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# HUMAN RESOURCES STAFF MANUAL FOR PERFORMANCE MANAGEMENT

March 2011

Contract No. 263-I-03-06-00015-00 (REDI Task Order No. 3)

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# Legislative Strengthening Program

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## HUMAN RESOURCES STAFF MANUAL FOR PERFORMANCE MANAGEMENT

March 2011

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### **Performance Management, Capability Policy and Annual Appraisal Policies**

This suite of three policies covers the performance management process and the annual appraisal procedure. They are designed to work in tandem.

## 1. Performance Management Purpose

- 1.2 This policy sets out the COR's commitment and approach to performance management. The COR is committed to a policy of treating all its employees equally and to ensure that its business objectives are met.
- 1.3 No employee or potential employee shall receive less favourable treatment or consideration on grounds of their performance by way of tribal origin, gender, age, disability.

### Related policies and procedures

- 1.4 These policies are to be read in conjunction with the COR's equality and diversity policy. No decisions and actions regarding performance management should be made by a person who has not read and understood these policies or without the involvement of the Human Resources Department.

### Scope

- 1.5 These policies are applicable to all employees in the COR including fixed term or of a permanent duration and will be made available to all employees.

### Performance Management Policy Statement

- 1.6 This policy seeks to ensure that the COR's strategic goals are achieved by aligning individual, team, directorate and organizational performance. It also is designed to:
- Create and nurture a culture of performance excellence and accountability
  - Build a culture of continuous learning and critical self-assessment
  - Develop skills and values that are a requisite for the COR's sustainability
  - Develop employees through regular constructive performance feedback
  - Build sound relationships through regular, honest performance conversations

### Principles

- 1.7 The following principles will apply whenever performance management takes place:
- Employee's performance agreement (Appraisal Interview Form) shall be in line with the COR's strategic objectives
  - Managers shall ensure that individuals and teams have a common understanding of how their job connects to the strategic objectives
  - The performance management process shall be participatory, supportive and developmental
  - The performance management outcomes shall be used to inform decisions on probation, promotions, succession planning and skills/knowledge enhancement
  - The responsibility for performance management resides with both line managers and individual employees
  - Individual and team performance shall be recognised accordingly
  - Poor performance shall be managed in an honest and open manner
  - Performance management processes shall be applied fairly, equitably, transparently and on actual job performance
  - Individuals shall be accountable for achieving their own performance standards and for correcting shortfalls
  - All performance management documents are confidential to those directly involved in the process

## **Fairness and Transparency**

- 1.8. The COR is a leading Iraqi institution; therefore, it is crucial that the performance management process is open, honest and transparent. It is also important that the performance management process is applied consistently across the COR and in the provincial offices.

## **The Performance Management Cycle**

- 1.9. The performance management cycle is based on the principle of continuous improvement, learning and development. It recognizes the strategic importance of performance planning, actioning, monitoring and evaluation. The performance cycle process consists of the following key phases:

- Performance Planning
- Performance implementation, monitoring and development
- Performance evaluation (interim reviews and appraisals)

The Performance Management process is based on a twelve-month cycle

## **Performance Planning**

- 1.10. Performance Planning is a process of linking an employee's work plan with the COR's strategic objectives. As part of the planning process the strategic objectives shall be translated into Appraisal Interview Forms

- Managers and employees shall jointly develop the Appraisal Interview Form stating key objectives and performance indicators
- The Appraisal Interview Form shall be signed by both the employee and the line manager or appointed appraiser
- All new employees shall sign their Appraisal Interview Form within 3 months of their appointment

## **Appraisal Interview Form**

- 1.11. The COR shall provide adequate support to employees across the institution to acquire the requisite skills, knowledge and behavior that shall enhance their capacity to perform to stated expectations in order to meet the COR's strategic objectives.
- 1.12. Employees and managers shall agree on areas for development that require learning and development interventions; the specific actions shall be reflected in the appraisal interview form.

## **Performance Implementation, Monitoring and Development**

- 1.13. All employees shall implement the objectives and actions set out in their Appraisal Interview Form. Progress shall be measured against the objectives and actions and be monitored on a regular basis by the line manager.

## **Performance Evaluation**

- 1.14. Performance evaluation is a periodic oversight that seeks to establish the extent to which agreed deliverables are progressing.

## **Performance Reviews**

- 1.15. All Appraisal Interview Forms shall be reviewed by the line manager at three months, six months and nine months into the annual cycle, to assess if employees are on course to achieve their set objectives and actions.
- 1.16. All performance reviews of individuals shall reflect the COR's strategic objectives.

- 1.17. A copy of each of the three monthly performance review reports shall be submitted to the Human Resources Department. These regular review sessions allow the manager and employee to have a developmental discussion and to check that the agreed objectives are on target to be met.
- 1.18. Employee feedback from the performance review session may point to the need for further development and this shall be recorded in the Appraisal Interview Form. This should be seen as a working document culminating in the annual performance review.
- 1.19. A process of re-planning and re-formulation of performance objectives and actions should take place where circumstances have changed resulting in these no longer being valid.

#### **Formal Annual Appraisal**

- 1.20. All employee Appraisal Interview Forms will be formally appraised at the end of the twelve-month performance cycle.
- 2.21. The Human Resources Department shall issue detailed instructions on the process to be followed with applicable timeframes.
- 2.22. All employees shall have the opportunity to complete a voluntary self-assessment note giving a critical account of their individual performance prior to engaging with their managers.
- 1.23. All managers shall have performance conversations with their direct reports to evaluate overall performance measured against the objectives and actions set out in the Appraisal Interview Form
- 1.24. The outcome of the formal performance appraisal, once signed off by the individual employee, line manager and ratified by the appropriate Director General in each directorate, shall be submitted to the Human Resources Department for confidential and secure safe keeping.

#### **Appeals procedure**

- 1.25. In the case of any dispute of an employee's performance this shall be referred to the respective Director General of the appropriate directorate. This can be initiated by the employee and/or the line manager.

Last updated: (insert date)

Date of next review: (insert date)

## 2. Performance Capability Policy

### 2.1. Purpose

The purpose of this policy is to outline the responsibilities of the employee and the employer in addressing capability issues.

‘Capability’ is the ability of the employee to perform the job s/he is employed to do in an effective manner.

### 2.2. Performance management

This capability policy forms part of the total performance management approach used within the COR. The aim of this policy is to improve the capability of employees at work, hence making them work more effectively. It is hoped that this can be achieved without any disciplinary action – but it is accepted that, in certain cases, this will be necessary as a final resort.

2.3. This policy, therefore, links to other policies within the organization including policies relating to:

- Performance Management
- Performance Appraisal and Procedure
- Recruitment and Selection
- Induction (to be developed by LSP)
- Discipline and Grievance (to be developed by LSP)
- Training and Development
- Equality and Diversity
- Family Friendly (to be developed by LSP)

### Assessment of capability

2.4. The assessment of capability is an ongoing process within the COR. It starts at the stage of recruitment, when the employee is assessed as being capable of doing the job. It is likely that the employee will need additional training when first employed and this will be addressed during the induction process.

