The Performance Management Manual

A GUIDE FOR MANAGERS, SUPERVISORS AND PUBLIC OFFICERS

DEPARTMENT OF HUMAN RESOURCES

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THE PERFORMANCE MANAGEMENT PROGRAMME

Purpose of this Manual

This manual gives guidance on the management of the Public Service's Performance Management Programme (PMP) process. It will ensure consistency in the application and administration of the programme by outlining the phases, processes/procedures and use of the performance management resources (i.e. the forms and supporting documents).

What is Performance Management?

Performance Management is a process that contributes to an organisation's overall success, and that also has a positive impact on employees. Performance management, in general, supports organisational planning, drives performance, encourages employee development and rewards high performers.

Why do we need a Performance Management Programme?

The Performance Management Programme will enable the Public Service to deliver on its strategic priorities. The Public Service is consistently focused on driving performance and aligning performance outcomes/objectives with the Government's Public Service priorities and ministerial/departmental work plans to ensure that public officers are more accountable in the usage of resources and delivering of established outcomes.

The Performance Management Programme will allow officers to 'see the bigger picture' – that is, officers will see how their work is linked to the strategic priorities of the Public Service. There will be a direct link between the priorities of the Government's Public Service, the strategic work plans of ministries and departments and the performance objectives of public officers.

The alignment of objectives will be done through a process referred to as the *Objective Setting (Cascading) Process*, which will be further explained in this manual.
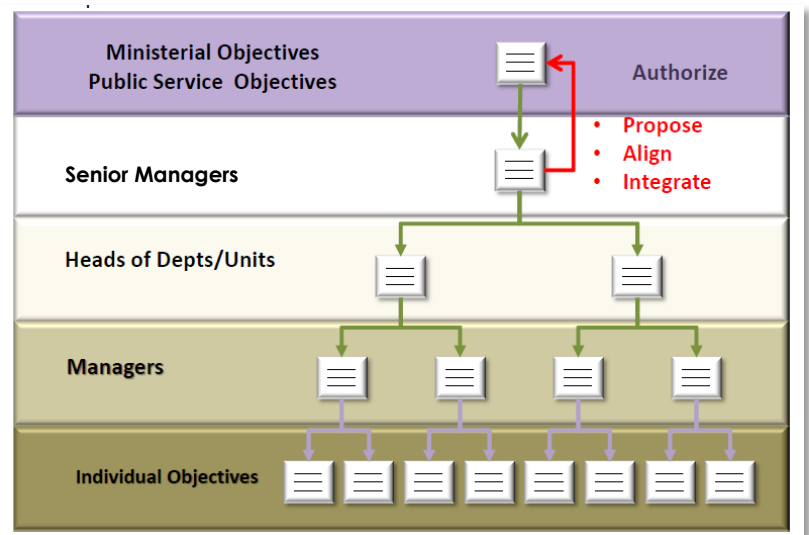
Benefits of a Performance Management Programme

The Performance Management Programme benefits everyone, both public officers and management, and the entire Public Service.

- Organisational goals are made clear to deliver on strategy and the Government's strategy is cascaded into individual objectives
- Mechanisms for determining and establishing goals critical to the organisation's success are provided
- Clearly defined performance objectives are developed
- There is a clear plan outlining the roles/officers who will be involved in the completion of projects/programme outcomes
- Officers' understand how their work directly contributes to the overall goals of the ministry/department and Public Service
- Focus is placed on desired results and the processes or measures to achieve them

- There is greater productivity, accountability and transparency in the completion of projects/programme outcomes
- Evidence of all officers' performance to support some employment matters (example promotion, study leave, disciplinary action etc.) is available
- Officers may be prepared for promotion/career advancement opportunities
- Two-way communication and participation in the evaluation is promoted
- Individual contribution to success is emphasised and establishes rewards for distinguished performance
- Employee development and performance improvement needs are more easily identified
- Enables a pay-for-performance scheme

What are the components of the Performance Management Programme?

There are four phases of the Performance Management Programme:

The **Planning Phase** involves the:
- objective setting process at the Public Service level, Ministerial/Departmental level and on the individual level; and
- development of the Performance Agreement.

The **Coaching Phase** involves:
- Regular monitoring of officers' performance;
- Collection of evidence on performance;
- Provision of feedback as both good and poor performance is completed; and

- Completion of the Performance Mid-Year Review or any other review period required.

The **Reviewing Phase** involves the:
- Assessment of performance; and
- Completion of the Performance Annual Review.

The **Rewarding Phase** will link performance to compensation to recognise high performers and provide promotional opportunities.

What is the Performance Management Cycle?

The Performance Management Cycle is the timeline for completion of the components of the Performance Management Programme.
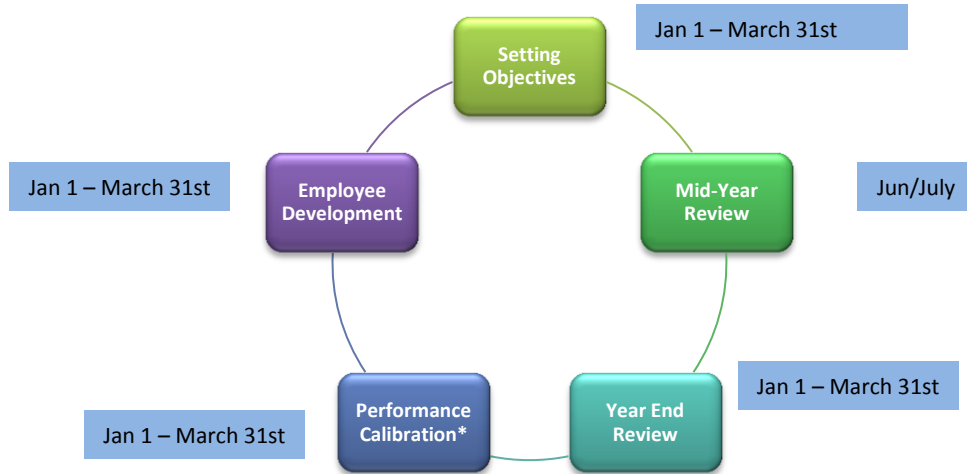
* Performance Calibration is a process which allows managers to assess the way in which they review performance. It ensures that performance at the same levels is fairly and equitably evaluated.

Performance Management Programme Resources

The Performance Management Programme resources include the:

PERFORMANCE MANAGEMENT FORM

Designed for multiple purposes including:

i. Performance Agreement – to establish the performance objectives for the upcoming year or period of review
ii. Performance Mid-Year Review/Periodic Review – to ensure that objectives are monitored and that feedback on performance is provided.
iii. Performance Annual Review – to evaluate the performance for the period under review.

PERFORMANCE IMPROVEMENT PLAN AND DEVELOPMENT PLAN

The plans are used after a performance review is completed. The Performance Improvement Plan is designed for non-performance or low/partial performance from officers. It ensures that officers are provided opportunities to perform at their optimum level.

The Development Plan is designed for officers who are performing well in their area and can enhance job-related areas or consider developmental areas that would assist with advancement in the officer's career.

PERFORMANCE COMPETENCY FRAMEWORK

Designed to capture the types of competencies officers are to demonstrate in the performance of their roles.

MINISTRY/DEPARTMENT WORK PLAN

The work plan is an important tool to use during the objective setting process. It outlines the key activities, project leaders and timelines for all ministry/department projects.

Performance Management Policy

The Performance Management Programme is critical to the Public Service, not only to drive performance, but, the outcome of the performance management process has implications on various employment decisions (including promotion, disciplinary action etc.). The Service Commissions Regulations, 2014 outline in Regulation 21 how

performance is to be monitored during the probation period; Regulation 22 outlines how performance reports are required for confirmation to the Public Service; Regulation 24 addresses how the performance review is required for promotions; and Regulation 45 outlines how unsatisfactory performance is linked to disciplinary action. The Regulations should be reviewed for full explanations and adhered to.

