

HANDBOOK

PUBLIC SERVICE STAFF
PERFORMANCE PLANNING
PERFORMANCE REVIEW
PERFORMANCE APPRAISAL
AND DECISION-MAKING

6/30/2010

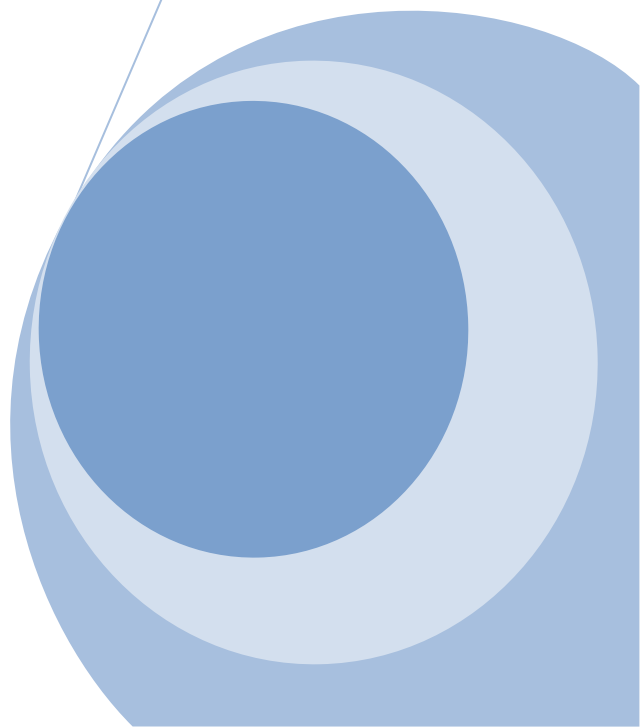


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WHAT IS THE STAFF PERFORMANCE APPRAISAL FORM?

The Staff Performance Appraisal Form (SPAF) has been designed and developed as an instrument for evaluating the performance of staff (employee) in relation to his/her contribution to the overall improvement of the organisation's performance. The performance appraisals help develop individuals and are essential for the effective management of people and organisations. Performance appraisals also assist in identifying individual training needs and are important for career and succession planning for the individuals. The Staff Performance Appraisal Reporting System is an annual performance appraisal cycle involving four key phases: performance planning, reviews, appraisal and decision-making. All members of staff/supervisors/Heads of Departments/ Divisions/ Units must read, understand and follow the guidelines thoroughly before filling the form.

The responsibility lies with the Head of the organisation to initiate the process by setting targets for his/her immediate subordinates who shall in turn do same with those they supervise. It is expected that the overall target would be set by Ministers / Boards / Councils immediately after the budget is read.

Phase One – Performance Planning

Plan and set individual performance targets from work plans derived from the organisation's strategic annual plans, medium term plans or the corporate plans. The target setting process must be interactive (between the supervisor and the employee). This should be undertaken within the month of January of each year.

Phase Two – Progress Reviews

Carry out regular discussion and communicate on progress of work (employee and supervisor) and adjust targets if necessary.

Phase Three – Review and Appraisal

Evaluate employee's performance at the end of each year.

Phase Four- Decision-Making

Decide on courses of action, i.e. recognition/reward, training, promotion, career development counselling and sanctions if necessary.

PERFORMANCE PLANNING

Performance Planning is the process of defining an employee's job and setting performance targets within a specific period. It is important that there is agreement on the targets set to ensure ownership by the employee. The process consists of three steps.

- Key results areas
- Targets
- Resources required

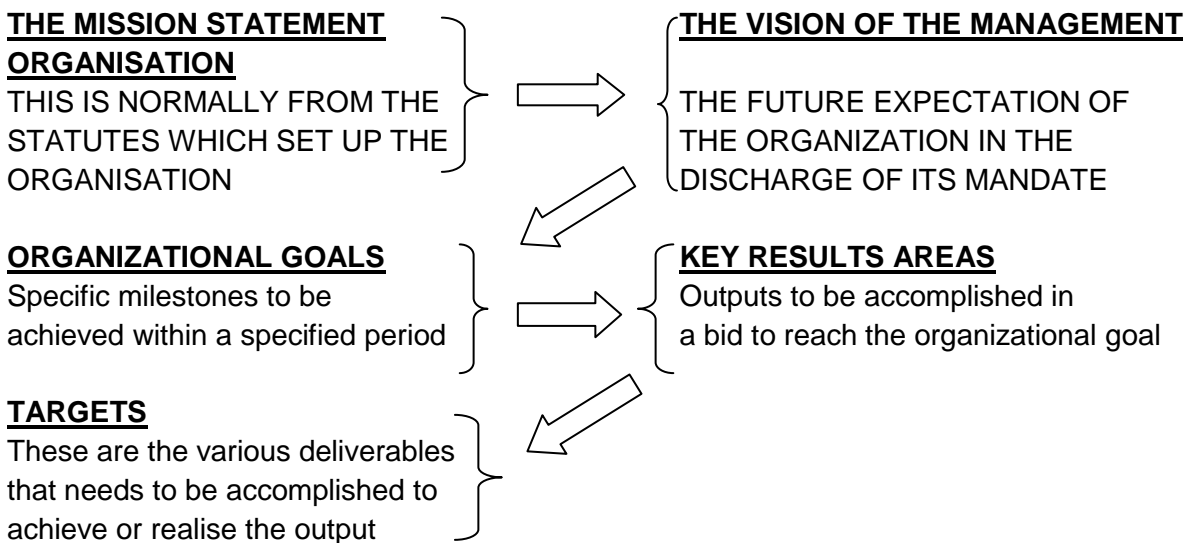
Identify a minimum of three and a maximum of five key competencies. The key competencies comprise the following (see Section 5)