2.5. On an on-going basis, capability is assessed through the appraisal process. If any capability difficulties are needed to be addressed during this process the manager conducting the appraisal and the employee being appraised are required to draw up an action plan together to address the issue.

### Induction

2.6. All new employees should attend an appropriate induction. The details of the induction process are addressed in the induction policy.

It is important, however, that any learning and development interventions which address capability are identified and addressed during the induction process.

### Responsibilities of the employee

2.7. The employee is required to work effectively and to perform to the highest standard achievable.

2.8. If the employee is struggling in any area of his/her work that employee should speak to the line manager and ask for assistance. Admitting the need for assistance is not seen as a weakness.

- 2.9. The employee is responsible for working with the line manager to agree an appropriate way to address any capability difficulties.
- 2.10 The employee is responsible for attending any learning and development activities that are planned to enhance his/her performance at work.
- 2.11. The employee is also responsible for identifying any learning and development activities, which might enhance work performance. The employee must be aware that the line manager has a limited budget for learning and development events, and hence it might not always be possible to give permission to pursue a learning and development activity.

#### **Responsibilities of the line manager**

- 2.12. The line manager is responsible for meeting with all new starters and identifying any training or other interventions that are required to help the new starter work effectively within the team.
- 2.13. The line manager is responsible for carrying out appraisals with all his/her team, in accordance with the annual performance appraisals policy. All appraisals should be completed in a timely manner to the timetable provided by the Human Resources Department.
- 2.14. If any capability issues are identified during the appraisal process the line manager is responsible for working with the employee to draw up an appropriate action plan to address the issue(s) that have been identified.
- 2.15. The line manager is responsible for setting appropriate objectives and targets for the employee to achieve.
- 2.16. The line manager is responsible for monitoring the progress of any employee who is working in accordance with an action plan, and identifying and addressing any issues that arise which mean the targets within that plan are not being met.
- 2.17. The line manager is required to support all employees in his/her team to ensure that they all perform to the best of their ability.

#### **Responsibilities of the Human Resources Department**

- 2.18. The Human Resources Department is responsible for supporting the line manager and employee in their attempts to address any capability issues. The Human Resources Department will do this through:
  - Advising the line manager on the processes to follow
  - Identifying any appropriate learning and development issues
  - Meeting with the line manager and employee if required
  - Giving any other advice as required

#### **Succession planning**

- 2.19. The purpose of succession planning is to identify employees who show potential capability for promotion in the future. If an employee is placed on a succession/talent management plan the department manager, in conjunction with the Human Resources Department, should identify what additional abilities the employee will need to be capable in the more senior role in the future.

To achieve those additional abilities the employee might need:

- To attend appropriate training courses
- Coaching or mentoring
- Exposure to work in other departments
- Opportunities to deputise for their manager
- Other opportunities

- 2.20. The department manager and the Human Resources Department should work with the employee to design a programme of activities, which allow the employee to develop the required capabilities.

In doing this, it is important that no promises are made of certain promotion unless they can be guaranteed.

### **Promotion**

- 2.21. If an employee is promoted at work, then the new line manager of that employee should meet with the employee to discuss any additional training or other learning and development that is required to ensure the capability of the employee in the new role.
- 2.22. The COR is responsible for the careful consideration of all promotions, and should not promote employees unless they have the necessary abilities.

### **Monitoring of capability issues**

- 2.23. The line manager is responsible for monitoring the performance of employees. If the employee is not achieving the agreed targets after interventions have taken place a further meeting will take place between the employee and the line manager. At this stage it is likely to be appropriate to involve the Human Resource Department in the discussions.

Possible outcomes of this discussion include:

- Identification of further training or interventions
- Moving the employee to a different role (with the agreement of the employee)
- Disciplinary action

Last updated: (insert date)

Date of next review: (insert date)

### 3. Performance Appraisal and Procedure Policy

- 3.1. The COR's policy is that each employee will be appraised annually.
- 3.2. The summary of this appraisal should be a fair representation of the dialogue and is to be referred to as a working document throughout the forthcoming year.
- 3.3. The benefits of appraisal in terms of improved communication and enhanced performance is both for the individual and the COR. This will only be achieved by the continuous commitment of all those involved in the process.
- 3.4. The COR's appraisal scheme has been designed to meet the following objectives:
  - To assist staff in performing their job to the best of their ability,
  - maximizing their job satisfaction and their contribution to the COR's strategic objectives
  - To identify individual training and development needs
  - To highlight the potential that each individual has to develop within their current or future position

#### Procedure

- 3.5. The main appraisal interview will occur annually. New and newly promoted employees will be appraised in the third month of their new job.
- 3.6. Appraisal interviews will be carried out by the job-holder's immediate or nearest line manager/superior on a confidential one-to-one basis. Training will be provided to all appraisers prior to conducting their first appraisal interview.
- 3.7. In the second month of employment for new and newly-promoted employees the Human Resources Department will prepare appraisal packs for all employees, containing:
  - Appraisal Interview Form
  - Self-Appraisal Notes

by completing the information relating to the name, job title, department, date appointed to department and date of last appraisal. Human Resources will then send out the individually addressed appraisal packs to the appraisers and will include two copies of the Appraisal Interview Form for the previous review period.
- 3.8. The appraisers then arrange the dates, times and locations of the appraisals, fill in these details at the top of the Self-Appraisal and Appraisal Interview Form forms and notify each employee.
- 3.9. The employee will be given the Self-Appraisal Notes for their completion (this exercise is voluntary and employees will not be asked to hand in their completed forms). At least five working days should be given to enable employees to adequately prepare for the interview.
- 3.10. The appraisal interviews should take place from the Secretary General downwards to facilitate the widest communication of COR objectives.
- 3.11. The following chart represents the sequence of events followed by the appraiser regarding the three stages of the appraisal process:

<b>The Appraiser</b>	
<b>Preparation</b>	
Gathers	Relevant documentation including the COR's mission statement, values and strategic objectives
Completes	The objectives/targets/achieved and skills gained/further development undertaken (where known) under Section A of the Appraisal Interview Form
Makes notes on	All other sections
<b>The appraisal interview</b>	
Asks for the employee's comments	On their own performance based on their self-appraisal notes
Discusses with the employee and seeks to agree conclusions	On all sections of the Appraisal Interview Form
Completes	All sections and asks the employee to make general comments as well as sign and date the form
Summarises	Own general comments and signs and dates the form
<b>Follow-up</b>	
Keep notes	Of the follow-up actions required to facilitate the achievement of objectives/targets and/or general training and development needs
Gives	The Appraisal Interview Form to his/her manager for signature <i>straight after</i> the interview
Ensures	Follow-up action takes place as appropriate

- 3.12. The appraiser's manager or the appropriate Director General must sign and return the Appraisal Interview Form to Human Resources within one week of the appraisal interview. The Human Resources Department will retain the original form after sending a copy to the employee.
- 3.13. The Human Resources Department will be responsible for collating the information provided on the Appraisal Interview Form and, in particular, for identifying those training and development needs that are common to groups of employees and those that are key to the achievement of the COR's objectives. The Human Resources Department will update the training and development plan in order to prioritise the provision of solutions for the identified needs.
- 3.15. The completed Appraisal Interview Form will be viewed as a working document and will be continually referred to and reviewed during the year. Where the objectives/targets agreed at the appraisal interview have changed, new objectives/targets should be agreed.