Phase I - Planning

What will I have? You will have i) Objectives Set; ii) Performance Agreements prepared
Timeframe: Between January and March
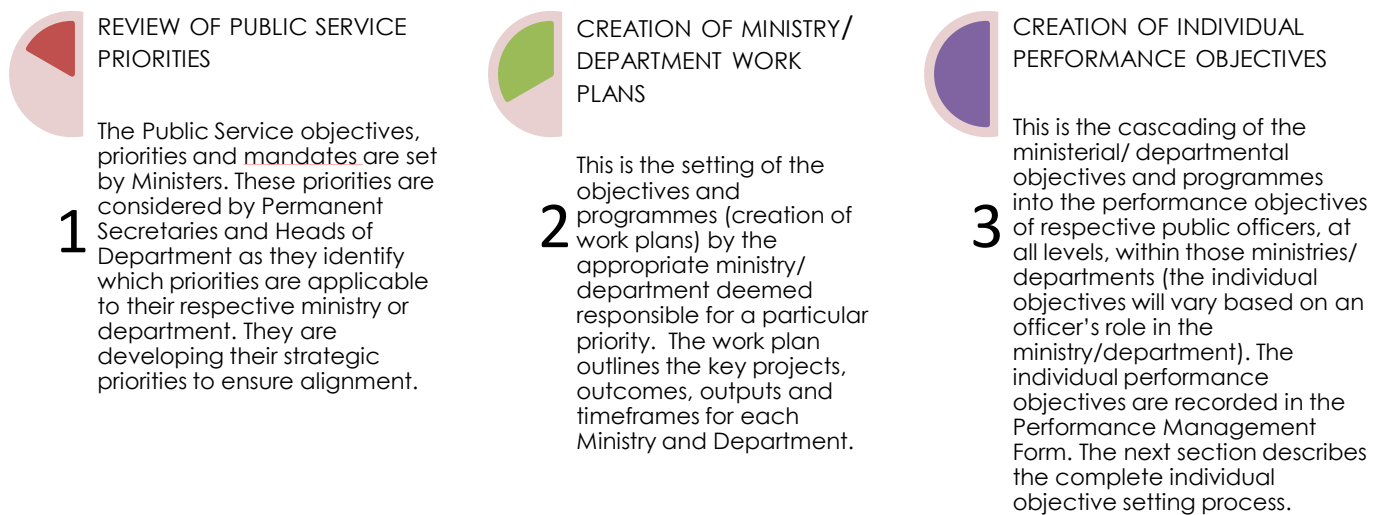**Key Activities**: The Planning Phase includes the:
- Objective Setting (Cascading) Process at all levels
- Completion of the Performance Agreement

OBJECTIVE SETTING (CASCADING) PROCESS

A primary goal of our Performance Management Programme is to facilitate the achievement of Government's strategic priorities. In order to successfully do so, there must be a link between those priorities and the work that each public officer completes. The Objective Setting (Cascading) Process will ensure the alignment of individual performance objectives with the priorities and objectives of the ministry/department, and overall, the Public Service.

The process involves:

1 REVIEW OF PUBLIC SERVICE PRIORITIES

The Public Service objectives, priorities and mandates are set by Ministers. These priorities are considered by Permanent Secretaries and Heads of Department as they identify which priorities are applicable to their respective ministry or department. They are developing their strategic priorities to ensure alignment.

2 CREATION OF MINISTRY/ DEPARTMENT WORK PLANS

This is the setting of the objectives and programmes (creation of work plans) by the appropriate ministry/ department deemed responsible for a particular priority. The work plan outlines the key projects, outcomes, outputs and timeframes for each Ministry and Department.

3 CREATION OF INDIVIDUAL PERFORMANCE OBJECTIVES

This is the cascading of the ministerial/ departmental objectives and programmes into the performance objectives of respective public officers, at all levels, within those ministries/ departments (the individual objectives will vary based on an officer's role in the ministry/department). The individual performance objectives are recorded in the Performance Management Form. The next section describes the complete individual objective setting process.

WHAT IS A PERFORMANCE OBJECTIVE?

A **performance objective** is a specific end result that contributes to the success of the ministry/department and that an officer is expected to accomplish or produce. An objective is a description of the results required for a job function/task to be fully completed.

HOW TO IDENTIFY INDIVIDUAL PERFORMANCE OBJECTIVES?

The following steps will assist with identifying individual performance objectives by cascading the Ministry/Department's objectives down to work unit's objectives and then to the individual performance objectives.

Required Resources:
→ Ministry/Department work plan
→ Role Profiles

Who is responsible?
Manager/Supervisor

STEP 1. Review Ministerial/Departmental Work Plan

To ensure that officers' performance objectives are properly linked to organisational priorities, managers/supervisors should review and become familiar with the Ministry/Department's work plan. Managers/supervisors must understand the core goals, objectives and services of the Ministry/Department.
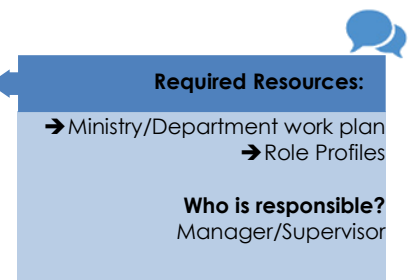
STEP 2. Identify which objectives/projects the work unit would be responsible for

Ministries and Departments are usually divided into work units. Work units are typically responsible for specific goals and objectives under the Ministry/Department's work plan. The 'unit' consists of all the officers directly supervised by a manager/supervisor. When the unit (Project Lead) is identified on the work plan, the manager/supervisor can begin the

process of cascading the Department's objectives down to the work unit level. They would then identify and list the key activities the unit would be responsible for completing.
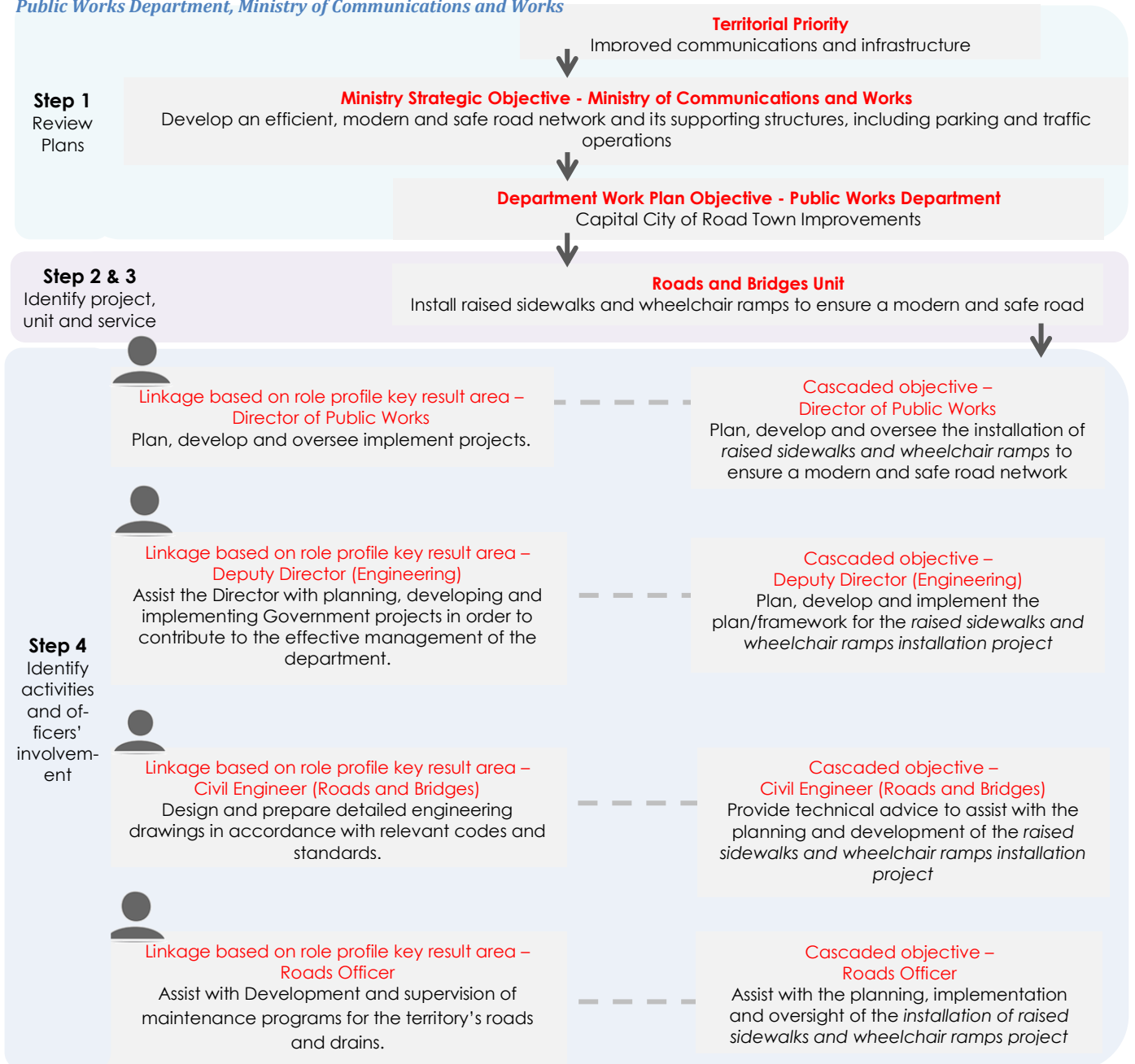
STEP 3. Identify the product or service (output and outcomes) that will support the objective

