



NATIONAL PUBLIC SERVICE

STAFF PERFORMANCE APPRAISAL GUIDELINES

**DEVELOPED BY THE DEPARTMENT OF PERSONNEL MANAGEMENT
FOR THE PURPOSE OF COMPLETING
PERFORMANCE APPRAISAL FORM SDT 5.1
IN ALL NATIONAL DEPARTMENTS AND
PROVINCIAL AND LOCAL GOVERNMENT ADMINISTRATIONS**

Table of Contents

1. INTRODUCTION	3
2. POLICY PRINCIPLES	3
3. POLICY PROCEDURES.....	3
3.1 Guidance for the supervisor conducting an appraisal.....	3
3.2 Guidance for the officer being appraised	4
3.3 Completing the Staff Performance Appraisal Form.....	5
PART A: Annual Staff Work Plan.....	5
PART B: Required Job Competencies and Skills	5
PART C: General Work Standards.....	7
PART D: Calculation of Overall Performance Rating	8
PART E: Developmental and Training Requirements	10
PART F: Potential for Promotion	10
PART G: Performance and Salary Increments.....	10
PART H: Certification by Supervisor and Officer	11
PART I: Staff Performance Appraisal Verification	11
3.4 Staff Performance Appraisal Verification and Moderation Procedure	11
3.5 Appeals Procedure.....	12
4. LINKAGES WITH LEGISLATION AND OTHER POLICIES.....	13
5. FINANCIAL, STAFFING, AND ADMINISTRATIVE IMPLICATIONS.....	13
6. MONITORING AND EVALUATION	13
7. CONTACT DETAILS	14

1. INTRODUCTION

Performance appraisal is the process of planning, monitoring, reviewing and making decisions about staff performance. The National Public Service Performance Appraisal System is designed to improve the overall work performance of each officer in the Papua New Guinea Public Service in a number of ways:

Firstly, to provide a pay method enabling supervisors to reward their subordinate officer's improved work performance through annual salary increases.

Secondly, to identify areas of performance that can be improved by counseling, training, new work experience and/or other staff development activities, including potential for promotion.

Thirdly, to encourage effective and efficient work performance in officers that would enable them to contribute meaningfully towards achievement of their departments' overall organizational goals and the completion of the activities listed in their *Management Action Plan*.

To implement the Performance Appraisal System, the *Performance Appraisal Form (FORM SDT5.1)* is to be used in accordance with these Guidelines for all officers below Departmental Head level.

2. POLICY PRINCIPLES

The Performance Appraisal System is based on the principle that the purposes defined above will only be fulfilled if the officers being appraised are provided with full details of the work results expected of them *at the beginning of the appraisal period*. This requires that each officer have an Annual Work Plan **linked** to the agency's *Management Action Plan*. Supervisors must continuously ensure that their staff:

- are made aware of their key tasks and the performance standards expected of them;
- are provided with constructive and ongoing feed-back on their individual performance through counseling and on-job training and development;
- are informed of the achievements of their Departments and their contributions; and,
- are treated fairly in relation to other officers and are provided with the opportunity to improve.

The end result of such a performance appraisal system will be continuously improving work performance, provided that supervisors maintain open and constructive relationships with their subordinate officers and communicate with them on a frequent basis about their work performance.

3. POLICY PROCEDURES

3.1 Guidance for the supervisor conducting an appraisal

In consultation with the officer, the *Staff Performance Appraisal Form* is to be completed by the supervisor at the end of the appraisal period during each six month working period to assess the three main aspects of the officer's work performance:

Part A: Completion at satisfactory level of assigned tasks, projects, duties and activities taken from the agency's *Management Action Plan* (or Business Plan), the officer's Job Description, and any other assigned tasks or duties.

Part B: competencies and requirements at a satisfactory level.

Part C: the *regular and ongoing* attainment of general work standards by the officer.