Identifying key results areas should be done in line with the mission and vision of the organisation and the annual work plan.

From the mission, and in the light of the vision organisational GOALS are distilled and the key results areas are identified, then the targets are identified and agreed upon.

This phase of the cycle must be completed by the end of January each year.

The steps below may be helpful.



STAGE 1 - Before the Meeting

- Step 1 -** Appraiser and Appraisee identify key results areas.
- Step 2 -** Appraiser and Appraisee identify targets.
- Step 3 -** Appraiser and Appraisee should exchange notes prior to the meeting.

STAGE 2 - During the Meeting

- Step 1 -** Appraiser and Appraisee discuss and agree on key result areas identified.
- Step 2 -** Appraiser and Appraisee discuss and agree on targets
- Step 3 -** Appraiser explains competencies as in Section 4
- Step 4 -** Appraiser and Appraisee discuss resources required for the attainment of targets

STAGE 3 - After the Meeting

- Step 1 -** Appraiser fills out the Performance Planning Form
- Step 2 -** Appraiser and Appraisee sign the Performance Planning Form and a copy of the signed form given to the Appraisee and the original signed document returned to the Human Resource Department.

PROGRESS REVIEW PROCESS

The Progress Review Meeting

The Progress Review stage of the performance appraisal cycle shall be undertaken in July of each year. It provides a formal mechanism by which appraisers and appraisees meet to review progress. The appraiser must give at least a week's notice to the appraisee specifying the date, time and place of the meeting. The review process should be as follows:

- i. Appraiser and appraisee discuss progress of work in relation to targets set. If conclusions reached at the meeting necessitate changes or adjustments in targets, these modifications should be specified on the mid-year review form in the original signed SPRAF.
- ii. Appraiser and appraisee discuss the extent to which competencies are being applied or demonstrated or lacking;
- iii. Appraiser and appraisee agree on additions and deletions to targets and modifications where necessary.
- iv. Appraiser records the changes if any and comments on the Mid-year Review Form.
- v. Appraiser and appraisee sign the Mid-year Review Form (MYRF)
- vi. Appraiser and appraisee keep copies of the signed the MYRF and the original document sent back to the Human Resource Department.

THE END-OF-YEAR REVIEW AND APPRAISAL PROCESS

The End-of-Year Review and Appraisal Meeting

The End-of-Year Review and Appraisal Process shall span the period of December 1st to December 31st. The process is in three parts namely: Before the Interview, during the Interview and after the Interview

STAGE 1 - BEFORE THE END-OF-YEAR REVIEW MEETING:

- Step 1 - Appraiser should give at least one week notice to the Appraisee of the meeting.
- Step 2 - Both Appraisee and Appraiser should write down on a separate sheet appraisee's performance in terms of targets achieved and targets not achieved. Reasons must be stated.
- Step 3 - Appraiser should write down appraisee's performance in terms of competencies demonstrated and not demonstrated with reason(s).
- Step 4 - The appraisee should review his/her performance and list the main achievements
- Step 5 - The appraisee should prepare for the discussion with the appraiser

STAGE 2 - DURING THE MEETING:

- Step 1 - The appraiser should welcome the appraisee and state the purpose for the meeting.
- Step 2 - The appraiser should discuss the targets achieved one after the other.
- Step 3 - The appraiser should discuss targets the not achieved one after the other
- Step 4 - The appraiser should discuss the competencies demonstrated one after the other
- Step 5 - The appraiser should discuss the competences not demonstrated one after the other and agree on the improvement plans. (see page 3 of form).
- Step 6 - The appraiser should summarize
- Step 7 - The appraiser should communicate the overall performance rating to the appraisee

STAGE 3 - AFTER THE MEETING

- Step 1 - The appraiser fills the form within three working days
 Step 2 - The appraiser invites the appraisee to read, provide comments on the appraisal and sign the End-of-Year Form (section 9)

EVALUATION PROCESS

The evaluation process looks at three (3) key areas of performance with the weight assigned against them:

- i. Performance on Targets set - 60%.
 ii. Performance on Core Competences - 30%.
 iii. Performance on Non-Core Competences - 10%.