Identify what product or service (output and outcomes) the unit produces and provides to support the Department's accomplishment of its objectives. Clearly linking the unit's products and services to the organisational objectives is very important to the process. If a unit is performing services or generating products that do not affect organisational objectives, this should be reviewed and reconsidered. If it is not linked to the accomplishment of objectives, it may result in elimination and re-distribution to the correct programme or agency.

STEP 4. Identify activities/tasks and officers' involvement

Once the unit's objectives, products and services to be accomplished are identified, managers/supervisors should focus on specific individual roles. This is done by identifying specific tasks or functions that each public officer should complete that contribute to successful performance of objectives. The type of task the officer will perform is based on the officers' role (the Role Profile may be used as a guide).

Example of the Cascading Process –
Public Works Department, Ministry of Communications and Works

Territorial Priority
Improved communications and infrastructure

Step 1
Review Plans

Ministry Strategic Objective - Ministry of Communications and Works
Develop an efficient, modern and safe road network and its supporting structures, including parking and traffic operations

Department Work Plan Objective - Public Works Department
Capital City of Road Town Improvements

Step 2 & 3
Identify project, unit and service

Roads and Bridges Unit
Install raised sidewalks and wheelchair ramps to ensure a modern and safe road

Step 4
Identify activities and of-ficers' involvem-ent

Linkage based on role profile key result area –
Director of Public Works
Plan, develop and oversee implement projects.

Cascaded objective –
Director of Public Works
Plan, develop and oversee the installation of *raised sidewalks and wheelchair ramps* to ensure a modern and safe road network

Linkage based on role profile key result area –
Deputy Director (Engineering)
Assist the Director with planning, developing and implementing Government projects in order to contribute to the effective management of the department.

Cascaded objective –
Deputy Director (Engineering)
Plan, develop and implement the plan/framework for the *raised sidewalks and wheelchair ramps installation project*

Linkage based on role profile key result area –
Civil Engineer (Roads and Bridges)
Design and prepare detailed engineering drawings in accordance with relevant codes and standards.

Cascaded objective –
Civil Engineer (Roads and Bridges)
Provide technical advice to assist with the planning and development of the *raised sidewalks and wheelchair ramps installation project*

Linkage based on role profile key result area –
Roads Officer
Assist with Development and supervision of maintenance programs for the territory's roads and drains.

Cascaded objective –
Roads Officer
Assist with the planning, implementation and oversight of the *installation of raised sidewalks and wheelchair ramps project*
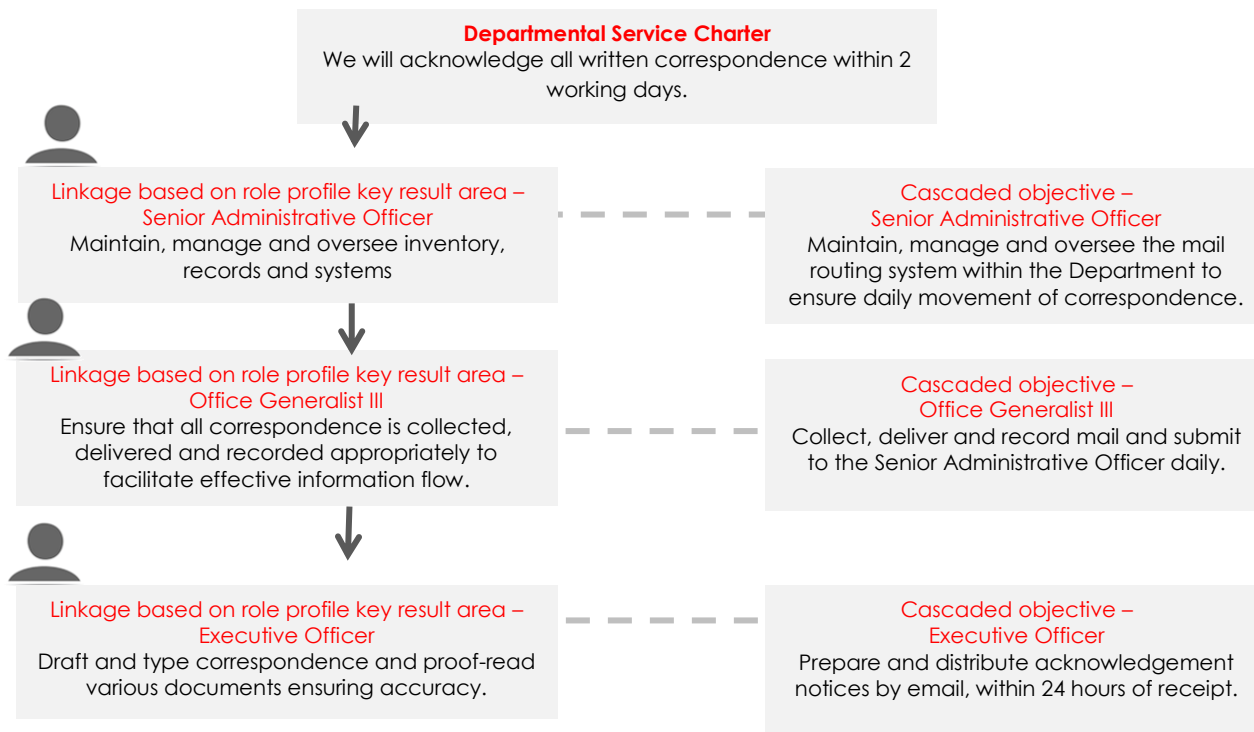
The cascading process should filter down as far as possible, including all officers who would be responsible and involved in a project.

Project Based and Operational Based Objectives

It is important to note that some officers may have performance objectives linked to a Ministry/Department project that would have been identified through the Objective Setting (Cascading) Process. Officers may also have routine, operational activities that may not necessarily be linked to a project but support the overall delivery of the project and the overall functioning of the Ministry/Department and would need to be reflected in the performance agreement (e.g. frontline support). The operational activities should still be linked to departmental general/overall services, which may be outlined in the service charter or role profiles. In the preparation of the Performance Appraisal, this should be considered and objectives set accordingly.

Examples of the Operational Based Objective

Departmental Service Charter
We will acknowledge all written correspondence within 2 working days.

