

Performance Management and Appraisal System---Belize Public
Service

PERFORMANCE MANAGEMENT AND APPRAISAL SYSTEM



GUIDELINES AND REFERENCE

Public Service of Belize
June, 2006

Office of Governance
Office of the Services Commission

P E R F O R M A N C E M A N A G E M E N T A N D A P P R A I S A L S Y S T E M

G U I D E L I N E S A N D R E F E R E N C E

**Public Service of Belize
June, 2006**

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INTRODUCTION

Historically, the Public Service of Belize has practiced various forms of appraisal of its employees. In today's world, the emphasis is to embrace the philosophy of **Performance Management**. A performance culture places greater emphasis on the importance of **motivation, development and optimal utilisation** of human resources, towards the achievement of a **client focused** and **results oriented** Public Service. Performance management embraces all formal and informal methods adopted by Government and its managers to increase commitment and individual and organization effectiveness. It is an integrated approach that consists of an interlocking series of processes, attitudes and behaviours that together produce a coherent strategy for adding value and improving results. Therefore this "new" appraisal system will place much emphasis on the Performance of the employee and the management of performance.

This Manual was designed to provide a guide on the Performance and Management Appraisal System for the Public Service of Belize. Except for Public Officers appointed under Section 107 of the Constitution of Belize, this Performance Management and Appraisal System shall apply to **all** employees in the Public Service. The Manual ensures that a common set of fundamental principles is applied to the Performance Management and Appraisal System implemented in all Ministries, Departments, Units and Sections of the Government of Belize.

Some of the contents of the manual are excerpts from the following:

- The Section on Performance Management from Performance Management and Appraisal System, Civil Service of Jamaica, November 2004.
- The Section on the Performance Appraisal Process from the existing Performance Appraisal Manual, Public Service of Belize.

Nothing in the Manual is intended to replace the regulations as set out in the Public Service Regulations (PSR), or any other regulations or policies of the Public Service of Belize.

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Section 1

OVERVIEW OF THE PERFORMANCE MANAGEMENT PROCESS

1.1 PURPOSE OF THE PERFORMANCE MANAGEMENT & APPRAISAL SYSTEM

The performance of the public sector affects every aspect of life in our nation. An effective public sector is a critical element in the development of a country. Therefore, the country needs to have a competent, motivated, professional, and forward thinking public sector working on its behalf.

The Performance Management and Appraisal System for the public service is a tool to enhance the prevailing culture to one that is more committed to providing service to the public in a manner that is efficient, user friendly, and delivered with professionalism and integrity, to the benefit of the wider society.

The primary goal is to encourage the highest level of performance of the individual employee based on job knowledge, experience, academic training and skills. Through intervention, it endeavours to improve the skills of the employees to assist in the growth and fulfilment of the potential of each employee. It seeks to maintain a rational basis for rewarding high-level performance, and applying corrective measures for mediocre and unsatisfactory service. For the successful operation of the process, conscientious application by all participants is an essential ingredient.

1.2 CHARACTERISTICS OF THE SYSTEM

1. Well-developed, results-oriented strategic and operational plans, driving the goals and objectives of the organisation and individuals' activities towards greater achievement
2. Discussed and agreed individual performance targets that are aligned to the organizational goals and objectives
3. **S.M.A.R.T.** Performance targets – specific, measurable, achievable, resourced and time-bound
4. Performance measures designed to track achievement of targets
5. Regular reviews, feedback on performance and adjustments where required
6. Training and development needs identified and addressed
7. Rewards and sanctions applied fairly and equitably

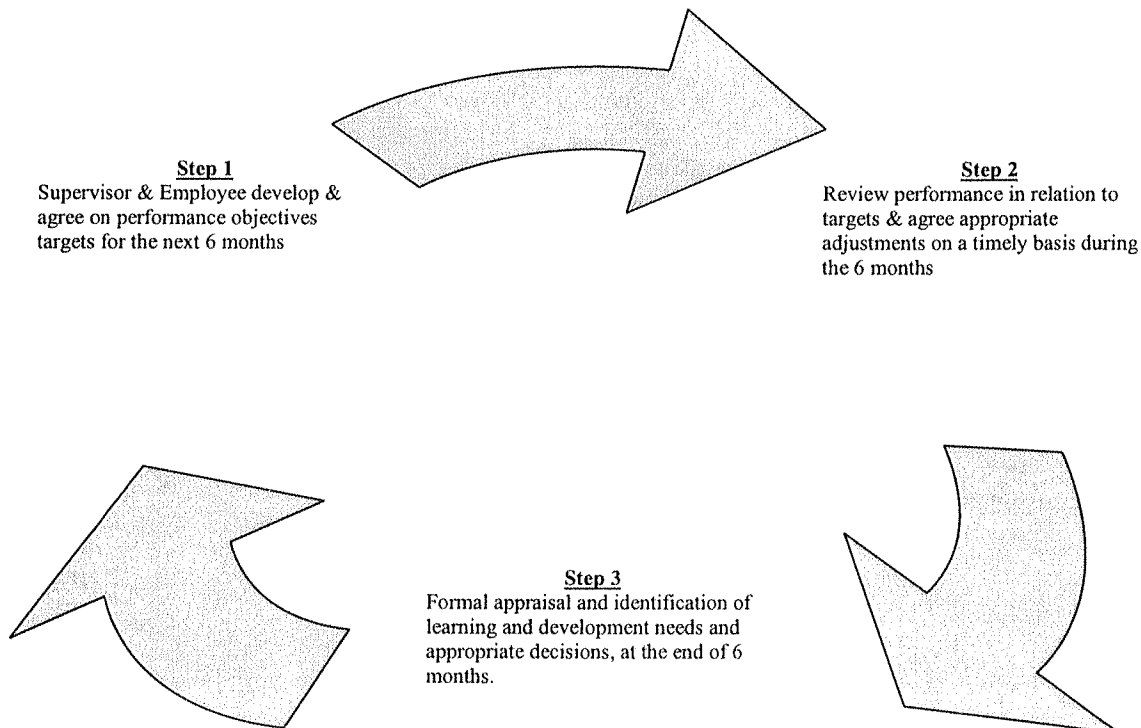
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1.3 THE PERFORMANCE MANAGEMENT AND APPRAISAL CYCLE

The Performance Appraisal period is six months. Each employee is formally appraised twice per year.



1.4 LINKAGE WITH THE STRATEGIC AND OPERATIONAL PLANNING PROCESSES

GOVERNMENT PRIORITIES
(Key government objectives)

MINISTRY'S/DEPARTMENT'S STRATEGIC PLAN
(Goals and objectives in line with key government objectives)

BUDGET ALLOCATIONS
(Prioritized resources in line with government objectives)

MINISTRY'S/DEPARTMENT'S OPERATIONS PLAN
(Goals and objectives for a given Financial Year)

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DEPARTMENT'S/UNIT'S ACTION PLAN

(How particular departments or divisions of the ministry/entity will operationalise the annual plan)

INDIVIDUAL WORK PLAN

(How each individual will work towards objectives)

OBJECTIVES OR KEY TASKS

(Includes performance measures/indicators/targets that indicate task completion/success)

1.5 OBJECTIVES OF THE SYSTEM

1. All work programmes (Department/Unit/Individual) are geared to achieving the goals of the organization
2. Supervisors and employees have a common understanding of job requirements
3. Individual performance is reviewed against mutually agreed Performance Standards
4. Feedback on performance is provided to employees, and training and development needs are identified and addressed
5. Supervisors and employees foster the development of a more open and participatory environment
6. Good performance is recognised and improvement encouraged
7. Poor performance is appropriately managed

1.6 FUNDAMENTAL PRINCIPLES AND VALUES

There are a number of principles which build trust. Adherence to the **five principles** detailed below can be the basis of building trust. The five principles are:

Effective Communication

Employees at all levels are to have a clear understanding of their roles, responsibilities and what is expected of them. Feedback on performance must be given on a continuous basis.