SCORING ON TARGET IN SECTION 4

NO	SCORE	ACHIEVEMENT OF TARGET
i	5	High quality work produced, demonstrated very high level of innovation in work delivery and target was achieved within time frame.
ii	4	High quality work produced, demonstrated very high level of innovation in work delivery but missed delivery time due to logistic constraint.
iii	3	Average quality work produced, demonstrated average level of innovation in work delivery. Target was achieved within the time frame.
iv	2	Average quality work produced, lack of innovation in work delivery. Target was achieved outside the time frame set.
v	1.	Poor quality work produced. Lack of innovation in work delivery. Did not achieve target

CALCULATION

To compute the score obtained on target performance:

- Find the sum of scores made on performance (Q)
- Divide the sum by the number of targets considered ($Q/n = A$)
- Multiply the average score by a factor 0.6, i.e. ($A \times 0.6$)
- This reduces the score to 60.0% of 10.0 (M)

To compute score obtained on core competences:

A scale of five (5) is provided for rating the competency areas

ASSESSMENT OF CORE COMPETENCIES

Rating	Explanation
<input type="checkbox"/> 5 – Exceptional, exceeds expectations:	Demonstrated excellent innovative and proactive skills with a clear understanding of the business of the organisation. Exceeds expectations.
<input type="checkbox"/> 4 – Exceeds Expectations:	Demonstrated very good innovative and practical skills with an understanding of the business of the organisation. Meets expectations.
<input type="checkbox"/> 3 – Meets Expectations:	Demonstrated adequate innovative and proactive skills with a fair understanding of the business of the organisation. Meets some expectations.
<input type="checkbox"/> 2 – Below Expectation:	Performance needs to be improved in several major areas. Did not meet many expectations
<input type="checkbox"/> 1 – Unacceptable:	Performance is below competency requirements and needs definite and significant improvements. Did not meet most competency requirements.

- Nine (9) competency criteria / areas have been identified for assessment.
- Each competency area has a specific item for measurement.
- For each item put a circle around the rating for appraisee under 'grade on scale (G)'.
 - Multiply the weight (W) by the rating (G) and place it under the column (W × G).
 - Find the sum of scores for each competency area and write it down as the total.
 - For each competency area calculate the average by dividing the total with the number of items.
- Average of all averages is equal to the sum of all averages divided by 9 = **N**

To compute score obtained on none-core competences

- The same rating scale used for core competencies is to be used for the assessment of none-core competences.
- The steps used to evaluate core competences are to be used for none core competencies.
- Six (6)** non-core competency areas have been identified for assessment.
- Sum of all averages is to be divided by six (6) to obtain '**O**'

The overall score = $\Sigma (M + N + O) / 5 \times 100 = Z \%$

DECISION MAKING

The decision-making process shall be in three (3) stages:

STAGE 1 – VETTING OF FORMS:

This shall be undertaken by the HR Department to ensure that all scorings have been done fairly in accordance with the provided guidelines and devoid of subjectivity.
HR Department to communicate annual performance result to appraisee

STAGE 2 - GRIEVANCE RESOLUTION IF ANY

Grievance resolution process is initiated to resolve any identified grievance(s) that may have arisen in the course of the appraisal process.

- i. In the event that an appraisee is not satisfied with the result of his/her assessment he/she may appeal, first to the Head of Human Resource Department / unit for a review of his/her case.
- ii. In the event that he/she is still not satisfied, he/she may appeal to the **Chief Director / Head of Department (with Departments and Agencies)** who may appoint an independent competent three-member (3 member) committee to review the case.
- iii. In the event that he/she is still not satisfied, he/she may appeal to its **Head of Service (Civil Service, Health Service, Immigration Service, Local Gov't Service and etc) / Chief Executive** who may appoint an independent competent three-member (3 member) committee to review the case
- iv. If that fails he/she may appeal to **the Board of Directors / Council / Governing Board for redress**. The Board of Directors / Council / Governing Board may set up an independent panel which should be chaired by a member of the Board Directors / Council / Governing Board with representation from the PSC to review the case. The decision of the panel so constituted shall be final.

STAGE 3 - RECOMMENDED IMPROVEMENT PROGRAMME SUBMITTED FOR APPROVAL OF BOARD/COUNCIL/MINISTER

Performance Improvement or Enhancement plan must be put in place by the Human Resources Division. Other areas such as personal development, salary increase, bonus and training programmes, which the employee will need during the next twelve months for growth and to improve various aspects of job performance, should be noted for management attention. The plan shall detail areas for improvement or enhancement of the employee's skills through training, counselling, mentoring etc. Top management should be actively involved in this to ensure that the plan is timely executed and resources are made available.