Linkage based on role profile key result area – Senior Administrative Officer
Maintain, manage and oversee inventory, records and systems

Cascaded objective – Senior Administrative Officer
Maintain, manage and oversee the mail routing system within the Department to ensure daily movement of correspondence.

Linkage based on role profile key result area – Office Generalist III
Ensure that all correspondence is collected, delivered and recorded appropriately to facilitate effective information flow.

Cascaded objective – Office Generalist III
Collect, deliver and record mail and submit to the Senior Administrative Officer daily.

Linkage based on role profile key result area – Executive Officer
Draft and type correspondence and proof-read various documents ensuring accuracy.

Cascaded objective – Executive Officer
Prepare and distribute acknowledgement notices by email, within 24 hours of receipt.

STEP 5. Develop Individual Performance Objectives

Once managers/supervisors identify which activities and results their unit will deliver, and identify which officers will be involved, the individual performance objectives can be developed and recorded in the Performance Management Form.

Again, a **performance objective** is a specific end result that contributes to the success of the ministry/department and that an officer is expected to accomplish or produce. An objective is a description of the results required for a job function/task to be fully completed.

WRITING SMART OBJECTIVES

Performance objectives should be SMART:

Specific		Measurable		Achievable	Relevant	Time Bound
Action (verb)	Output/ Results (noun)	Quantity (how many)	Quality (Descriptor)	Can this really be achieved in the right quantity, quality, time and cost?	Does this link to our strategy?	Time (by when?)
		Cost (how many)	Timeliness (how often)			

Specific
The performance objective needs to specify clearly defined expected results.
- Details are important so the officer knows what is expected.

- Clearly defined expectations and results assists with making it easier for rating official to determine if you met the objective.

Example: Draft, type and proof correspondence and related materials as instructed with 95% accuracy in completion and compliance with established standards and procedures within one working day of receipt.

Example: Coordinate and deliver at least five in-service training programmes, specifically including "New Employee Onboarding" by August 2015 with an evaluation report submitted to the manager within 7 working days of completion of the programme.

Measurable
The performance objective should specify how to measure success or satisfactory performance (i.e. provide a verifiable standard for evaluation).
- Specific/concrete measures establish what the officer must achieve and standards for evaluating that achievement.

- Types of measurement include:

QUALITY	how well the work is performed (i.e., accuracy, effectiveness, or usefulness)
QUANTITY	amount produced (i.e., raw numbers, percentages, level of productivity)
TIMELINESS	how quickly the work is completed (i.e., a certain time period or by a certain date, time from request to completion)
COST EFFECTIVENESS	how efficiently the product or service was produced and/or outcomes that result in a savings of time or money (i.e., dollar amount saved by creating an efficient method of performing a duty)

Example: Draft, type and proof correspondence and related materials as instructed with 95% accuracy in completion and compliance with established standards and procedures within one working day of receipt.

Example: Coordinate and deliver at least five in-service training programmes, specifically including "New Employee Onboarding" by August 2015 with an evaluation report submitted to the manager within 7 working days of completion of the programme.

Achievable
The performance objective should be within the officer's control and not overly dependent on outside factors. In other words, officers should be rated only on work for which they are responsible.
- If accomplishing a project requires a specific amount of funding that is beyond the officer's control, the performance objective should specify that raters consider the availability of resources in evaluating the accomplishment of the objective.

- If the performance objective requires higher authority approval within the evaluation period, the officer should not be penalized if the external approval is not received, unless the delay is associated with the officer missing a deadline and/or an activity that was within the officer's span

of control.
These should be considered when creating performance objectives.

Example: Draft, type and proof correspondence and related materials as instructed with 95% accuracy in completion and compliance with established standards and procedures within one working day of receipt. This objective is achievable.

Example: Coordinate and deliver at least five in-service training programmes, specifically including "New Employee Onboarding" by August 2015 with an evaluation report submitted to the manager within 7 working days of completion of the programme. This objective is achievable.

Relevant
The performance objective should have a direct and obvious link to the officer's role, the manager's objectives, the Ministry/Department's objectives, and to overall organisational objectives.

Example: Draft, type and proof correspondence and related materials as instructed with 95% accuracy in completion and compliance with established standards and procedures within one working day of receipt. This objective is relevant to the overall organisational objectives.

Example: Coordinate and deliver at least five in-service training programmes, specifically including "New Employee Onboarding" by August 2015 with an evaluation report submitted to the manager within 7 working days of completion of the programme. This objective is relevant to the organizational objectives.

Time-bound
The performance objective should specify a timeframe associated with production of the product or service. Such timeframes help clarify performance expectations and ensure the work is completed in a timely manner. Timeframes can be within a certain period of time or by a certain date and must be within the performance cycle.

Example: Draft, type and proof correspondence and related materials as instructed with 95% accuracy in completion and compliance with established standards and procedures within one working day of receipt.

Example: Coordinate and deliver at least five in-service training programmes, specifically including "New Employee Onboarding" by August 2015 with an evaluation report submitted to the manager within 7 working days of completion of the programme.

Examples of SMART Objectives

Post	SMART Objectives
Administrative Officer	Draft, type and proof correspondence and related materials as instructed with 95% accuracy in completion and compliance with established standards and procedures within one working day of receipt.
Training Officer	Coordinate and deliver at least five in-service training programmes, specifically including "New Employee Onboarding" by August 2015 with an evaluation report submitted to the manager within 7 working days of completion of the programme.

Accounts Officer	Reconcile the department's financial reports by the 15th of every month with no increase in reconciliation errors.
	Reduce department expenses by 5% for each of the next 12 months
Senior Administrative Officer	Create a 2 – 3 page outline of standard operating procedures for all purchases over $1,000 within our department by 11/1/15.

Additional information is available in section SMART Vocabulary Template.

In Practice - CREATING THE PERFORMANCE AGREEMENT

Integrating the Performance Management Form

During the Planning Phase, the Performance Management Form may be used to complete the performance agreement, to establish the performance objectives for the upcoming performance year or period of review. The manager/supervisor and the officer will have to agree to the performance objectives.

PREPARING FOR AND CONDUCTING THE PERFORMANCE AGREEMENT MEETING

1   The manager/supervisor and officer should review the Ministerial/Departmental workplan.

2   Both manager and officer should identify what contributions will be made to relevant projects or organisational goals (based on the officer's role).

3   The manager/supervisor and officer (or team) should meet to discuss the organisational goals. Manager/supervisor shares expectations and the officer shares how his/her role will contribute of the organisational goals.

4   The manager/supervisor and officer should agree on deliverables.

5   The officer creates the performance objectives and prepares the Performance Agreement. Where necessary the manager/supervisor may assist with the preparation of the Performance Agreement.

6   The officer should submit the Performance Agreement to the manager/supervisor for review. If amendments are necessary the manager/supervisor will indicate the changes to the officer.

7   The manager/supervisor should provide any necessary feedback on the Performance Agreement. The manager/supervisor and officer should sign the Performance Agreement.

PREPARING THE PERFORMANCE MANAGEMENT FORM – PERFORMANCE AGREEMENT

Defining the Key Result Area (Part B: Performance Objectives)

The following should be considered when developing Key Result Areas:

1   The Key Result Area will reflect either the actual title of the project, if project based, or it will reflect the category of focus if operational based.
2   All jobs are composed of one or more KRAs.
3   KRAs are not goals, but areas of responsibility for which specific goals and targets can be prepared.
4   When prioritised, KRAs can allow officers to decide the work to be done first when faced with conflicting time demands.

Project Based Example

Key Result Area:	Raised sidewalks and wheelchair ramps installation project		Weight:	0%	
Linkage:	Ministerial/Departmental Workplan		Status:		
				Employee rating:	**Supervisor rating:**
Objectives to be achieved:					
1			Timeframe:		
Employee evidence:					0
Supervisor evidence:					

Operational Based Example

Key Result Area:	Customer Delivery		Weight:	0%	
Linkage:	Departmental Service Charter		Status:		
				Employee rating:	**Supervisor rating:**
Objectives to be achieved:					
1			Timeframe:		
Employee evidence:					0
Supervisor evidence:					

Creating Objectives to be Achieved (Part B: Performance Objectives)

The 'objectives to be achieved' are the individual performance objectives explained in the previous section. They are to be SMART and outline the work that should be completed in order to achieve the KRA (read more about writing SMART objectives).

