



# PERFORMANCE MANAGEMENT POLICY MANUAL

for the

## CIVIL SERVICE OF LIBERIA

Developed By

The Civil Service Agency

In collaboration with

The USAID-Governance and Economic Management Support Project

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DG/CSA

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As we carry out the implementation of the performance management system across government, we look forward to the continued support and cooperation of our partners and stakeholders.

## FROM THE DIRECTOR GENERAL

This new Performance Management Policy manual for the Civil Service of Liberia provides policy provisions and guidelines for institutionalizing the performance management system within Ministries, Agencies, and Commissions (MACs) in the Republic of Liberia.

The aim of the performance management system is to establish a high performance culture in institutions, for improving performance effectiveness and results, building employee capacity, and facilitating communication and information exchange between employees and supervisors.

The performance management system provides a framework for managing and measuring the performance of civil servants, using tools and concepts to improve and optimize individual performance. It serves to identify and actualize development needs, while employing equitable and transparent reward systems to ensure that employees become more productive and effective civil servants.

Performance management must be more than a formal appraisal system; it should be an everyday part of a high-performance culture. Accordingly, all Ministries, Agencies, and Commissions are encouraged to institutionalize this system by setting up mechanisms for the effective management and monitoring of the system within their MACs. All Heads of Institutions must ensure equitable application of the processes and measures across all levels, providing continuous feedback, and utilizing information from the system for management decision making.

The Civil Service Agency is committed to supporting the MACs in strengthening their systems and training their supervisors and employees to implement the system. The Management Services Directorate of the CSA will liaise with all Ministries and Agencies to provide technical assistance and guidance for compliance with the provisions of this policy manual.

I urge all civil servants to embrace the concept of a high performance culture and to apply due diligence while actively participating in the system and in improving their skills to meet the challenges of the new and reformed civil service.



Puchu Leona Bernard, Ph.D.  
Director General  
Civil Service Agency

## LIST OF ACRONYMS

AFT	Agenda for Transformation
CSA	Civil Service Agency
DG	Director General
EDP	Employee Development Plan
GOL	Government of Liberia
HR	Human Resources
IDP	Individual Development Plan
IRC	Internal Reform Committee
JD	Job Description
LIPA	Liberia Institute for Public Administration
LIPA	Liberia Institute of Public Administration
M&E	Monitoring and Evaluation
MAC	Ministries, Agencies, and Commissions
MSD	Management Services Directorate
NCDS	National Capacity Development Strategy
NDGs	National Development Goals
OJT	On the Job Training
PAN	Personnel Action Notice
PIP	Performance Improvement Plan
PMC	Performance Management Cycle
PMS	Performance Management System
PRC	Performance Review Committee
SMART	Specific, Measurable, Achievable, Relevant, and Time bound

## DEFINITION OF KEY TERMS

TERM	DEFINITION
Performance Plans	A set of established work goals and objectives within a specific time frame.
Performance objectives	A specific result that an employee aims to achieve within a time frame and with available resources. As much as possible, performance objectives should be expressed in 'SMART' terms: specific, measurable, achievable, relevant, and time-bound.
Performance Indicators	This is the means by which an employee's objectives can be judged to have been achieved or not achieved. Indicators are tied to objectives and serve as 'yardsticks' for measuring the extent to which the employee achieves the objectives.
Mid-Year Progress Review	A formal feedback conducted at the middle of the year between an employee and his/her supervisor about progress being made towards meeting the employee's set work objectives.
Annual Performance Appraisal	This is a formal process of providing feedback to an employee on how well they worked to achieve set work expectations during the performance cycle. It is conducted at the end of the performance cycle and is intended to be a tool for assessing performance and identifying persisting employee developing needs.
Self-Evaluation	A form of review where an employee takes an objective look at how he/she is performing his/her job to determine what additional knowledge, skills, competencies and resources he/she may need to perform his/her job and meet management expectations.
Peer Review	A form of review where employees provide confidential constructive feedback regarding their peers/colleagues' job performance. This provides supervisors with additional insight on employee performance that they can use in rating the employee.
Upward Evaluation	This occurs when an employee provides anonymous constructive feedback regarding direct supervisors or senior management's job performance. Such insight can provide vital leadership information to facilitate improved performance for senior staff.
Performance Appeal	A formal process to appeal a performance review and process where an employee contends that he/she has been unfairly rated during and at the end of the performance cycle.
Employee Development Plan	A plan containing a set of actions and procedures that provide a structured approach to building an employee's professional capacity by outlining specific goals, targets and an associated timeline to enhance work performance, further develop one's skills and career, while further providing a means for



TERM	DEFINITION
	professional and personal growth in the workplace.
Substandard Performance	Work performance that has been deemed as unsatisfactory as a result of a formal performance evaluation process.
Critical Incident	Any significant performance occurrence in the workplace; it may be a negative or positive incident. It can either generate an opportunity for the employee to improve performance or produce commendation and recognition for the employee by a supervisor or senior management.
Performance Improvement Plan (PIP)	This is a great way to give struggling employees the opportunity to succeed while still holding them accountable for past performance.
Work Plan	A detailed accounting of how an employee and supervisor propose to accomplish a specific task or strategic objective.

## CHAPTER 1- PERFORMANCE MANAGEMENT SYSTEM OVERVIEW

### 1.1. INTRODUCTION

The 14-year civil conflict and its attendant destruction ruined the modicum of merit-based systems instituted by the Civil Service Agency. As a result of the war, unqualified and unskilled persons were recruited in large numbers on the basis of their relationship to various warring factions, while recruitment and promotions were based on ethnicity or social contacts. During this period, Civil Service standards, policies and procedures were also ignored in Liberia.

Since transitioning to peace, the Civil Service Agency (CSA) has embarked upon various reforms to rebuild and revitalize the Civil Service of Liberia. One of the main projects on its current reform agenda is instituting a Performance Management System, to be used across the Government of Liberia, applicable to all civil servants and those who supervise them.

In 2015, the CSA piloted the new Performance Management System across Ministries, Agencies, and Commissions to systematically evaluate, maintain, and improve the performance of civil servants. The new system employs the use of various performance tools while creating an environment for the provision of continuous feedback to employees, identifying employee development needs, and providing development opportunities to improve the performance of the public workforce of Liberia.

The Performance Management System establishes the framework for managing and measuring the input of civil servants with a view to improving the output of the various institutions within the Government. The primary aim of the system is to improve the performance of civil servants to be able to achieve the national development goals of the Government of Liberia, as articulated in the *Agenda for Transformation* and the *Liberia Rising 2030*.

Thus, this policy manual spells out the components of the Performance Management System, including the various processes, tools, and policy provisions for the effective management of the system within the MACs. To ensure effectiveness and sustainability, the ownership of the system must primarily be at the MAC level, with the Civil Service Agency playing a coordinating and regulatory role.

## 1.2. AIMS OF THE PERFORMANCE MANAGEMENT SYSTEM

The major aim of the Performance Management System (PMS) is to establish a high performance culture within institutions for improving performance effectiveness and results, developing employees, and facilitating communication as well as information exchange between employees and supervisors. The goal of the system is to optimize the output and quality of performance of all civil servants, thereby improving the overall performance and service delivery of public institutions.

### 1.2.1. Objectives of the Performance Management System

The specific objectives of the performance management system are to:

- Empower civil servants towards achieving superior standards of work performance by providing clear expectations about their roles and accountabilities.
- Support civil servants and their supervisors in identifying the knowledge and skills required for performing their jobs efficiently and effectively.
- Promote personal growth and career advancement of civil servants by helping them acquire the desired knowledge and skills.
- Promote a two-way system of communication between all supervisors and employees for clarifying expectations, communicating institutional goals, as well as providing regular and transparent feedback for improving employee performance.
- Identify the barriers to effective performance and resolve those barriers through constant monitoring, coaching and employee development activities.
- Create a basis for administrative decision-making, including strategic planning, succession planning, promotions, and merit-base pay increments.
- Boost the performance of all civil servants by empowerment, motivation and implementation of an effective reward system.

*All civil servants must be appraised in a fair and just manner that reflects the quality of their work and output.*

### 1.2.2. Principles of the Performance Management System

The Performance Management System will operate under the following principles:

- i. **Accountability and Ownership:** All individuals, departments, and institutions within the civil service will be held accountable for the achievement of the National

Development Goals within their sphere of authority in an efficient manner that upholds the public's trust in the Government of Liberia.

- ii. **Transparency and Equity:** This process of accountability shall be conducted in an open and transparent manner applying equitable measures across all civil service levels and positions.
- iii. **Fairness and Justice:** All civil servants must be appraised in a fair and just manner that reflects the quality of their work and output. Appraisals must be free from bias and equitably applied to everyone, To ensure justice is applied, accurate information must be collected and used in making decisions and employees should have redress in cases of perceived injustice.

### **1.3. SCOPE AND APPLICATION**

#### **1.3.3. Covered Employees**

The Performance Management System covers all classified civil servants of the Government of Liberia in accordance with Section 8.1.1 of the Standing Orders for the Civil Service.

#### **1.3.4. Probationary employees**

Probationary employees are those personnel who have been hired into the Civil Service but have not yet been confirmed as having completed their stipulated probationary period in the Service. Probationary employees should receive formal performance reviews at three months (if the probation is for three months), and/or approximately three weeks prior to the completion of their probationary periods (if the probation is longer than three months). Supervisors should also provide structured feedback to probationary employees periodically during their probationary periods using the review form or relevant documentation at the institution's discretion, first at 3 months and again at 9 months or as the institution deems appropriate.

#### **1.3.5. Non-Probationary Employees**

Non-Probationary employees are those personnel who have been confirmed as having completed their probationary periods. Non-probationary employees, during the normal performance management cycle, should receive performance reviews at the middle of the performance cycle. Ministries/Agencies should use the Mid-year Progress Review Form for these interim evaluations. The date, reviewer, and the employee's signatures are required for any written review.

Interim progress reviews may also be conducted at any time during the performance cycle, as necessary, for both probationary and non-probationary employees to advise an employee of his or her progress or to document performance problems. Such interim documentation

should be maintained in the supervisor's file, with a copy in the employee's file, to be utilized at a future date or during the employee's annual performance appraisal process.

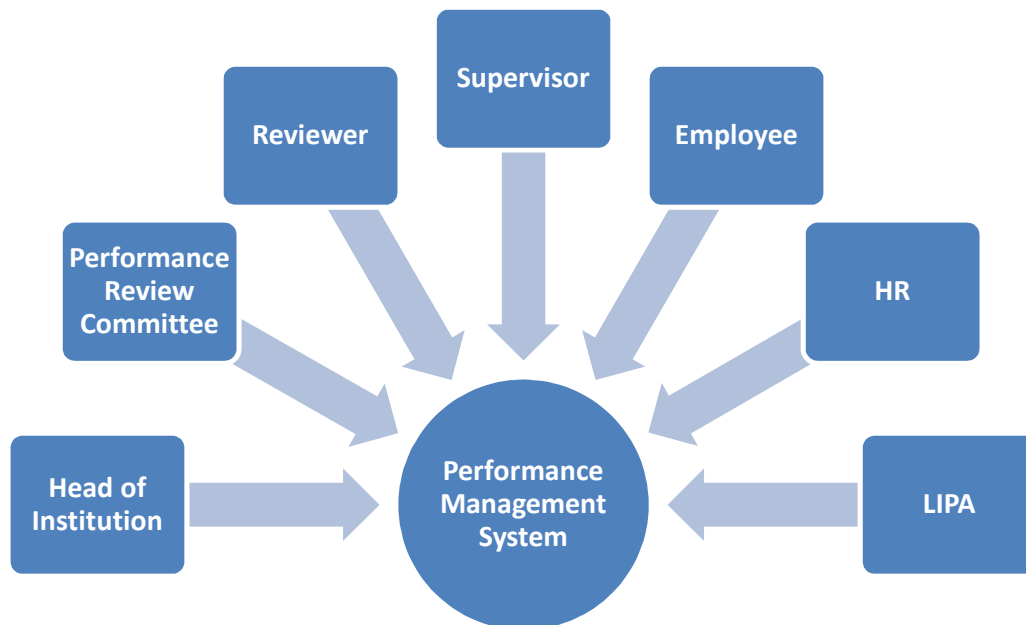
#### **1.4. SOURCES OF AUTHORITY**

The Civil Service Performance Management System is compliant with the regulatory framework that governs performance management at all levels in the Civil Service of Liberia. The PMS is also congruent with the GOL's strategic level documents and policies. Its specific policy and regulatory sources of authority are as follows:

- The Constitution of the Republic of Liberia, 1986
- The Civil Service Agency Act, 1973
- The Standing Orders for the Civil Service, 2012
- The CSA Human Resource Policy Manual (Revised), 2014
- The Liberia Rising Vision 2030
- The Agenda for Transformation, 2012
- The National Capacity Development Strategy, 2011

## CHAPTER2 – ROLES AND RESPONSIBILITIES

The roles and responsibilities of all participants in the performance management system are described below. Each individual or group has a unique role to play to ensure that the process for conducting employee performance reviews is successful.