Last updated: (insert date)

Date of next review: (insert date)

## 4. COMPONENTS OF PERFORMANCE MANAGEMENT

- 4.1. Performance Management is a strategy, which relates to every activity of the COR set in the context of its human resource policies, culture, style and communication systems. In other words performance management should be:
- **Strategic** - it is about broader issues and longer-term goals
  - **Integrated** - it should link various aspects of the business, people management, and individuals and teams
- 4.2. Thus, it should incorporate:
- **Performance improvement** – throughout the COR, for individual, team and organizational effectiveness
  - **Development** - unless there is continuous development of individuals and teams, performance will not improve
  - **Managing behavior** - ensuring that individuals are encouraged to behave in a way that allows and fosters better working relationships
- 4.3. The performance management process is divided into two areas:
- The Annual Appraisal Cycle – this involves a formal process resulting in a formal interview at three, six and nine months into the cycle and an annual review. The conversation is focused on identifying gaps and development needs. This involves a confidential one to one conversation with an employee about their performance in terms of their level of skill, knowledge and behavior. Objectives are discussed, adjusted and formally recorded
  - Additional performance management interviews– which take can take place whenever there is a need. Although managing performance is a continuous process and interviews can be conducted more frequently if deemed appropriate, particularly if there is a concern about an employee’s capacity
- 4.4. The keys to the successful introduction and application of performance management are:
- Being clear about what is meant by performance
  - Understanding the COR’s functions and strategic objectives and how the employee’s duties and responsibilities contribute to these
  - Being very focused on how individual employees will benefit and play their part in the process
  - Understanding that it is a tool for line managers and its success will depend on their ability to use it effectively
- 4.5. Therefore, performance management is a way to ensure that managers manage effectively; that they ensure the people or teams they manage:
- Know and understand what is expected of them
  - Have the skills and ability to deliver on these expectations
  - Are supported by the COR to develop the capacity to meet these expectations are given feedback on their performance
  - Have the opportunity to discuss and contribute to individual and team aims and objectives
- 4.6. Performance management is also about ensuring that managers themselves are aware of the impact of their own behavior on the people they manage and are encouraged to identify and exhibit positive behaviors.

- 4.7. So, performance management is about establishing a **culture** in which individuals and groups take responsibility for the continuous improvement of business processes and of their own skills, behavior and contribution. It is about **sharing** expectations. Managers can clarify what they expect individual and teams to do; likewise individuals and teams can communicate their expectations of how they should be managed and what they need to do their jobs.
- 4.8. It follows that performance management is about **interrelationships** and about improving the quality of relationships - between managers and individuals, between managers and teams, between members of teams and so on, and it is therefore a **joint** process.
- 4.9. It is also about **planning** - defining expectations expressed as objectives and in business plans - and about **measurement**; the old dictum is 'If you can't measure it, you can't manage it'.
- 4.10. It should apply to **all employees**, not just managers, and to **teams** as much as individuals. It is a **continuous** process, not a one-off event.
- 4.11. It is a **holistic** process and should pervade every aspect of running of the COR.
- 4.12. The following features are essential within the performance management process. The process should:
- Include an organizational review to create and develop an aligned approach that fits the nature, culture, structure and technology of the COR
  - Incorporate support and commitment from senior management to ensure that it conforms to strategic thinking and objectives
  - Enable communication, consultation and the dissemination of key strategic objectives with all employees
  - Identify the key benefits to staff and to the COR
  - Conform to legislation, and ensure that all performance management and other supporting people management and development processes are free from unfair discrimination
  - Developing mechanisms to coach line managers to improve specific skills, performance and career development
  - Provide a fair, transparent and consistent performance management process across the COR and the provincial offices
  - Train employees (management and staff) in performance appraisal skills which can help all staff involved with the development of personal objectives, as well as develop skills in questioning, listening, and giving and receiving constructive feedback
  - Ensure consistency in managers' reporting by using standard measuring systems and standard reporting formats
  - Design a readable guideline booklet that incorporates the performance management policy, benefits, and details of the appraisal and appeal procedure
  - Evaluate performance management processes to ensure that they are delivering the expected benefits to employees and to the COR
- 4.12. An effective appraisal system will help to assess staff against defined objectives. It gives the opportunity to praise staff for good work which helps them to feel valued and also give constructive feedback on areas of concern.

## 5. THE PERFORMANCE MANAGEMENT PROCESS

- 5.1 Fully realized, performance management is a holistic process, bringing together many of the elements which go to make up the successful practice of people management, including in particular learning and development. For this reason, it is complex and capable of being misunderstood.
- 5.2. The COR's strategic goals provide the starting point for directorate goals, followed by agreement on performance and development, leading to the drawing up of plans between individuals and managers, with continuous monitoring and feedback supported by formal reviews.
- 5.3. Because performance management should be all pervasive, it needs structures to support it. These provide a framework to help people operate, and to help them to help others to operate. However, it should not be a rigid system; there needs to be a reasonable degree of flexibility to allow people freedom to operate.
- 5.4. Performance management is a process, not an event. It operates as a continuous cycle. Therefore managers should be continually vigilant concerning the day-to-day performance of their direct reports.
- 5.5. Performance management systems provide the opportunity to reflect on past performance as a basis for making development and improvement plans, and a performance review meeting and appraisal process provides this chance. The meeting must be constructive and various techniques can be used to conduct the sort of open, free-flowing and honest meeting needed, with the reviewee doing most of the talking.
- 5.6. Performance reviews and appraisals can be regarded as learning events, in which individuals can be encouraged to think about how and in which ways they want to develop. This can lead to the drawing up of an Appraisal Interview Form that incorporates a personal development plan setting out a series of development actions with target completion dates.
- 5.7. The manager/appraiser and employee need to set individual and team objectives. Objectives describe something to be accomplished by individuals and directorates over a period of time. They can be expressed as targets and tasks to be completed by specified dates. They can be work-related, referring to the results to be attained, or personal, taking the form of developmental objectives for individuals. Objectives need to be defined and agreed. They will relate to the overall purpose of the job and define performance areas - all the aspects of the job that contribute to achieving its overall purpose.
- 5.8. Alongside objectives are performance standards. They are used when it is not possible to set time-based targets, or when there is a continuing objective, which does not change significantly from one review period to the next and is a standing feature of the job. These should be spelled out in quantitative terms if possible, for example, speed of response to requests or meeting defined standards of accuracy.