Project Based Example – Civil Engineer (Roads and Bridges)

Key Result Area: Raised sidewalks and wheelchair ramps installation project	Weight: 0%
Linkage: Ministerial/Departmental Workplan	Status:

Objectives to be achieved:		Employee rating:	Supervisor rating:
1	Conduct research and provide a comprehensive technical report on the installation of raised sidewalks and wheelchair ramps for all the installation locations and submit to the Deputy Director (Engineering) by the end of 2nd quarter of 2015. Timeframe: End of 2nd quarter of 2015		0
Employee evidence:			
Supervisor evidence:			

Operational Based Example – Executive Officer

Key Result Area: Customer Delivery	Weight: 0%
Linkage: Departmental Service Charter	Status:

Objectives to be achieved:		Employee rating:	Supervisor rating:
1	Prepare and distribute acknowledgement notices by email, within 24 hours of receipt, for all mail. Timeframe: Daily (within 24 hours)		0
Employee evidence:			
Supervisor evidence:			

Establishing the Timeframe (Part B: Performance Objectives)

The timeframe ensures that the objective is time-bound with a realistic date of completion. It should be clearly stated on the Performance Agreement.

Weighting Key Result Areas (Part B: Performance Objectives)

Key Result Areas will vary significantly in importance and effort required. The weight is the percentage assigned to each KRA. Consider the full scope of the role and how much time, effort/focus will be placed on that particular area throughout the year. When completing the Performance Agreement, the appropriate percentage for each KRA should be agreed with the officer.

ESTIMATED PERCENTAGE OF TIME

Estimate the percentage of time spent performing the activities. The following chart will assist in estimating percentages on either a daily, weekly, monthly or annual basis.

Percentage	Day	Week	Month	Year
5%	30 minutes	2 hours	1 ½ days	2 ½ weeks
10%	1 hour	4 hours	3 days	5 weeks
15%	1 ½ hours	6 hours	4 ½ days	2 months
20%	2 hours	1 day	6 days	2 ½ months
25%	2 ½ hours	1 ¼ days	7 ½ days	3 months

Time spent for any activity should account for at least 5% of total time, unless it is a critical part of the role (e.g. negotiating a purchase agreement every three years). The total of all percentages should account for 100% of the position's time.

Defining the 'Linkage' (Part B: Performance Objectives)

The Linkage reflects how the KRA is aligned either to a Public Service priority, Ministerial/Departmental work plan objective/project, role profile, service charter, or other document (e.g. legislated document) that addresses performance.

Identifying Competencies (Part C: Performance Competencies)

The competencies describe how an officer performs and contributes to the Ministry/Department. The competencies are categorised into nine (9) categories that are further divided into five (5) levels which reflect the different grades and responsibilities within the Public Service. Part C of the Form only provides a summary of each category, therefore, it is important that the Competency Framework is reviewed thoroughly.

Setting Direction
Seeing the Big Picture
Changing and Improving
Making Effective Decisions

Public Service Values

Engaging People
Leading and Communicating
Collaborating and Partnering
Building Capability for All

Delivering Results
Delivering Value for Money
Managing a Quality Service
Delivering at Pace
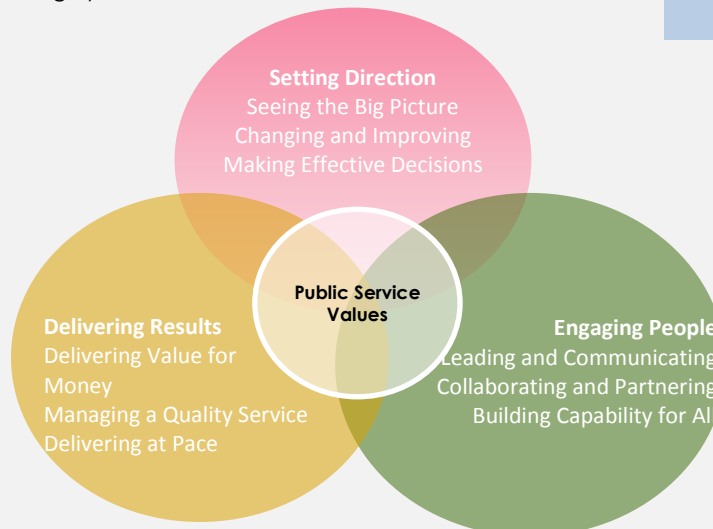
Diagram of the Competency Framework

Creating a Development Plan (Development Plan)

An effective organisation ensures that officers' developmental needs are evaluated and addressed. This may include increasing an officer's capacity to perform through professional attachments, training, assignments that introduce new skills or higher levels of responsibility, or improving work processes.

The Development Plan is an organised approach to improve the officer's professional skills and the department's productivity. This is a joint process, both in creation and execution, in that supervisors are more familiar with the department's future directions and the officer is more aware of specific, individual needs and goals.

A Development Plan may be used for:

JOB SKILLS AND PERFORMANCE ENHANCEMENT: plans identified by a manager with the officer to provide opportunities for enhancing job-related skills and performance.

CAREER ADVANCEMENT: plans identified by the manager and officer to enhance the prospect for promotion.

CAREER EXPLORATION: plans may be initiated to provide opportunities for career exploration through cross-training, mentoring or other activities.

ANTICIPATED CHANGES: training needs arising from the performance objectives set for the next review period, including situations where there are anticipated changes to responsibilities, processes, procedures or technologies.

Developmental Activities

The Development Plan should identify specific and measurable goals with a recommended course of action. Such goals may include, but are not limited to:

i. providing additional direction and guidance to enhance current performance; providing specific training opportunities related to job responsibilities;

ii. supporting enrolment in formal educational programs related to job responsibilities;

iii. encouraging the reading of literature related to the officer's work;

iv. supporting participation in related professional organisations;

v. delegating assignments to provide opportunities to develop new skills.

Phase II – Coaching

What will you have? You will have i) Regular monitoring of performance ii) Mid-year review completed
Timeframe: Continuous
Key Activities: The Coaching Phase includes:

- Monitoring officers' performance regularly
- Collecting evidence of performance
- Providing feedback on both good and poor performance
- Conducting the mid-year review

MONITORING PERFORMANCE

It is critical for assignments and projects to be monitored regularly. 'Monitoring performance well' means consistently measuring performance and providing continuous feedback to officers on their progress toward reaching the agreed goals. At the mid-year point, managers/supervisors are required to discuss and document the status of performance objectives agreed at the beginning of the performance management cycle.

This review period is critical as it allows officers to clarify work related issues and allows for an opportunity to remedy performance issues.

Methods of Monitoring Performance

- Organising group meetings
- Setting one-on-one meetings
- Requesting regular status reports
- Tracking results
- Requesting Customer Feedback
- Observation of officers' performance
- Reviewing Complaints

COLLECTING EVIDENCE OF PERFORMANCE

During the period of review, the officer and supervisor should collect and maintain evidence of the performance. The evidence of performance collected during the year will provide the basis for both the formal evaluation of performance at the end of the review periods.

Examples of evidence that might be collected and retained for use at review meetings are as follows:

1 Specific evidence such as reports, memos or letters that show successful completion of an objective

2 Evidence showing how the officer undertook their objectives, e.g. positive or negative feedback from customers, other managers, colleagues or team members

3 Evidence of factors which may have adversely impacted on the officer's performance, e.g. organisational changes, introduction of new equipment or the change of priorities

4 Any revision of objectives which was necessary (e.g. reallocation of resources, funding or human resources)

PROVIDING CONTINUOUS FEEDBACK

Managers/Supervisors should provide continuous feedback and coaching based on evidence of performance collected throughout the period of review. If necessary, interim reviews can be scheduled at any time during the year. Issues with performance raised at the end of year review should therefore not come as a surprise to officers.