Objectivity

Assessments are made against agreed, clearly stated targets.

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Transparency

There should be no *surprises*. Evaluations and decisions are based on evidence drawn from well-documented processes that can stand scrutiny.

Fairness

Decisions and actions are made and taken with due regard to changing circumstances and environment as they relate to the achievement of objectives.

Equitable Treatment

All employees are to be treated equally and have equal and appropriate access to benefits, training and resources to achieve targets.

Mutual Respect and Trust

Discussions about performance are to be conducted with due regard to accepted principles of courtesy, respect and an understanding of each other's roles and responsibilities.

1.7 FRAMEWORK FOR AN EFFECTIVE PERFORMANCE MANAGEMENT AND APPRAISAL SYSTEM

To be effective, a Performance Management System must operate and be supported by key management processes. From time to time a systematic review of the Management and Appraisal System itself is necessary to ensure continuous alignment to organizational objectives.

STRATEGIC PLANNING

1. The role of the organisation and the desired outcomes of its work are clearly communicated and understood by all members of staff.
2. Strategic and Operational Plans are in place with realistic and measurable targets and integrates and incorporates the inputs and experience of all functional areas of the organisation.
3. Inter-linkages with other entities involved with the delivery of services and the needs of users and beneficiaries of services are recognised as critical elements in effective planning and delivery of outputs.
4. The role and value of a Department to its related Ministry, and the desired outputs and outcomes are purposefully communicated and linked to the Ministry's Strategic Plan.
5. The role and value of the individual's job to the organisation, the desired outputs and outcome of the job are clearly communicated and linked to departmental work programmes and understood by each employee.

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HUMAN RESOURCE MANAGEMENT

1. Adequate and competent staff are recruited and provided in order that the organization's desired outputs and outcomes are achieved
2. Policies which support recruitment, retention, training and development, performance appraisal, employee welfare, discipline and termination are in place, monitored and evaluated to ensure that they support the **performance culture** desired
3. Staff are adequately trained to perform their duties and their skills and abilities are developed and maintained in accordance with the current and future operational requirements of the organisation
4. Positive labour relations are fostered
5. Effective communication processes to ensure that staff are kept informed of all relevant information
6. Staff has the necessary competencies to support the strategic direction of the Ministry
7. Personnel records:
 - Are maintained and protected from unauthorized access; and
 - Provide timely, management information
8. Staff with HR responsibilities have the necessary competencies to provide guidance to managers and employees in the administration of the Performance Management and Appraisal System
9. Staff with HR responsibilities have the necessary competencies and capacity to assure the quality of the Performance Management and Appraisal System, and to recommend or take ameliorative action when necessary

A systematic review of the Performance Management and Appraisal System (PMAS) itself is necessary, to ensure continuing alignment to organisational objectives and the environment.

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COMMUNICATION

The Ministry has in place a communication system that ensures that all employees are kept abreast of all developments, have access to all pertinent information relating to their employment and understand the role and strategic direction of the Ministry.

- Feedback is actively sought and acted upon
- Staff is engaged in the process
- The public is kept informed of plans and performance

PERFORMANCE CULTURE

Performance Management Systems must be established to drive a culture of accountability for service delivery. Demonstrated leadership commitment, including use of performance information, is a critical success factor. Other factors include the following:

- Evaluation processes that regularly monitor performance at the Ministry, Departmental, and individual levels, and which are an integral part of the operations/work life of the Ministry.
- Good performance being the basis for recognition and excellence, the basis for reward
- A common set of core values and Code of Conduct drive the behaviour of all employees
- Customer satisfaction being a critical element in evaluating performance

LEADERSHIP

All organizational leaders have and exhibit the following competencies, which are harnessed for the achievement of high levels of individual, team and organizational performance, including the ability to:

- Establish and communicate the organization's vision and mission
- Provide direction and motivational support
- Manage performance
- Use interpersonal and listening skills
- Manage conflict
- Coach others
- Build trust
- Encourage innovation and creativity
- Take responsibility for results

1.8 ROLES AND RESPONSIBILITIES OF KEY PLAYERS

The purpose here is to ensure that the obligations and expectations of employees, supervisors and managers at all levels, are known and understood. It will help people to understand the desired performance culture change required and how they can contribute

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to making it happen. Mis-understandings and disputes are likely to be minimised when this is understood. The First Reporting Officer is the employee's immediate supervisor. The Second Reporting Officer is to vet the assessment conducted by the First Reporting Officer.

MANAGERS AND SUPERVISORS (CEOs and HODs)

- Ensure knowledge of the operating environment and mandate of the organization
- Ensure that work is well-defined and organized
- Provide effective leadership, giving clear consistent direction
- Foster team spirit and cohesion
- Facilitate and provide opportunities for training and development to enhance performance
- Discuss performance expectations and assessment criteria with staff
- Provide and solicit regular feedback from staff and customers

ALL EMPLOYEES

- Maintain and improve knowledge and skills
- Maintain awareness of operating environment & organization's mandate
- Know and understand scope of responsibilities & duties
- Know and agree to performance expectations and assessment criteria
- Know and understand consequences for consistent poor performance
- Produce and maintain output of high quality

REVIEWING MANAGERS

- Ensure equitable treatment
- Resolve any disagreement which may result from the assessment process

HUMAN RESOURCE MANAGERS (AOs)

- Ensure knowledge of the system
- Facilitate exercise of supervisor's responsibilities
- Act as resource to both supervisors and employees
- Ensure records are kept
- Monitor, review and audit system
- Ensure that appropriate follow-up action is taken
- Ensure integrity of the system
- Encourage Quality Performance

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2.1 PRE-REQUISITES FOR IMPLEMENTATION

- CEOs, HODs, Supervisor's understanding of the system, their support and leadership
- A Strategic Plan for the organisation
- Operational and Divisional Plans linked to the Strategic Plan
- Development of work plans which indicate how duties are linked to the strategic objectives
- A **Management Team** established and functioning in the organization – whose terms of reference includes responsibility for PMAS implementation
- A **Communication Plan** that ensures that staff have a clear understanding of what is required of them
- An integrated approach to performance management which involves planning, monitoring,
- evaluation and review and feedback
- Development/updating of job descriptions that identify the accountabilities of each position in the organization
- Clearly defined performance appraisal cycle and process
- Tracking mechanisms to manage performance including taking remedial action for underperformance

2.2 DEVELOPING JOB DESCRIPTIONS AND WORK PLANS

JOB DESCRIPTION DEFINED

A Job Description is a management tool, which provides a formal mechanism for documenting in factual, concise, precise and unambiguous language the nature of a job. It is a written report that outlines the major duties, responsibilities and working conditions of a job.

It outlines only what is to be done on the job, and the accountability for action and results in terms of the total components of the job.

WORK PLAN DEFINED

A Work Plan is an important tool in the process of managing performance. The drafting of work plans fosters a culture of focusing on outputs and how they are achieved. They also provide the basis for continuous communication between the individual and the supervisor.

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GUIDELINES FOR DEVELOPING A WORK PLAN

The work plan should seek to:

- Align work activities to meet the strategic goals of the organization
- State clearly the outputs expected from an individual employee
- Promote quality work

The work plan should be:

- Developed in consultation between supervisors and employees, with objectives to be achieved agreed upon and prioritized for the next period
- Flexible, to accommodate changes in priorities and resources
- Written in clearly stated terms

In developing the work plan, an updated job description should be used as a reference, as it provides in detail the main objectives and key outputs of the job.

The work plan should consist of:

- Objectives
- Strategies to be used to achieve these objectives
- Expected outputs, what is expected to be achieved
- Performance standards, and
- The resources required

Objectives should be specific to the period under consideration. Objectives should be achievable with an element of challenge.