## 6. THE COR'S APPRAISAL SYSTEM

- 6.1. Performance appraisal is the central pillar of performance management. The appraisal process encompasses an on-going process of support and development and provides a framework to:
- Review and evaluate current performance
  - Discuss training needs
  - Agree objectives for the following twelve months
  - Encourage employees to take responsibility and action for their work objectives and training and development needs

### Core Principles of Appraisal

- 6.2. The key principles of the COR's appraisal are:
- Appraisal is not a one off, it is a continuing process with a formal, annual meeting to review progress
  - Appraisal is a two-way process of communication, leading to agreed outcomes related to work priorities, support and training needs
  - Appraisal should always be a fair, equal and transparent process
  - All staff are required to take part in appraisal
  - The appraisal process supports effective communication and quality assurance at all levels
  - Appraisal congratulates good performance and identifies ways in which to improve performance
  - Managers and job holders shall invest appropriate time in all aspects of appraisal to ensure its full effectiveness
- 6.3. Thus, the annual performance appraisal and three monthly reviews are essentially an opportunity for the individual and those concerned with their performance to get together to engage in a dialogue about the individual's performance, development and the support required from the manager. It should not be a top down process or an opportunity for one person to ask questions and the other to reply. It should be a free flowing conversation in which a range of views are exchanged.
- 6.5. Performance appraisals usually review past behaviour and so provide an opportunity to reflect on past performance. However, to be successful they should also be used as a basis for making development and improvement plans and reaching agreement about what should be done in the future.
- 6.6. At the start of a new post and at every subsequent appraisal, work objectives should be set. Objectives are the tasks that the job holder needs to perform and should be set by looking first at the aims and objectives of the COR as a whole, the directorate, the team and then the specific area of the job holder.
- 6.7. It is best to include quantifiable targets, so it is clear what is expected. If the employee falls short on any objective, the appraisal offers the opportunity to understand why and look for solutions such as training.

## **The Annual Appraisal Process**

6.8. There are three basic stages involved in effective performance appraisal:

- Preparation
- Interview
- Follow-up

### **Preparation**

6.9. HR will send managers will be sent an Appraisal Pack

Appraisers will also need the following:

- The COR's Mission and Vision statement
- Directorate strategic objectives – if available
- Annual Appraisal Pack– policy, procedure and documents
- The employee's job description (or a full knowledge of the job requirements)
- Any other information relevant to the employee's objectives/targets agreed for the previous review period.

6.10. It is crucial that managers are familiar with all of the above before notifying the employee of the date and time of their interview, giving at least five working days' notice.

6.11. HR will send the employee a copy of the Self-Appraisal Notes for their completion and a copy of the previous year's Appraisal Interview Report – if available.

6.12. The manager should reassure the employee that they will not need to hand in the Self-Appraisal Notes at the interview but that they, together with their preparation including the Skills Profile, will form the basis for the discussions at the interview. The manager should encourage the employee to be thorough in their preparation, as this will help the interview to run smoothly.

6.13. Before completing any sections of the Appraisal Interview Report or making any notes, consider the employee's overall performance during the last 12 months. The manager/appraiser should not allow recent events to bias their view.

6.14. So that judgement can be objective the manager should gather evidence on:

- The achievement of objectives/targets
- Training records
- Attendance/timekeeping statistics
- Incidents relating to the employee's relationships with others
- Achievement of performance standards, etc.

### **Competences**

6.15. Competences are the behaviors that employees must have, or must acquire in order to achieve high levels of performance and meet their objectives. They represent outcomes of an individual's efforts and the way in which these activities are carried out.

### **Role of Manager / Appraiser**

6.16. Managers/appraisers should be more senior than their appraisees and/or have some line management responsibility for their work/performance and some influence over their development.

**Confidentiality**

6.17. Information written on the appraisal forms and the content of the appraisal discussion will remain 'confidential' between the appraiser and appraisee.

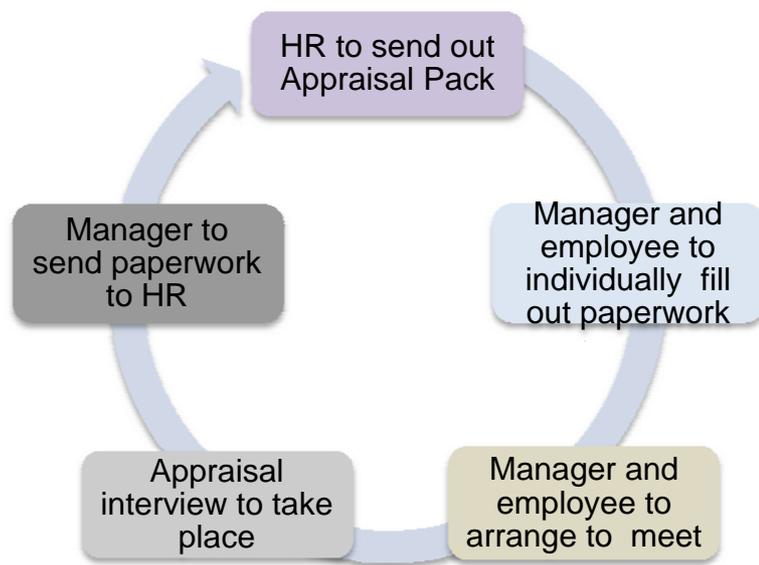
**Timing**

6.18. Objectives should be written as soon as possible after a member of staff joins the COR regardless at what stage the formal appraisal cycle is. A review should take place every three months with a formal review at the end of twelve months.

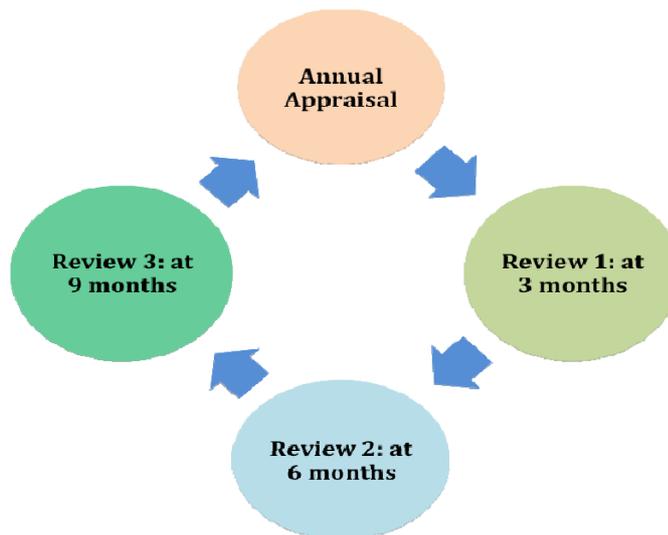
**6.19. Training**

The appraisal cycle forms part of the COR's skills training for staff joining the COR. All managers will receive training on their role as an appraiser and these guidelines are to be used as an aide memoir of the key issues and to reinforce learning.

