

Civil Service Performance Management System

A handbook for Supervisors on how to conduct performance planning, mid-term progress review and annual appraisal meetings.



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Abbreviations

CSA **Civil Service Agency**

HR **Human Resources**

MAC **Ministries, Agencies and Commissions**

MYPR **Mid-Year Progress Review**

PMS **Performance Management System**

1. Introduction

This Handbook is meant to assist supervisors in implementing the three phases of the Civil Service Performance Management System (PMS). The PMS has an annual cycle involving three key phases: 1) performance planning, 2) mid-term progress review, and 3) end of year appraisal and overall rating. All managers and supervisors of staff have a responsibility to implement the Civil Service PMS and complete the planning, progress review and appraisal discussions and forms.

It is meant to provide a simple reference guide for supervisors to conduct and document three formal meetings during the annual cycle. Each Phase of the PMS is described and the steps for supervisors to follow outlined in order.

This handbook is meant to compliment the more comprehensive document "Civil Service Performance Management System: A Guide to Performance Management" published in March 2013. This handbook focuses on the evaluation and assessment of an employee's performance, conducted by supervisors and discussed with employees. Employees are encouraged to evaluate their own performance before each meeting. Peer and upward evaluations are not covered by the handbook and are seen as more appropriate to supervisors and work teams who have experience and developed competency at this first level of performance management.

2. What is the difference between the Civil Service PMS and performance appraisal meetings?

A Performance Management System (PMS) is a much broader concept than performance appraisal. A PMS is a framework for assessing, maintaining and improving organizational, functional, work team and individual performances. Performance appraisal is part of a PMS and typically aims to measure how well an individual is doing in their job against a set of criteria. Performance appraisal involves an employee and supervisor discussing and agreeing on a work performance plan and giving and receiving feedback about progress.

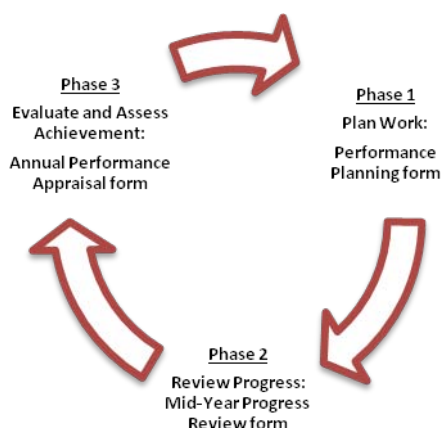


The Civil Service PMS has three phases and uses three performance planning and appraisal forms. The three phases are:

1. Phase One: Performance Planning.
2. Phase Two: The Mid-Year Progress Review
3. Phase Three: The Annual Performance Appraisal

The three forms that support each phase are:

1. The Performance Planning form at the beginning of employment in a new job or the beginning of a working year.
2. The Mid-Year Progress Review form where supervisors and employees check progress and agree any changes to the original performance plan and;
3. The Annual Performance Appraisal form where supervisors and employees discuss objectives and competencies achieved or not achieved and the supervisor gives the employee an overall performance rating for the year.