Performance Standards are more specific than objectives. Targets can be used to quantify and qualify performance indicators. Some examples are:

Quality: *How well?* % of corrections to total words typed

Quantity: *How much?* # of units produced per time period

Cost: *At what expense?* Actual expense compared to budget

Timeliness: *By when?* Scheduled dates compared to actual dates submitted

2.3 CONDUCTING INTERIM EVALUATIONS

The value of an appraisal management system is lost unless the results are communicated to employees, and should be communicated in a way that will encourage employees to take positive steps to improve their effectiveness in the workplace.

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Many supervisors gloss over the appraisal interview because they are afraid of antagonism or resentment. Instead of criticizing weaknesses or past mistakes, the supervisor should concentrate on constructive suggestions. The interview should be used as an opportunity to recognize the employee's achievements and future potential. It is useful to advise the Appraiser of the outcome of the interim evaluation, so that at the time of the full year review, the Appraiser will be in a position to provide informed and unbiased written comments on the final appraisal form.

Interim evaluations should be conducted quarterly and are designed to:

- Assess progress against targets
- Identify any significant obstacles that may require specific interventions
- Any assistance or adjustment of targets in line with resources and priorities

TRACKING MECHANISMS FOR MEASURING OUTPUTS

As a part of the work planning process, it is critical that information sources be identified that can be used to effectively and efficiently track performance. The following should be kept in mind:

1. Information sources should be kept to a minimum, as this assists in simplifying the performance management process. **During the performance planning meetings, these should be identified and agreed on with the employee.**
2. The information sources must provide both the employee and the supervisor with reliable performance feedback.
3. If performance-related data cannot be systematically collected, nor be defended in a possible appeals process, it should not be used. However, ensure that the critical performance is evaluated.
4. Remember that it is impossible to observe each and every employee's behaviour. However it is possible to collect performance related facts from a variety of written as well as other sources.

POSSIBLE SOURCES OF PERFORMANCE DATA

Below are some sources of performance data, both written and human resource sources. Care should be taken, however, to ensure that data gathered are verifiable.

Written Sources of Performance Data:

- | | |
|-----------------------------------|---|
| 1. Activity Reports | 9. Calendars of Activities/Deliverables |
| 2. Project Charts and Schedules | 10. Attendance Register |
| 3. Critical Incidents Files | 11. Project Status Report |
| 4. Strategic Goals and Objectives | 12. Employee Self Evaluations |

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| 5. Progress Reports | 13. Work Group Goals and Objectives |
| 6. Human Resources Files and records | 14. Performance Objectives and Action Plans |
| 7. Your Personal Notes | 15. Customer Feedback |
| 8. Time Sheets | |

Human Resources who can be a source of Performance Data:

- | | |
|----------------|------------------------------------|
| 1. Associates | 5. Direct Reports |
| 2. Clients | 6. Witnesses to Critical Incidents |
| 3. Consultants | 7. Internal/External Customers |
| 4. Co-workers | 8. Peers |

It is recommended that each supervisor records observed performance regularly. If done systematically, this provides a useful reference for the final performance appraisal interview, and helps to reduce possible errors. However, to ensure transparency, employees should be made aware that such a record is being kept by the supervisor.

Poor performance can be detected in below standard performance in any core responsibility, special assignment or required competence. In response, a performance improvement plan should be developed by the supervisor and the employee or determined by the supervisor if agreement cannot be reached. At each interim evaluation a written record of the results should be kept and the employee should be given a copy of the improvement plan. Both the interim evaluation results and improvement plans should be attached to the final evaluation form.

2.4 COMMUNICATING CHANGES IN MINISTERIAL OR DEPARTMENTAL OBJECTIVES

Work plans should be viewed as working documents, partly because it may become necessary to adjust in light of changes in Ministerial or Departmental objectives. When such changes are necessary, it is vital that these be communicated to employees. Some factors to be borne in mind when communicating Ministerial or Departmental objectives are:

1. Communicate these changes as clearly as possible using all possible media available. As far as is possible, deliver the message in person, as face to face communication is usually the most effective. Also, make available to the staff any official documents communicating the changes for easy reference.

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2. Communicate changes in a timely manner. This helps to avoid possible problems that can occur, should rumours about the changes be allowed to precipitate the official announcement. Unfortunately within the public sector environment, employees may learn about changes in Ministries' goals via the media, before being officially told. When this occurs, it is important to ensure that the official communication to staff follows as quickly as possible.
3. Ensure that the changes are communicated to all staff in your unit. **A common assumption is that supervisors will pass on the relevant information to their direct reports, and this is not always the case.** Managers should spend as much time as possible with all levels of staff, communicating the change.
4. Provide opportunities for feedback from employees, as they may have concerns about the changes, or may have useful suggestions on how adjustments may best be made.
5. If you are not in agreement with the changes in Ministries or departmental goals, take care not to communicate this to your Employees. By communicating your own objections, you encourage resistance to change, which usually leads to goals not being met.

2.5 GIVING AND RECEIVING FEEDBACK

IMPORTANCE OF OBSERVATION AND FEEDBACK

Giving and receiving feedback should be a routine part of the performance management process. Feedback should however be based on observed and/or verifiable work-related behaviours, actions, results and statements.

Effective feedback is beneficial to employees as it helps to sustain good performance, develop new skills and improve performance where this may be necessary. Being able to observe employee performance or to have verifiable work-related performance information, reinforces Employees' confidence in the basis of your feedback, as well as improves managerial confidence in giving feedback that can be supported. Observation should therefore be viewed as the raw data upon which effective performance feedback is based. Managers and supervisors are encouraged to build occasions into their work day to observe employees at work. By so doing, it allows for opportunities to understand better what employees do, to talk with and get feedback from them, and to identify areas where performance could be improved.

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WHEN YOU CANNOT BE PRESENT TO OBSERVE PERFORMANCE

It is sometimes not possible to be present to observe employee performance. In such cases, processes should be in place through which performance information can be gathered. These processes should be open, fair and understood by all. Below are some options that can be used to obtain information about employee performance in the absence of the Manager/Supervisor.

OPTIONS FOR GATHERING EMPLOYEE PERFORMANCE INFORMATION FOR THE ABSENTEE MANAGER

1. Evaluate the output and products of the employee's work
2. Have routine one-on-one meetings with direct reports, and include discussions about performance
3. Ask your employee for periodic reports
4. Do brief check-ins or phone calls
5. Perform routine spot checks of the employee at work

GIVING FEEDBACK

Feedback has been defined as **“information about past behaviour, delivered in the present, which may influence future behaviour.”** Feedback should be given regularly. When employees receive feedback that is **timely, frequent and specific**, they are more likely to repeat successful performance and/or improve performance when necessary.

Feedback that is based on verifiable performance information is different from feedback based on assumptions, generalizations and judgments about what facts or behaviour mean.

Consider the following statements:

Statement #1 *“That was a very poor report. I wish you were more committed to doing a good job.”*

Statement #2 *“Your report was not formatted according to standard practice and the content was based on data that was a year out of date.”*

In Statement #1 the Employee is judged as lacking in commitment, and the description of the report as ‘poor’ is evaluative, but not helpful.

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Statement #2 tells the employee exactly what needs to be improved without judging character or motives.

Employee performance is more likely to be improved when he or she is told to **do something differently**, as opposed to asking them **to be different**. Individuals are more likely to become defensive when they feel judged, and are more likely to accept feedback which is behavioural.

Feedback should be related to the agreed performance standards/targets. If the employee does not understand the expectations or standards, clear messages should be given about these standards and expectations, and the employee should be given the opportunity to improve performance in order to meet them.

BELOW ARE ADDITIONAL TIPS ON GIVING FEEDBACK:

Feedback should be based on specific, observable or verifiable information, and should be delivered as close to the event or behaviour as possible. Some examples are:

"I noticed that you arrived 9:00 on Monday, Tuesday and Thursday rather than at 8:30."

