences, perspectives, values and beliefs - Be open to the inputs of others work to understand	He/She: - Allows others enough time to express themselves - Displays active listening - Explains things clearly - Is aware of own body language and facial expressions - Research and analyses information and makes recommendations based on relevant evidence - Seeks input from others who may	He/She effectively: - Clearly explains and presents ideas and arguments - Listens to others when they are speaking and ask appropriate, respectful questions - Prepares written material that is well structured and easy to follow - Researches and analyzes information, identify interrelationships and make recommendations based on relevant	He/She effectively: - Tailors communication to the audience - Clearly explains complex concepts and arguments to individuals and groups - Writes fluently in a range of styles and formats - Undertakes objective, critical analysis to draw accurate conclusions that recognize and manages contextual issues	He/She effectively: - Presents with credibility, engage varied audiences and test levels of understanding - Translates technical and complex information concisely - Writes fluently and persuasively in a range of styles and formats - Establishes and promotes a culture which encourages initiative and emphasizes the value of continuous improvement

the perspectives of other - Identify and inform supervisors of issues that may impact on completion of tasks - Escalate more complex issues and problems when these are identified - Share ideas about ways to improve work tasks and solve problems - Suggest improvements to work tasks for the team	have different perspectives and needs - Adapt well in diverse environments - Identifies issues that may hinder completion of tasks and find appropriate solutions - Is willing to seek out input from others and share own ideas to achieve best outcomes - Identifies ways to improve systems or processes which are used by the section/department	evidence - Seeks to promote the value of diversity for the organization - Recognises and adapts to individual differences and working styles - Anticipates, identifies and address issues and potential problems and selects the most effective solutions from a range of options - Participates in and contribute to team/unit initiatives to resolve common issues or barriers to effectiveness	- Leverage diverse views and perspectives to develop new approaches to delivery of outcomes - Builds and monitors a workplace culture that values fair and inclusive practices and diversity principles - Works through issues, weigh up alternatives and identify the most effective solutions - Takes account of the wider business context when considering options to resolve issues - Explores a range of possibilities and creative alternatives to contribute to systems, process and business improvements	- Creates and drives a culture where all staff value diversity of people, experiences and backgrounds - Ensures workplace systems, policies and practices allow individuals to participate to their fullest ability - Engages in high-level critical analysis of a wide range of complex information and formulates effective responses to critical policy issues - Identifies and evaluates organization wide implications when considering proposed solutions to issues

Competency	Below expectations	/ Development needed	Successfully meets expectations	Exceeds expectations	Outstanding
6. Commitment to job ethics and morals	He/She finds difficult to: - Behave in an honest, ethical and professional way - Take opportunities to clarify understanding of ethical behaviour requirements - Identify and follow legislation, rules, policies, guidelines and codes of conduct that apply to your role - Speak out against misconduct, illegal and inappropriate behavior - Report apparent conflicts of interest	He/She: - Represents the organization in an honest, ethical and professional way - Supports a culture of integrity and professionalism - Understands and follows legislation, rules, policies, guidelines and codes of conduct - Helps others to understand their obligations to comply with legislation, rules, policies, guidelines and codes of conduct - Recognises and reports misconduct, illegal or inappropriate behavior - Reports and manages apparent conflicts of interest	He/She effectively: - Represents the organization in an honest, ethical and professional way and encourage others to do so - Demonstrates professionalism to support a culture of integrity within the section or/and department - Sets an example for others to follow and identifies and explains ethical issues - Ensures that others understand the legislation and policy framework within which they operate - Acts to prevent and report misconduct, illegal and inappropriate behaviour	He/She effectively: - Models the highest standards of ethical behavior - Represents the organisation in an honest, ethical and professional way and set an example for others to follow - Ensures that others have a working understanding of the legislation and policy framework within which they operate - Promotes a culture of integrity and professionalism within the organisation and in dealings external to government - Monitors ethical practices, standards and systems and reinforces their use - Act on reported	He/She effectively: - Champions and acts as an advocate for the highest standards of ethical and professional behaviour - Drives a culture of integrity and professionalism across the organisation, and in dealings cross-government, cross-jurisdiction and outside of government - Defines, communicates and evaluates ethical practices, standards and systems and reinforce their use - Creates and promotes a climate in which colleagues or subordinates feel able to report apparent breaches of rules, policies and guidelines and act promptly and visibly in response to