**6.20. The Annual Appraisal Process**



**6.21. Annual Performance Appraisal Cycle**



## 7. The Appraisal Pack

- 7.1. Two weeks before each event in the appraisal cycle, HR will send each employee:
  - Self-Assessment Notes – for the employee to fill in before the appraisal- page 36
- 7.2. Two weeks before the appraisal interview, HR will send the manager:
  - Skills Profile and Competencies Review – for the manager to fill in prior to the appraisal interview- page 39
  - Appraisal Interview Report – for the manager who will copy this for the employee – page 42
  - Personal Development Plan – for the employee who will copy this for the manager – page 52
  - Training Request Form – for the manager who will copy this for the employee – page 51
- 7.3. Copies of the Skills Profile, Appraisal Interview Report, Personal Development Plan and Training Request Form will be forwarded to HR after completion of the appraisal interview. Both the manager and employee will retain a copy for their records.

## 8. The Appraisal Interview Report

- 8.1. The manager/appraiser needs to fill in the objectives/targets agreed for the review period except for 'Comments' these should be discussed and agreed at the interview.
- 8.2. Prior to the interview the manager/appraiser should fill the Skills and Abilities Review to initiate the discussion. This will form a basis for the interview. Ensure that that this is completed before the interview.
- 8.3. Likewise, the employee should fill in their Self-assessment notes. Use notes rather than complete the Interview Report Form because comments, ratings and suggested objectives/targets, etc should be agreed with the employee and therefore can only be recorded after discussion at the appraisal. This means that thought will be given in the process and notes and preliminary ratings can be adjusted according to the discussion.

### Section B: Performance Indicators

- 8.4. Performance indicators are examples of behaviours demonstrating actual performance against the relevant indicators.
- 8.5. The manager/appraisers rate the employee from A to E on each of the performance indicators listed on the form.
  - A = Excellent
  - B = Good
  - C = Satisfactory
  - D = Unsatisfactory
  - E = Cause For Concern

Prepare notes and give a preliminary rating for each Performance Indicator and to provide evidence to demonstrate examples of behaviours, actions and results. Where a performance indicator is not relevant, delete it.

### **Section C: Performance Review**

8.6. Careful consideration is needed to both parts of this section of the Interview Report Form.

- **Objectives/targets.** Taking into account the COR's mission statement, and directorate objectives decide on a suitable number of objectives and/or targets for the employee under consideration and sensible dates for achievement
- **Training and development needs.** Prioritize needs, i.e. only include those needs that, if satisfied, would help The COR to meet its objectives

### **Section D: The Future**

8.7 Set objectives and targets with a completion date for the next 12 months. These should be SMART objectives and expressed in a clear and concise so that that the employee understands exactly what they need to achieve.

8.8. Agree any training and/or professional development that the employee will need to obtain in order to reach the agreed objective/s and target/s.  
Record these on the form and fill in a training request to send to HR.

### **Section E: Comments and Signatures**

8.9. At the end of the interview, the completed Appraisal Interview Report should be shown to the employee and they are then invited to make comments, which should be summarised and noted on the form. The manager/appraiser will then note their own general comments and both parties will sign and date the form. The employee should not be asked to sign an incomplete form. If the employee has concerns about any aspect of the appraisal interview, these should be noted on the form. If there is any disagreement on the part of the employee, then a further discussion can take place and if there is still disagreement this can be arbitrated by the appropriate Director General. If necessary HR gave provide advice and guidance.

### **Follow-up**

8.10. It is crucial that appraisers, employees and HR recognise that they have a joint responsibility to ensure that follow-up occurs.

8.11. Once the interview has been concluded, the original completed Interview Report Form should be immediately given to manager/appraiser's manager for signature.

8.12. They will, within one week from the appraisal interview, submit the form to HR for retention. HR will copy the form to the employee and they will be responsible for collating the information provided in order to update the training and development plan.

8.13. The manager/appraiser should arrange follow-up meetings at three monthly intervals. HR will inform managers/appraisers of the timetable. This is in the form of a mini interview to check that the objectives are being met or if any agreed changes are to be made. Where there is a substantial change in job role and/or duties then this can be done before the three monthly cycle. The Interview Report Form can then be amended.

8.14. The completed Appraisal Interview Report Form should be viewed as a working document and should be continually referred to and reviewed every three months.

## 9. THE APPRAISAL INTERVIEW

- 9.1. The five key elements of the performance appraisal interview are:
- **Measurement** – assessing performance against agreed targets and objectives
  - **Feedback** – providing information to the individual on their performance and progress
  - **Positive reinforcement** – emphasising what has been done well and making only constructive criticism about what might be improved
  - **Exchange of views** – a frank exchange of views about what has happened, how appraisees can improve their performance, the support they need from their managers to achieve this and their aspirations for their future career
  - **Agreement** – jointly coming to an understanding about what needs to be done to improve performance generally and overcome any issues raised in the course of the discussion
- 9.2. The person conducting the appraisal interview should:
- Consider how well the individual has performed
  - Consider to what extent any agreed development plans have been implemented
  - Think about the feedback to be given and the evidence that will be used to support it
  - Review the factors that have affected performance both those within and outside the individual's control
  - Consider the points for discussion on the possible actions that can be taken to develop or improve performance
  - Consider possible directions the individual's career might take
  - Consider possible objectives for the next review period
- 9.3. The employee being appraised should consider the following points:
- What they have achieved during the review period, with examples and evidence
  - Any examples of objectives not achieved with explanations
  - What they most enjoy about the job and how they might want to develop the role
  - Any aspect of the work in which improvement is required and how this might be achieved
  - Their learning and development needs with a business case to support their case for specific training
  - What level of support and guidance they require from their manager
  - Their aspirations for the future both in the current role and in possible future roles
  - Objectives for the next review period

### Employee's Self-Assessment Notes

- 9.4. It is extremely helpful for the employee to fill in the Self-assessment Note. Doing this is voluntary but will help them to focus and analyse their own performance as a basis for discussion and action. This can improve the quality of the appraisal discussion because individuals feel actively involved in the process and it encourages them to work through the points above beforehand. This can be particularly useful with more junior staff or those not used to appraisals.

However, self-assessment can only work if individuals have clear targets and standards against which to assess them. It can also only be effective in a climate of trust where individuals believe their appraisers will not take advantage of an open self-assessment.