- The appraisal period will commence at the beginning of the calendar year and end at the end of the year. Subject to the availability of the supervisor and officer being appraised, a performance review shall be done by 15 July again by 30 January. The appraisal period for officers who commence employment after the beginning of the calendar year shall commence from the date that they commenced employment with that agency. **Formal assessment is a bi-annual process.**
- However, the appraisal of an officer's performance should not be confined to the completion of the Staff Performance Appraisal Form once every 6 months and 12 months. An officer's performance should be appraised through an on-going process of informal checks on the officer's performance at regular intervals during the year. For this purpose, all staff should complete brief **Weekly Activity Reports** under the *Monitoring and Evaluation Framework* for the agency's *Management Action Plan*.
- It is the responsibility of the supervisor to detect both the good as well as any unfavourable qualities of officers under their charge and to ensure that appropriate actions are taken to correct the unfavourable aspects. **In particular, the supervisor is to check on a weekly basis that the officer is completing his or her assigned tasks and activities on time and at a satisfactory quality level and that their attendance and punctuality record is satisfactory. Supervisors who fail to supervise and monitor their staff on a consistent, regular and rational basis will be subject to disciplinary procedures.**
- The aim of the supervisor should be to present the most accurate picture of the officer he or she is reporting on. The supervisor's assessment and comments must not be influenced by incidents which occurred out-side the reporting period and which are unrelated to the officer's work or performance. In this regard, the supervisor **MUST**:
 - **Exclude personal bias** for or against individual officers on qualities which are unrelated to an officer's performance (e.g. province of origin or personal relationships). The supervisor must always be as objective as possible and exclude all personal and subjective considerations.
 - **Appraise only within the context of an officer's job** so that ratings are made on an officer's total record of skills, personal qualities and performance against the main tasks over the review period.
 - **Encourage the officer being appraised** to achieve his or her personal best in the workplace through positive, honest, straightforward and constructive feedback on their performance

3.2 Guidance for the officer being appraised

- The annual performance appraisal provides an opportunity to improve your work performance and identify your training needs. In your appraisal, your supervisor will be commenting upon various aspects of your work performance.
- In doing so the supervisor is required to give an honest and constructive opinion on your work performance. It involves you and your supervisor spending time together to discuss and document your performance against specified objective criteria and standards set out in the *Staff*

Performance Appraisal Form at the beginning of the appraisal period.

- In the event that you do not agree with any part of your supervisor's rating or comments, you are free to record your own comments on the *Staff Performance Appraisal Form*. You may also lodge an appeal with your Departmental Head if you consider that your supervisor's assessment of your work performance is incorrect or unfair.

3.3 Completing the Staff Performance Appraisal Form

PART A: Annual Staff Work Plan

- In **PART A**, at the beginning of the appraisal period (generally the beginning of the calendar year), the supervisor is to list in order of importance the main tasks and/or projects to be undertaken by the officer over the upcoming work year. Detailed instructions are provided in the SPA FORM.
- These tasks, projects and ongoing activities are to be taken from the agency's *Management Action Plan* and the officer's Job Description and required outputs developed for each activity. The *Annual Staff Work Plan* in **PART A** should be developed in consultation with the officer being appraised.
- In respect of a specific project, the officer should be appraised on the main activities and tasks taken from the agency's *Management Action Plan*.
- In respect of re-current activities, the officer should be assessed against the Job Description for the position they occupy.
- The supervisor is then required to rank the officer's performance under each main task according to a five point rating scale, by ticking one box that he or she considers best reflects the level of achievement reached. Two columns are provided so that two assessments can be done during the year at the end of June and at the end of December.

PART B: Required Job Competencies and Skills

- In **PART B**, at the beginning of the appraisal period (generally the beginning of the calendar year), the Supervisor is required, in consultation with the officer who occupies the position, to identify **SIX** main competencies and skills required for the position. Detailed instructions are provided in the SPA FORM.
- In addition, staff with supervisory and managerial responsibilities is to be assessed on four extra standard managerial competencies.
- At the annual appraisal the Supervisor is required to tick the box that best describes the level of competency and skill achieved by the officer being appraised, as compared to the level required for adequate performance of the officer's job duties, tasks and project activities.
- In making this assessment the supervisor should be aware of the specialist technical skills and knowledge required for the performance of technical and professional positions. Does the officer possess the required technical and /or professional qualifications required at a satisfactory level?