*Figure 1 – Roles & Responsibilities in the Performance Management System*

### 2.1. Head of Institution

All Heads of institutions must play an instrumental role in establishing and maintaining the integrity of the entire performance management system by keeping abreast of the performance management cycle and providing decision making authority, when necessary. Therefore, Heads of institutions should be familiar with the process and how it functions and should attend trainings on performance management.

### 2.2. Performance Review Committee

The Performance Review Committee (PRC), which may be the Institution's existing Internal Reform Committee (IRC) or a related committee composing of senior directors and headed

by the Deputy Minister or Deputy Director General for Administration, must play an important role in ensuring fairness and transparency in the performance management system. The following are the key roles and responsibilities of the PRC:

- i. Ensure that fairness and justice is accorded to each employee by reviewing and mediating in grievances and appeals cases.
- ii. Provide oversight in monitoring the overall process by ensuring that policies and standards are applied consistently to all employees.
- iii. Review collated appraisal results for the institution, determine performance trends and general issues emanating from the processes and recommend to management solutions in improving the process.
- iv. Review collated appraisal results and determine rewards, recognition, and sanctions to be applied as appropriate, and make recommendation to management for approval.

### **2.3. Reviewer**

The reviewer is the line manager of the employee's supervisor and is either a Director, Assistant Minister, or Deputy Minister. The reviewer must review and approve the employee performance and development plans upon completion. They are also responsible for reviewing the results of the performance evaluation when it has been completed by the supervisor and shared with the employee.

If the reviewer does not agree with the outcome of the appraisal, the reviewer should discuss the issue(s) with the supervisor. The reviewer has the added responsibility of providing overall comments either in agreement or disagreement with the supervisor's assessment. However, it is important that the reviewer serves as an effective mediator in getting both supervisor and employee to reach an amicable accord.

If the reviewer, for whatever reason, is unable to review the evaluation form, the next level of management should conduct the review.

### **2.4. Supervisor**

A supervisor is given the authority and responsibility by management to perform oversight functions over junior staff and the affairs of a department/section, often serving as a direct link between staff and senior management. The role of the supervisor as it relates to performance management is to:

- Develop, manage, and evaluate work performance and provide regular feedback to assist the employee to perform his/her job duties; and
- Provide opportunities for employee development and advancement.

The supervisor conducts the performance planning, mid-year review, and the annual performance appraisal meetings. He/she should also provide ongoing feedback to employees through formal and informal interim progress reviews. In this manner, an employee's work is sufficiently monitored with clear job expectations regarding the achievement of departmental and institutional goals.

## **2.5. Employee**

The employee has a critical role to play in the performance management process, as he/she must accept responsibility for his/her own success within the institution. Employees must constantly assess their skills and competencies needed to perform their job and to measure their own progress towards obtaining institutional as well as personal goals and objectives.

During the annual performance evaluation period, an employee should complete an Employee Self-Evaluation form to assess his/her performance, which will prepare the employee for the actual annual appraisal meeting.

## **2.6. Human Resources Department**

The Human Resources Department of the institution is responsible for the following:

- Initiating communication of the performance management timelines and activities associated with it;
- Assisting management with developing and actualizing employee development plans and training needs;
- Serving as custodian of the performance management system documentation, including all forms/tools, instruments, and all other relevant documents;
- Serving as a resource person within the institution to provide technical guidance on the PMS.
- Providing management with relevant reports regarding performance appraisal outcomes.

## **2.7. Liberia Institute for Public Administration (LIPA)**

LIPA is mandated as the training provider for the public sector of Liberia to provide capacity-building support for sustained quality service delivery. All institutions of government, therefore, should collaborate with LIPA in training their supervisors and employees on the performance management system as well as supporting their annual training needs, which should arise from employee performance and/or development plans during the performance management cycle.



## CHAPTER 3 - THE PERFORMANCE MANAGEMENT CYCLE

The Performance Management Cycle for all civil servants is Jan 1 – Dec 31 each year. The cycle begins with the development of an employee performance plan based on job expectations of what is to be accomplished during that year. It ends with the formal administration of an annual performance evaluation and subsequent preparation of a staff development plan.

To be effective, this process has to be an **on-going** and **interactive** process between the employee and the supervisor about the employee's performance. Face-to-face, on-going communication is an essential requirement of the process and covers the full performance cycle. Clear job expectations and responsibilities can be established in relation to institutional goals and objectives, resulting in improved communication between employees and supervisors.

For the purpose of clarity, the cycle is divided into the following phases:

- Performance Planning
- Mid-Year Progress Reviews
- Annual Performance Appraisal
- Managing Performance Outcomes

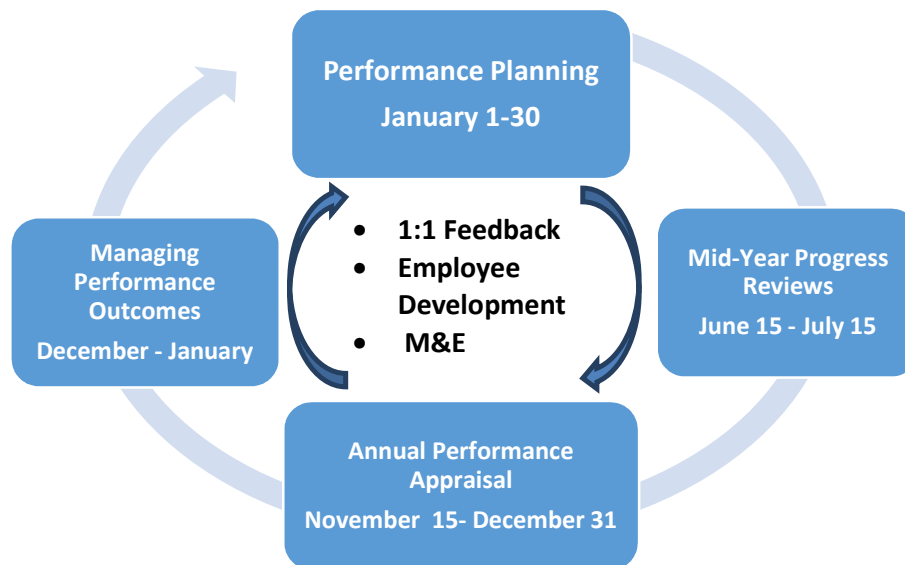


Figure2 – The Civil Service Performance Management Cycle

### 3.1. Performance Planning<sup>1</sup>

Performance Planning is the first step in the Performance Management process. It is a dialogue between a supervisor and an employee to:

- outline the major duties assigned to the position,
- establish and agree on performance goals and expectations,
- clarify what the employee will be evaluated on, and
- set the stage for ongoing feedback and coaching throughout the year.

Getting employees involved in the planning process will help them understand the **goals of** the institution, what needs to be done, why it needs to be done, and how well it should be done. The requirements for planning employees' performance include establishing the objectives and standards of their performance. Performance objectives and standards should be **specific, measurable, achievable, relevant, and time-bound**. These plans should be a working document that should be discussed often to enhance performance and should not be perceived as paper work that is kept on file until performance rating is required. Supervisors and employees should engage in performance planning discussion at least once annually (see below for the performance cycle timelines and corresponding dates). For new employees, this discussion should occur within the employee's first week on the job.

*Table 1: The Performance Management Cycle Timelines*

ACTIVITIES	TIMELINE
Performance Planning	January 1 - 30
Mid-year progress reviews	June 15 – July 15
Annual Performance Appraisal	November 15 – December 31
Managing Performance Outcomes	January – March of the following year

### 3.2. Mid-Year Progress Reviews<sup>2</sup>

Supervisors should continuously monitor employee performance to:

- determine progress and/or identify obstacles in achieving objectives and targets;
- deal with performance-related problems;
- identify and provide the support needed;

<sup>1</sup> Details of the processes involved with the Performance Planning are outlined in Chapter 4.

<sup>2</sup> Details of the processes involved with the Mid-Year Review are outlined in Chapter 5.

- modify objectives and targets; and
- ensure continuous learning and development.

### **3.3. Annual Performance Appraisal<sup>3</sup>**

The annual performance appraisal discussion is an extremely important component of the performance management process. It is the culminating conversation between the supervisor and employee regarding:

- where performance exceeded, met, or fell below expectations,
- the learning and development need and received,
- goals that were set and achieved by the staff member, and
- feedback from others affected by the staff member's performance.
- objectives for the next performance management cycle.

The information from the performance review is critical not just for performance improvement, but for human resource decisions, including step increases and appropriate job assignments. It is this overall annual performance assessment score that is to be used as the basis of deciding career progression for the employee.

It is a requirement that all civil servants receive an annual appraisal that is discussed, documented, and submitted to Human Resources for the employee's personnel file.

### **3.4. Managing Performance Outcomes<sup>4</sup>**

Effective performance planning, mid-year reviews, and annual appraisals produce outcomes that benefit civil servants and public institutions. Performance outcomes, which are the end-products of the first three components of the performance cycle should cover further development recommendations, any offers of rewards and sanctions, and issues for further discussion and resolution.

When considering rewards for employees, institutions should ensure that they are merit-based, fair and transparent. Several options for rewards are recommended in Chapter 6 of this policy manual.

Institutions should also apply sanctions for poor performance in line with this policy and the Standing Orders for the Civil Service.

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<sup>3</sup> Details of the processes involved with the Annual Performance Appraisals are outlined in Chapter 5

<sup>4</sup> Details of the processes involved with Managing Performance Outcomes are outlined in Chapter 6.

## CHAPTER 4 - PERFORMANCE PLANNING

### 4.1. Performance Planning Tools

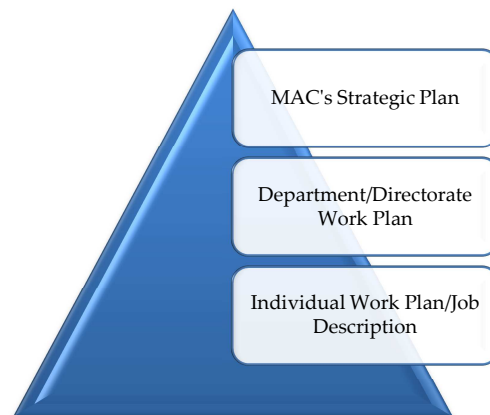
#### 4.1.1. Work Plans

To allow for effective performance planning, several documents are required to clearly outline institutional and departmental priorities around which employees should plan their work for the period. These documents include:

- i. The Institutional Strategic plan, which is aligned to the Agenda for Transformation (3 -5 years).
- ii. The Departmental workplan (Annual, biannual, or quarterly)
- iii. Individual workplan (annual, quarterly, monthly, or weekly)

The senior management team of all government institutions should develop the institution's strategic plan or annual work plan, which should be used to create work plans for the various departments within the institution. Senior management should clearly define key deliverables and their corresponding indicators and targets and outline the required resources for achieving them. Departmental work plans should follow the same structure, drawing from the institutional work plan.

In line with this process supervisors, in collaboration with their employees, should develop the employee's individual work plan by setting individual performance targets and indicators derived from the departmental work plan.



*Figure3 – Hierarchy of Work Plans*

Where these exist, a supervisor and employee should use the institution's strategic plan and departmental work plan during performance planning. Otherwise, performance plans should

be developed from the supervisor's understanding of the priorities of the department for the year.

#### 4.1.2. Job Descriptions

All civil servants must have a job description. Supervisors should ensure that each member of staff has an up to date job description. Any changes to job descriptions must be authorized by the department head and approved by the Head of institution. The job description must outline the purpose and the expected outcomes of the position and comprise the following elements:

- i. Position Title
- ii. Reports Directly To
- iii. Directly Supervises
- iv. Departmental/Functional Relations
- v. External Relations
- vi. Purpose
- vii. Key Result Areas :
- viii. Duties:
  - o General Management Functions
  - o Technical Duties
  - o Supervisory Functions
- ix. Authority Limit
  - o Management Of Budget
  - o Staff Management
  - o Asset Management
- x. Educational And Work Experience
- xi. Other Requirements

The HR department should hold a central copy of all job descriptions in the institution.

#### 4.1.3. Performance Plans

All Supervisors should develop and approve the performance plans of all employees they supervise, in collaboration with the employees, **within thirty (30) days** of the beginning of the Performance Cycle. It is very important that both the supervisor and the employee jointly prepare the plan because the employee's input in setting objectives and indicators are crucial to taking ownership.