"Everyone on the team appreciates the way you facilitated this meeting. You identified areas in which we were confused, you summarized to help us stay on track, and you maintained your neutrality. As a result, we were able to come to a decision today, rather than haggling over details for another week."

After describing your observations to the employee, ask his or her input before you decide what the behaviour means. Discuss the impact of the performance or its consequences, but never make threats or promises of promotion. When an employee understands the impact of performance, he or she will know why it is important.

RECEIVING FEEDBACK

Receiving feedback is an opportunity for growth, learning and improving work relationships. In order to take full advantage of the feedback received, here are some useful tips:

1. Be receptive to feedback. If you are unsure about how you are performing, ask for feedback whether from your supervisors or peers or from any other party you trust to evaluate you.
2. Listen. Allow the person giving the feedback to finish before interrupting. If the information is extensive, consider taking notes. Your body language and your

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facial expression should also encourage the other party to give feedback. Avoid actions such as sighing heavily or eye rolling.

3. When the feedback is given, summarize and convey to the 'giver' your understanding of what has been said.
4. Try to control your impulse to become defensive. Defensive behaviour only makes it more difficult for the 'giver' to provide you with feedback in the future, and may strain working relationships.
5. Try to suspend judgment and take time to think so that your emotions can be put aside. After all, in learning the views of the 'giver', you learn about yourself and how your actions are interpreted.
6. Thank the 'giver' for the feedback, and let him or her know how useful it was, and how you are going to use the information to change and/or improve.
7. Ask the 'giver' to give you feedback later on, especially if improvements are observed.

2.6 DEALING WITH PERFORMANCE CHALLENGES

From time to time, performance challenges emerge during the review period. When these arise, it is important that root causes of the performance challenge be identified and appropriately addressed. A common error made by many Managers and Supervisors is that a performance challenge requires a formal training solution. It is therefore imperative that a thorough analysis be done to ensure that the problem is diagnosed. This will increase the likelihood of an effective solution being found. Below are some useful questions to ask in order to analyze performance challenges, and suggestions on possible courses of action.

1. **Whose performance is at issue?** A common approach to performance challenges is to make general statements to the team, without identifying any 'guilty parties.' While this might be a useful approach for handling some challenges, in the context of performance management, it is vital that the individual and the concerns be identified, in order to address individual performance challenges.
2. **What is the exact nature of the challenge?** It is important that the Manager/Supervisor be able to describe fully, the current performance against the pre-determined standard or target. In order to do so, employee performance must be observed or verifiable performance information should be available. Additional questions that may be asked are:
 - What is the current level of performance?
 - What is the desired performance?

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3. **Is it worth pursuing?** Pursuing an issue that has little or no impact on job performance is a waste of time, and not every challenge is worth pursuing. Some additional questions to ask are:
 - What would happen if I let it alone?
 - Are our expectations reasonable?
 - Is the performance discrepancy serious enough that it is worthwhile pursuing a solution?
4. **Are the expectations clear?** If the performance challenge is worth pursuing, there is a need to analyze whether the performance standards and/or targets are clearly understood by the employee(s) in question. Some other questions that may be asked are:
 - Do the employees know what is expected of them? Have they been told or is it assumed that everybody knows?
 - Are written standards incomplete or unclear?
 - Are there obvious obstacles to performance?
 - Do employees find out how well they are doing? How do they find out?
5. **Are the resources adequate?** If the performance expectations are clear, then consideration should be given to whether the resources required for good performance are available to the employee.
6. **Is the performance quality visible?** If the resources required for good performance are available to the employee, another issue that needs to be analyzed is whether the performance quality is visible to the employee. In other words, one should identify whether performance information is available to the employee to allow for some degree of self assessment.
7. **Is there a genuine skill deficiency?** If having determined that there are adequate rewards or support for the desired performance, and that these rewards are being used effectively, and the performance challenge persists, it is then necessary to determine whether the employee has a genuine skill deficiency. Some questions to ask in order to make this determination are:
 - Could the employee perform at the desired level if really required so to do?
 - Are the person's present skills adequate for the desired performance?
 - Could the employee perform at the desired level in the past?
 - How often has the employee been allowed to practice the skills or use the knowledge?

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8. **Could the task be simplified?** Simply because a skill deficiency is identified does not mean that formal training is the solution. A more cost effective approach would be to analyze whether the task which is presenting a performance challenge could be simplified, and be made more manageable for the employee. Coaching is also an option that should be explored.
9. **Are there any other obstacles to performance?** If having attempted all of the above, and the performance challenge remains, an analysis should be done of whether any other obstacles to good performance exist. Additional questions that may be asked to ascertain this are:
- What prevents this employee from performing?
 - Does the employee know when to do what is expected?
 - Are there conflicting demands on the employee's time?
 - Is there competition from secondary tasks?
 - Are there restrictive policies that ought to be changed?
 - Are there personal challenges that are inhibiting good performance?
10. **Does the employee have the potential to change?** This question is not implying that the employee may not have the potential to improve. However it is important to determine whether the employee is the 'right fit' to the particular job or task. Some questions to ask here are:
- Could the employee learn the job; i.e. is the employee trainable?
 - Does the employee have the physical and mental potential to perform as desired?
 - Is the employee over-qualified for the job?

2.7 COACHING

Coaching is one of the most effective ways in which a supervisor can improve employee performance. Coaching may be defined as the process of assisting others to realize their potential and to achieve their performance goals.

As a coach, the supervisor's role is to provide employees with support, direction and feedback to aid in correcting performance deficiencies, developing existing and new skills, and expanding their responsibilities. The process of coaching is most successful when employees are involved in the process of defining the problem or goal, and in developing the strategies, solutions and action plan to close the gap identified.

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OPPORTUNITIES FOR COACHING

Coaching is a powerful tool for addressing performance problems as well as further developing employee strengths. You may use coaching in the following situations:

- To prepare an employee for additional responsibilities
- To address a performance problem
- When an employee asks for assistance
- To help an employee face an upcoming challenge
- Before delegating an assignment

Some of the benefits that are derived from coaching include:

- Reducing the need to supervise closely, as staff develop the ability to take responsibility
- Improving staff morale and confidence
- Job enrichment
- Improving productivity

PREPARING FOR THE COACHING SESSION

It is important that managers make the necessary preparations before going into a coaching session. Possible steps to take are outlined below:

1. Define The Problem, Challenge Or Opportunity

Write a brief description of the expectations and the observed performance in order to determine the gap between desired and actual performance, in cases where there is a performance problem.

When coaching for other purposes, determine what are the expected performance and the possible barriers to achieving the same.

2. Assess The Impact

The cost of allowing the problem to continue should be assessed. Factors such as time, other resources, employee morale, staffing and client satisfaction should be considered.

3. Determine possible causes

Some of the more common reasons why an employee might not be able to meet performance expectations are:

- Inadequate resources
- Lack of motivation
- Poor Attitude
- Health problems

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- Unclear expectations
- Lack of skill or ability
- Personal challenges
- Inadequate support & guidance

4. Identify possible solutions

Before meeting with the employee, it is useful to identify possible solutions.

2.8 TENDENCIES AFFECTING ASSESSMENT OF PERFORMANCE

Reporting Officers need to be on guard against common prevailing tendencies, which can nullify the Performance Appraisal Process. The more important ones are described below to heighten awareness and to provide a constant reminder of their existence.

Regency Effects

There are two tendencies that come under this category: the *Halo Effect* and the *Horns Affect*. These tendencies are so called because they tend to influence the assessment of the appraisal towards the most recent performance of the officer or the short period just before the current Performance Appraisal.