9.5. What a good appraisal looks like.

A good and constructive appraisal meeting is one in which:

- Appraisees do most of the talking
- Managers/appraisers listen actively to what they say
- There is scope for reflection and analysis
- Performance is analysed not personality
- The whole period is reviewed and not just recent or isolated events
- Achievement is recognised and reinforced
- Ends positively with agreed action plans

A poor appraisal interview:

- Focuses on a catalogue of failures and omissions
- Is controlled by the appraiser
- Ends with disagreement between manager/appraiser and appraisee

### **Annual Appraisal Interview Skills**

9.6. All managers expected to carry out performance appraisal should have training. Ideally this should not just be on the skills of performance appraisal – the ‘how’ to do it, but also on the reasons for performance appraisal the ‘why’ do it. Managers/appraisers should understand how it fits into the wider strategic process of performance management and how the information and data generated contributes to understanding of the capacity of the human capital of the COR to contribution to business strategy and value.

Managers must also:

- Give job holders adequate time to prepare for the interview
- Arrange for a room to be available with comfortable seating where they will not be interrupted
- Allow at least an hour for the interview

During the interview they should:

- Encourage employees to discuss how they can build on strengths and overcome weaknesses
- Avoid leading questions or questions that can be answered simply by ‘yes’ or ‘no’
- Discuss how far objectives have been met and agree future objectives
- Agree any training or development needs

After the interview they should:

- Summarize in writing the main points of the discussion and any agreed action on the Appraisal Interview Report Form and give a copy to the employee
- Ensure that any points arising from the interview are followed up and agreed action carried out

9.7. A basic requirement is that managers/appraisers have the skills to carry out an effective appraisal. This means they ask the right questions, listen actively and provide feedback.

### **Asking the right questions**

9.8. The two main issues are to ensure that managers/appraisers ask open and probing questions.

Open questions are general rather than specific; they enable people to decide how they should be answered and encourage them to talk freely. Examples include:

- How do you feel things have been going?
- How do you see the job developing?
- How do you feel about that?
- Tell me, why do you think that happened?

Probing questions dig deeper for more specific information on what happened. They should support for the individual's answer and encourage them to provide more information about their feelings and attitudes and they can also be used to reflect back to the individual and check information. Examples would be:

- That's very interesting. Tell me more about ....?
- To what extent do you think that ...?
- Have I got the right impression? Do you mean that ....?

### **Listening**

9.9. Good listeners:

- Concentrate on the speakers and are aware of behaviour, body language and nuances that supplement what is being said
- Respond quickly when necessary but don't interrupt
- Ask relevant questions to clarify meaning
- Comment on points to demonstrate understanding but keep them short and do not inhibit the flow of the speaker

### **Giving feedback**

9.10. Feedback should be based on facts not subjective opinion and should always be backed up with evidence and examples. The aim of feedback should be to promote the understanding of the individual so that they are aware of the impact of their actions and behaviour. It may require corrective action where the feedback indicates that something has gone wrong. However, wherever possible feedback should be used positively to reinforce the good and identify opportunities for further positive action. Giving feedback is a skill and those with no training should be discouraged from giving feedback.

Feedback will work best when the following conditions are met:

- Feedback is built in with individuals being given access to readily available information on their performance and progress
- Feedback is related to actual events, observed behaviours or actions
- Feedback describes events without judging them
- Feedback is accompanied by questions soliciting the individual's opinion why certain things happened
- People are encouraged to come to their own conclusions about what happened and why
- There is understanding about what things went wrong and an emphasis on putting them right rather than censuring past behaviour

## 10. SETTING PERFORMANCE OBJECTIVES

10.1. Objectives are the tasks that the job holder needs to perform and should be set by looking at the aims and objectives of the COR as a whole first.

10.2. In order to monitor and assess how staff are performing, it is useful to set out clear objectives, ideally with quantifiable targets, so they know what is expected.

Defining objectives helps to:

- Make individual employees better understand their role and responsibility within their team
- Ensure that every employee's contribution fits into the overall aim of their directorate
- Feel valued
- Create standards to measure the quantity and quality of employee's contribution
- Monitor team success
- Identify ways to make the team run effectively

10.3. To make sure objectives are useful use the SMART system. This means making sure they are:

- Specific
- Measurable
- Agreed
- Realistic
- Timed

For example:

“To ensure clear accurate responses to correspondence are made within three days”

It is about correspondence so it is **specific**, asking for clear accurate responses makes it **measurable**. It should be **agreed** with the job holder and, unless there is a specific problem with correspondence, it is **realistic**. The three days make it **timed**.

### Competences

10.4. Competences are the behaviours that employees must have, or must acquire in order to achieve high levels of performance and meet their objectives. They represent outcomes of an individual's efforts and the way in which these activities are carried out. It is essential that managers/appraisers are familiar with the range of competencies that the employee has to have to perform well in their role prior to the appraisal interview.

Examples of some of the most widely used competency headings include:

- Team working
- Communication Skills
- People Management
- Customer focus
- Problem solving
- Problem solving
- Planning and organizing

## 11. MEASURING PERFORMANCE

- 11.1. To effectively manage performance, individuals should know on what basis their performance will be measured. Measures should be transparent and applied fairly across the COR and in the provincial offices. Ideally there should be a mix of individual and team measures, and measures relevant to both the inputs and the outputs of performance. The following examples of performance measures are by no means exhaustive as performance measures are highly contextual and often job specific.
- 11.2. Listed below are examples of measurement indicators.

### **Individual output measures:**

- Achievement of objectives
- Achievement against agreed standards of performance, which might be descriptions of excellent, good, satisfactory or poor performance
- Behavior, measuring the extent to which individuals exhibit behaviors associated with performance such as respect for others, trust etc.
- Specific instances of performance for example commendations for specific pieces of work

### **Individual input measures:**

- Level of competence to perform the duties and responsibilities of the job
- Skills and experience and the extent to which new skills are applied in the job
- Potential to develop and/or acquire new skills and progress to next career level
- Behaviors associated with developing and knowledge sharing
- Communication skills and other traits which enhance team roles

### **Team measures:**

- Individual contribution to the team through involvement in cross team projects
- Support for other individuals to achieve their objectives and participation in cross-directorate initiatives by providing timely input
- Understanding of team role
- Level of engagement in the team

## 12. MANAGING CAPABILITY AND POOR PERFORMAMNCE

12.1. In a case where an employee's capability needs to be addressed HR will send the manager the following documents:

- Performance Improvement Plan (PIP) page 50
- Under Performance Checklist, page 48

The manager and employee will complete the PIP together; each will keep a copy and an additional copy will sent to HR.

12.2. It is crucial that the manager regularly monitors on a daily/weekly basis and reviews the employee's performance so that it becomes of an acceptable standard or the disciplinary procedure is invoked.