*All Supervisors should develop and approve the performance plans of all employees they supervise within thirty (30) days of the beginning of the Performance Cycle.*

The steps in the performance planning process are outlined below:

**Step 1:** Management and Human Resources communicate the process and timelines to all employees.

**Step 2:** Supervisor and Employee set an appropriate time and venue for the performance planning meeting.

**Step 3:** Supervisor and Employee prepare for performance planning meeting.

**Step 4:** Supervisor and Employee hold performance planning meeting to set objectives for the performance period as follows:

- Supervisor and employee identify employee's priorities based on departmental work plan.
- Supervisor and employee develop, discuss and agree on SMART objectives in line with identified priorities.
- The objectives should be specific, measurable, achievable, relevant, and time bound.
  - ***Example of Objective for Clerical Officer:*** Label and store all new documents for easy retrieval on a weekly basis between January and December 2016.
  - ***Example of Objective for Asset Manager:*** Develop and submit monthly reports on maintenance of vehicles and generators at the end of each month.
- Supervisor and employee identify the required performance indicators for each objective. Performance Indicators determine how the achievements will be measured and what outputs will be expected.
  - ***Example of Performance Indicators for Clerical Officer:*** Number of new documents labeled and stored.
  - ***Example of Performance Indicators for Asset Manager:*** Monthly reports submitted at the end of each month.
- Supervisor and employee discuss key resources required for the attainment of objectives.
- Supervisor and employee discuss the employee's development needs and conclude on a development plan.
- Supervisor and employee complete the document and sign the performance plan indicating that they are in agreement with the objectives developed.

**Step 5:** Supervisor keeps a copy of the performance plan, give a copy to the employee, and forward the completed and signed forms to the Reviewer.

**Step 6:** Reviewer crosschecks the performance plans and, if satisfied, counter-signs the form. If revisions are required, the reviewer should discuss and agree with the supervisor and employee, who will then revise the performance plans for signatures (i.e. repeat Steps 4-6).

**Step 7:** Reviewer keeps a copy of the performance plan and submits the original document to the Human Resources Department for collating and filing.

**Table 2: Are Your Performance Objectives SMART?**

Specific	Measurable	Achievable	Relevant	Time bound
<p>Are your performance objectives specific?</p> <p>A general statement such as “conduct training” does not provide enough information about what the training is about or who will be trained.</p> <p>The correct example would be</p> <p><i>“Conduct <u>training in records management for records clerks</u>”</i></p>	<p>Can you measure the performance objectives?</p> <p>If you cannot measure it in some meaningful way, you won’t know whether the objective has been achieved.</p> <p>E.g.:</p> <p><i>“Complete <u>2 Trainings</u>” OR</i>  <i>“Attend to all <u>visitors with courtesy,</u>” etc.</i></p>	<p>Are the performance objectives achievable? Are the objectives tasks that the employee can accomplish within the time frame?</p>	<p>Are the performance objectives relevant to your department’s work plans and your job descriptions?</p>	<p>Is there a timeframe within which the targeted performance needs to be achieved?</p> <p>Is the timeframe realistic, considering available resources and support required?</p>

**4.2. Performance Plans for Probationary Employees**

All civil servants who are on probation due to new hire or a change of employment status resulting from promotion, demotion, or transfer, should complete a performance plan, which should be approved and submitted to the HR department **within thirty (30) days** of the effective date of the hiring or change in employment status.

**4.3. Prolonged Absence and Staff Movement**

- i. Normal periods of leave do not usually interfere unduly with the employee’s performance management cycle. In the case of prolonged absence, supervisors and employees should have a discussion to reach a mutual agreement on the ability to execute a meaningful rating for that period or for an annual assessment. If it is not possible to evaluate the employee’s performance during the midyear review or annual appraisal, it must be indicated in writing.

- ii. New work plans should be developed upon return from a prolonged absence for the remaining period of the cycle.
- iii. While an employee is not penalized for an approved leave, it is also true that an employee who has been absent for a prolonged period, has not rendered the same service as an employee who did not have such prolonged leave. Supervisors must carefully consider the rating and assessment of an employee who has been on prolonged leave of absence to ensure that the assessment is equitable for all employees who are on leave, while considering the contribution of coworkers who had to do more work because their colleagues were absent.

#### **4.4. Changes to the Performance Plan**

Changes to the performance plans may be required during the performance cycle to attend to additional special assignments spanning over a period that may reasonably affect the employee's ability to achieve the earlier objectives set (e.g. one month and above). There is, therefore a need to modify the employee's performance plans so that the employee can be rated fairly at the end of the period.

- i. All changes to the performance plan should be documented on the official form, and initialed and dated by the employee, supervisor, and reviewer. If it is necessary to add more pages, each page should be initialed and dated by all parties and the page(s) attached to the original form.
- ii. If a supervisor changes an employee's performance plan during the performance cycle, the employee should be evaluated based on the performance plan in effect during each portion of the cycle. Evaluations of performance during each portion of the cycle should be consolidated to an "overall" rating and documented on the form that is in effect during the cycle.

#### **4.5. The Employee Development Plan**

All supervisors should prepare individual Employee Development Plans for their employees as a basis for developing their skills and competencies for improved their work performance. The plan must include employee development goals, affirmative steps, and resources needed and should relate to the employee's skill deficiencies as required by the job<sup>5</sup>.

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<sup>5</sup>See Chapter 7 for more information on employee development activities



## CHAPTER 5 - PERFORMANCE EVALUATIONS

The formal part of the performance evaluations shall consist of two phases: the mid-year progress reviews and the annual performance appraisals. The purpose of the mid-year progress reviews is to review progress of the achievement of employee's objectives planned at the beginning of the year, to identify challenges, and to take corrective action to mitigate them. The purpose of the annual performance appraisals is to assess the achievement of objectives for the year as well as rate the employee's work-related behaviors.

Review meetings are an integral part of the performance monitoring process. Mid-year and annual review meetings must be supplemented with regular one-on-one review meetings, as appropriate, to ensure that both supervisor and employee have a clear understanding of the performance of the employee and to address any concerns either party may have. Employees should also be encouraged to request meetings as appropriate to their needs.

### 5.1. MID-YEAR PROGRESS REVIEWS

All civil servants are required to undertake at least one (1) mid-year progress review during each annual performance cycle. This should be done from June 15 – July 15 of each year<sup>6</sup>. The form for this exercise can be accessed at Appendix 2 of this document and is also available in the CSA website: <http://csa.gov.lk/>.

#### 5.1.1. Steps in the Mid-Year Review Process

The steps in the mid-year review process are outlined below:

**Step 1:** Management and Human Resources communicate the process and timelines to all employees.

**Step 2:** Supervisor and Employee establish an appropriate time and venue for the review meeting.

**Step 3:** Supervisor and Employee prepare for review meeting.

**Step 4:** Supervisor and Employee hold review meeting to discuss performance.

**Step 5:** Supervisor documents performance review feedback and rating on mid-year review form.

**Step 6:** Employee provides input on performance.

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<sup>6</sup>The report from the process should be submitted to the CSA by the institution by July 30<sup>th</sup> of the same year.

**Step 7:** Both Supervisor and Employee make adjustment(s) to the objectives and sign review form.

**Step 8:** Reviewer crosschecks feedback and ratings and, if satisfied, counter-signs review form. If revisions are required, the reviewer should discuss and agree with the supervisor, who may then revise the form for signatures (i.e. repeat Steps 4-8).

**Step 9:** Reviewer submits review forms to the Human Resources department for collating and filing.

**The Supervisor**, when preparing for the review meeting should consider the following:

- Review the previous period and make adjustments to the objectives for the next period;
- Review capacity gaps and prepared training and development needs and support;
- Seek appropriate feedback/information from relevant stakeholders to support the process. This may be individuals who the employee worked with in accomplishing the objectives;
- Review and update all relevant documentation; and
- Identify the internal/external factors affecting the employee's performance.

**The Employee**, when preparing for the review meeting should consider the following:

- Review previous objectives and identify possible new objectives;
- Collect supporting documentations on performance delivered;
- Identify factors that affected his/her performance and identify the necessary support that would be required including training and development needs; and
- Reflect on the feedback to be given to the supervisor.

The review meeting should be a one-on-one discussion between the supervisor and the employee in a private and confidential environment. The discussion should provide an opportunity for the employee to appraise his/her own performance and its contribution to organizational goals and identify areas of improvement. The supervisor should fully recognise achievements and be supportive with ideas for problem solving, where required.

### **5.1.2. Documenting Critical Incidents**

In the event of extraordinary performance by an employee, supervisors are encouraged to recognize and document incidents of exceptional employee performance. Additionally, substandard employee performance should also be documented by the supervisors. Such incidents of exceptional or substandard performance are known as 'Critical incidents'.

The goal of documenting critical incidents is to provide feedback to improve performance or encourage exceptional performance by employees. It is important to document and attach all

critical incidents of employee performance during the performance management cycle to support evidence of overall ratings of exceptional or substandard employee performance. Extraordinary and Substandard employee performance can be captured as critical incidents at any point in time during the performance management cycle using the Critical Incident Form in Appendix 5.

### **5.1.3. Rating Scale**

The rating scale for the mid-year performance review form is a five-point rating scale that measures employee performance as follows:

- 5- Exceptional – Performance exceeds all expectations.
- 4- Excellent – Performance exceeds most of work expectations.
- 3- Satisfactory – Performance consistently meets most work expectations.
- 2- Needs Improvement – Performance does not consistently meet expectations.
- 1- Substandard – Performance does not meet job requirements.

Supervisors should rate employees fairly in accordance with their work outputs for the period under review. Supervisors who give employees overall ratings of ‘Exceptional’ or ‘Unsatisfactory’ must substantiate the ratings with the appropriate critical incident forms.

## **5.2. ANNUAL PERFORMANCE APPRAISALS**

All civil servants are required to undertake an appraisal of their performance for the period January to December of each year. The annual performance appraisals begin from November 15 to December 31 each year. All documents and reports from the process should be submitted to the CSA by the 15<sup>th</sup> of the same year

### **5.2.1. General Guidelines**

The annual review form should be used for annual appraisals for all civil servants. This form can be accessed at Appendix 4 of this document and is also available in the CSA website: <http://csa.gov.lr/>.

### **5.2.2. Steps in the Annual Appraisal Process**

The steps in the annual appraisal process are outlined below:

**Step 1:** Management and Human Resources communicate the process and timelines to all employees.

**Step 2:** Supervisor and Employees establish an appropriate time and venue for review meeting. (The supervisor should schedule a separate meeting for each employee being supervised).

**Step 3:** Supervisor and Employee prepare for annual appraisal meeting. (Employee should use the self-assessment form in Appendix 3 for assessment of own performance.)

**Step 4:** Supervisor and Employee hold appraisal meeting to discuss performance.

**Step 5:** Supervisor documents performance review feedback and rating on annual appraisal form.

**Step 6:** Employee provides input on own perceptions of performance.

**Step 7:** Supervisor and Employees set new objectives for the next year and document any learning and development needs.

**Step 8:** Supervisor and Employee sign the form and forward to Reviewer.

**Step 9:** Reviewer crosschecks the feedback and ratings and, if satisfied, counter-signs appraisal form. If revisions are required, the reviewer should discuss and agree with the supervisor, who may then revise the form for signatures (i.e. repeat Steps 4-8).

**Step 10:** Reviewer submits the appraisal forms to the Human Resources Department for collating and filing.

**The Supervisor,** when preparing for the annual appraisal meetings should consider the following:

- Review employee's performance against objectives developed for the entire year.
- Develop draft of new performance objectives for the next year;
- Review needed support and draft training and development needs and implementation plan;
- Seek appropriate feedback/information from relevant stakeholders to support the process. These may be individuals who worked with the employee in accomplishing the objectives, such as peers, subordinates, supervisors, and customers/partners.
- Review and update all relevant documentation; and
- Identify the internal/external factors affecting the employee's performance.