Competency	Below expectations	Development needed	Successfully meets expectations	Exceeds expectations	Outstanding
				breaches of rules, policies and guidelines	such reports
7. Self-management (Show personal drive and motivation, a measured approach and a commitment to learning)	He/She finds difficult to: - Takes initiative to develop and apply new skills - Show commitment to completing work activities effectively - Look for opportunities to learn from the feedback of others	He/She: - Adapts existing skills to new Situations - Shows commitment to achieving work goals - Shows awareness of own strengths and areas for growth and apply for development of new skills - Seeks feedback from colleagues and stakeholders - Maintains own motivation when tasks become difficult	He/She effectively: - Looks for and take advantage of opportunities to learn new skills and develop strengths - Shows commitment to achieving challenging goals - Examines and reflects on own performance - Seeks and respond positively to constructive feedback and guidance - Demonstrates a high level of personal motivation	He/She effectively: - Acts as a professional role model for colleagues, set high personal goals and takes pride in their achievement - Actively seeks, reflects and acts on feedback on own performance - Translates negative feedback into an opportunity to improve - Maintains a high level of personal motivation - Takes the initiative and act in a decisive way	He/She effectively: - Promotes and models the value of self-improvement and be proactive in seeking opportunities for growth - Seeks, reflects and integrates feedback to enhance own performance, showing a strong capacity and willingness to modify own behaviours - Manages challenging, ambiguous and complex issues calmly and logically - Models initiative and decisiveness

Competency	Below expectations	Development needed	Successfully meets expectations	Exceeds expectations	Outstanding
8. Inspire Direction and Purpose & Manage change	He/She finds difficult to: - Support change initiatives and assist colleagues to understand their purpose and impact - Share information with team members to assist them to understand and manage uncertainty and change - Assist his colleagues to understand organisational direction - Ensure colleagues understand how their activities align to business objectives and affect overall performance	He/She: - Supports change processes and communicate change initiatives across the section - Supports others in managing uncertainty and change - Promotes a sense of purpose within the section/department and enables others to understand the strategic direction of the organisation - Translates broad goals into operational needs - Recognise and acknowledge high individual/team performance	He/She effectively: - Promotes change processes and participate in the communication of change initiatives across the organization - Provides guidance, coaching and direction to others managing uncertainty and change - Promotes a sense of purpose within the team and enable others to understand the strategic direction - Engages staff in change processes and provide clear guidance, coaching and support - Identifies cultural barriers to change and implement	He/She effectively: - Clarifies purpose and benefits of continuous improvement for staff and provide coaching and leadership in times of uncertainty - Assists others to address emerging challenges and risks and generate support for change initiatives - Translates change initiatives into practical strategies and explain these to staff and their role in implementing them - Implement structured change management processes to identify and develop responses to cultural barriers	He/She effectively: - Drives a continuous improvement agenda, defines high level objectives and translates these into practical implementation strategies - Builds staff support and commitment to announced change, and plan and prepare for long-term organisational change - Creates an organisational culture that actively seeks opportunities to improve - Anticipates, plans for and addresses cultural barriers to change at the organisational level - Champions the organisational vision and strategy, &

| | | | | strategies to address these
- Translates broad goals into operational needs and links team performance goals to sections/departme nt goals to ensure implementation of policies.
- Recognize & acknowledge high individual or/and team performance | - Promotes a sense of purpose within the team and enable others to understand the strategic direction
- Works to remove barriers to achievement of goals
- Builds a shared sense of direction, clarifies priorities and goals and inspires others to achieve them
- Creates opportunities for recognising and celebrating high performance at the individual and section or/and department level | communicates it properly
- Creates a culture of confidence and trust in future direction
- Celebrate organisational success and high performance and engage in activities to maintain morale. |

Competency	Below expectations	Development needed	Successfully meets expectations	Exceeds expectations	Outstanding
9. Deliver Results (Achieve results through efficient use of resources and a commitment to quality outcomes)	He/She find difficult to: - Complete own work tasks under guidance, within set restrictions, timeframes and standards - Take the initiative to progress own work - Identify resources needed to complete allocated work tasks - Seek clarification when unsure of work tasks	He/She: - Completes work tasks to agreed restrictions, timeframes and standards - Takes the initiative to progress and deliver own and section/department work - Contributes to allocation of responsibilities and resources to ensure achievement of section/department goals - Seeks and applies specialist advice when required	He/She effectively: - Takes responsibility for delivering on intended outcomes - Makes sure section or department staff understand expected goals and acknowledge success - Identifies resource needs and ensures goals are achieved within given restrictions and deadlines - Identifies changed priorities and ensures allocation of resources meets new organisations needs - Uses own expertise and seek others' expertise to achieve work outcomes	He/She effectively: - Fosters a culture of achievement and acknowledge of the input of others employees - Investigates and creates opportunities to enhance the achievement of organisational objectives - Makes sure others understand that on-time and on-budget results are required and how overall success is defined - Controls output of organisations' (Ministrys') unit to ensure government outcomes are achieved within budget - Progresses organisational priorities and	He/She effectively: - Creates a culture of achievement, fostering on-time and on-budget quality outcomes in the organisation - Identifies, recognizes and celebrates success - Establishes systems to ensure all staff are able to identify direct connection between their effort and organisational outcomes - Identifies and removes potential barriers or hurdles to ongoing and long term achievement of outcomes - Initiates and communicates high level priorities for the organisation to achieve government outcomes - Uses own

