



## Secretariat

19 April 2017

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### Administrative instruction\*

#### Performance Management and Appraisal System

The Secretary-General, for the purpose of updating the policies and procedures for performance evaluation and for replacing the Performance Evaluation Report with the Performance Management and Appraisal Report pursuant to Staff Rule 1.3, promulgates the following.

##### Section 1

###### Applicability

1.1 The provisions of the present instruction shall apply to all staff members who hold appointments of one year or longer.

##### Section 2

###### Purpose

2.1 The purpose of the Performance Management and Appraisal System (PMAS) is to improve the delivery of programmes by optimizing performance at all levels, which it will achieve by:

- (a) Promoting a culture of high performance, personal development and continuous learning;
- (b) Empowering managers and holding them responsible and accountable for managing their staff;
- (c) Encouraging a high level of staff participation in the planning, delivery and evaluation of work;
- (d) Recognizing successful performance and addressing underperformance in a fair and equitable manner.

2.2 The function of the PMAS is to promote communication between staff members and supervisors on the goals and key results to be achieved and the values, competencies and success criteria by which individual performance will be assessed. The PMAS will also promote continuous learning, recognize successful performance and address performance shortcomings.

2.3 The PMAS will capture the main stages of the performance process (workplan, midpoint review and end-of-cycle performance appraisal).

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\* Issued without formal editing.



### **Section 3**

#### **Performance Appraisal Cycle**

3.1 Except as provided in sections 3.2 and 3.3 of the present instruction, the performance cycle shall be 12 months. The cycle begins on 1 January and ends on 31 December. However, as provided in sections 3.2 and 3.3, the performance period may be shorter than the 12-month cycle.

3.2 When a staff member takes up new duties in the course of the performance year, an individual workplan shall be established within the first two months of assumption of the new function. If a staff member serves with the Authority for less than six months during the performance cycle, a short Special Report will be required at the end of the performance cycle period.

3.3 If the staff member remains in the same functions but serves under successive supervisors during the year, the supervisor of the staff member at the time the performance cycle ends shall complete the end-of-cycle evaluation, and prior supervisors should be consulted.

3.4 To ensure timeliness of completion of the performance report, if supervisors leave the Authority, it is their responsibility to complete the PMAS duties required of them prior to the date of separation. Separation procedures and processing of final entitlements of supervisors may be delayed until the evaluations for which they are responsible are completed.

### **Section 4**

#### **Staff members**

4.1 All staff members shall fulfil their responsibilities under the PMAS. Staff members are responsible for:

- (a) Understanding the larger organizational goals;
- (b) Soliciting clarification on individual performance expectations;
- (c) Participating in discussions with supervisors to facilitate the development and finalization of the individual workplan and maintaining discussions during the reporting period;
- (d) Taking steps to complete each stage of the process for which they are responsible without delay.

4.2 Non-compliance with the terms of the present instruction by a staff member shall be recorded in his/her individual performance document and reflected in his/her overall rating.

### **Section 5**

#### **Supervisors**

5.1 A supervisor will be designated for each staff member at the beginning of the performance appraisal cycle. The supervisor of each staff member is responsible for:

- (a) Developing the workplan with the staff member;
- (b) Advising, supporting and coaching the staff member on professional development and in the development of a personal development plan;
- (c) Providing ongoing feedback on the overall work of the staff member throughout the performance cycle. This feedback should address recognition for good performance and any shortcomings as they become apparent at any time during the performance cycle;

- (d) Conducting the midpoint review and completing the midpoint review report;
- (e) Developing a performance improvement plan in consultation with the staff member in the case of performance shortcomings or underperformance, if applicable;
- (f) Conducting the end of cycle evaluation and ensuring that all the Performance Management and Appraisal Reports of staff supervised are completed.

## Section 6

### Action Plans

#### A. Unit Workplans

6.1 Prior to the beginning of the performance cycle, and for the purposes of strengthening accountability in the Authority, senior managers meet with the Secretary-General and develop a compact and a human resources action plan. Priorities are translated into workplans of work units. Work unit plans are developed in consultation with staff members concerned on an annual basis.

#### B. Individual plans

6.2 At the beginning of the performance cycle, supervisors shall meet with the staff under their direct supervision to ensure that the objectives of the work unit are understood and individual workplans are prepared. Supervisors may meet with the staff in their work unit either as a group or individually.