**The Employee,** when preparing for the review meeting should consider the following:

- Review performance against objectives developed for the entire year and prepare an update of achievements and challenges for the supervisor.
- Identify possible new performance objectives for the next year;
- Collect supporting documentations on performance delivered;
- Identify factors that affected his/her performance and identify the necessary support that would be required, including training and development needs; and

- Reflect on the feedback to be given to the supervisor

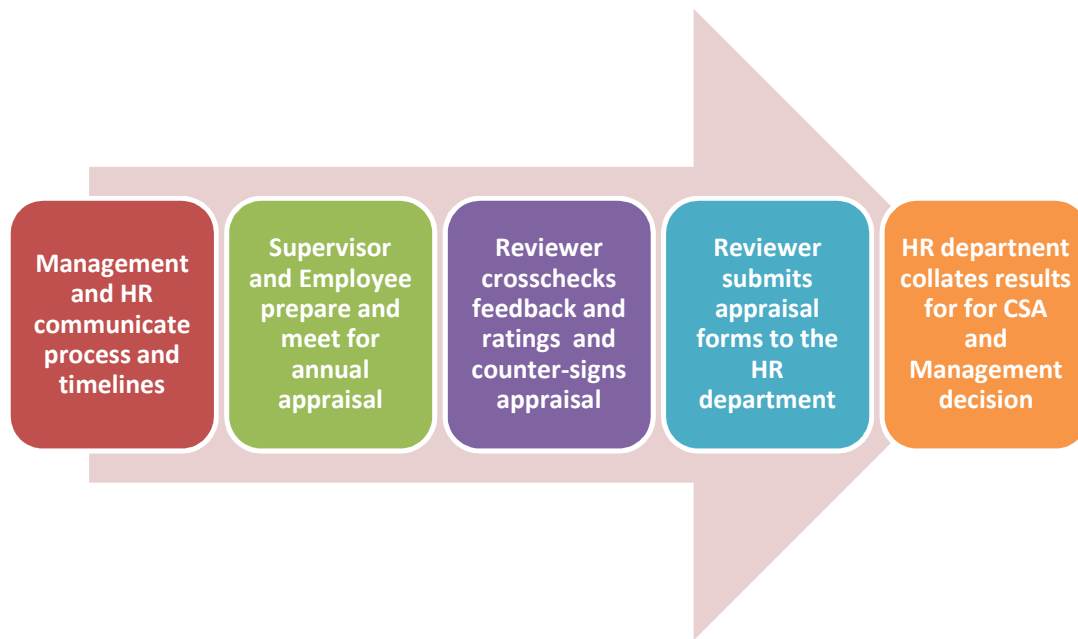


Figure 4: Steps in the Annual Appraisal Process

### 5.2.3. Sources of Rating Errors

When evaluating employee performance, supervisors often make several common rating errors. Learning about these errors can help raters avoid them. Institutions should implement training, communications, and monitoring programs to enhance the skills of supervisors in providing accurate ratings for their employees.

The following are common sources of rating errors:

#### a. Halo/horn effect

The halo effect occurs when an employee is extremely competent in one area and therefore rated high in all categories. On the other hand, the horn effect occurs when a weakness of the employee results in an overall low rating of that employee.

*Example: A driver is literate but does not have good driving skills; the supervisor may give him/her high scores in all other areas on his/her appraisal just because he/she is literate. On the other hand a driver who has good driving skills, is helpful to everyone may receive low scores in every category because he/she is illiterate.*

#### b. Recency

A supervisor may give more weight to something that happened in recent times and disregard an employee's earlier performance during the appraisal period. This usually

happens due to the inability of the supervisor to remember the employee's earlier performance. Due to this error, many employees improve their performance in anticipation of a higher score on their appraisal.

*Example: In the last two months of the year, an employee comes to work on time and is very attentive and goes above and beyond the call of duty. However, in the first ten months of the year, he/she was never on time and performed only the bare minimum required on the job.*

**c. Primacy**

Unlike the recency error, primacy occurs when an appraiser gives more weight to the employee's earlier performance and does not pay attention to recent occurrences, which may have changed drastically. *Example: The supervisor rates the employee on the first six months of poor performance but does not recognize the improvements in the employee's performance over the last six months.*

**d. Bias**

As the word implies, a supervisor allows his/her values, beliefs, or prejudices to influence his/her ratings of an employee, either consciously or unconsciously. Sometimes, an employee's ethnic group, religion, gender or other non-job-related factors can also influence the rater to change the appraisal information.

*Example: A supervisor believes that women make better nurses and therefore rates them higher than their male co-workers.*

**e. Strictness**

This error occurs when some supervisors refuse to give employees high scores because they have higher expectations than other supervisors within the same institution. Even though their employees perform better than other employees, they receive lower ratings from that supervisor.

*Example: A supervisor who believes that only one employee can be rated "Exceptional" will rate several exceptional performers in his department lower as compared to ratings by other supervisors.*

**f. Leniency**

The leniency error occurs when a supervisor gives all the employees higher scores than they deserve because he/she does not want to offend them.

*Example: All employees in a department, who are supervised by the Director, receive high scores because he/she does not like to offend anyone.*

### **g. Central tendency**

The central tendency error occurs when an appraiser rates all employees within a narrow range, regardless of differences in actual performance.

*Example: A supervisor may act like a teacher and give every employee a performance rating of 60-70% even though there is a huge difference that exist in individual performance.*

### **h. Contrast**

The contrast error occurs when a supervisor compares and strictly determines an employee's rating based on another employee's performance instead of using an objective performance standard or the employee's performance plan. While it may be okay to rank employees and compare their performance with one another, appraising performance must be based on objective standards applicable to them and their position.

*Example: A supervisor of a division rates an employee based on whether he/she can speak French fluently in comparison to another employee who speaks French fluently. Instead of rating the employee against the actual performance standards of the job, which does not require employees to speak French, he/she compares the employee to the one who speaks French fluently, as required by his/her job*

#### **5.2.4. Rating scale**

The rating scale for the annual appraisals is a range of values from "1" to "5" with "5" as the value for the highest level of performance. The following definitions for the rating scale are provided as a general guideline:

- 5- Exceptional – Performance exceeds all expectations.
- 4- Excellent – Performance exceeds most of work expectations.
- 3- Satisfactory – Performance consistently meets most work expectations.
- 2- Needs Improvement – Performance does not consistently meet expectations.
- 1- Substandard – Performance does not meet job requirements.

Supervisors should assign a total score to employees. The overall possible total score shall be 100: 70% of which shall represent the score of achievement of objectives set for the period, and 30% constitutes the score for the assessment of work-related behaviors/competencies.

Supervisors should include comments on specific examples of behaviors exhibited and results achieved by employees. Only information that is relevant to the ratings should be included.

#### **5.2.5. Categories of Performance**

At the end of the rating and based on their total scores, employees will fall into one of several categories of performance as follows:

**Table 3: Overall Categories of Employee Performance**

<b>Overall Rating</b>	<b>Category</b>	<b>Description</b>	<b>Remedial Action</b>
0 -40	Substandard Performance	Performance is below the minimum requirements for the job.	Requires immediate review and action, including re-assignment, training, and/or initiation of a Performance Improvement Plan (PIP).
41- 60	Needs Improvement	Performance meets some of the standards required for the job but leaves room for improvement.	Employee requires additional development in deficient technical areas though formal or on-the-job training and coaching.
61- 80	Satisfactory Performance	Good, solid performance. Consistently fulfills most job requirements and goals.	Acceptable. Employee may require additional training and motivation.
81- 90	Excellent Performance	Excellent performance that consistently generates results that exceed the requirements of the position. Contributes in an excellent manner to technical and functional innovations	Excellent. Employee may require recognition and motivation.
91- 100	Exceptional Performance	Outstanding performance that results in extraordinary and exceptional accomplishments with significant contributions to goals of the Department, Division, or Institution.	Exceptional. Employee may require recognition and motivation, and serve as a resource for training others.



## CHAPTER 6 - MANAGING THE OUTCOMES OF PERFORMANCE EVALUATIONS

### 6.1. Rewards and Recognition

While it is appropriate to compensate all employees in a fair and consistent manner,

- some employees perform at an **exceptional level** by either doing significantly more than what is normally expected of the position or by working on special projects of major importance in addition to assigned duties and responsibilities,
- by performing their regular duties at a **good level** that far exceeds expectations,
- by performing their regular duties at a **satisfactory level**, or
- by performing their regular duties at a level that is **unsatisfactory** or **needs improvement**.

Therefore, the Civil Service Agency encourages the use of merit awards, bonuses, promotions etc. as a positive method to inspire excellence based on the overall performance assessment score, and to apply disciplinary actions for recurrent non-performance.

There are many ways that employees can be rewarded; therefore, institutions must determine and establish transparent processes in which employees receive rewards and recognition.

### 6.2. Rewards for Extraordinary Performance

Supervisors are encouraged to recognize employee performance that truly is extraordinary. A supervisor should record incidents of extraordinary performance on a simple form that lists the extraordinary performance and its importance to the strategic interest of the institution.

The form must be signed by the supervisor and given to the employee and a copy retained in the supervisor's confidential file until the annual performance evaluation is completed. The extraordinary performance form must be attached to the annual evaluation form to support the performance scores.

#### 6.2.1. Special Gratification

A Civil Servant who has exhibited exemplary performance may be granted a special gratification, in accordance with Laws governing the Civil Service (e.g. Civil Servant of the Year Award), with attendant cash reward.

### 6.2.2. Non-recurring Performance Bonus

Institutions may give lump sum or cash-equivalent awards on a one-time basis as special recognition of **Exceptional and Excellent** performance within a performance cycle. These awards are not mandatory, but contingent on availability of funds and institutional priorities. Institutions should determine the appropriate performance bonus for their staff. However, the bonuses should not exceed 5% of the annualized base salary of the employee.

**Note:** *Bonus awards should be funded through the institution's budget. The above policy simply creates statutory approval for the allocation of such funds for the stated purposes and in accordance with the intent of the PMS.*

### 6.2.3. Merit Step Increase

Employees may be promoted to a step immediately above their current step if the employee's performance levels are continuously impressive over a long term, (i.e. at least two performance cycles). Step increases may not in any case exceed one step unless otherwise directed and approved by the Director-General of the Civil Service Agency. This grade promotion is open to any civil servant who has:

- i. Completed two (2) performance cycles at the same level in an Institution of the Civil Service.
- ii. Scored overall performance ratings in the **Exceptional** and **Excellent** performance categories during two (2) consecutive performance cycles.
- iii. Has not been penalized with a serious disciplinary action during the last two years, as provided for in the Standing Orders of the Civil Service of Liberia.

All merit step increases take effect in the next budget period following due approval by the CSA.

### 6.2.4. Non-financial Performance Incentives

Financial rewards on their own are not always sufficient to motivate staff towards performance excellence. Other creative ways for recognizing performance that does not result in cash payments should be explored. Heads of institutions may introduce mechanisms for non-financial recognition to stimulate performance provided they fit into the budget and do not change any basic condition of employment.

The following are examples of recognition that can be considered:

- i. Acknowledgement and recognition of performance excellence in institutional publications; specially created awards and certificates; citations at conferences/meetings; attendance at conferences etc.
- ii. Public awards of various kinds made by management in recognition of a specific achievement or innovation, or for consistent achievement over a specific period.

- iii. Specific access to specialized training and development opportunities.
- iv. Participation on a prioritized rotation basis in study tours overseas.

#### **6.2.5. General Guidelines for Awards**

To ensure transparency, equity and consistency in administering this program, awards must comply with the following guidelines:

- i. Any salary adjustments are subject to applicable statutory limits.
- ii. Gratification awards should not be construed as establishing an automatic or mandatory increases for attainment of certain ratings on performance evaluations.
- iii. Documents relating to gratification awards should be addressed to the Director General of the Civil Service Agency for approval after a thorough review by the internal Performance Review Committee (PRC), which may be the Agency's existing Internal Reform Committee (IRC). Requests will be evaluated for availability of funding in the current approved budget and for compliance to policy and statutory guidelines. Paperwork will be returned along with a written communication.
- iv. If the requesting Agency receives approval, a completed Personnel Action Notice (PAN) should be sent to the Civil Service Agency, as per the usual procedure to initiate the change to the employee's salary or the granting of the lump sum award.
- v. Approved awards will become effective on the first day of the next payroll period after the new budget year.

*Note: The employee should not be informed of the award until an approval is communicated to the institution by the CSA.*

#### **6.2.6. Budget for Performance Incentives**

The performance management cycle runs from January to December each year. In order to adequately cover the cost of rewarding employees to encourage exemplary performance, institutions should incorporate a performance budget into their overall budget.

It is expected that, as with a normal distribution curve, a majority of employees should fall into the Good to Satisfactory performance category and **not more than 20%** should fall into the excellent and exceptional categories. Performance Review Committees should take care to properly vet the appraisal ratings of employees to ensure that only truly exceptional employees are recognized.