The Halo Effect

- This is where the supervisor allows the judgement to be influenced by outstandingly good performance in one or activity elements at the time of the formal appraisal; whereas the performance of the employee has been significantly poorer during the major part of the appraisal period.
- Another form of the same effect is where the supervisor is influenced by previous good performance appraisal, in his assessment of performance in the current appraisal period.

The Horns Effect – this is just the reverse of the Halo Effect

- Usually an employee who has been performing well for most of the appraisal period and makes a serious mistake just before the assessment is likely to be appraised negatively.
- Another form of this effect is where the supervisor allows the present appraisal to be influenced by previous poor appraisals.
- Still another form is where the supervisor allows himself to be influenced by adverse verbal or written information supplied by another Department from which the employee has been transferred.

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Effect of Central Tendency

One form of this is where the supervisor makes no serious effort to appraise the performance of his staff; he keeps no record, and gives all his subordinates an average report.

A somewhat more subtle form of this tendency, especially where a number of subordinates are being reported on, is to make a subjective assessment of the order in which their performance is to be graded, decided on a high grade and a low grade and place the others in-between.

Skew Effect

The tendency of this effect is for the supervisor to give the employee a more favourable assessment than his performance is worth. Unusually no serious effort is made towards a fair assessment of performance, but the appraisal is based on fear motivated by several concerns:

- An adverse comment on the appraisal can spoil the relationship between supervisor and subordinate.
- A negative comment could offend influential supporters of the subordinate, thus affecting the career of the supervisor.
- A negative comment on the appraisal can affect a subordinated career permanently.

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3.1 RESPONSIBILITIES OF PARTICIPANTS IN THE PROCESS

The respective responsibilities of all participants in the system are as follows:

1. Responsibility of the Ministry/Department (CEO, Senior and Supervisory Management) at which the employee is posted.

- a. Describe Goals and Functions of the Department in relation to the overall objectives.
- b. Provide on-the-job training and guidance in relation to the specific duties outlined in the job description for each Employee
- c. Based on the results of the latest appraisal reports (one mid-year and one end-of-year) determine the suitability of an employee to receive an increment based on established guidelines
- d. Second Reporting Officers are to ensure that:
 - opportunity is given to the employee to participate in his performance appraisal
 - He signs to indicate his participation
 - Any written objection, by the employee to the ratings given is attached to the Performance Appraisal
- e. Executive and Senior Management ensures that:
 - A written Performance Appraisal is performed for each officer in his department, bi-annually beginning on the date of appointment/promotion and ending six months later and beginning on the first of the seventh month and ending the date preceding the officers incremental date
 - The forms are scrutinized for completeness, identification of obvious bias and contradictions and appropriately corrected where necessary
 - The forms are submitted to the **Office of the Services Commission** immediately thereafter

2. Responsibility shared between the immediate Supervisor and the employee being appraised.

- a. Establish performance criteria (objectives or projects) against which the performance of the employee will be appraised
- b. Perform continuous assessment of the employee's performance by verbal communication between the employee and his supervisor on a periodic basis as necessary

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- c. Undertake a bi-annual short-form written appraisal of the employee's performance at the end of the first assessment period using the prescribed appraisal form. The appraisal will be done by the immediate supervisor with the full participation of the employee being appraised.
- d. Undertake a bi-annual long-form written appraisal of the employee's performance and development needs and achievements at the end of the second assessment period using the prescribed appraisal form. The appraisal will be done by the immediate supervisor with the full participation of the employee being appraised.

3. Responsibility of the Office of the Services Commission and Office of Governance as the Government's Human Resource Offices

Office of Governance

- a. Initiate training seminars to prepare supervisors and other employees to operate the system
- b. Phase in the system at the earliest after sufficient employees are trained in its operation
- c. Thereafter facilitate training in the system to be provided on an on-going basis
- d. Organize and implement training needs emanating from the report submitted by Office of the Services Commission

Office of the Services Commission

- a. Ensure that all Appraisals from all Ministries, Departments, Units are received
- b. Evaluate all appraisals submitted for completion and accuracy
- c. Liaise with the Chief Executive Officer of the respective Ministry if reports are not received on time or where corrections are needed
- d. Where the appraisal appears acceptable in the form tendered, take recognition of training needs and development potential of the employee
- e. Review appraisals for follow-up action as may be required:
 - to reward merit
 - to make arrangements to satisfy training needs
 - to recognize development potential
 - to recommend transfers where considered advisable
 - to anticipate the need for recommendations for confirmation, termination of appointment, promotion or discipline
- f. Provide counselling to individual employee as indicated from the appraisals
- g. Evaluate the overall use of the system and submit a bi-annual report to the Office of Governance

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3.2 APPRAISAL PERIODS

A formal appraisal is conducted and the forms completed twice per year or every six months commencing with the employee's month of entry and/or appointment to the Public Service.

For example

If the employee's entry date is February 1999, then the beginning month for appraisal is **February**. The appraisal cycle is as follows:

February to July – first 6 months called the Mid-Year appraisal period, at the end of which a Mid-Year appraisal is conducted.

August to January – last 6 months called the End-of-Year appraisal period, at the end of which an End-of-Year appraisal is conducted.

3.3 THE APPRAISAL FORMS

There are two types of Performance Appraisal Forms for **Support Staff** – Mid-Year, and End-of-Year. There are two Performance Appraisal Forms for **Senior Staff** – Mid-Year and End-of-Year. The Mid Year Form is used at the formal evaluation at the end of the first six months, which starts with the employee's entry month. It is a "shorter form" as it carries 6 parts namely:

- General Information
- Personal Information
- Tasks, Goals or Projects Assigned for Reporting Period
- Assessment of Performance in Activity Elements
- Overall Appraisal
- Certificates

The End-Of-Year form is used at the end of the second six-month period or the end of the working year for the employee. It is the "Longer Form" and carries 7 parts, one more than the shorter form. The End-Of-Year also specifies increment granted under the Scoring Section.

3.4 ACTIVITIES DURING THE APPRAISAL PERIOD

Job Description

The first step in the process is the clear statement of a job description. Each Ministry and/or Department should prepare a list of duties for each employee within the Department based on existing job classifications for the specific post. Information on job classification and job description are available from the **Office of the Services Commission**.

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The list of duties prepared by the individual Ministries and Departments should take into account the peculiarities of the particular place of work and should be more specific than the generalized job description from the **Office of the Services Commission**. They may involve the inclusion of additional tasks, or the exclusion or redefinition of tasks. The descriptions should not include irrelevant tasks or duties purely for the purpose of being all-encompassing, but should be an accurate description of the tasks or duties to be performed by the Employee.

Job descriptions and list of duties assist managers and supervisors in ensuring that the work load is fairly distributed and in defining goals and assessment of performance. An employee may be required to perform additional tasks outside of his job description from time to time, for various reasons, which are not necessarily outside the area of his expertise. This should be taken into account in the appraisal and reporting process.

On-The-Job Training

In addition to the list of duties, must be a brief period of “apprenticeship training” performed within the Ministry or Department to which the employee is assigned. This is required for all employees including new inductees, those who are transferred from one Department to another, or who are given a different area of activity or desk from the one previously assigned.

The purpose of this is to ensure that each employee has a full and clear understanding of responsibilities and methods of his job by means of which he will be assessed. Training in this context means more than just giving an employee a written set of instructions and leaving him/her to fend for them. It means active coaching in the performance of tasks, and building rapport between supervisor and employee that will motivate the employee to seek further guidance and direction where details of duties are obscure or there is a need to reinforce procedures.

Establishing Goals or Projects Related to Duties

A job description identifies the nature of duties to be performed. However, an objective assessment of an employee’s performance is better achieved by identifying goals (projects) with measurable characteristics. Hence in addition to providing a job description, giving on-the-job training on how to perform functions, a method of measuring the actual performance of the employee is necessary. Without a list of goals and projects, the Appraiser will depend entirely on personal perceptions on the employee’s performance, which may be affected by any number of external and subjective influences and may be different at different times. Hence for the appraisal period, it is necessary to identify goals with performance objectives or standards which

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may include, but are not necessarily limited to, elements of quantity, quality, and timeliness.