6.3 Supervisors shall work with staff members they supervise on the development of the staff member's individual workplan for the performance cycle. The work planning stage includes:

- (a) Establishing individual performance evaluation criteria by setting goals;
- (b) Defining competencies, job-related competencies, and managerial competencies (where applicable);
- (c) formulating an optional personal development plan, as follows:
  - (i) **Workplan:** each staff member, together with his or her supervisor, prepares a draft workplan for discussion between the staff member and the supervisor. Upon the discussion and an agreement with the supervisor, the staff member submits the final workplan to the supervisor. The workplan must include results-oriented elements such as actions to undertake to achieve each goal/key result/achievement; and measurement through a statement of success criteria/performance expectations to evaluate performance at the end of the cycle;
  - (ii) **Competencies:** the competencies define a performance standard against which all staff can be consistently and objectively evaluated. All staff members are held accountable for demonstrating the three core values of integrity, professionalism, efficiency and respect for diversity/gender equality. In the discussion of the workplan, the staff member and the supervisor shall select the most relevant competencies related to the goals/key results/achievements identified for the reporting cycle and, where appropriate, managerial competencies. Staff with managerial or supervisory responsibilities must include managing performance among the selected competencies for the reporting period, and they will be held accountable for the effectiveness of their implementation of the PMAS;

(iii) **Personal development plan:** every staff member may choose to complete a development plan. Staff members may indicate competencies they wish to strengthen and career aspirations for future assignments.

6.4. The Office for Administrative Services will develop appropriate templates for the elaboration of the plans referred to above and attach them as addenda to the present document. Each unit may further adapt such templates in line with its particular functions and needs.

## **Section 7**

### **Midpoint Review**

7.1 The supervisor should conduct a Midpoint review during the period 1-31 July. The review should indicate the progress made, and justify any updates to the workplan goals/key results. The supervisor should also note the progress made in demonstrating the competencies and the progress made on the goals set in the workplan.

7.2 If there are any issues of underperformance, these should be reflected in the Midpoint Review Report, a copy of which will be sent to the Director of Administrative Services, who will review and appoint a Performance Review Panel.

7.3 The signature of the staff member on the performance report constitutes an acknowledgement that the midpoint review has been completed. It does not indicate that parties are in agreement. In case of disagreement between the staff member and the supervisor about the progress of the workplan to date, efforts to resolve the dispute shall be by both parties, with the assistance of a Performance Review Panel.

## **Section 8**

### **Appraising performance**

8.1 Prior to the end-of-cycle discussion between the supervisor and the staff member, the staff member must conduct a self-evaluation of the manner in which he or she has carried out the workplan defined at the beginning of the performance cycle. The self-evaluation can contain a short description of the progress to date related to each goal/key result/achievement, and comments on his/her competencies demonstrated during the period.

8.2 The supervisor shall evaluate the extent to which the staff member has achieved the goals as set out in his/her workplan and shall also evaluate and comment on the manner in which the staff member has demonstrated the values and competencies. An overall rating on the staff member's performance shall be given by the supervisor pursuant to section 9 below.

## **Section 9**

### **Rating system**

#### *A. Values and competency ratings*

9.1 Staff shall be appraised on the basis of the indicators that correspond to each of the values and competencies and shall be given one of the following four ratings:

- (a) Outstanding;
- (b) Fully competent;
- (c) Requires Development;
- (d) Unsatisfactory.

9.2 Each of these individual ratings establishes the level of demonstration of each of the values and competencies by the staff member during the performance cycle. The appraisal should be based on the degree to which the individual has been observed as acting or behaving in accordance with the particular competency or value. Competency and value ratings are a basis for staff development and shall be taken into account when determining the overall performance ratings.

*B. Overall performance ratings*

9.3 Staff who have met or exceeded performance expectations should be given one of the following two overall ratings:

- (a) Frequently exceeds expectations;
- (b) Successfully meets expectations.

9.4 These two ratings establish full satisfaction with the work performed and justify awarding a salary increment in accordance with Section 11 below.

9.5 A rating of “Frequently exceeds expectations” should be considered in cases where the staff member has surpassed the success criteria and/or performance expectations for the majority of the defined goals/key results and/or has continually gone beyond expectations; significantly surpassing success criteria and/or performance expectations in quantity and quality.

9.6 A rating of “Successfully meets performance expectations” should be considered in cases where the staff member has fully achieved the defined success criteria and/or performance expectations for the majority of the goals/key outputs during the performance cycle.

9.7 Staff who have not fully met performance expectations should be given one of the following two overall ratings:

- (a) Partially meets expectations;
- (b) Does not meet expectations.