### **6.3. Corrective Measures/Sanctions for Substandard Performance**

#### **6.3.1. General Guidelines for Substandard Performance**

- i. Supervisors should identify substandard performance ahead of the annual appraisal period, taking adequate time to identify and address the reasons behind substandard performance, which could include poor work environment, inadequate resources and working tools, limited employee capacity, or attitudinal issues, etc.
- ii. First-time or minor performance issues should be addressed through performance counseling, coaching, and other relevant support.
- iii. In recurrent or serious cases, supervisors may issue a notice to the employee with a Performance Improvement Plan (PIP) form at any time during the performance cycle. A reviewer must approve and sign such notice.
- iv. The PIP should include details of the substandard performance, an improvement plan, as well as any additional support to be provided to the employee with a timeline for improvement of no less than 30 days or more than 90 days. The Performance Improvement Plan should be developed by the supervisor and the employee in agreement with the plan. If an agreement cannot be reached, the supervisor establishes a revised improvement plan.
- v. When the annual appraisal is completed, the PIP must be attached to the appraisal form if the overall appraisal reflects a rating of 'Substandard Performance'. Otherwise, the form is retained in the supervisor's confidential file.
- vi. An employee cannot be given an overall rating of 'Substandard Performance' on an annual appraisal unless the employee has received at least one notice of PIP or a written notice for any reason regarding failure to perform.
- vii. Note that the issuance of a PIP does not necessarily require that the employee should be given a Substandard Performance rating at the annual appraisal. Rather, it allows a substandard performer the opportunity to improve on his/her performance over the duration of the performance cycle. However, if this improvement is not noticed, the supervisor then issues an overall rating of Substandard Performance and applies appropriate sanctions.

#### **6.3.2. Sanctions for Poor Performance**

##### **i. Demotion or Reassignment**

An employee whose performance during the period is documented as substandard, may be demoted to a position in a lower pay grade or reassigned to another position in the same pay grade that has lower level duties, if the institution identifies such position as more suitable for the employees' competencies.

## **ii. Dismissal of a Civil Servant due to Poor Performance**

If the institution determines that there are no alternatives to demote or reassign the employee, the employee who receives an unsatisfactory re-evaluation may be terminated at the end of the evaluation period following due process.

Termination proceedings may be initiated for any civil servant who is scored:

- i. Overall performance ratings in the **Substandard Performance** category during two (2) consecutive performance cycle at the same level.
- ii. Overall performance ratings of **Substandard Performance** during one (1) performance cycle on the same level in addition to being penalized with a serious disciplinary action during the last one year.

Prior to the dismissal of the civil servant based on poor performance, the Performance Review Committee should review the employee's performance appraisal and submit a report recommending the dismissal of the employee to the Head of the Institution. The Institution Head shall make the decision to dismiss the civil servant in consultation with the Civil Service Agency.

## **6.4. Confirmation of Probationary Employees**

The performance of employees on probation should be managed through the PMS process as well as the Civil Service Human Resources Policy on probation. The process is as follows:

- i. The appraisal form should be used to assess the employee during the period of her or his probation.
- ii. The appraisal form should be submitted to the HR department immediately following the assessment.
- iii. At the expiration of the probationary period, the supervisor of the employees should make a recommendation to management to approve or terminate employment.

## **6.5. Managing Disagreements and Grievances from the Performance Management Processes**

In accordance with the principles of the PMS, Institutions should give ample consideration to an employee who alleges unfair ratings for work performed during the performance cycle. Within the framework of the PMS, every effort should be made to arrive at an agreed solution of mutual satisfaction to both the employee and the Government.

### **6.5.1. General Guidelines for Handling Disagreements and Grievances**

If the requirements of the PMS for regular communication, feedback, and transparency between the supervisor and the employee are met, grievance cases would be at a minimum. However, when an employee is dissatisfied with the outcome of the performance evaluation:

- i. the employee should first seek to resolve the issue with his/her immediate supervisor.
- ii. If the employee cannot properly resolve the disagreement with the supervisor, the employee may appeal following the Appeals Procedures.
- iii. Supervisors are prohibited from discouraging or dissuading employees from filing an appeal, whether formal or informal. Supervisors are also forbidden to retaliate, redress or seek retribution in any form against an employee who chooses to appeal.

### **6.5.2. Performance Appeals Procedure**

- i. An employee who is dissatisfied with the outcome of the performance evaluation should communicate in writing to the reviewer within five (5) working days of the initial performance meeting.
- ii. The reviewer should discuss the employee's appeal with the supervisor and the employee and also gather performance information from other sources such as colleagues and customers with whom the employee has worked. The peer review form in Appendix 7 should be used for this purpose.
- iii. After reviewing the appeal, the reviewer should provide a written response to the employee within five (5) working days of receiving the appeal.
- iv. The response should indicate one of the following:
  - a. The reviewer agrees with the evaluation;
  - b. The supervisor should revise the evaluation;
  - c. The supervisor should prepare a new evaluation;
  - d. The reviewer will revise the evaluation; or
  - e. The reviewer will complete a new evaluation.
- v. If the issue is not resolved or if the employee is dissatisfied with the reviewer's intervention, the employee may file a formal appeal to the Performance Review Committee (PRC) using the appeal form in Appendix 6 within two (2) working days after notification of the reviewer's decision. A copy of the appeal form should be submitted to the Human Resource Department for the record.
- vi. The PRC should schedule meeting(s) to review the appeal in line with **Section 6.5.3 below** and make recommendations to the Head of institution for action.

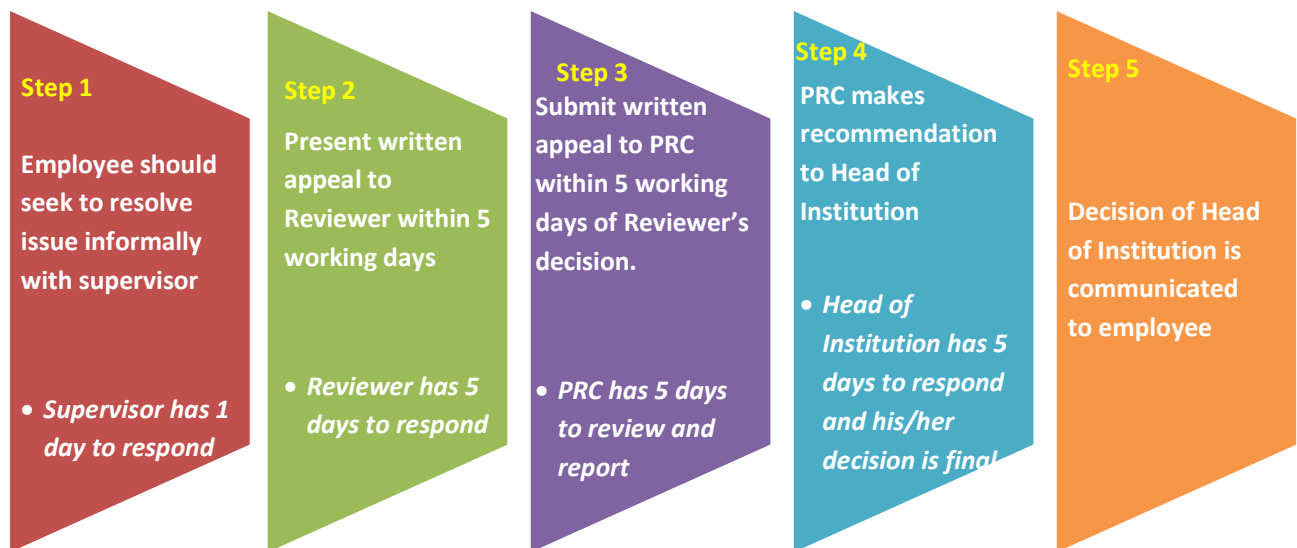
### **6.5.3. Proceedings of the Performance Review Committee**

- i. Upon receipt of an employee's appeal, the PRC should convene to address the employee's grievances. The quorum for the PRC meeting would be at least two-third of its approved membership. The PRC should review the circumstances of the

employee's grievance in a transparent and through process that should include but not limited to:

- a. Review of appraisal document(s) and all other relevant supporting document(s);
  - b. Hold separate and/or joint meetings with supervisor and employee; and
  - c. Hold meeting(s) with any other party relevant to the case.
- ii. The PRC should submit a final report to the Head of the institution within five (5) working days of receiving the appeal from the employee. Each member of the PRC should sign the report indicating whether they agree or disagree with the decision of the PRC. A simple majority agreement of the PRC quorum is required to decide an appeal case. The recommendation of the PRC may include the following:
- a. The PRC agrees with the evaluation and upholds reviewer's decision.
  - b. The PRC disagrees with the evaluation and requests a re-evaluation of the employee.
  - c. The PRC may recommend a suitable party they believe will give a fair evaluation of the employee's performance.
- iii. The Head of the Institution will review the recommendation of the PRC and make a final decision on the issue within five (5) working days.

Figure 5: Performance Appeals Procedures



## CHAPTER 7 - LINKING PMS WITH EMPLOYEE DEVELOPMENT

The purpose of the PMS is to align the institution's objectives with the employee's agreed actions, skills, competency requirements, development plans and the delivery of results. The emphasis is on improvement, learning and development in order to achieve the overall institution strategy and to create a high performance workforce.

A key aspect of the PMS is training and development, which should serve as a means of enhancing capacity to deliver on the performance objectives, and as a performance incentive for employees with high ratings during or after a performance cycle.

### 7.1. Employee Development Planning

- i. The planning phase of the PMS should include an agreement on a formal development plan for the employee. This plan should be based on requisite skills, behaviors and knowledge (key competencies) that will be required to achieve the objectives and targets set. The development plan may also include long-term development initiatives that may aid the employee in future progressive responsibilities related to the current work.
- ii. Supervisors should use competencies to assess and plan the development needs of employees, with development planning following the appraisal process. **Training activities should be based on performance gaps identified during the annual performance appraisals.** By linking training to identified performance gaps, training will be focused, specific and relevant. As such, performance data should be a major source of input in the annual training needs analysis<sup>7</sup>.
- iii. Supervisors, working with the Human Resources Department, should assist staff to pursue and actualize the training needs identified during performance planning or annual appraisals.
- iv. The annual appraisals will evaluate achievement of performance objectives and behavioral competencies along with the achievement of the employee training/development plan.

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<sup>7</sup>See the National Civil Service Training Policy Manual for training framework and details.



## 7.2. Employee Development and Succession Planning

Employees with career aspirations must be cognizant of the behavioral competencies and skill levels required to perform in middle management or managerial roles within the institution. This will facilitate the creation of development plans during performance planning for such employees. The inclusion of development activities for potential future responsibilities, is however, not guaranteed and a decision should be made by the supervisor in consultation with the Reviewer, considering the availability of funds and the institution's succession plan and strategic interest.

## 7.3. Types of Employee Development Activities

Supervisors may recommend the following types of employee development activities either to enhance the capacity of employees to deliver on the targets set in their performance plans or as a reward or motivation for high performance by employees:

- i. **Formal Training:** The employee could be recommended for training in a classroom setting that could be done in-house (within the institution) or externally (LIPA or other training centers, colleges, etc.).
- ii. **On-the-Job Training (OJT):** The employee could be recommended for OJT, where the employee is working as he/she learns the job. A more experienced employee or supervisor should provide a step-by-step demonstration of the tasks, along with pertinent information, until the employee acquires the skill to implement the task.
- iii. **Internet-Based Learning:** The employee could be recommended for online courses, where employees can learn at their own pace and on their own schedule with access to course materials at any time.
- iv. **Coaching and Mentoring:** The employee could be recommended for formal coaching and mentoring (based on an agreement with specific goals and procedures to achieve goals) or informal coaching and mentoring (where a more experienced employee or supervisor provides advice, insight, and support for the employee's work).
- v. **Matrix Teams:** The employee could be assigned to a work group, cross-functional team, task force, committee, or special project group to share and gain information, knowledge, and skills.
- vi. **Special Developmental Assignments:** The employee could be assigned to work on a developmental assignment while still being assigned to their regular positions for a period of time and with a different supervisor.
- vii. **Job Enrichment:** The employee's authority or responsibility may be increased within their current position to allow them to build new skills and explore new areas of specialization.
- viii. **Job Rotation and Cross-Training:** The supervisor may rotate the employee through one or more different positions. The rotation can last several hours, several months or

longer. The goal is for the employee to learn the skills of a different position, which will add diversity and interest, prepare the employee for promotion, improve communication, and rejuvenate the department.

- ix. **Job Aids:** The supervisor may provide job aids for the employee to make the work easier. Job aids may include checklists, guidelines, , cue cards, factsheets, posters, pictures, code lists, flow charts, and diagrams, or any other aid that offers on-the-spot practical help or reminders.
- x. **Self-Directed Learning Projects:** An employee may be assigned or voluntarily embark on a specific project that promotes the expansion of skills and knowledge through self-directed learning or research and produces a final product that contributes to institutional objectives.