### How to Establish a Performance Improvement Plan

12.3. A Performance Improvement Plan (PIP) is an effective way to give struggling employees the opportunity to succeed while still holding them accountable for past performance. It is not always clear why an employee has poor performance. Did he or she not receive appropriate training? Does he or she not understand the expectations of the job? Are there unforeseen roadblocks in the way? Until you really allow for open dialogue and consistent feedback, you may not have provided an employee the opportunity to be successful.

#### 12.4. **Step 1: Getting started**

The first step in the Performance Improvement Plan process is for the manager to document the employee's performance areas that need improvement for example, timekeeping or being unable to meet deadlines. In documenting the main performance issues, the main issue is to be objective and specific. Provide facts and examples to further clarify the severity or pattern of performance concerns.

#### 12.5. **Step 2: Develop a Performance Improvement Plan**

Next, the manager should establish a Performance Improvement Plan. This action plan should include Specific and Measurable objectives that are Accurate, Relevant and Time-bound (otherwise known as SMART goals).

Consider if the employee may need any additional resources, time, training or coaching in order to meet these objectives. This plan should help set performance expectations and should include a statement about the consequences for not meeting these objectives. Use the There is a PIP template on page 50 to record what action and follow-up is needed.

#### 12.6. **Step 3: Review the Performance improvement Plan (PIP)**

Prior to meeting with the employee, the manager should seek assistance from his or her manager or an HR professional to review the PIP. This third party should ensure the documentation is stated clearly and without emotion. The third party can also review suggested action to ensure it is specific, measurable, relevant and attainable within the PIP timeline. (PIP timelines are commonly 60 or 90 days in length.)

#### 12.7. **Step 4: Meet with the employee**

During this meeting, the manager must clearly lay out the areas for improvement and plan of action. The PIP can be modified after receiving the employee's input and feedback. Make any changes to the plan before the manager and employee sign the PIP form.

12.8. **Step 5: Follow up**

The employee and manager should establish regular follow-up meetings (weekly, bi-weekly or monthly). These meetings should discuss and document progress toward objectives. Ultimately, it is best when employees are provided the opportunity in follow-up meetings to ask questions and seek guidance or clarification on performance expectations. The manager should ensure any potential roadblocks are discussed and that the employee has been provided the necessary tools and training.

12.9. **Step 6: PIP conclusion**

If an employee is unable to improve, refuses to commit to the PIP or his or her performance actually gets worse, then the employer should close the PIP and contact HR to take the necessary steps to terminate employment.

When the employee does show some improvement but is unable to achieve some or all of their PIP objectives within the stated timeline, there are a few options.

- If the employee is trying his or her hardest but just can't meet one or more objectives, the employer may agree to extend a PIP for a few more weeks or months
- If the manager and HR determine in retrospect that the objectives were too hard or not completely within the employee's control, they may decide to either extend the PIP or end the PIP due to the progress that was observed
- If the manager and HR determine the employee just isn't a good fit or isn't really trying to improve even after all this effort, then the employee should have their employment terminated

When the employee has responded positively by meeting the objectives, the employer should formally close the PIP and allow the employee to continue employment. This should be a positive occasion for the employee, but be sure they understand that continued good performance is expected.

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## 14. PERFORMANCE MANGEMENT TEMPLATES

### 14.1. SELF-ASSESSMENT APPRAISAL NOTES

Name:  
Job Title:  
Date of Interview:  
Time:

The questions listed below are to aid your preparation for the appraisal by helping you to focus on your current job responsibilities, the skills required to meet those responsibilities, what your strengths are and the areas in which you could improve.

Completion of this form is not a requirement – it is optional. You may complete all or selected areas as appropriate and should take the form with you to your appraisal interview. You will not be asked to hand in this form but to use it as the basis for your discussion with your appraiser.

This form is structured so that it mirrors the Appraisal Interview Report, which will be completed by your appraiser during the interview but only after a joint discussion of each section.

If you require a blank copy of the Appraisal Interview Report, please contact the HR department.

#### Performance Review

Looking back over the review period:

- How far have you met previously agreed objectives/targets?

- What factors have helped or hindered your achievement of those objectives/targets? Consider internal factors such as your personal strengths and weaknesses and external factors such as policies, systems and other people.

- List any training you have undertaken, or new skills and/or qualifications gained. What can you do now that you could not do a year ago?

## Performance Indicators

Your appraiser will be using the following performance indicators to describe your job performance during the review period. You will be rated from A–E on each performance indicator as follows:

- A = EXCELLENT
- B = GOOD
- C = SATISFACTORY
- D = UNSATISFACTORY
- E = CAUSE FOR CONCERN

Where a performance indicator is not relevant, it will be deleted. In preparing for the interview, you should enter comments in the spaces provided. Think of examples that demonstrate your abilities or need for improvement under each heading.

Performance Indicator	Comments
Ability to work in a team	
Relationship with managers	
Relationships with stakeholders	
Leadership	
Ability to meet performance standards	
Adaptability	
Self-development	
Strategic impact	
<i>Any other relevant indicator</i>	

## Objectives/targets

One of the main purposes of the appraisal interview is for you to agree with your appraiser your objectives/targets for the next 12 months. Bearing in mind the overall mission statement and of the COR and your directorate/team objectives, jot down your thoughts on suitable individual objectives and/or targets in the space provided below. Also decide upon realistic deadlines.

Objective	By When?

Do not worry if you find it difficult to identify suitable objectives/targets for the forthcoming year, as you will be able to discuss these in detail with your appraiser at the interview.

## Training and development needs

Taking into account all of the above, how do you feel your performance could be improved? Consider on-the-job training, training sessions, other professional development, etc.

### Finally

If you are unhappy about any aspect of the appraisal interview you should make appropriate comments on the Appraisal Interview Report, which will be completed by your appraiser during the interview. You may also submit a formal appeal to the Director General and HR.

## 14.2. APPRAISER'S SKILLS PROFILE AND COMPETENCIES REVIEW

### Skills Profile

This questionnaire is designed to assist the process of identifying the current attributes and future potential of individuals. The headings for each section cover the management capabilities expected of all managers in this organisation.

In response to each statement, you will need to put a cross on the appropriate line using the following assessments:

- **5 = The person always does this (is a role model)**
- **4 = The person frequently does this**
- **3 = The person sometimes does this**
- **2 = The person rarely does this**
- **1 = Either not applicable or the person has not yet had the opportunity to do this**

Your numerical rating will act as an important indicator for those skills, which require development and practice and those, which simply require on-going use.

Skills	1	2	3	4	5
<b>Leadership</b> Is seen by colleagues as a role model in current job Displays an ability to inspire and motivate self and others Is assertive, not aggressive Is able to get others to do things when they don't directly manage them					
<b>Innovation and creativity</b> Creative when confronted with business challenges and problems Uses innovative state of the art approaches to solving problems Works from a compromise between creativity and the rule book					

Skills	1	2	3	4	5
<b>Decision making</b> Displays the ability to make, and commit to, tough decisions Gathers and analyses information from others to draw conclusions and produce outputs Is open to an appropriate level of influence and change and makes rational decisions Has a practical and common sense approach					
<b>Resourcefulness</b> Learns from both failures and success Demonstrates initiative, drive, persistence and involvement Spots opportunities and makes things happen					

### Competencies Review

Outlined below are 10 competencies to be used as a benchmark in reviewing how the job holder sought to fulfil and achieve his/her objectives.