In Practice - CONDUCTING THE MID-YEAR REVIEW

Integrating the Performance Management Form

During the Coaching Phase, the Performance Management Form should be used for the performance mid-year review to ensure that objectives are monitored and that feedback on performance is provided.

During this review the following activities occur:

- A discussion about the officer's progress toward meeting performance objectives and how that progress is measured against the achievement of the organisational objectives;

- The identification of any performance deficiencies and recommendations on how to improve;

- A review of the performance objectives to determine if there is a need for amendment based on changes in responsibilities, priorities or resources; and

- Documentation by the manager/supervisor of any changes to the original Performance Agreement. The revised Form should be signed and a copy of the revised agreement provided to the officer.

> **Required Resources:**
>
> **Required Resources:**
> ➔ Performance Management Form with completed Performance Agreement
> ➔ Performance Improvement and Development Plan
>
> **Who is involved?**
> Manager/Supervisor
> Officer

PREPARING FOR THE MID-YEAR REVIEW MEETING

OFFICER'S ROLE

1   Once the time for the mid-year review arises, complete the Performance Management Form in preparation for the review.

Part B – Performance Objectives

1. Review the Performance Objectives

2. Update the 'Status' using one of three options: on-track; off-track; and amended. The status is determined based on the progress of work completed in relation to the timeframe and standards established.

3. Provide evidence of performance on each objective that may describe quality and timeliness of work Review the rating scale by thoroughly reading each definition

4. Enter a rating for the performance objective by considering whether performance standards were met within the established timeframe

5. Note any areas for discussion at the review meeting (any challenges, areas where guidance/development is required or commendations)

Part C – Performance Competencies

1. Review the Competency Framework to identify the competencies for your grade

2. Provide evidence of how the relevant competencies were met

3. Enter a rating for the competency by considering how well the requirements were met

4. Note any areas for discussion at the review meeting (any challenges, areas where guidance/development is required or commendations)

Part E – Performance Summary

1. Provide written comments on performance during the period of review.

2   Update the Development Plan created during the Performance Agreement

1. Review the activities that were required to be completed

2. Indicate the status of the development activity

3. Provide comments on performance in relation to the area of development

3   Submit the Performance Management Form and Development Plan to the manager/supervisor at least 2 to 3 days prior to the review meeting.

MANAGER/SUPERVISOR'S ROLE

1 **Set and communicate a date for the performance mid-year review. Remind the officer to complete the Performance Management Form in preparation for the mid-year review and inform him/her to submit it 2 to 3 days prior the review meeting.**

2 **Review and complete the Performance Management Form <u>once received from the officer</u>**

Part B – Performance Objectives

1. Review the Performance Objectives; and the comments, status and ratings provided by the officer (make any notations in support or disagreement)

2. Provide comments on performance on each objective that may describe quality and timeliness of work using the evidence accumulated (see [Monitoring Performance](#) and [Collecting Evidence](#) of performance)

3. Thoroughly review each definition of the rating scale

4. Enter a rating for the performance objective by determining if the objective was met as set out in the performance agreement considering the performance standards and delivery timeframe.

Part C – Performance Competencies

1. Review the Competency Framework to identify the competencies for the officer's grade

2. Provide comments on how the relevant competencies were met

3. Enter a rating for the competency by considering how well the requirements were met

Part E – Performance Summary

1. Review the calculated overall rating and indicate the type of plan that the officer should follow – whether performance improvement or development plan

3 **Prepare the Performance Improvement Plan (if required)**

1. Identify areas of low or non-performance

2. Identify ways to improve performance in particular areas and sets a timeframe for completion and review of progress

4 **Review the Development Plan based on the development areas agreed to during the Performance Agreement**

1. Review the activities that were required to be completed

2. Provide comments on performance on the activity/development (make any notations in support or disagreement)

5 **Review [Tips on Conducting Performance Reviews](#) before the meeting.**

REVIEWER'S ROLE

Review the Performance Agreement to ensure that the objectives are aligned with organisational objectives. If there are any discrepancies, provide comments and return to the manager/supervisor for review and clarification.

CONDUCTING THE REVIEW MEETING

The performance mid-year review meeting is time when the officer and the manager/supervisor can discuss progress of performance and identify areas for improvement.

1   Review the completed Performance Management Form that was prepared for the meeting

   1   Discuss the performance objectives, the evidence provided and the rating

   2   Discuss the performance competencies

   3   Ensure that both good and poor performance is discussed (where applicable). Discuss successes, challenges, areas where further guidance is required.

   4   Make amendments to the Form as required

   5   Review the calculated overall rating

   6   Discuss the type of plan that the officer will require based on the performance ratings

   7   Sign and date the Form. It is important to note that all public officers are required to sign the Performance Management Form. Signature indicates that the review and discussion occurred, but does not necessarily imply agreement.

2   Review the previous Development Plan created during the Performance Agreement
   Based on the plan currently on:

   1   Discuss the activity(ies) that were to be completed

   2   Review the comments on the activities

   3   Make amendments as required and provide updates

   4   Sign and date the plan

3   Complete the Performance Improvement Plan in instances of low or non-performance (if required)

   1   Discuss the activities that will be completed

   2   Establish the timeframe that the activity(ies) should be completed and the implications

4   In some instances, a separate meeting may need to be held to discuss the activities required for the Performance Improvement plan. This should be decided at the discretion of the manager/supervisor.
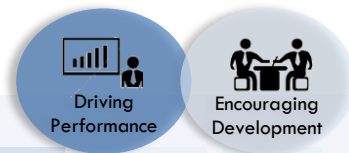
Phase III – Reviewing Performance

What will I have? You will have a completed annual performance review
Timeframe: Between January and March
Key Activities: The Reviewing Phase involves:

- Conducting annual performance reviews by comparing actual performance with expected performance; and identifying areas of improvement and development
- Completing post-appraisal steps

The Annual Performance Appraisal occurs between the months of January and March. It is a time for reflection on performance during the year, acknowledgment of successes and identifying development/improvement opportunities.

In Practice - REVIEW PREPARATION

Integrating the Performance Management Form
Officers and supervisors/managers may prepare for the appraisal meeting as follows:

> **Required Resources:**
>
> **Required Resources:**
> ➜ Performance Management Form with completed mid-year review
> ➜ Performance Improvement and Development Plan
>
> **Who is involved?**
> Manager/Supervisor
> Officer

OFFICER'S ROLE

1 **Once the time for the mid-year review arises, complete the Performance Management Form.**

Part B – Performance Objectives

1 Review the Performance Objectives

2 State evidence of work completed (e.g. attended all required meetings, provided technical report, etc.)

3 Review the rating scale by thoroughly reading each definition

4 Enter a rating for the performance objective by considering whether performance standards were met within the established timeframe

Part C – Performance Competencies

1 Review the Competency Framework to identify the competencies for your grade

2 State evidence of how the relevant competencies were met

3 Enter a rating for the competency by considering how well the requirements were met

Part E – Performance Summary

1 Provide comments on performance during the period of review.

2 **Complete the previous Performance Improvement Plan or Development Plan**
Based on the plan currently on:

1 Review the activities that were required to be completed

2 Indicate the status of the improvement or development activity

3 Provide comments on performance on the activity

4 Be prepared to contribute ideas for development activities

3 **Submit the Performance Management Form and Performance Improvement/Development Plan to the manager/supervisor 2 to 3 days prior to the appraisal meeting.**

MANAGER/SUPERVISOR' ROLE

1 **Set and communicate a date for the performance review. Remind the officer to complete the Performance Management Form and the Performance Improvement/Development Plan and submit the completed form 2 to 3 days prior to the appraisal meeting.**