#### **7.4. Submission of Annual Employee Development Plans**

- i. All Employee Development Plans developed as part of the performance management processes should be collated at the institutional level and submitted to the CSA for approval in line with Section 44.2 of the Human Resources Policy Manual and the National Civil Service Training Policy<sup>8</sup>.
- ii. Institutions should also send a copy of their training plan to LIPA to be used for the sharing of training information and resources.
- iii. Annual training plans should include a needs assessment, the goals and methods for achieving them, and a budget regarding funding necessary to implement the plan.
- iv. Annual training plans should be submitted to the CSA not later than February 15 of each year (along with the Performance Planning report).
- v. The designated Training Coordinator of the institution will serve as the contact for CSA and LIPA for coordinating the implementation of the training plan.

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<sup>8</sup> More details on employee training and development is provided in the Civil Service Human Resources Policy and the National Civil Service Training Policy.

## CHAPTER 8 - MONITORING AND EVALUATION

The effectiveness of the PMS largely depends on the strength of the monitoring and evaluation mechanisms in place to ensure adherence and compliance to the policy requirements. In view of this, institutions must establish strong mechanisms for monitoring and evaluating the processes and outputs of the system to ensure consistency and sustainability.

### 8.1. Responsibilities for Monitoring and Evaluation

The overall supervision of the monitoring and evaluation component falls within the purview of the Head of the institution. However, specific responsibilities for monitoring and evaluation also encompass the supervisors, reviewers, the Performance Review Committee, and the Human Resources Department of the institution.

In addition, the Civil Service Agency, through the Management Services Directorate and the HR Policy Planning, Monitoring and Evaluation Directorate will periodically conduct audit of institutional performance management practices to ascertain compliance with the civil service PMS regulations. Feedback from the performance audits will be given to the Institutions to enable them to improve on their systems.

### 8.2. Reporting PMS Results

Periodic reports on the PMS processing should be submitted by all institutions to the Director General of the Civil Service Agency at specific times during the PMS cycle as follows:

#### 8.2.1. Annual Appraisal Reporting

All institutions should submit a comprehensive performance appraisal report to the Director General of the Civil Service Agency within fifteen (15) working days of the end of the year. The Human Resources Department should prepare this report in collaboration with the PRC for approval of the Head of the Institution.

The performance appraisal report should contain the following information:

- i. The total number of staff of the institution.
- ii. The total number of staff of each department whose performance were evaluated.
- iii. The names and positions of staff of each department whose performance were not evaluated with reasons why they were not evaluated.
- iv. The names and performance categories of staff evaluated in the institution.
- v. The number of Appeals initiated and concluded.

### **8.2.2. Performance Planning and Mid-year Review Reporting**

All institutions should submit a report to the Director General of the Civil Service Agency within ten (10) working days of the end of the Performance Planning (not later than February 15<sup>th</sup>) and the Mid-year Reviews (not later than July 30<sup>th</sup>). The Human Resources Department should prepare this report in collaboration with the PRC for approval of the Head of the Institution prior to submitting to CSA.

The performance planning and mid-year review reporting should contain the following information:

- i. The total number of staff of the institution.
- ii. The total number of staff by department who completed the performance plan or mid-year review.
- iii. The names and positions of staff of the institution who did not complete with reasons why they were unable to do so.

### **8.2.3. Data Submission and Reporting Templates**

The HR Policy Planning, Monitoring and Evaluation Directorate will isolate all the data elements (or indicators) that institutions are required to submit to the CSA and provide institutions with templates to use in the submission.

Furthermore, the HR Policy Planning, Monitoring and Evaluation Directorate will work with the Management Services Directorate to use the submitted data by the MACs to construct indicators and targets that will be included in the various reports as tables or matrixes based on the standard templates. They will also monitor and evaluate the performance and impact of the Performance Management System.

## **8.3. Monitoring the Performance Management Processes**

8.3.1 The Civil Service Agency will develop overarching performance indicators to monitor and evaluate the PMS and its related processes as a whole. Performance indicators selected may include but not be limited to the following:

- i. Number of employees appraised within the performance cycle.
- ii. Number of employees not appraised and general trends for reasons for non-appraisals.
- iii. Percentage of employees in each categories of overall ratings, etc.
- iv. Percentage of employees with improved average rating scores, etc.
- v. Number of Appeals initiated and concluded.

The Management Services Directorate and the HR Policy Planning, Monitoring and Evaluation Directorate of the CSA will periodically analyze the data to ensure that the performance categories fall within international standards of performance and will provide feedback to MACs on the general performance trends.

8.3.2 Individual institutions may also develop their own performance indicators to measure the effectiveness of the performance management interventions in their respective institutions. Performance indicators selected may include but not limited to the following:

- i. Number of Supervisory staff trained on PMS processes.
- ii. Number of non-supervisory staff trained on PMS processes.
- iii. Number of staff who completed performance plans, mid-year reviews, and annual appraisals by department.
- iv. Number of staff per performance rating category.
- vi. Number of Appeals initiated and concluded.
- v. Number of staff who completed training outlined in their development plans.

8.3.3 The Management Services Directorate and the HR Policy Planning, Monitoring and Evaluation Directorate will periodically conduct monitoring visits to institutions to review documents and interview relevant staff to ascertain compliance with the PMS regulations.

8.3.4 **The Civil Service Agency will not approve the personnel listing for institutions unless they comply with the PMS processes.** Requests for approval of annual personnel listing should be substantiated by evidence that each personnel in the personnel list have completed performance planning and appraisals for the current and/or previous cycle. The HR Policy Planning, Monitoring and Evaluation Directorate will be in charge of ascertaining that this provision is complied with.

#### **8.4. Evaluating the Performance Management System**

At the end of each performance management cycle, the HR Policy Planning, Monitoring and Evaluation Directorate will evaluate the performance management system in order to determine its effectiveness and to utilize feedback in improving the system for the next cycle (**outcome evaluation**). This evaluation will be done in January to enable adequate time for incorporating the findings towards improving the next cycle.

In addition, the HR Policy Planning, Monitoring and Evaluation Directorate will conduct an **impact evaluation** every 3 years to determine the impact of the performance management system on the overall service delivery effectiveness of the civil service. This impact assessment will be part of the larger periodic evaluation of CSA's strategic plan and will aim to collect data that reflects trends in the following indicators, among others:

- i. Reduced absenteeism.
- ii. Percentage of MACs meeting 80% or more of their targets in pursuance of their core mandates.
- iii. Percentage of clients and citizens satisfied with GOL services, disaggregated by MACs.

The outcome and impact evaluations could utilize any (or a combination) of the following approaches/methodologies:

- i. Focus groups discussions, using a representative sample of employees in an institution to determine and discuss their perceptions, attitudes, satisfaction with the system, etc.
- ii. One-on-one interviews, particularly with more senior employees in the institution.
- iii. PMS Survey Questionnaires distributed to a wide sample of employees to ascertain their experiences, perceptions, and satisfaction with the system and the tools. Respondents will be anonymous to encourage open feedback on the process and system.
- iv. Document reviews (a formal review of all related documents, i.e. policies, forms, procedure manuals and training materials, etc.).

The results of the evaluations will be communicated to all employees in the Ministries, Agencies and Commissions to enhance the credibility and transparency of the system.

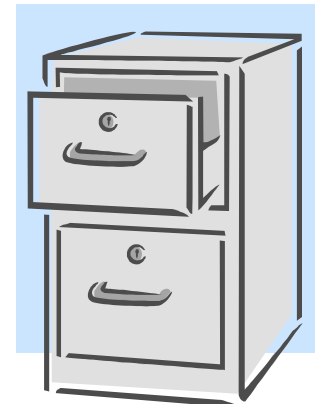
## CHAPTER 9 - RECORD KEEPING

### 9.1. Custody of Appraisal Documents

- 9.1.1 All performance management documents, including those developed for planning, mid-year reviews, and annual appraisal, are official personnel documents and should be retained in the employees' official personnel file at the assigned Ministry/Agency when completed. Employees' official files should be divided into sections to accommodate all employment records while the employee is active.
- 9.1.2 Other documentation of work performance, such as performance awards, training certificates, etc. should also be retained in the employee's official personnel file.
- 9.1.3 Appeal documentation remains within the institution while the employee is an active employee. If the employee feels that he/she was unfairly dismissed, he/she may appeal to the Examining Committee of the Board of Appeal, in accordance with Section 6.2.3 (d) of the Standing Orders for the Civil Service.

### 9.2. Document Retention Period

- 9.2.1 All employee performance records remain in the employee's official personnel file in the Human Resources Department as part of the employee's records throughout the period of active service.
- 9.2.2 The file of an employee who is dismissed due to poor performance must be kept in the head office location for a period of three (3) years after termination before it can be archived.



### 9.3 Confidentiality of Records

- 9.3.1 All employee performance records are strictly confidential and should only be handled by those whose direct responsibility it is to either appraise the employee (i.e. the supervisor) or review the employee's appraisal (i.e. the Reviewer), mediate in appeals (i.e. the PRC, for cases brought for appeals only), or analyze appraisal results (i.e. the human resource department or authorized representative of the CSA). **All other personnel are strictly prohibited from access to employee performance records.**
- 9.3.2 The Human Resource department is responsible for maintaining the confidentiality of records in their custody and for preventing unauthorized access to information, or improper disclosure of information to unauthorized third parties.

- 9.3.3 The Human Resource department is responsible for protecting performance data against loss.
- 9.3.4 All records should be kept securely locked, preferably in a fireproof cabinet or container within a secure area.
- 9.3.5 Employee performance data held on a computer (or in other electronic forms) should be made secure from access by others either directly from the computer terminal, or from the server, cable network, or other means of access by the use of secure passwords, data encryption, firewalls, or similar means of securing the site.



## 10.1. APPENDIX 1 - PERFORMANCE MANAGEMENT SYSTEM (PMS) FORMS AND THEIR USES

### PMS FORMS DESCRIPTION CHART

Document Title	Description	Form Used	Timeline
<b>1. Employee Performance Planning And Mid-Year Progress Review Form</b>	Used by a Supervisor to set work expectations (goals and targets) for an employee usually at the beginning of a performance cycle or after a change in position and/or job duties and responsibilities. The form is also used to identify the employee's development needs. This form is developed based on the employee's job description and the department's work plan and is used to review employee progress during the mid-year performance reviews.	<ul style="list-style-type: none"> <li>Anytime work expectations must be set.</li> <li>During the mid-year progress reviews</li> </ul>	Jan 1 – 31 or when employee's job changes.  June - July
<b>2. Employee Self-Assessment Form</b>	Used by an employee to assess his/her own performance during the annual performance appraisal period.	<ul style="list-style-type: none"> <li>Annual Performance Evaluation</li> </ul>	November 15
<b>3. Employee Annual Performance Appraisal Form</b>	Used by a Supervisor to formally document an employee's performance at the end of the performance cycle.	Annual Performance Evaluation	November 15 – December 31
<b>4. Critical Incident Form</b>	Used by a Supervisor to document critical incidents of work performance, which may be negative or positive incidents. The Supervisor requires this form to substantiate an overall appraisal rating of Exceptional or Sub-Standard performance.	Anytime during the Performance Management Cycle	Anytime

## PMS FORMS DESCRIPTION CHART

Document Title	Description	Form Used	Timeline
<b>5. Performance Appeals Form</b>	Used by an employee to file a formal appeal to the Reviewer or the PRC with regards to any perceived biased performance rating during the performance management cycle.	At the end of the Performance Management Cycle	December
<b>6. Employee Peer Review</b>	Used by any staff to provide confidential performance feedback on an employee who is his/her colleague. The Supervisor or Reviewer uses this form to support appraisal decisions. The Reviewer or PRC could request for peer reviews during appeals processes.	Anytime during the Performance Management Cycle, but particularly during the annual performance appraisals.	November 15 – December 31
<b>7. Upward Evaluation Report</b>	Used by any staff to give confidential performance feedback on an employee who is in a direct Supervisory role and/or Senior management role. The Supervisor's Line Manager may request the employee to evaluate the Supervisor and uses this form to support appraisal decisions.	Anytime during the Performance Management Cycle, but particularly during the annual performance appraisals.	November 15 – December 31
<b>8. Performance Improvement Plan</b>	Used by a Supervisor to document serious performance gaps on the part of the employee and identify action plans and support needs of the employee. The employee is evaluated at the end of the specified period.	Anytime during the Performance Management Cycle.	Anytime

**PMS FORMS DESCRIPTION CHART**

<b>Document Title</b>	<b>Description</b>	<b>Form Used</b>	<b>Timeline</b>
<b>9. Probation Period Performance Appraisal Form</b>	Used by a Supervisor to rate an employee at the end of the probationary period	At the end of the probationary period.	Anytime probationary period ends.
<b>10. Notification of Award for Extraordinary Performance</b>	Used by a Supervisor to notify an employee, who has performed exceptionally, of a reward or recognition.	At the end of the Performance Management Cycle	January of the following year

## 10.2. APPENDIX 2 -EMPLOYEE PERFORMANCE PLANNING AND MID-YEAR PROGRESS REVIEW FORM

### EMPLOYEE PERFORMANCE PLANNING AND MID-YEAR PROGRESS REVIEW FORM

Name of Employee \_\_\_\_\_ Staff ID# \_\_\_\_\_ Job Title \_\_\_\_\_ Institution \_\_\_\_\_

Name of Supervisor \_\_\_\_\_ Title \_\_\_\_\_ Performance Period \_\_\_\_\_

#### Section 1: Employee Objectives for Period

**Instructions:** During performance planning, the supervisor and employee should establish and agree on the employee’s objectives based on the duties and responsibilities in the employee’s job description and department’s work plans. Use back of page for additional objectives if necessary. During mid-year progress review, the supervisor should rate the degree to which the expected result has been achieved for each objective using the rating scale below:

- 5- Exceptional – Performance exceeds all expectations.
- 4- Excellent – Performance exceeds most of work expectations.
- 3- Satisfactory – Performance consistently meets most work expectations.
- 2- Needs Improvement – Performance does not consistently meet expectations.
- 1- Substandard – Performance does not meet job requirements.