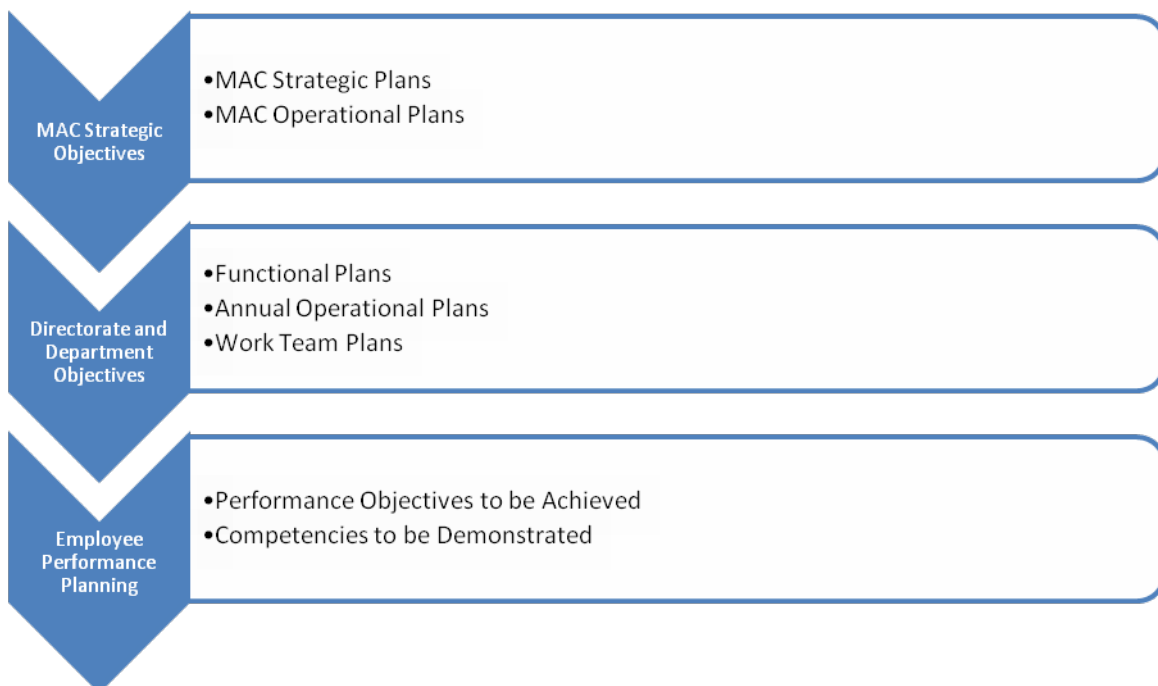
3. PMS Phases

This section discusses the three phases of the PMS cycle in the order they occur during the year

3.1. Phase One – Performance Planning

Performance planning for employees should be based on the strategic and operational plans set by senior management for the organization. Supervisors must clearly define organizational key functions, performance indicators, objectives and required resources. Individual supervisors should work with individual employees to plan and set individual performance objectives, standards and performance indicators to meet MAC objectives and functional requirements.

The linking of MAC objectives to an individual's objectives is outlined in the following diagram:



The setting of performance objectives in the Performance Planning form must be discussed and agreed between the supervisor and the employee. This should be undertaken in **January** of each year.

3.2. Phase Two – Mid-Term Progress Reviews

To be successful any PMS needs ongoing and regular discussion about progress towards objectives. This allows for the early identification of issues or problems and provides information on what is working and what is not. Such regular, informal and formal discussion provides employees with constructive feedback on their performance and supervisors with valuable operational information. Informal and formal discussions are critical elements of any PMS.

In order to ensure that set objectives are being achieved and work plans are on course, a formal mid-year progress review meeting is held between the supervisor and employee in **July** each year. The supervisor and employee discuss progress and adjust objectives if necessary. In addition the supervisor and employee will have regular informal discussions

throughout the year and adjust objectives if necessary. Records must be kept for all regular discussions and progress review meetings.

3.3. Phase Three – Annual Performance Appraisal Meeting

At the end of the year, in **December**, the supervisor will hold a formal meeting to discuss and evaluate the employee's performance against the set objectives. The performance appraisal will cover both performance against objectives and demonstration of required competencies.

If regular communication has been happening between the supervisor and employee there should be no real surprises at the end of year appraisal meeting. The Human Resources Department with the support of senior management should ensure that there is an open, timely and consistent approach to performance appraisal and that it allows for objective and accurate information to be recorded and used appropriately.

4. Steps Involved in the Three Phases of PMS

This section outlines the actions the supervisor and employee must complete for each phase of the PMS.

4.1. Performance Planning

Performance planning is a process of clearly defining an employee's job and what is expected of him/her. Performance objectives should be set for specific time periods and competencies to be demonstrated or achieved should be described. Competencies are the skills, knowledge and abilities the employee applies to doing their job. It is important that performance objectives and competencies are discussed, understood and agreed upon by both the supervisor and the employee.