Competency	Below expectations	Development needed	Successfully meets expectations	Exceeds expectations	Outstanding
				ensures effective acquisition and use of resources	professional knowledge and expertise of others to drive organisational and government objectives forward
10. Good use of equipment and facilities (Understand and use available technologies to maximise efficiencies and effectiveness)	He/She find difficult to: - Display familiarity and confidence in the use of core office software applications or other technology used in role - Understand the use of computers, tele-communications, audio-visual equipment or other necessary for the his performance technologies. - Comply with requirements, document control	Applies: - computer applications that enable performance of more complex tasks - practical skills in the use of relevant technology - effective use of records, information and data collected He/She: - Understand and comply with information and communications security and acceptable use policies	He/She effectively: - Demonstrates a sound understanding of technology relevant to the work of respective section/department, identifies and select the most appropriate technology for assigned tasks - Identifies opportunities to use a broad range of communications technologies to deliver effective messages - Understands, act	He/She effectively: - Shows commitment to the use of existing and deployment of appropriate new technologies - Implements appropriate controls to ensure compliance with information and communications security and use policies - Is informed and updated regarding emerging technologies and how they might be applied to support	He/She effectively: - Encourages research and expert advice on the application of emerging technologies to achieve organisational outcomes - Ensures that effective frameworks are in place to enable efficient and effective application of ICT use - Supports the establishment of effective mechanisms to ensure organisational compliance with information and communications

policies/systems, and security protocols - Comply with policies on acceptable use of technology	- Support the implementation of systems improvement initiatives and the introduction and roll-out of new technologies	on and monitor compliance with information and communications security and use policies - Identifies ways to leverage the value of technology to achieve section or department outputs, using the existing resources	organizations' (Ministry's') outcomes - Seeks advice from appropriate technical experts to support achievement of organizations' (Ministry's') outcomes	security and use policies - Critically assesses business cases supporting the introduction of technology solutions to improve the efficiency and effectiveness of the organization -

3.2 Template of Personal Development plan

<table>
<tr><td colspan="6" align="center">Personal Development Plan</td></tr>
<tr>
<td colspan="2">First name:

Last name:</td>
<td colspan="2">Dept:</td>
<td colspan="2">Employee Ref:</td>
</tr>
<tr>
<td>Job Title:</td>
<td colspan="5"></td>
</tr>
<tr>
<td colspan="6">PDP Period from: to:</td>
</tr>
<tr>
<td>Competency / Key Area for Development</td>
<td>Method (How)</td>
<td>Measures (what)</td>
<td>Solutions/ Obstacles</td>
<td>Target Date</td>
<td>Date Achieved</td>
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<td></td><td></td><td></td><td></td><td></td><td></td>
</tr>
<tr>
<td colspan="2">Name, Job Title & Signature, First Line Manager</td>
<td colspan="4">Date:</td>
</tr>
<tr>
<td colspan="2">Name, Job Title & Signature, Second Line Manager</td>
<td colspan="4">Date:</td>
</tr>
<tr>
<td colspan="2">Employee signed:</td>
<td colspan="4">Date:</td>
</tr>
</table>

3.3 Performance appraisal planning template

Performance Planning meeting (template)				
First Name: **Last Name:**		Evaluation Period:	from	to
Job Title:		Date Last Evaluation:		
Department:		Hire Date:		
Direct Supervisor :				
Employee:	(State your understanding of your main duties and responsibilities)			
Line manager:	(List the 5 competencies that performance evaluation will take place over the next year and identify the level of expected performance)			
	1. Level: 2. Level: 3. Level: 4. Level: 5. Level:			
Line manager:	List the behavioural (or quantifiable KPIs) for the next year			

	1.a
	  b
	2.a.
	  b.
	3.a.
	  b
	4.a.
	  b.
	5.a
	  b.			