<i>Complete this section during performance planning</i>		<i>Complete this section during mid-year progress review</i>		
		<b>Employee</b>	<b>Supervisor</b>	
<b>Key Objectives</b> <i>What will be achieved during the entire appraisal period? List in priority order.</i>	<b>Performance Indicators</b> <i>How is achievement to be measured? What is the evidence of achievement?</i>	<b>Achievement Progress Report</b> <i>To what extent were the objectives met or not met?</i>	<b>Achievement Progress Assessment</b> <i>To what extent were the objectives met or not met? What are your recommendations?</i>	<b>Rating</b> Rate the degree to which expected results were achieved based on agreed time.
1.				
2.				
3.				

<i>Complete this section during performance planning</i>		<i>Complete this section during mid-year progress review</i>		
		<b>Employee</b>	<b>Supervisor</b>	
<b>Key Objectives</b> <i>What will be achieved during the entire appraisal period? List in priority order.</i>	<b>Performance Indicators</b> <i>How is achievement to be measured? What is the evidence of achievement?</i>	<b>Achievement Progress Report</b> <i>To what extent were the objectives met or not met?</i>	<b>Achievement Progress Assessment</b> <i>To what extent were the objectives met or not met? What are your recommendations?</i>	<b>Rating</b> <i>Rate the degree to which expected results were achieved based on agreed time.</i>
4.				
5.				

**Section 2: Employee Development Needs**

**Instruction:** Based on the objectives of the employee, kindly outline below the development need(s) of the employee and appropriate recommendations:

<b>Development Needs</b> <i>What are the skills the employee needs to develop? List in priority order.</i>	<b>Capacity Building Activities</b> <i>How will development needs be addressed?</i>	<b>Resources /Support Required</b> <i>What Resources /Support is required to achieve development activities?</i>	<b>Date</b> <i>State the approximate date for development activity</i>
1.			
2.			
3.			

Acknowledged by:

Employee: \_\_\_\_\_  
Signature and Date

Supervisor: \_\_\_\_\_  
Signature and Date

Reviewer \_\_\_\_\_  
Signature and Date

## 10.3. APPENDIX 3 – EMPLOYEE SELF-ASSESSMENT FORM

(Confidential)

Name of Employee: \_\_\_\_\_ Position: \_\_\_\_\_  
 Department: \_\_\_\_\_ Name of Supervisor: \_\_\_\_\_  
 Review Date : \_\_\_\_\_ Period under Review: \_\_\_\_\_ to \_\_\_\_\_

**Instructions:** Please rate yourself on the core competencies listed below.

### A. Performance/Competency Self-Assessment

#### Rating Definitions

5- Exceptional	Employee demonstrates competency that is always superior to the job expectation. He/she is considered exceptional among his/her peers and has made significant contributions to the goals of the Department
4- Excellent	Employee demonstrates competency that is consistently above what would be expected for employees at this level.
3- Satisfactory	Employee demonstrates competency at a level that consistently meets the job expectations.
2- Needs Improvement	Employee demonstrates competency at a level that meets some of the standards required for the job, but needs to develop competency for continued success.
1- Substandard	Employee does not demonstrate competency. Developmental plan needs to be established in order to provide platforms for demonstrating the competency

<b>Core Competencies/Skills</b> <b>Please <u>Underline</u> critical skills</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>N/A</b>	<b>Key Contributions/Areas of Development</b> <i>(add examples, as applicable, to clarify rating)</i>
<b>1. Is highly motivated, has drive and determination.</b> i.e. <ul style="list-style-type: none"> <li>• Accepts feedback</li> <li>• Utilizes feedbacks in future performance</li> <li>• Is encouraged by compliments and recognition.</li> <li>• Does well carrying out tasks.</li> </ul>							
<b>2. Has good administrative ability.</b> i.e. <ul style="list-style-type: none"> <li>• Makes suggestions for improvement.</li> <li>• Works towards achieving improvement</li> <li>• Identifies areas needing development</li> <li>• Provides guidance to co-workers</li> </ul>							
<b>3. (If applicable) is good at supervising others.</b> i.e. <ul style="list-style-type: none"> <li>• Contributes to establishing comfortable work environment.</li> <li>• Cooperates with subordinates.</li> <li>• Assists subordinates in completing their task</li> <li>• Provides guidance</li> </ul>							
<b>4. Works well with others.</b> i.e. <ul style="list-style-type: none"> <li>• Nurtures mutual respect.</li> <li>• Open to suggestions of others</li> <li>• Shares ideas</li> <li>• Receptive to co-workers</li> <li>• Team player</li> </ul>							
<b>5. Has good analytical ability and judgment.</b> i.e. <ul style="list-style-type: none"> <li>• Ability to create</li> <li>• Ability to make decision</li> <li>• Ability to evaluate/monitor</li> <li>• Identifies problems</li> <li>• Thinks clearly</li> </ul>							
<b>6. Is dependable in meeting work commitments.</b> i.e.							

<ul style="list-style-type: none"> <li>• Follows instructions</li> <li>• Can be trusted to stay on assigned task</li> <li>• Maintains focus on job</li> <li>• Does not need reminders to complete task</li> </ul>							
<b>7. Gets through a lot of work.</b> i.e. <ul style="list-style-type: none"> <li>• Takes initiative</li> <li>• Assists others in completing assigned tasks</li> <li>• Performs beyond expectation</li> <li>• Does other tasks outside of scope</li> </ul>							
<b>8. Is quick to learn.</b> i.e. <ul style="list-style-type: none"> <li>• Appreciates instructions</li> <li>• Works independently</li> <li>• Accepts change</li> <li>• Eager to learn new ideas</li> <li>• Works well with team</li> </ul>							
<b>9. Has good attendance record and is punctual and prompt</b> i.e. <ul style="list-style-type: none"> <li>• Always present</li> <li>• Comes to work on time</li> <li>• No unexcused absences</li> </ul>							
<b>10. Has good appearance</b> i.e. <ul style="list-style-type: none"> <li>• Appropriately attired</li> <li>• Has good deportment</li> <li>• Maintains good hygiene</li> </ul>							

Employee's Overall Comments on performance: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Signature of Employee: \_\_\_\_\_ Date: \_\_\_\_\_

## **10.4. APPENDIX 4 –EMPLOYEE ANNUAL APPRAISAL FORM**

### **EMPLOYEE ANNUAL PERFORMANCE APPRAISAL FORM**

### **PART A**

#### **Notes for the appraiser: please read carefully**

1. If the Civil Service is to make the best use of its resources, it is essential to know how well employees perform on their job. It is essential that every employee should know how his or her performance measures up to what is expected of them.
2. This appraisal report form has been designed to help you- the supervisor- assess the work of your subordinates and to indicate how further development or improvements can be made.
3. Remember that all individuals have strengths and weaknesses. As a result, an individual who may be seen as an exemplary employee, often will, deserve scores in the lower end of the scale for some aspects of his or her performance, and a person who is not particularly good at his job may have some qualities which may rate at the higher end of the scale.
4. It is most important that attention and careful consideration be given to the performance of the employee you are about to appraise. Be sure that you give empathetic consideration to all aspects of his or her work and that you set aside enough time to discuss in details your report with him or her.
5. For the Performance Appraisal Plan & the Quarterly Evaluation Form, refer to the attached guidelines.
6. For the Annual Performance Appraisal Form, (Part B), you should assess the performance of your subordinates by placing a check in the appropriate box on a scale which runs from 0 to 5. A rating of '5' represents exceptionally good ability, whereas '0' indicates performance which is inefficient and totally unsatisfactory.
7. For Annual Performance Appraisal Form (Part C), the Supervisor should summarize the employee's strengths and weaknesses under the General Remarks section and endorses it. The subordinate should indicate in the check box whether he/she agrees with the assessment or not. The subordinate endorses the form. Copies of the Performance Appraisal Forms should be submitted to the Human Resource Department.
8. Remember that your own performance is discernable from the reports you write on others.



**PERFORMANCE APPRAISAL FORM**

**PART B**

Name of Person Being Appraised \_\_\_\_\_

Position \_\_\_\_\_

Ministry or Agency \_\_\_\_\_

Please assess the following aspects of performance by providing feedback and placing a figure in the rating column; five (5) being the highest and one (1) being the lowest.

**Section 1: Assessment of Agreed Performance Objectives**

<i>Copy this section from performance planning form</i>		<b>Employee</b>	<b>Supervisor</b>	
<b>Key Objectives</b> What will be achieved during the appraisal period? List in priority order.	<b>Performance Indicators</b> How is achievement to be measured? What outputs or deliverables are expected?	<b>Achievement Report</b> To what extent were these objectives met or not met?	<b>Achievement Assessment</b> To what extent were these objectives met or not met?	<b>Rating (1-5)</b> Rate the degree to which expected results were achieved based on agreed time.
1.				
2.				
3.				
4.				
5.				

TOTAL SCORE \_\_\_\_\_ OF POSSIBLE TOTAL OF 25 POINTS

**Section 2: Assessment of Work-related Behaviours**

Please assess the following aspects of performance by placing a check in the most appropriate box; five (5) being the highest and zero (0) the lowest.

<b>Good Work Behaviors/Competencies</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>	<b>Poor Work Behaviors/Competencies</b>
<b>1. Is highly motivated, has drive and determination.</b> i.e. <ul style="list-style-type: none"> <li>• Accepts feedback</li> <li>• Utilizes feedbacks in future performance</li> <li>• Is encouraged by compliments and recognition.</li> <li>• Does well carrying out tasks.</li> </ul>							Is poorly motivated and has no drive
<b>2. Has good administrative ability</b> i.e. <ul style="list-style-type: none"> <li>• Makes suggestions for improvement.</li> <li>• Works towards achieving improvement</li> <li>• Identifies areas needing development</li> </ul>							Has poor administrative ability

<ul style="list-style-type: none"> <li>Provides guidance to co-workers</li> </ul>							
<b>3. (If applicable) is good at supervising others</b> i.e. <ul style="list-style-type: none"> <li>Contributes to establishing comfortable work environment.</li> <li>Cooperates with subordinates.</li> <li>Assists subordinates in completing their task</li> <li>Provides guidance</li> </ul>							(If applicable) is not a good supervisor.
<b>4. Works well with others.</b> i.e. <ul style="list-style-type: none"> <li>Nurtures mutual respect.</li> <li>Open to suggestions of others</li> <li>Shares ideas</li> <li>Receptive to co-workers</li> <li>Team player</li> </ul>							Is difficult to work with
<b>5. Has good analytical ability and judgment</b> i.e. <ul style="list-style-type: none"> <li>Ability to create</li> <li>Ability to make decision</li> <li>Ability to evaluate/monitor</li> <li>Identifies problems</li> <li>Thinks clearly</li> </ul>							Has poor analytical ability and judgment
<b>6. Is dependable in meeting work commitments.</b> i.e. <ul style="list-style-type: none"> <li>Follows instructions</li> <li>Can be trusted to stay on assigned task</li> <li>Maintains focus on job</li> <li>Does not need reminders to complete task</li> </ul>							Is unreliable in meeting work commitments
<b>7. Gets through a lot of work.</b> i.e. <ul style="list-style-type: none"> <li>Takes initiative</li> <li>Assists others in completing assigned tasks</li> <li>Performs beyond expectation</li> <li>Does other tasks outside of scope</li> </ul>							Is slow and has a low work output
<b>8. Is quick to learn</b> i.e. <ul style="list-style-type: none"> <li>Appreciates instructions</li> <li>Works independently</li> <li>Accepts change</li> <li>Eager to learn new ideas</li> <li>Works well with team</li> </ul>							Is a slow learner
<b>9. Has good attendance record and is punctual and prompt</b> i.e. <ul style="list-style-type: none"> <li>Always present</li> <li>Comes to work on time</li> <li>No unexcused absences</li> </ul>							Has a poor attendance record and is often late
<b>10. Has good appearance</b> i.e. <ul style="list-style-type: none"> <li>Appropriately attired</li> <li>Has good deportment</li> <li>Maintains good hygiene</li> </ul>							Has poor appearance

TOTAL SCORE \_\_\_\_\_ OF POSSIBLE TOTAL OF 50 POINTS

**Performance Summary for Both Sections:**

Please indicate the employee’s overall performance based on the above evaluation:

**Section 1 Total:**        x 2.8 (70% of total score)=

**Section 2 Total:**        x 0.6 (30% of total score)=

**Total Score** (Add the totals for the two sections)=

**Section 3: Assessment of Employee Development**

Please outline how much of the employee development plan(s) were achieved:

<b>Development Needs</b> <i>What are the skills the employee needed to enhance at the beginning of the performance period?</i>	<b>Capacity Building Activities Identified</b> <i>What were the capacity building activities identified at the beginning of the performance period?</i>	<b>Capacity Building Activities Completed</b> <i>What capacity building activities did you support the employee to complete?</i>	<b>Outstanding Capacity Building Activities</b> <i>What activities are outstanding and why?</i>
1.			
2.			
3.			