Guide to the five level performance rating applicable to PART A and PART B

The following guide to the performance ratings should be used by Supervisors when assessing the officer and allocating a rating in **Part A** and **Part B** of the *Staff Performance Appraisal Form*:
Performance Ratings Guide to Part A and Part B

1. WELL BELOW REQUIRED LEVEL	
1. Timing:	Most of the time does not meet required deadlines
2. Output:	Most of the time does not produce the required work
3. Quality Level:	Most of the time does not meet the required quality level or professional standards for the activity or area of work
2. BELOW REQUIRED LEVEL	
1. Timing:	Regularly does not meet required deadlines without a reasonable excuse
2. Output:	Regularly does not produce the required work
3. Quality Level:	Regularly does not meet the required quality level or professional standards for the activity or area of work
3. AT REQUIRED LEVEL	
1. Timing:	Generally and regularly meets required deadlines and if not has a reasonable excuse
2. Output:	Generally and regularly produces the required output or performs the ongoing work and if not has a reasonable excuse
3. Quality Level:	Generally and regularly meets the required quality level or professional standards for the activity or area of work
4. ABOVE REQUIRED LEVEL	
1. Timing:	EXCEEDS and PROMPTLY MEETS all required deadlines or has reasonable excuse for not meeting them
2. Output:	Generally and regularly produces MORE THAN the required output or ongoing work
3. Quality Level:	Generally and regularly EXCEEDS the required quality level or professional standards for the activity or area of work
5. WELL ABOVE THE REQUIRED LEVEL	
1. Timing:	Generally and regularly finishes the required work WELL BEFORE the required deadlines or has a VERY GOOD excuse for not meeting them
2. Output:	Generally and regularly produces MORE THAN the required output or ongoing work and VOLUNTARILY takes on extra work
3. Quality Level:	Generally and regularly EXCEEDS AT AN OUTSTANDING AND EXCELLENT LEVEL the required quality level or professional standards for the activity or area of work

PART C: General Work Standards

□ In **PART C**, using the guide below, the *regular and ongoing* work related characteristics of an officer are to be rated as either **SATISFACTORY (scores 2 points)** or **NEEDS IMPROVEMENT (scores 1 point)** in terms of meeting the general work standards.

□ If rated as needing improvement, the improvement required should be identified and written down on the form and the officer should be re-assessed in three months on this particular item.

Performance Ratings Guide to Part C:

1. Standard of dress
1. Needs Improvement
• Often dresses shabbily or has dirty clothes; wears improper footwear contrary to General Orders
2. Satisfactory
• Most of the times dresses in a tidy manner and appropriate to the nature of the work
2. Co-operation with supervisors and team members
1. Needs Improvement
•sometimes fails to co-operate with supervisors and/or team members •obstructs supervisors and/or team members in their work
2. Satisfactory
•Resolves inter-personal problems between team members and promotes supervisory efforts •Encourages and supports other team members and supervisors in work efforts
3. Job attitude, sense of duty and reliability
1. Needs Improvement
•Generally not interested in the work to be completed, resulting in below standard work output and cannot be relied upon to meet work obligations and undertakings •Devotes working time to pursuing personal objectives outside of normal duty and allows personal interests to over-ride the performance of duties
2. Satisfactory
•Displays active interest, generally completing the work on time, and if not, has acceptable explanation •Always considers work demands above personal interests during normal working time •Can usually be relied upon to meet work obligations and undertakings
4. Ability to learn and adaptability to change
1. Needs Improvement
•Unable or slow to absorb new information and learn new methods and procedures •Finds difficulty in adapting to new ways of working
2. Satisfactory
•Generally able to, or quick to, absorb and apply new information, methods and procedures •Rapidly adapts to changing work requirements
5. Attendance at work and punctuality

1. Needs Improvement
<ul style="list-style-type: none"> •absent from place of work from time to time and unable to provide acceptable reasons for absence. •often late for work or work related meetings without acceptable reason
2. Satisfactory
<ul style="list-style-type: none"> •Rarely absent and always able to provide documented genuine and acceptable reasons •Usually attends work on time and when late provides an acceptable reason
6. Courtesy and good manners towards with clients and colleagues
1. Needs Improvement
<ul style="list-style-type: none"> •Creates work problems when interacting with customers/clients. •Is rude or abusive towards clients or colleagues or speaks in a loud or aggressive manner
2. Satisfactory
<ul style="list-style-type: none"> •Always maintains constructive customer relations in the resolution of work problems •Displays good manner and courtesy to all clients and work colleagues

PART D: Calculation of Overall Performance Rating

Once an appraisal has been completed for **PARTS A, B and C**, the Supervisor is required to complete the appropriate boxes by entering the actual and maximum possible scores applicable to the officer under each of the completed Sections of the Form. The end result is the *Overall Performance Rating*.