Goals should be identified at the beginning of the Appraisal Period or as soon thereafter as possible. It may not always be easy to identify a full complement of specific goals at the beginning of the Appraisal Period. Also after their identification, goals may change during the period before they come up for performance, for reasons beyond the control of the employee and the supervisor. This does not create an insurmountable problem. Goals may be identified and changes effected throughout the appraisal period. Even where goals have been partially performed before they are changed, if records are kept, the performance of the employee can be assessed in relation to such goals before the changes were made. The important element here is that records are kept, preferably by the employee and the supervisor, identifying the goals that were set, the expected performance standards, and the performance of the employee in relation to those standards for each goal during the Appraisal Period.

Continuous Assessment

During the Appraisal Period, the supervisor should inform the employee from time to time of his performance in this regard. He should give encouragement for superior performance and identify weaknesses and give advice on how these weaknesses may be overcome.

Since the bi-annual Performance Appraisal Reports will be guided by the supervisor's written records and his periodic discussions with the employee, nothing in those reports should come as a surprise to the employee.

The ideal performance appraisal results in a desire for continued improvement or sustained good performance by the employee. If an employee leaves the evaluation motivated to improve rather than feeling demoralized, the supervisor can consider the appraisal to be a success.

The following list summarizes techniques a supervisor can use to conduct an effective, motivation-building performance interview:

- Point out the employee's achievements and strengths
- Note progress made toward last year's goals
- Discuss a limited number of key issues; do not overload the employee
- Try to understand the employee's view
- Discuss job performance, not personality
- Describe behaviour and do not interpret motives
- Avoid discussing personal problems
- Keep an open mind
- Translate negatives into areas for improvement

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Section 3 CONDUCTING THE FORMAL PERFORMANCE APPRAISAL

Part 3 of the Performance Appraisal Form

Part 3 requires the supervisor and employee to agree on tasks and goals prior to the beginning of each appraisal period. In the table below, the performance criterion for each task is placed on the top cell for each measurement condition, namely – “quantity, quality and timeliness”. At the end of the six months at the time of the formal appraisal, the actual performance achieved for each task is placed in the bottom cell for each condition for measurement.

The employee lists tasks, goals or projects assigned and agreed with supervisor. The supervisor completes the table with the performance criteria previously agreed at the beginning of the six month period, and the actual performance achieved at the end of the six months. The table for Part 3 is demonstrated below.

Part 3: TASKS, GOALS OR PROJECTS ASSIGNED FOR REPORTING PERIOD

| <u>Tasks, Goals, Projects</u> | Quantity ¹ | Quality ¹ | Timeliness ¹ |
|-------------------------------|-----------------------|----------------------|-------------------------|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

Place criteria in top row and performance in bottom row.

Agreed on: _____ Signatories: Supervisor: _____

Employee: _____

The Supervisor and Employee sign to formally show agreement to Tasks, Goals and Performance Criteria. The agreement is also dated. Not shown in the sample table above

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is a section to document factors or conditions that may unduly influence performance, such as equipment, water, health, etc.

Part 4 of the Performance Appraisal Form

Part 4 of the Performance Appraisal Form deals with Activity Elements. An employee's performance is based on these Activity Elements starting at 4.1 on the Performance Appraisal Form. Support Staff are evaluated on ten Activity Elements and Senior Staff on twelve Activity Elements. The following are examples:

For Support Staff

- | | |
|-------------------------------|-------------------------------------|
| 1. Productivity | 2. Job Attitude |
| 3. Quality of work | 4. Dependability |
| 5. Initiative | 6. Public Relations and cooperation |
| 7. Communication skills | 8. Punctuality |
| 9. Reliability under pressure | 10. Appraising ability |

For Senior Staff

The same 10 elements as above with an additional two to evaluate management skills as follows:

- Management of Financial and Material Resources
- Management of Staff

Element 4.1 or "Productivity Rating" is the example demonstrated as it is in the Form. Each Activity Element is guided by four ratings from A to D, A being the highest. Elements are weighted based on the post of the employee. However, most elements carry a weighting of 10. As in the example, each weighting is indicated immediately below the element.

Element 4.1 Productivity Rating [] X Weight [] = []

The weighting for all posts in this Element is 10.

- A -** Consistently plans and organizes work to take care of more important tasks. Completes work quickly, efficiently and on schedule.
- B -** Does a good job of scheduling work; usually completes work on time.
- C -** Produces work that is occasionally behind time, but is showing progressive improvement.
- D -** Tends to waste time; fails to meet deadlines and is showing no signs of improvement.

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Assessment of Performance in Activity Elements

Assessment in each activity element carries a value ranging from 1 to 10. The values are demonstrated in the box below.

Part 4: ASSESSMENT OF PERFORMANCE IN ACTIVITY ELEMENTS

Performance Rating A: 9 to 10 points

Performance Rating B: 7 to 8.99 points

Performance Rating C: 5 to 6.99 points

Performance Rating D: 1 to 4.99 points.

Each performance rating is given a numerical rate ranging from 10 to 1 as demonstrated above. For example:

- D includes any number value between 1 and 4.99
e.g. 1.7 or 4.0 or 2.35.
- B includes any numerical value between 7 and 8.99
e.g. 8.99 or 7.4 or 8.65.

Part 5 of the Performance Appraisal Form

Part 5 of the form deals with the "Overall Appraisal Value" The example below assumes that all the prior procedures have been pursued and that the goals assessment table has been completed. The employee whose appraisal is given here is a Finance Officer who has the responsibility of appraising the performance of accounts staff. The Appraisal of the Activity Elements given by the First Reporting Officer is as follows:

Element 3.1 PRODUCTIVITY RATING [8] X WEIGHT [10] = 80

Element 3.2 JOB_ATTITUDE RATING [7] X WEIGHT [10] = 70

Element 3.3 QUALITY_OF WORK RATING [7] X WEIGHT [10] = 70

Element 3.4 DEPENDABILITY RATING [8] X WEIGHT [10] = 80

Element 3.5 INITIATIVE RATING [6] X WEIGHT [10] = 60

Element 3.6 COOPERATION RATING [9] X WEIGHT [10] = 90

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Element 3.7 PUNCTUALITY RATING [10] X WEIGHT [5] = 50

Element 3.8 RELIABILITY RATING [8] X WEIGHT [10] = 80

Element 3.9 APPRAISING ABILITY RATING [7] X WEIGHT [10] = 70

TOTAL value or Numerical Appraisal Value: 650

There are 9 elements. 8 with weight of 10 each = 80

1 with weight of 5 = 5

Total applicable weighting is 80 + 5 = 85

Appraisal Value is $650/85 = 7.65$

Overall Appraisal is Category 2: **Above Average**

The employee's Overall Appraisal Value is 7.65 which fall between 7 and 8.49, about midway of the **Above Average** category. This is intuitively correct since the officer's ratings in the Activity Elements are all A's and B's.

The next box demonstrates the Scoring and the Categories, as it is in the Appraisal Forms. Full increment is granted for performance in Categories 1 to 3, and **NO** increment is granted for performance in Categories 4 and 5. Category 1 is **outstanding** and category 5 is **poor**.

Part 5: Overall Appraisal (to be verified by the Office of the Services Commission)

SCORING SECTION

1. Numerical Appraisal (brought down) =

2. Divided by total applicable weighting =

3. Equals overall numerical Appraisal Value =

Category 1: OUTSTANDING (9 THRU 10) []

Category 2: ABOVE AVERAGE (7.0 THRU 8.99) []

Category 3: AVERAGE (5.0 THRU 6.99) []

Category 4: BELOW AVERAGE (3.0 THRU 4.99) []

Category 5: POOR (0 THRU 2.99) []

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Part 6 of the Performance Appraisal Form

Mid-Year Appraisal Form

The Mid-Year Appraisal Form ends at Part 6 which is the section on certification. Certification for both forms is discussed below.