**PERFORMANCE APPRAISAL FORM**

**PART C**

GENERAL REMARKS

1. Please give additional relevant information in summary pointing out the main strengths and weaknesses of the person being appraised.

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2. APPRAISER'S ACKNOWLEDGEMENT:

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Appraiser's Name and Signature

Position

Date

3. NOTE FOR THE PERSON BEING APPRAISED: After you have read this report and your supervisor has discussed it with you, you must sign below. If you do not agree with the assessments, you should check the appropriate box. You will then be able to discuss the assessment with your next level supervisor.

- I agree with the assessments.**  
 **do not agree with these assessments, and I wish to discuss them with my next level supervisor.**

\_\_\_\_\_  
Signature of Person Being Appraised

\_\_\_\_\_  
Date

4. REVIEWER'S REMARKS: This is the supervisor of the Appraiser:

- I declare that I agree with the above assessment.  
 I do not agree with the above assessment.

Comments (optional): \_\_\_\_\_

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REVIEWER'S ACKNOWLEDGEMENT:

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Reviewer's Name and Signature

Position

Date

**10.5. APPENDIX 5– CRITICAL INCIDENT FORM**

Name of Employee \_\_\_\_\_ Job Title \_\_\_\_\_

Name of Supervisor \_\_\_\_\_ Title \_\_\_\_\_

Department: \_\_\_\_\_ Performance Period \_\_\_\_\_

**This Critical Incident form documents:**

Extraordinary Performance       Substandard Performance

**Instructions:** Please provide example(s) of good and poor job behaviors exhibited by the employee at specific dates during the performance management period.

S/N	Critical Incidents (Good/ poor job behaviors)	Impact of behaviors on Work	Dates of performance
1.			
2.			
3.			
4.			

**Issued by:**

\_\_\_\_\_

Name of Supervisor Signature Date Issued

**Received by:**

\_\_\_\_\_

Name of Employee Signature Date Received

**10.6. APPENDIX 6– PERFORMANCE APPEALS FORM**

Name of Employee \_\_\_\_\_ Job Title \_\_\_\_\_

Name of Supervisor \_\_\_\_\_ Title \_\_\_\_\_

Department: \_\_\_\_\_ Performance Period \_\_\_\_\_

**Employee Declaration:**

I have received a copy of my performance evaluation. It has been discussed with me, and I have been advised to take time to consider it before signing it. I have freely chosen to agree to it and take responsibility for all my actions. However, I disagree with the following elements:

1. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Name of Employee Signature    Date Discussed

\_\_\_\_\_  
Name of Supervisor            Signature    Date Discussed

Distribution of Copies:

1) Employee. 2) Supervisor. 3) Department Head/Reviewer. 4) Director, Human Resources.

## 10.7. APPENDIX 7 – EMPLOYEE PEER REVIEW FORM

Employee to be Rated: \_\_\_\_\_

Name of Rating Employee: \_\_\_\_\_

**Purpose:** The primary goals of the Employee Peer Review are to measure skills that help productivity and to provide constructive feedback for improved performance. Your input is valuable since results of this review will be integrated into each person's overall performance evaluation. We make every effort to maintain the confidentiality of this information. However, it is possible that the person being evaluated will be able to identify the source from the nature of specific examples.

**Please respond to those questions that you feel qualified to answer. Feel free to add comment**

Will he/she volunteer to help you or others when a need is identified? Will he/she help to train new people when the opportunity arises?

Yes definitely     Somewhat     No, not much

Give specific examples: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Does he/she share ideas and suggestions with you and /or others?

Yes definitely     Somewhat     No, not much

Give specific examples: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Does he/she contribute to solving problems in your and/or other areas? If a problem develops in another area that affects him/her, will this person assist in solving it (rather than complaining or feeling frustrated)?

Yes definitely     Somewhat     No, not much

Give specific examples: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

To a great extent     Somewhat beyond the norm     About enough to get by

Overall, to what degree do you believe this person contributes his/her skills, talents, energy, and ideas to help the company be as successful as possible in all areas?

Give specific examples: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Signature of rating Employee: \_\_\_\_\_ Date: \_\_\_\_\_

## 10.8. APPENDIX 8 – UPWARD EVALUATION REPORT

Name: \_\_\_\_\_ Date \_\_\_\_\_

Answer the following questions concerning the above individual.

Complete this evaluation on anyone who has served as your supervisor in any significant manner in the past year. When you complete this evaluation including comments, please run a copy and mail to [Staff Member], Director of Human Resources in Administration as soon as you can, no later than [Date]. All reports will be shared confidentially and privately with those evaluated.

**1. Does the supervisor set a good example in his/her work habits?**

Always  Usually  Sometimes  Rarely  Never

**2. Is the supervisor approachable and available when needed?**

Always  Usually  Sometimes  Rarely  Never

**3. When you are assigned new duties and responsibilities by the supervisor, how are they explained?**

Well explained  Adequately  Partially  Not satisfactorily

**4. When the supervisor makes changes in the work had done, are you told the reason for the change?**

Always  Usually  Sometimes  Rarely  Never

**5. Does the supervisor make you feel that you were important to the success of the engagement?**

Always  Usually  Sometimes  Rarely  Never

**6. Does the supervisor assign significant tasks to expand skills and experience?**

Always  Usually  Sometimes  Rarely  Never

**7. What degree of on-the-job training do you receive from the supervisor?**

A great deal  Substantial amount  Some  Very little  None

**8. Does the supervisor publicly give credit for the success of a project to the employees who contributed to it?**

Always  Usually  Sometimes  Rarely  Never

**9. Do you feel that favoritism is shown by the supervisor?**

A great deal  Very little  Some  None

**10. Does the supervisor on the engagement or project keep you informed on plans and progress?**

Always  Usually  Sometimes  Rarely  Never

**11. When you are assigned to work on the engagement or the project with the supervisor, do you find him/her to be receptive to ideas and suggestions for new or better ways of doing things?**

Always  Usually  Sometimes  Rarely  Never

**12. Does the supervisor build trust by openly sharing information?**

Always  Usually  Sometimes  Rarely  Never

**13. Does the supervisor invite you to participate in the planning of engagement or projects?**

Always  Usually  Sometimes  Rarely  Never

**14. Are you allowed a sufficient degree of self-management?**

Always  Usually  Sometimes  Rarely  Never

**15. Is criticism expressed constructively and in a professional manner?**

Always  Usually  Sometimes  Rarely  Never

**16. Does the supervisor cope well with frustrations, pressures, and setbacks?**

Always  Usually  Sometimes  Rarely  Never

**17. Does the supervisor set reasonable goals?**

Always  Usually  Sometimes  Rarely  Never



**18. Does the supervisor respond non-defensively to criticism and challenges to his/his viewpoint?**

Alw  Usually  Sometimes  Rarely  Never

**19. Does the supervisor emphasize cooperation instead of competitiveness within the work group?**

Alw  Usually  Sometimes  Rarely  Never

**20. Does the supervisor give due consideration to your input, ideas, and suggestions?**

Alw  Usually  Sometimes  Rarely  Never

**Use the space below to make comments that will be useful to the person you are upwardly evaluating. If you are able, provide specific examples of indications of strength, areas of concern, and any suggestions for improvement.**

**Comment:** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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**10.9. APPENDIX 9- PERFORMANCE IMPROVEMENT PLAN**

Name of Employee \_\_\_\_\_ Job Title \_\_\_\_\_

Name of Supervisor \_\_\_\_\_ Title \_\_\_\_\_

Department: \_\_\_\_\_ Performance Period \_\_\_\_\_

**Section 1: Performance in need of improvement** *(List the goals the employee will initiate to improve work performance, as well as an action plan for how the employee will achieve each goal. Include skill development and changes needed to meet work performance expectations):*

<b>Goals</b>	<b>Expected results</b> <i>(List measurements, where possible)</i>	<b>Action Plan</b>
1.		
2.		
3.		
4.		

Targeted Date for Improvement: \_\_\_\_\_

Dates to review progress by the employee and supervisor: \_\_\_\_\_

**Section 2: Employee Development Support**

In order to help you make improvement in your job performance the below listed remedies with checked boxes are proposed:

- Shadowing another employee in the Unit (Specify):
- Coaching from the Supervisor
- Counselling by the Supervisor or other arrangement (Specify):
- Workshop (Specify):
- Training Program (Specify):

Targeted Date(s) for Intervention: \_\_\_\_\_

\_\_\_\_\_  
Name of Employee Signature PIP Discussion Date

\_\_\_\_\_  
Name of Supervisor Signature PIP Discussion Date



**10.10. APPENDIX 10 – PROBATION PERIOD PERFORMANCE  
APPRAISAL FORM**

Appraisal Period: \_\_\_\_\_ to \_\_\_\_\_

Associate Name: \_\_\_\_\_ Position: \_\_\_\_\_

Department/Team: \_\_\_\_\_ Location: \_\_\_\_\_

Appraising supervisor: \_\_\_\_\_

30 Days Review     60 Days Review     90 Days Review

**Instruction:** Please rate the employee on the following work competencies. This form should be coupled with the employee’s performance planning form.

**Ratings:**

- 5- Exceptional – Performance exceeds all expectations.
- 4- Excellent – Performance exceeds most of work expectations.
- 3- Satisfactory – Performance consistently meets most work expectations.
- 2- Needs Improvement – Performance does not consistently meet expectations.
- 1- Substandard – Performance does not meet job requirements.

S/N	Performance	Comments	Rating
1.	<b>Attendance/Punctuality:</b> Consistently meets standards for attendance and punctuality		
2.	<b>Job Knowledge/Productivity:</b>  Associate demonstrates knowledge of job duties and meets standards for time in the position. Volume of work regularly produced meets standards for time in position.		
3.	<b>Communication:</b>  Associate demonstrates ability to interact in a clear and logical manner verbally and in written correspondence.  Demonstrates ability to communicate with internal and external clients.		
4.	<b>Cooperation &amp; Teamwork:</b>  Associate demonstrates		

	willingness to work with and assist others.		
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**Associate Comments:**

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Associate Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**Supervisor's Recommendation:**

Recommended for Confirmation       Not Recommended for Confirmation

Supervisor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**10.11. APPENDIX 11 -NOTIFICATION OF AWARD FOR  
EXTRAORDINARY PERFORMANCE**

**Employee Name:** \_\_\_\_\_ **Department:** \_\_\_\_\_

**Date Presented:** \_\_\_\_\_ **Supervisor:** \_\_\_\_\_

Your performance appraisal results have been rated as excellent or exceptional. This qualifies you to receive a reward in the chosen category of the below listed possibilities:

- Recognition (Verbal, Written, Certificate – Non-Monetary Rewards)
- Eligible for Employee of the Year candidacy
- Eligible for Training Seminars
- Eligible to become a Trainer
- Bonus
- Promotion
- Other \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

The institution would appreciate your offer of suggestions or input to further improve the work of other employees and institutional performance.

\_\_\_\_\_  
\_\_\_\_\_

Supervisor’s Name and Signature	Position	Date
Reviewer’s Name and Signature	Position	Date
Head of Institution’s Name and Signature	Position	Date