Observations:				

Employee signed:	Date:
Name, Job Title & Signature, First Line Manager:	Date:

3.4 Performance Appraisal Report Template

<table>
<tr>
<td colspan="6">**Performance Appraisal Report**
(template)</td>
</tr>
<tr>
<td>**First Name:**

Last Name:</td>
<td></td>
<td>Evaluation Period:</td>
<td>from</td>
<td>to</td>
<td></td>
</tr>
<tr>
<td colspan="2">**Job Title:**</td>
<td colspan="2">Date Last Evaluation:</td>
<td colspan="2"></td>
</tr>
<tr>
<td colspan="2">**Department:**</td>
<td colspan="2">Hire Date:</td>
<td colspan="2"></td>
</tr>
<tr>
<td colspan="2">**Direct Supervisor :**</td>
<td colspan="4"></td>
</tr>
<tr>
<td colspan="2">**Employee:**</td>
<td colspan="4">(Summary statement of work and main duties and responsibilities - identification of main successes, or obstacles during the year)</td>
</tr>
<tr>
<td colspan="2"></td>
<td colspan="4">*Indicate "see attached" if more space is needed*</td>
</tr>
<tr>
<td colspan="2">**Line manager:**</td>
<td colspan="4">(Evaluate each behavioral or/and quantifiable KPI)</td>
</tr>
</table>

Behavioral KPI **(2 per competency selected)**	**From 0 to 20**
1.a.	
b.	
2.a.	
b.	
3.a.	
b.	
4.a.	
b.	
5.a.	
b.	
Line manager: Appraisal of direct superior (average per competency)	

Competency	From 0 to 20	Appraisal score
1.		
2.		
3.		
4.		
5.		

General Total of Grades: ……..

General appraisal score

(Place an "X" in the box which describes the employee's overall performance rating).

0-25 (Below expectations)	
26-45 (Development needed)	
46-65 (Successfully meets expectations)	
66-80 (Exceeds expectations)	
81-100 (Outstanding)	

Observations: **-Direct superior remarks and suggestions:**	*Indicate "see attached" if more space is needed.*
-Appraised employee taking notice and adding remarks: **(Optional. If employee wishes to do so, any comments**	*Indicate "see attached" if more space is needed.*

concerning the appraisal may be indicated in this section)	
Employee signed:	Date:
Name, Job Title & Signature, First Line Manager:	Date:
Name, Job Title & Signature, **Second** Line Manager:	Date:
In case of objection	
The higher authority, after deciding on the objection sets the final grade	General Total of Grades: General appraisal score:
Signature:	
Suggestions:	

3.5 Self-assessment template

Self-assessment (template)				
First Name: **Last Name:**		Evaluation Period:	from	to
Job Title:		Date Last Evaluation:		
Department:				
Direct Supervisor :				
Employee:	Summarize your major accomplishments for this review period (such as proposals, assignments completed, reports, presentations, significant results)			
List any training programs, conferences, committee memberships or other educational activities in which you have participated during this period.				
What problems and constraints influenced your work performance during the review period?				
What other issues (which may include your working relationship with your supervisor) would you like to discuss in the appraisal review discussion?				
(Identify the level of your performance concerning the 5 competencies that performance evaluation will take place over the next year)				
1.		**Level:**		
2.		**Level:**		
3.		**Level:**		
4.		**Level:**		
5.		**Level:**		
Employee signed:	Date:			
Name, Job Title & Signature, First Line	*I have read and discussed this self-appraisal with my employee and I understand its contents. My signature does not imply that I*			

| Manager: | *agree or disagree with the contents.* |
| | Date: |

3.6 Mid-term Review template

Mid-term Review (template)					
First Name: **Last Name:**		Evaluation Period:	from	to	
Job Title:					
Department:					
Direct Supervisor :					
Issues for discussion:	Employee: Summarize your major accomplishments for this review period (such as proposals, assignments completed, reports, presentations, significant results)				
Employee: What problems and constraints influenced your work performance during the review period?					
Employee & Line manager: How employees' performance will be improved during the next 6 months in order to reach objectives in accordance to employees' Personal Development Plan?					
Employee:					
Line Manager:					
Additional remarks:					
Employee signed:	Date:				
Name, Job Title & Signature, First Line Manager:	Date:				

3.7 Identification of major duties per organizational Unit

Name of organizational Unit *(Section/Department)*	
Group A: **Essential tasks for the existence of the unit (25-30% of all tasks)**	- - - -
Group B: **Significant but not core tasks (on average 35-40% of all tasks)**	- - - -
Group C: **Tasks of less importance that the other 2 categories.**	- - -

3.8 Aggregation of tasks and competencies per organizational Unit and employee

Name of organizational Unit (Section / Department)		
Employee A	Major tasks	- - - -
	Competencies	- - -
Employee B	Major tasks	- - - -
	Competencies	- - -
Employee … X	Major tasks	- - - -
	Competencies	- - -