End-of-year Appraisal

For the End-of-Year Appraisal Form, **Part 6** deals with "Training Needs and Personnel Development". This part of the appraisal will also be done in conjunction with the employee. In this part, the employee's Job and Organizational Knowledge is appraised, not as a performance characteristic, but for the purpose of determining what training is

needed, for performing in his present post. The appraisal is also done for training needs for advancement to the next promotional level. It is determined whether the training is available within the Department to which the employee is assigned; or through the Office of Governance; or at an institution within the country; or whether the relevant training is available only from a foreign institution.

It is determined also whether the employee has matriculation requirements (if applicable) for the course of training required; and if not, what arrangements the employee is prepared to make to develop herself academically to fulfil such matriculation requirements.

Certification

Certification is at Part 6 for the Mid-Year Appraisal Form and at Part 7 for the End-of-Year. The certification ensures the participation of all parties to the appraisal, namely, the First Reporting Officer, the Second Reporting Officer, the Chief Executive Officer or Head of Department, and the Employee under appraisal.

First Reporting Officer

The First Reporting Officer as the Appraiser signs and dates his signature certifying the following:

1. *I am the immediate Supervisor of the Officer to whom this Report relates*
1. *I have supervised his work for at least three months and where part of the Appraisal Period has been under the supervision of another person, I have consulted with that other supervisor concerning the Officer's performance under his supervision before the Appraisal interview*
2. *This report has been prepared with the full participation of the Officer reported on, and his particular attention has been drawn to the items of the Report showing his strengths and weaknesses*

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Second Reporting Officer

If the Second Reporting Officer concurs with the appraisal given, he signs and dates his signature certifying the following:

1. *I am the immediate Supervisor of the First Reporting Officer*
2. *I am in full agreement with the Appraisal of the First Reporting Officer*
3. *I am not in full agreement with the Appraisal of the First Reporting Officer and have therefore made emendations in red alongside the first Appraisal but without making any changes in the Appraisal itself*

If the Second Reporting Officer does not agree in every aspect with the appraisal, he makes such amendments as he sees fit without changing the First Reporting Officer's Appraisal.

Chief Executive Officer or Head of Department

If the Chief Executive Officer (CEO) and the Head of Department (HOD) are neither the First nor Second Reporting Officer, the appraisal will then be passed to the HOD and the CEO of the respective Ministry for further vetting before onward transmission to the **Office of the Services Commission**.

They will review the Appraisal for objectivity and consistency. If there seems to be obvious bias and/or contradictions in the Appraisal they will bring such matters to the attention of the two Reporting Officers and suggest a re-appraisal of the disputed items in collaboration with the employee being appraised. If the Reporting Officers do not agree to a change, the appraisal will be submitted as is, and the Head of Department and/or the Chief Executive Officer may submit such comments as they see fit as attachments to the appraisal.

The Chief Executive Officer or Head of Department signs and dates his signature certifying the following:

1. *I have scrutinized the report and am of the view that it presents a balanced picture of the officer's performance during the period under review. OR*
2. *I am not in agreement with the Appraisal and am making my comments thereon*

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Employee under appraisal

The employee being appraised signs and dates his signature certifying the following:

- 1. The Appraisal was done during an interview in which I had full participations;*
- 2. I consider the Appraisal to be objective and reasonable;*
- 3. The Appraisal is generally acceptable, and though I have minor disagreements with some details I do not wish to make any comments thereon;*
- 4. I have major disagreements with the Appraisal or find the Appraisal too be unacceptable, I am herewith attaching my comments in rebuttal.*

If the employee being appraised disagrees, after reasonable discussion, with either the appraisal of the First Reporting Officer or the amendments of the Second Returning Officer, he will indicate such on the Performance Appraisal Form and make any comments he may have as an attachments.

Final Review by the Office of the Services Commission

The Office of the Services Commission will review all Performance Appraisal Reports received for objectivity and consistency.

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Section 4

FOLLOW UP ACTIONS

4.1 THE ROLE AND FUNCTION OF THE OFFICE OF THE SERVICES COMMISSION

The role of the Office of the Services Commission is to ensure that the system operates as fairly and as objectively as possible. Since one of the purposes of the Commission is personnel administration of the Public Service, the Office has an important part to play, which they can do best if the Appraisal Officer is fair and the information they receive on the performance of the employees is reliable.

4.2 HANDLING OF THE PERFORMANCE APPRAISAL SUBMISSIONS

The Office of the Services Commission is to maintain an active database of all employees by Ministry. A register should be maintained of employees under the direction of each Ministry. As appraisals are received, a check should be made against the register for each Employee that has been appraised. At the end of each month active efforts should be made to ensure that all non-compliant Ministries and individuals adhere to the rules. A report is to be completed and shared with the Office of Governance.

4.3 RESOLUTION OF DISAGREEMENTS IN THE REPORTS

Should major discrepancies occur, some guidelines are given below for official resolution. The Reviewing Officers at the Office of the Services Commission should consider these as guidelines only, since only a direct involvement and full knowledge of all the circumstances can produce the best resolution. Final approval of the solution to the problem must be by the Director of the Office of the Services Commission. In general, the appraisal of the First Reporting Officer, as the employee's immediate supervisor, should be binding except as recommended in the following guidelines.

✓ Minor differences between the appraisals of the First and Second Reporting Officers

Where the Second Reporting Officer makes emendations differing slightly from the appraisal of the First Reporting Officer in some or all of the items being appraised, the appraisal of the First Reporting Officer should be used for the overall appraisal. Since the First Reporting Officer was the direct supervisor of the employee, the assumption must be made, unless there is additional evidence to the contrary, that his assessment was of greater precision.

Notwithstanding the above, in any matter involving the employee, whether by the Public Services Commission, the Director of the Office of the Services Commission, or any panel or committee of the Public Service, the assessment of the Second Reporting Officer shall be considered where it gives the employee additional credit over his overall appraisal. Otherwise it is to be disregarded in making any decision involving the employee.

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✓ Major differences between the assessments of the First and Second Reporting Officers

Where the emendations of the Second Reporting Officer differ markedly from the appraisal of the First Reporting Officer such that the overall appraisal would be significantly different if taken into account, the difference should be investigated. The records of performance as kept by the employee appraised and the Reporting Officers should be examined. The Office of the Services Commission may also wish to interview the three officers – the employee, First and Second Reporting Officers- to obtain background information on the matter. Based on the information gathered, the Office of the Services Commission may choose to perform the overall appraisal according to the following:

- The appraisal of the First Reporting Officer; or
- The emendations of the Second Reporting Officer; or
- Their own assessment of the Activity Elements.

✓ General agreement between the two Reporting Officers but disagreements in writing from the Head of Department or Chief Executive Officer of the relevant Ministry

Unless the written disagreements prove conclusively that there was collusion between the two Reporting Officers to falsify the Performance Appraisal Report, the appraisal of the First Reporting Officer shall be used for the Overall Appraisal.

If collusion is proven, a new appraisal for the Activity Elements should be performed by the Office of the Services Commission. This appraisal should be based on all records available with the assistance of the Head of Department and/or Chief Executive Officer of the employee's Department. The overall appraisal should be done on this new assessment.

✓ Written disagreement with the appraisal of the First Reporting Officer and/or the emendations of the Second Reporting Officer by the Employee

Before any consideration is given to any objections of the employee being appraised, he must have signed the report to indicate that it was shown to him, and the objections must be made in writing.