Comment against each of the job relevant abilities denoting **Strengths (+)** or **Areas for Development (-)** supplemented by examples.

Highlight any particular strengths (+) or areas for development (-) by marking 'X' in the column headed (+) or (-) against the appropriate characteristic.

Competencies	Comments	+	-
<b>Influencing</b> Motivates others to work towards an 'agenda for change' Directs and co-ordinates activities of others Accepts responsibility/delegates authority to others			
<b>Strategic thinking</b> Capable of innovative thinking to find solutions Identifies future risks and opportunities Considers longer-term effects of actions			
<b>Teamwork</b> Supports own and cross-functional work groups Contributes to and enhances group decisions			
<b>Communications</b> Converses clearly and persuasively to different levels Proficient in presentations and meetings Adaptable and effective writing skills			

**Use this information to form the basis of the Appraisal Interview**



- **A = EXCELLENT**
- **B = GOOD**
- **C = SATISFACTORY**
- **D = UNSATISFACTORY**
- **E = CAUSE FOR CONCERN**

Where a performance indicator is not relevant, deleted it.

<b>Performance Indicator</b>	<b>Comments</b>	<b>A - E</b>
Ability to work in a team		
Relationship with managers		
Relationships with stakeholders		
Leadership		
Ability to meet performance standards		
Adaptability		
Self-development		
Strategic impact		
<i>Any other relevant indicator</i>		

## Section C. Performance Review

### Objectives and targets agreed for review period

List the objectives and targets agreed at the last appraisal interview (where these have changed, new objectives/targets should have been agreed to reflect changes in circumstances). Comment on how effectively the objectives have been achieved over the review period.

<b>Objectives/Targets (including agreed dates for achievement)</b>	<b>Achieved? Fully (F) Partially (P) Not (N)</b>	<b>Comments</b>

### Skills gained and further development undertaken since last appraisal interview

Note any training attended, both internal and external:
New skills gained (whether as part of a course or not):
Qualifications gained:

## Section D. The Future

### Objectives for the coming review period

Taking into account the overall mission statement and the COR's and directorate objectives, agree a new list of personal objectives/targets for the next 12 months.

[Note: carry forward any unachieved objectives/targets from the last review period, if still relevant.]

Objectives/Targets	Date for achievement

### Training and development needs

As a result of the foregoing discussion, note here any training requirements. These can be:

- On-the-job training
- In-house training sessions
- Secondment
- External courses which may or may not lead to a qualification
- Any other professional development.

Topic	Type of training/development recommended

## Section E: Comments and Signatures

**Employee's comments**

**Appraiser's comments**

Please sign below to confirm that the appraisal interview has taken place:

Employee's signature:

Date: [insert date]

Appraiser's signature:

Date: [insert date]

Appraiser's manager's signature:

Date: [insert date]

14.5. **CONFIDENTIAL: Annual Appraisal Cycle**

**Three Monthly Performance Review Report**

**A.**                           **1<sup>st</sup> Three month cycle: Date**\_\_\_\_\_

Name	Main Objectives	Completion date	If not completed, why?
Etc.			

Any new objectives	Completed by:
1.	
2.	
3.	
4.	
Etc	

Manager's signature and date	Comments
Employee's signature and date	Comments

**B.**                           **2<sup>nd</sup>. Three month cycle: Date**\_\_\_\_\_

Name	Main Objectives	Completion date	If not completed, why?
Etc.			

Any new objectives	Completed by:
1.	
2.	
3.	
4.	
Etc	

Manager's signature and date	Comments
Employee's signature and date	Comments

C. 3<sup>rd</sup>. Three month cycle: Date \_\_\_\_\_

Name	Main Objectives	Completion date	If not completed, why?
Etc.			

Any new objectives	Completed by:
1.	
2.	
3.	
4.	
Etc	

Manager's signature and date	Comments
Employee's signature and date	Comments

Copy to: Employee and HR



What to check	Probable reason	Action required
<ul style="list-style-type: none"> <li>• Behavioral evidence of contrary views, values or beliefs</li> <li>• Check to see if they can perform acceptably under close supervision. If they can, but subsequently revert to the lower standard you have confirmation that the cause is attitudinal.</li> <li>• Past performance acceptable</li> <li>• Performance deterioration relatively quick</li> </ul>	<ul style="list-style-type: none"> <li>• they do not understand why it is important</li> <li>• they hold views, values or beliefs contrary to those necessary for effective performance</li> <li>• they are suffering outside work problems, which they 'bring to work' with them.</li> </ul>	<ul style="list-style-type: none"> <li>• This is a communication problem (see suggested action above)</li> <li>• This is a counseling problem. Counsel them, point out the consequences of under-performance, set tight objectives.</li> <li>• This may be a personal problem. Seek assistance from HR.</li> </ul>

14.7.

**PERFORMANCE IMPROVEMENT PLAN (PIP)**

Performance Improvement Plan for \_\_\_\_\_

Manager \_\_\_\_\_

The performance gap – current performance compared to expected performance.	
Actions taken so far to get performance back on track.  The results of that action.	
What the employee is required to do now.	
The timescale over which performance is expected to reach acceptable levels.	
The consequences of the employee not performing to acceptable levels within that timescale.	
The support that will be given to the employee to help them reach and maintain acceptable performance levels.	
Signed:  Manager:  Date:	Signed:  Employee:  Date:

14.8.

**TRAINING REQUEST FORM**

Training Requested for:.....

Grade:.....

Job Title:.....

Directorate/Area:.....

Manager:.....

Date:.....

1. In what part of the job does the learning need occur?	
2. What in your opinion is lacking? Is it knowledge or skill or both?	
3. When and how does it show?	
4. What do you want the employee to be able to do?	
5. Does the employee have a clear understanding of the purpose of the training? Are they willing and able to learn?	
6. How will the success of the training be measured?	
7. What will be done to ensure implementation of the learning?	
8. Please add any additional information relevant to the identified need.	

**Any known training course?**

Title	Relevant Content	Expected Result

**PERSONAL DEVELOPMENT PLAN**

Name:					
Action to be taken			Dates covered by plan:		
Description of activity	Resources needed	Purpose of activity	Success criteria	Date activity starts	Date activity targeted to end

**Notes:**

Ensure that the activity is clearly explained, so that you will know when it has been completed (e.g., 'Time management' is very vague, and it would be difficult to be sure when this is achieved). To assist with this, set out clear success criteria which set out measures to be applied.