The process consists of the following steps:

- Identifying key areas of responsibility and performance standards;
- Setting objectives and targets;
- Identifying key performance indicators (indicators of satisfactory progress or achievement);
- Identifying resources required to do the job to expected standards.

It is important identify key competencies the employee is expected to demonstrate in doing their job. The key competencies are identified in section 2 of the supervisors Performance Planning form. Identifying areas of responsibility to be performed should be linked to the objectives of the MAC and Department. After the key areas of responsibility are identified, objectives can be set and agreed upon.

This Phase of the PMS must be completed by the end **January** each year for employed staff and upon commencement for new hires or if a civil servant is beginning a new job. The supervisor should prepare for this beginning of the performance cycle by identifying:

- specific milestones the MAC has identified in its strategic or operational plan that will involve your work team;

- outcomes and outputs to be accomplished in reaching the MAC objective;
- objectives or the various deliverables that need to be accomplished to achieve the objective.
- What each employee needs to contribute to meeting MAC requirements?

4.1.1. Performance Planning Steps

The steps to follow in performance planning are:

- Step 1: Supervisor identifies key areas of responsibility and standards of performance expected.
- Step 2: Supervisor identifies objectives, targets and performance indicators.
- Step 3: Supervisor provides employee with notice of meeting and notes of the previous steps.
- Step 4: Supervisor and staff discuss and agree on key areas of responsibility, objectives, targets and indicators.
- Step 5: Supervisor explains competencies listed in section 2 of the Performance Planning form.
- Step 6: Supervisor and staff discuss resources required to achieve objectives.
- Step 7: Supervisor fills out Performance Planning form.
- Step 8: Supervisor and employee sign Performance Planning Form.
- Step 9: Copy and send original of Performance Plan to HR Department to be placed on employees personnel file. Employee and supervisor should keep a copy.

4.2. Mid-Year Progress Review

The Mid-Term Progress Review meeting of the PMS cycle should be undertaken in **July** of each year. It provides a formal mechanism by which the supervisor and employee meet to review progress. One week notice should be given prior to the meeting and the review process should include the following steps:

4.2.1. Progress Review Meeting Steps

- Step 1: Supervisor prepares for the mid-year progress review meeting by listing objectives from the Performance Plan form on the Mid-Year Progress Review form.
- Step 2: Supervisor provides employee with notice of meeting and notes of the previous steps.
- Step 3: Supervisor and employee discuss progress of work in relation to set objectives. Any changes or adjustments to objectives, functions or indicators should be discussed.
- Step 4: Supervisor and employee agree on any additions, deletions or modifications to the original performance plan.
- Step 5: Supervisor and employee discuss the extent to which competencies are being applied or demonstrated or lacking.
- Step 6: Supervisor records changes and comments on the Mid- Year Progress Review form.
- Step 7: Supervisor and employee sign Mid-Year Progress Review form.
- Step 8: Supervisor and employee keep copies of the Mid-Year Progress Review form and the original is sent to HR Director.

4.3. Annual Performance Appraisal Meeting

The end of year appraisal meeting will occur during **December** and is in three parts: 1) before the meeting; 2) during the meeting and 3) after the meeting. The Supervisor is responsible for all parts of the process and the completion of the Annual Performance Appraisal Form.

4.3.1. Before the meeting

- Step 1: The supervisor prepares the Annual Performance Appraisal form by writing the objectives and performance indicators agreed to earlier in the year in section two of the form.
- Step 2: Supervisor gives employee the appraisal form to complete the self-evaluation and gives at least one week notice of the meeting.
- Step3: Supervisor and employee prepare notes on employee's performance in terms of objectives achieved and not achieved.
- Step4: Supervisor should list employees performance, with evidence, in terms of competencies demonstrated and not demonstrated.

4.3.2. During the Meeting

- Step 1: Supervisor welcomes the employee and explains purpose and process of the meeting.
- Step 2: The supervisor and employee should discuss competencies demonstrated and not demonstrated one after the other.
- Step 3: The supervisor should discuss objectives achieved or not achieved one after the other.
- Step 4: The supervisor should summarize the discussion.
- Step 5: The supervisor should communicate his/her overall performance rating to the employee.