2 **Review and complete the Performance Management Form once received from the officer**

Part B – Performance Objectives

1. Review the Performance Objectives; and the comments, status and ratings provided by the officer (make any notations in support or disagreement)

2. Provide comments on performance on each objective that may describe quality and timeliness of work using the evidence accumulated (see [Monitoring Performance](#) and [Collecting Evidence](#))

3. Thoroughly review each definition of the rating scale

4. Enter a rating for the performance objective by considering whether performance standards were met within the established timeframe

Part C – Performance Competencies

1. Review the Competency Framework to identify the competencies for the officer's grade

2. Review the officer's comments and ratings (make any notations in support or disagreement)

3. Provide comments on how the relevant competencies were met

4. Enter a rating for the competency by considering how well the requirements were met

Part E – Performance Summary

1. Provide comments on performance during the period of review.

2. Review the calculated overall rating and indicate the type of plan that the officer should follow – whether performance improvement or development plan

3 **Review and complete the previous Performance Improvement Plan or Development Plan**
Based on the plan the officer is presently on:

5. Review the activities that were required to be completed
6. Update the status of each activity
7. Provide comments on performance on the activity

4 **Prepare the upcoming year's Performance Agreement (see section [Creating the Performance Agreement](#)).**

CONDUCTING THE APPRAISAL MEETING

The performance appraisal meeting is a follow-up to the mid-year review and is the time when the officer and the manager/supervisor can discuss performance over the performance year. See section [Conducting the Review Meeting](#) for full details.

POST-APPRAISAL STEPS

MANAGER/SUPERVISOR' ROLE

1 Ensure that all parts of the Form and plan are completed.

2 Submit the completed Performance Management Form and Improvement/Development Plan to the Reviewer.

3 For officers who were on Performance Improvement Plans from the mid-year review period, and have not shown a change in performance, consideration should be given to begin performance recourse in accordance with Regulation 45 of the Service Commissions Regulations. The options are as follows:

- Written notice should be given specifying:
    i. the nature of the unsatisfactory performance;

    ii. improvement or corrective measures that are required and the timeframe for completion. Improvement or corrective measures may include:

    a. training that is relevant to the competencies, where it is believed that the officer's unsatisfactory performance is related to the lack of competencies required for the job;

    b. referral to the Employee Assistance Programme, where it is believed that the unsatisfactory performance is related to a personal problem.

    iii. any disciplinary action that may be taken if the improvement or corrective measures are not made.

- Where it is believed that the unsatisfactory performance is not related to the lack of competencies required for the role or related to personal problems; and where there has been no change in performance after written notice was given, a recommendation may be made for the:

    i. Officer's increment be withheld;

    ii. Officer to be demoted; or

    iii. Officer's employment be terminated.

4   Continue to monitor performance and provide feedback to officers between periods of review (see Phase II on Coaching).

REVIEWER'S ROLE

1   Review the Performance Management Form and the Plan to ensure that the process was managed and prepare for the next level of action in accordance with the requirements of the Performance Management Programme. If there are any discrepancies, provide comments and return to the manager/supervisor for review and clarification.

2   Submit to the Department of Human Resources for processing.

Driving
Performance

Encouraging
Development

Rewarding
Performers

Phase IV – Rewarding Performance

What will you have? You will have a completed performance increment certificate
Timeframe: Between January and March
Key Activities: The Rewarding Phase involves identifying whether the performance will warrant compensation.

PAY-FOR-PERFORMANCE MODEL

Once the annual performance annual review is complete, the manager/supervisor may determine whether an officer is eligible to receive an increment based on performance during the year. An increment is awarded to officers whose performance reflects a rating of 'Met Expectations' and above.

Tips for Conducting the Performance Reviews

Review meetings can be sensitive discussions and must be approached carefully.

PRE-REVIEW TIPS

The following are tips to consider when assessing performance prior to the meeting. The checklist below illustrates some examples of questions to ask and factors to consider when assessing an individual's performance.

Position:_____

CHECKLIST	EXAMPLES OF FACTORS YOU NEED TO CONSIDER AGAINST THE JOB	SPECIFIC ASPECTS WHICH YOU NEED TO CONSIDER
– What has been achieved?	– volume of work – quality of work – relevant knowledge – application of correct methods/standards (procedures, legislation, etc.)	
– How did this contribute to the Main Purpose of the Job?	– how was time used? Was a lot of time spent doing less relevant items?	
– How effectively were objectives achieved?	– measures of performance e.g. x per day – on time, to quality specified in correct way	
– What did they achieve - cost? (use of resources)	– within budget (money and people) – time was used – how were resources maintained or utilised	
– Any factors which affected/explain performance?	– illness – other duties – change of job – personal problems – change of direction – new work/emerging needs, re-distribution of work/assignments)	
– How difficult is the job?	– pressure – level of skill – output (quantity/increased client services) – range – timeliness (revised standards/targets required)	
– What evidence/ examples can you provide?	– Tangible examples from through the year (reports, services, programmes initiated)	

REVIEW MEETING TIPS

The following are some tips on conducting the meeting:

Provide structure for the meeting

Let the officer know before the meeting what you plan to cover, prepare an agenda. Agree with him or her the agenda and ask if there is anything not on the agenda which the officer would like including. The agenda need not be a formal document; it can be a list of topics and the order in which you plan to cover them.

Set the parameters

The meeting should be a welcoming, formal discussion. You want to hear what the officer has to say. You should make clear to the officer that it is their review, and that you will allow them ample opportunity to express themselves. Specify how much time may be required for the meeting, and allow for additional time if needed.

Promote Self Review

Get the officer to give his or her view of the whole year's performance and achievement of objectives before you provide your review. More often than not the officer will say for you what you had intended to say yourself. Officers will often be more critical of their own performance than you are.

Use effective verbal communication

The following categories of verbal communication may be useful during the review:

Category	Definition	Example
Proposing	A behaviour which puts forward a new suggestion or proposal.	*'Let's set up a review of our financial accounting processes.'* *'I suggest that we reduce the number of tables by 15%.'*
Building	A behaviour usually in the form of a proposal which extends or develops a proposal made by another person.	*'...and your plan would be even better if we added a second reporting stage.'* *'If I can take that further, we could also use the system to give us better cost control.'*
Supporting	A behaviour which makes a conscious and direct declaration of agreement or support for another person in his or her concepts and opinions.	*'Yes, I will go along with that.'* *'Sounds OK by me.'* *'Fine.'* *'I accept that.'*
Testing understanding	A behaviour which seeks to establish whether one has understood what is being said.	*'Can I just check that we're talking about the same thing here?'* *'Can you explain your thoughts a bit more?'* *'So, can I take it that we both now agree on this?'*
Summarising	A behaviour which summarises, or restates in a compact form, the contents of previous discussions or events.	*'OK, so we have agreed:* *(a) to take legal action;* *(b) to take it before May.*
Seeking information	A behaviour which seeks facts, opinions or clarification from another person.	*'Who will you be delegating this to?'* *'Can you tell me where you are on this objective?'*
Seeking proposals	A behaviour which seeks proposals from another person. A sub-set of *Seeking information*.	*'What do you suggest?'* *'So, what should we do then?'* *'Have you any ideas?'*
Giving information	A behaviour which offers facts, opinions or clarification to other people.	*'Queues are growing longer.'* *'In my view, we're hindering, not helping.'* *'No, it isn't the first time this has happened.'*
Disclosing	A behaviour which discloses feelings, values and experiences to another person	*'I find it hard to mention the matter to him.'* *'A few years ago, I experienced a similar problem which I found very distressing.'*

Therefore categories of verbal conversation which are generally to be avoided include:

Category	Definition	Example
Disagreeing	A behaviour which states a direct disagreement or which raises objections and obstacles to another person's concepts or opinions. *NB.* Disagreeing is about issues, not personalities.	*'No, I don't agree with that.'* *'I don't like the idea one bit.'*
Defending/ attacking	A behaviour which attacks another person either directly or by defensiveness. Defending/attacking behaviours usually involve value judgements and often contain emotional overtones. *NB.* Defending/attacking is about people not issues.	*'What you're suggesting just won't work.'* *'That's rubbish.'* *'...and your third point is either incompetence or a blatant lie.'* *'Don't blame me. It's not my fault - it's his responsibility.'*

State Your Views Clearly

Where you disagree with the officer's view of his or her performance ensure you say so explicitly and with evidence. Equally, state your agreement clearly.