9.8 These two rating indicate the existence of performance shortcomings. A rating of “partially meets expectations” should be considered when the staff member did not meet the defined success criteria and/or performance expectations for some of the goals/key results but demonstrates potential to develop the required skills. A rating of “does not meet expectations” should be given when the staff member did not meet the defined success criteria or performance expectations for the majority of the goals/key results, and the staff member demonstrates an inability to develop the required skills.

## **Section 10**

### **Identifying and addressing performance shortcomings and unsatisfactory performance**

10.1 During the first six months of the performance cycle, the supervisor should continually evaluate performance. When a performance shortcoming is identified during the performance cycle, the supervisor should proactively assist the staff member to remedy the shortcoming(s). Any prolonged shortcomings and unsatisfactory performance should be discussed at the Midpoint Review in July and indicated in the Report which is sent to the Director of Administrative Services, who will review and appoint a Performance Review Panel.

*A. Performance Review Panels*

10.2 In consultation with the staff representatives, the Performance Review Panel Members shall be composed of the Director of Administrative Services, Human Resources Officer and a representative from Office of Legal Affairs and a staff member chosen by the concerned staff member who is equal in grade or higher than the staff member.

10.3 A Performance Review Panel is responsible for:

- (a) Reviewing the Midpoint Review Report;
- (b) Meeting with the staff member and supervisor;
- (c) Confirming or reversing a performance rating;
- (d) Identifying remedial action to address identified shortcoming(s), such as counselling, additional training and/or the institution of a time-bound Performance Improvement Plan;
- (e) Developing Performance Improvement Plans, together with the supervisor and staff member, which should include clear targets for improvement, provision for coaching and supervision by the supervisor in conjunction with performance discussions;
- (f) Ensuring that performance discussion are held on a regular basis for the remaining period of the performance cycle;
- (g) Recommending the withholding of salary increment, the non-renewal of an appointment or the termination of appointment.

*B. Performance Improvement Plans*

10.4 A Performance Improvement Plan shall cover a three month period (normally August through end October). At the end of the three months, the Panel will meet with the supervisor and staff member to discuss the staff member's performance. If the performance did not improve, there will be further discussions with the staff member and monitoring of performance through the end of the performance cycle.

10.5 Should there be no improvement in performance by the end of the performance cycle, the Panel can recommend the with-holding of salary increment, the non-renewal of an appointment or the termination of appointment, provided that the remedial actions indicated in section 10.3 above included a performance improvement plan, which was initiated at the Midpoint Review not less than three months before the end of the performance cycle.

10.6 Should unsatisfactory performance be the basis for a decision for a non-renewal of a fixed-term appointment and should the appointment expire before the end of the period covering a performance improvement plan, the appointment should be renewed for the duration necessary for the completion of the performance improvement plan.

**Section 11****Performance Appraisal Reporting System and Salary Increments**

11.1 All parties shall sign the completed Midpoint Review Report and End of Year Evaluation Report. The signature of the staff member constitutes an acknowledgement that the performance review has been conducted. It does not indicate that the staff member is in agreement with the evaluation. If a report is submitted for signature to a staff member and the staff member does not sign, the

report will nevertheless constitute evidence that the performance review has been conducted after 14 days of its receipt by the staff member.

11.2 Under staff rule 3.5 (a), the granting of salary increments is subject to the satisfactory performance and conduct of staff members as evaluated by their supervisors, unless otherwise decided by the Secretary-General in any particular case.

11.3 The decision to award or withhold a salary increment on the basis of performance shall be made by the supervisor, based on the rating reflected in Performance Management and Appraisal Report.

11.4 The following ratings, as specified in section 9.3, shall justify a determination that awarding a salary increment is warranted:

- (a) Frequently exceeds expectations;
- (b) Successfully meets expectations.

11.5 The following ratings “Does not meet expectations” as specified in sections 9.7 and 9.8 above, shall justify a determination that awarding a salary increment is not warranted:

- (a) Partially meets expectations;
- (b) Does not meet expectations.

11.6 If the staff member’s performance improves following the completion of the performance improvement plan, he/she shall be granted the salary increment effective the date of successful completion of the performance improvement plan.

11.7 The decision to withhold a salary increment shall be communicated to the staff member in writing, before the decision is implemented by the Office for Administrative Services.

## **Section 12**

### **Entry into force**

12.1 The present instruction shall enter into force on 30 May 2017.

Michael W. Lodge  
Secretary-General