4.3.3. After the Meeting

- Step 1: The supervisor should invite the employee to read and provide comments on the Annual Performance Appraisal form I and sign the form in section six.
- Step 2: The supervisor sends the original record of the performance appraisal to the HR Director to be placed on the employee's personnel file and provides a copy to the employee.

5. Appeals

If an employee disagrees with an evaluation and cannot resolve the disagreement with the supervisor, the employee may appeal to the reviewer for a review of the evaluation. Agencies may develop their own appeals process in line with the Standing Orders and all appeals should be documented. Any appeal process must provide for the appeal to be made in writing to the reviewer. The reviewer should discuss the employee's appeal with the supervisor and the employee. After discussion of the appeal, the reviewer should provide the employee with a written response. It should be noted that supervisors are prohibited from discouraging employees from making an appeal, whether formal or informal.

Supervisors are forbidden to retaliate, redress or seek retribution in any form against an employee who makes an appeal.

6. Exceptional and Good Performance

In the event of exceptional and good performance by an employee, supervisors are encouraged to recognize this level of performance as soon as it occurs. Informal feedback to employees and a note on the supervisors file should be made.

A supervisor should document incidents of exceptional performance in a MAC memo to be signed by the reviewer and the supervisor. The original will be given to the employee and a copy placed on the employees personnel file.

Reference should be made to the memorandum at the end of the year appraisal meeting and if an overall rating of exceptional is achieved the memorandum should be attached to the appraisal form on the employees personnel file.

The Civil Service will hold an annual recognition day to honor civil servants who deserve commendation for their outstanding performance in their position of civil service. Individual MACS are encouraged to hold an annual program to recognize exceptional and good service above the expected standards.

7. Unsatisfactory Performance

Any employee, who receives an overall rating of 2 'Needs Improvement' must have a performance re-evaluation plan developed as follows:

7.1 Re-evaluation steps.

- The re-evaluation plan must be made within 10 workdays of the end of year appraisal meeting.
- The re-evaluation plan must detail performance objectives and targets for the next three months and be approved by the reviewer.
- The performance re-evaluation plan will be developed and implemented regardless of if an appeal has been made.
- The re-evaluation plan may have the same objectives and performance measures as the original performance plan but must be a separate document titled re-evaluation plan.
- The supervisor must discuss with the employee the specific recommendations for meeting the minimum performance required during the re-evaluation period.
- The supervisor and the employee should sign the re-evaluation plan.
- If the employee transfers to another position during the re-evaluation process, the re-evaluation process will be terminated. All documents related to the performance appraisal and re-evaluation will remain on the employees personnel file.
- The employee must be re-evaluated within two weeks prior to the end of the three month re-evaluation period. If the employee is absent for more than 14 days the period will be extended by the total number of days of absence, including the first 14 days.

- An employee whose performance during the reevaluation period is documented as not improving may be demoted within the three month period to a lower position or reassigned to another position that has lower level duties and lower salary levels. A demotion or reassignment will end the re-evaluation period.
- The re-evaluation process does not prevent a MAC from taking other disciplinary actions such as issuing additional 'Improvement Needed' or 'Substandard Performance' forms.

If the employee receives an overall rating of 1 'Unsatisfactory', the supervisor shall recommend demotion, reassignment or termination. A rating of Unsatisfactory at the end of the 12 month performance cycle will mean termination unless exceptional circumstances exist. Only when an employee is dismissed can he/she appeal to the Examining Committee of the Board of Appeal as detailed in Section 6.2.3(d) of the Standing orders of the Civil Service.

8. Records Management of all PMS Forms

The three PMS forms, 1) Performance Planning form, 2) Mid-Term Progress Review form, and 3) Annual Performance Appraisal form, and any documents associated with appeals or re-evaluation are official personnel documents and must be retained in the employees official personnel file.

9. Further Assistance

This handbook is meant to provide basic information for implementing the CSA PMS. Further assistance can be obtained from staff of the MAC HR Department or performance management section of the CSA.