Summarise Regularly

Round off the discussion of each objective with a summary and ensure your mutual understanding.

Be Comprehensive

This means looking at the:
- whole period of review, even if it has been discussed during the year informally.
- successes as well as the deficiencies.
- contribution to long-term as well as short-term activities.

Look to the future

An appraisal, by its very nature, focuses on the past. There is, however a limit as to how useful that can be. Reviews are about learning from the past to improve the future. So make sure you establish guidelines for the coming year from the review of what has happened in the past one.

Appealing a Performance Review

There may be situations where an officer and supervisor/manager disagree on aspects of the process. In such instances, there is an appeals process that should be followed in accordance with the Human Resources Policy U on the Grievance Procedure. Officers are reminded that signing the Performance Management Form is required. It is not necessarily an indication of agreement with the outcome of the review but only that the review and discussion occurred. Officers with performance review disputes may contact the Department of Human Resources to seek further guidance on managing this process.

Need help?

Department of Human Resources is here to help. Contact the Department for support, training and guidance at
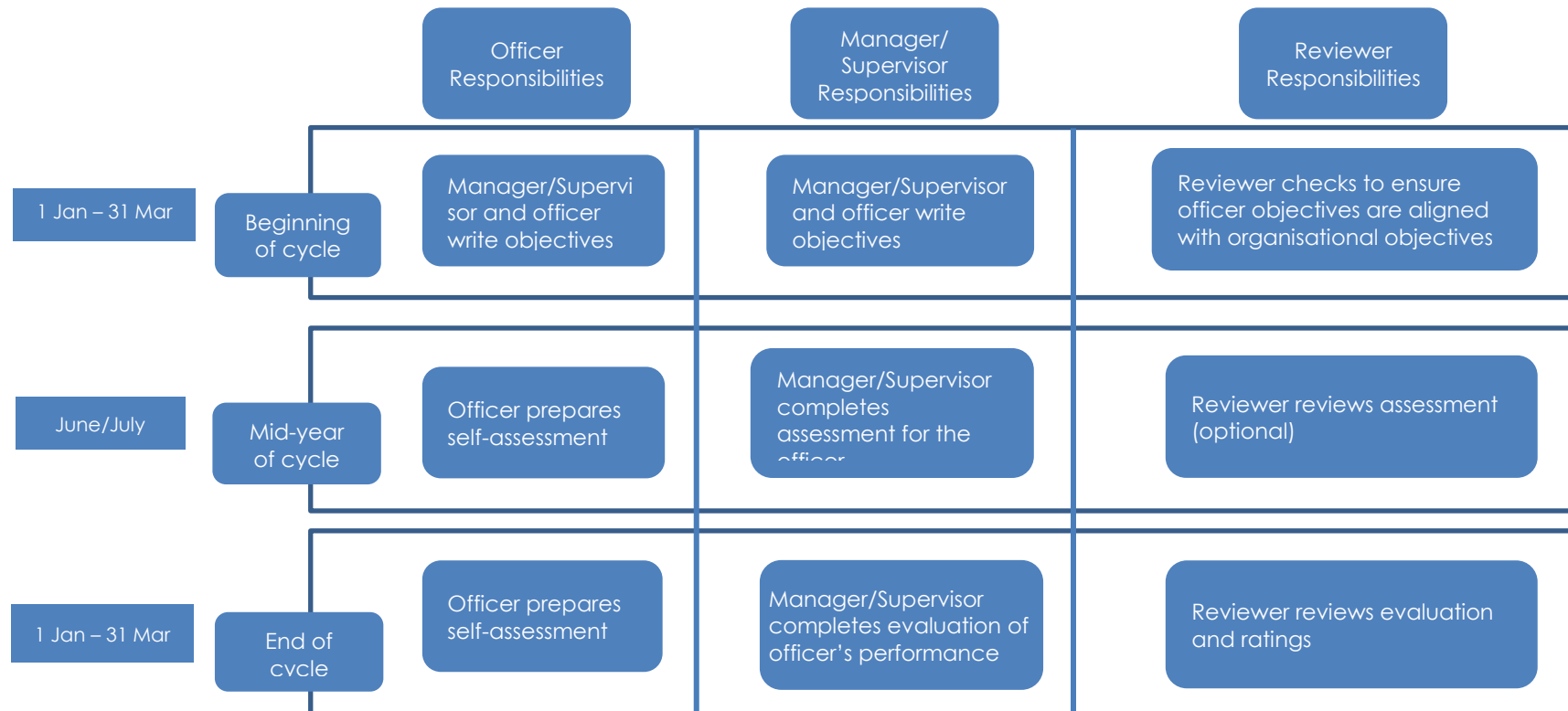Telephone: (284) 468-2178 • Fax: (284) 468-5141 • Email: hrdbvi@gov.vg

Remember, managing performance is critical to drive performance, encourage development and reward performers in the Public Service.

SMART Vocabulary Template

Specific		Measurable		Achievable	Relevant	Time Bound
Action (verb)	**Output/Results (noun)**	**Quantity (how many)**	**Quality (Descriptor)**	**Can this really be achieved in the right quantity, quality, time and cost?**	**Does this link to our strategy?**	**Time (by when?)**
• Analyse • Build/Develop • Design • Initiate • Maintain • Improve • Prepare • Submit • Assemble • Collect • Research • Interview • Draft • Inspect • Create • Review • Write • Customise • Respond • Enhance • Assist • Participate • Lead • Coordinate • Ensure • Quantify • Qualify • Increase/Decrease	• "XYZ Project" • Reprot • Program • Empowerment • Turnover • Product • Satisfaction • Response time • "XYZ" Competency • Team • Inventory • Process • System • Training • Education • Information • Communication • Action plan • Volume • Safety • Budget • Resources • Schedule/plans • Ratings	• Data gathering • "x" percentage • "x" numbers • Pounds • Time increased or decreased • Length/depth • Income, revenue or expenses • Average • Specific standard • Within "xy" tolerance **Cost (how many)** • Within budgetary limits • Savings • Reduce by x amount of dollars • Actual vs. Budget	• Quality (descriptor) • Within specific guidelines, standards or other established quality criteria • Zero errors or lack of negative feedback • According to specifications • Based on customer or receiver feedback • Rate of return • With what impact? • With what degree of excellence? **Timeliness (how often)** • Response time • Each quarter • Daily • Weekly • Monthly • Annually	• Skill gaps • Potential barriers • Resources needed • What factors can I control? • What factors am I unable to control? • Budget exists	• Strategic priorities • Work/ operational plan • Departmental services	• Timeliness • Phases • Days • Months • Review period • Fiscal year • Quarterly • Annually • By _____ • By the end and/or beginning of "x" • Seasonal

Adapted from Dailchi-Sankyo

Performance Evaluation Flow Chart

		Officer Responsibilities	Manager/ Supervisor Responsibilities	Reviewer Responsibilities
1 Jan – 31 Mar	Beginning of cycle	Manager/Supervisor and officer write objectives	Manager/Supervisor and officer write objectives	Reviewer checks to ensure officer objectives are aligned with organisational objectives
June/July	Mid-year of cycle	Officer prepares self-assessment	Manager/Supervisor completes assessment for the officer	Reviewer reviews assessment (optional)
1 Jan – 31 Mar	End of cycle	Officer prepares self-assessment	Manager/Supervisor completes evaluation of officer's performance	Reviewer reviews evaluation and ratings

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