Whether or not the Second Reporting Officer concurs in the appraisal, the objections should be investigated. The most valuable information for resolving this agreement will be the records kept by the employee and his immediate supervisor. If continuous assessment was done during the Appraisal Period there should be adequate records to confirm or reject the employee's complaints. If records were not kept or the supervisor's records are unclear and/or can be shown to have been written later than the events they record, the difference should be resolved in favour of the employee. Otherwise the appraisal by the Reporting Officer will stand.

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Section 4 FOLLOW UP ACTIONS

4.4 FOLLOW-UP ACTION BASED ON ASSESSMENTS AND COMMENTS IN THE PERFORMANCE APPRAISAL REPORT

Follow-up actions which may be indicated by the information in the appraisal. The following are some examples of follow up actions for each appraisal. Follow-up action is the responsibility of the OSC. A quarterly report is to be generated and shared with the OOG.

Training

Training may be needed to improve both the employee's job knowledge and aspects of his/her performance characteristics. Decisions need to be taken whether the training can be provided by the employee's Department or another arm of Government or by self-sponsorship. Concrete action is to be taken to ensure that the same observations are not made in the subsequent Performance Appraisal.

Training to improve an employee's capability may not be available within the Public Service structure, but may be available elsewhere. It needs to be decided whether the amount of time required for the training will affect the Department in the short term, or whether the failure to provide the necessary training will hurt the Public Service in general and the employee in the long term. There are also cost and other aspects to be considered.

Training for future development may not be as urgent as for immediate use. However, planning for such training requirement where clearly indicated in the appraisal, should be undertaken so that when the opportunity affords, action can be taken without delay. Overseas training where identified as needed can be treated within existing structures. However, notes should be made in the employee's personal file, including the matter of matriculation for such training, so that the employee can plan ahead for any eventuality.

Promotional Activities

Objective Performance Appraisals can go a long way toward identifying employees with good promotional prospects. Information supplied in the appraisals should be used to determine actively the best employees for acting appointments and for advancement; such information should not be filed away causally without reference. Merit awards can also be determined from the appraisals according to the established rules of the Merit Award System.

Transfers

Some kinds of transfers can be performed to maintain objectivity in Performance Appraisal. An employee who receives *two biannual appraisals* with overall appraisal Category 3 should be transferred, where practical, from the Ministry/Department/Unit at which he works to another establishment for a fresh perspective on performance.

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Similarly, an employee who receives *four bi-annual appraisals* with overall appraisal of Category 1 should be transferred to another establishment for a fifth and sixth appraisals before consideration for a merit award.

Discipline

The Performance Appraisals should be used for disciplinary action, according to the procedures laid out in the Public Service Disciplinary Procedures Rules.

Counselling

The bi-annual appraisal process provides an early warning system for identifying employees with poor performance, in sufficient time for remedial measures to be put in place. At the first appraisal with an overall appraisal below Category 3, the employee should be invited to the Office of the Services Commission for counselling. Counselling may serve several purposes, including the following:

- An opportunity is provided for the employee to meet one on one with a senior officer in the Office of the Services Commission to discuss the problem
 - To renew an appreciation of the Public Service career system
 - To receive encouragement to boost his moral.
- The employee can receive guidance on performance characteristics, and advice on how he himself can contribute to his development potential.
- An employee who is unresponsive to managers in his department can be warned by someone whom he has no reason to distrust, of the consequences that could result from his conduct if he remains incorrigible.

Monitoring and Evaluation

Monitoring and Evaluation will be continuous commencing three (3) months after the implementation of the form to ensure proper implementation of all processes in the Performance Management and Appraisal System as follows:

By the Office of Governance

1. that there is a working management team in place at all Government Ministries and departments
2. that there are Strategic and Operation plans at all Government Ministries and departments to give direction and focusing on goals and objectives for objective performance management
3. that recommendations arising from the appraisals are implemented

By the Office of the Services Commission

4. that all performance appraisals are reviewed for objectivity, consistency and accuracy.
5. that all employees are appraised
6. that follow-up actions such as training, discipline etc, as mentioned above, are identified and communicated to the Ministry/Department/Individual

The Office of the Services Commission is to generate a quarterly report on 4, 5, 6 above and share with the Office of Governance for further analysis-statistical narrative to strengthen the evaluation of 1, 2, and 3 above.

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Section 5

DEFINITION AND EXPLANATION OF TERMS USED IN THE PERFORMANCE APPRAISAL PROCESS

5.1 TERMS USED IN THE PERFORMANCE APPRAISAL PROCESS

This section provides a listing and detailed explanation of words and expressions used in the Manual. It is advisable that all participants in the process become familiar with these definitions and explanations in order to participate effectively.

Performance Appraisal System

A system which provides for establishment of performance objectives/standard, identification of activity elements to be appraised, communication of standards to employees, establishment of methods and procedures to appraise performance against established standards, and appropriate use of appraisal information in making personnel decision.

Performance

An employee's fulfilment of assigned duties and responsibilities; his achievement of agreed goals, execution of assigned projects or accomplishments of specific tasks.

Appraisal

Comparison of an employee performance of duties and responsibilities with performance objectives/standards, considering such factors as degree of achievement of performances objectives/standards and total performance.

Performance Objectives/Standards

The express measures of the level of achievement established by management for the duties and responsibilities of a post. Performance objectives/standards may include, but are not limited to elements such as quantity, quality, and timeliness.

Task Performance

The complete picture of how well an employee performed assigned duties and responsibilities, including the degree of achievement of how well day to day or unexpected assignments are met, team work, attitude, attendance, etc.

Appraisal Period

The period of time for which an employee's performance will be assessed. There are two such periods. The period for which the mid-year assessment is made begins on the date of appointment/promotion and ends six months later. The period for which the end-of-year assessment is made begins on the first of the seventh month and ends the date preceding the officer's incremental date.

Employee, Officer, or Public Officer

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DEFINITION AND EXPLANATION OF TERMS USED IN THE PERFORMANCE APPRAISAL PROCESS

A person holding or acting in any public office in the Government of Belize, and the word "officer" shall be construed accordingly.

First Reporting Officer

The employee's immediate supervisor who is responsible for assigning duties/responsibilities and for coaching the employee in the performance of these duties/responsibilities. He is the one who, in coordination with the employee, defines goals/projects, performs the continuous assessment, gives advise on improving performances, conducts the performance appraisal and grades the bi-annual Performance Appraisals.

Second Reporting Officer

The manager to whom the supervisor conducting the appraisal (the first reporting officer) reports directly. The Second Reporting officer makes such emendation as he considers appropriate prior to the signing by the employee being assessed.

Continuous Assessment

A method of evaluation in which performance is assessed at regular intervals and not on one occasion at the end of the Appraisal Period. This is an integral part of the Performance Appraisal Process and is achieved through regular observation and feedback.

Unacceptable Performance

Performance of an employee who fails to meet established performance objectives/standards in one or more activity elements of the employee's Performance Appraisal Report.

Performance Rating of Activity Elements

The rating assigned to each Activity Element based on the employee's achievement in that particular element, making no allowance for, or influenced by, age, ill health, inexperience, disability, personality differences, domestic problems, or any other influences. The rating should be a factual report on the actual performance of the employee based on the performance objectives/standards previously established. The scale of rating is from A to D as amplified in sections 2 and 3.

Overall Performance Rating

The rating assigned to an employee, based on the employee's achievement on total job performance. The rating is based on a statistical average on the product of the performance rating of Activity Elements, and the weighting of each element according to criteria established for the particular post. The overall performance rating may be one of the following:

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DEFINITION AND EXPLANATION OF TERMS USED IN THE PERFORMANCE APPRAISAL PROCESS

- Outstanding
- Above Average
- Average
- Below Average
- Poor

Activity Elements

These are the special characteristics or aspects of performance and disposition, which are used to breakdown the employee's overall production into measurable units and to indicate areas on which the executive management places emphasis.