Overall Performance Rating Table and Example Calculations

The following calculation formula to used to determine percentage scores for **PARTS A, B, and C**:

Percentage Score = Actual Score Divided by Maximum Possible Score Multiply by 100%Some

examples are given below to assist Supervisors to obtain the **Overall Performance Rating** for the officer being appraised. The Overall Performance Rating derived from the above formula is then read off the Overall Performance Rating Table according to the Percentage Score, as follows:

RATING DEFINITION	PERCENTAGE RATING CATEGORIES	ALL OVERALL PERFORMANCE RATING
WELL ABOVE THE REQUIRED LEVEL	86 - 100%	5
ABOVE REQUIRED LEVEL	70 – 85%	4
AT REQUIRED LEVEL (AVERAGE)	50 – 69%	3
BELOW REQUIRED LEVEL	30 – 49%	2
WELL BELOW REQUIRED LEVEL	0 – 29%	1

The *Overall Performance Rating* figure is then used to determine the officer's promotional potential under

PART F and any salary increments to be awarded under **PART G**.

The assessment of done in **PARTS A, B and C** can also be used to determine the training needs of the officer in the **PART E**.

EXAMPLE 1: Ten tasks were listed giving a maximum possible score for Part A of $10 \times 10 = 100$.

SCORE FOR EACH OF THE THREE PARTS A TO C	ACTUAL SCORE	MAXIMUM POSSIBLE SCORE
PART A	70	100
PART B	18	25
PART C	10	12
TOTAL SCORES:	98	137
PERCENTAGE RATING	71%	
OVERALL PERFORMANCE RATING	4	

EXAMPLE 2: Eight tasks were listed giving a maximum score for Part A of $8 \times 10 = 80$

SCORE FOR EACH OF THE THREE PARTS A TO C	ACTUAL SCORE	MAXIMUM POSSIBLE SCORE
PART A	40	80
PART B	10	25
PART C	6	12
TOTAL SCORES:	56	117
PERCENTAGE RATING	47%	
OVERALL PERFORMANCE RATING	2	

EXAMPLE 3: Five tasks were listed giving a maximum possible score for Part A of $5 \times 10 = 50$

SCORE FOR EACH OF THE THREE PARTS A TO C	ACTUAL SCORE	MAXIMUM POSSIBLE SCORE
PART A	30	50
PART B	15	25
PART C	4	12
TOTAL SCORES:	49	87
PERCENTAGE RATING	56%	
OVERALL PERFORMANCE RATING	3	

PART E: Developmental and Training Requirements

After completing **PARTS A, B, AND C** and arriving at the Overall Performance Rating in **PART D**, the Supervisor should be able to identify the strengths and weaknesses of the officer being appraised. The supervisor should identify any deficiencies and note under **PART E** what training and development plans have been made to over-come these short-falls. This part needs to identify:

1. **PART E(1)** – Identify the training undertaken (if any) in the past 12 months
2. **PART E(2)** – Identify the specific job related skills competencies that need to be upgraded and the **specific** training activities that the officers needs to attend in the next 12 months to upgrade the identified skills shortcomings.

The HRM Division/Branch of each respective department or agency must incorporate these training needs identified to form the basis of annual training plans, that eventually will form the (3) year training plans for the Department.

PART F: Potential for Promotion

- Dependent upon the officer's Overall Performance Rating, the supervisor is required to indicate whether or not the officer has potential for promotion at the end of the year. In order to do so the supervisor should, in conjunction with the Staff Development Officer, have identified a suitable career path for the officer. With the knowledge of the job skill and knowledge requirements of next higher level position to which the officer would aim to be promoted, the supervisor can assess the officer's potential to fulfill the higher level requirements.

PART G: Performance and Salary Increments

Dependent upon the Officer's Overall Performance Rating, and current Salary Point calculated from **PART E**, the decision to award or not award a salary increment, can be determined using the **Increment Schedule**: *(NB; Increment Schedules are updated from time to time through the Public Employees' Association and Government MOA.)*

Current salary point	Overall performance rating	New salary point after increment
Salary point 5	Well above required level (5)	Increment to salary point as determined
	Above required level (4)	Increment to salary point as determined
	Required level (3)	No increment
	Below required level (2)	No increment
	Well below required level (1)	No increment

Salary point 4	Well above required level (5)	Increment to salary point 5
	Above required level (4)	Increment to salary point 5
	Required level (3)	No increment
	Below required level (2)	No increment
	Well below required level (1)	No increment
Salary point 3	Well above required level (5)	Increment to salary point 4
	Above required level (4)	Increment to salary point 4
	Required level (3)	Increment to salary point 4
	Below required level (2)	No increment
	Well below required level (1)	No increment
Salary point 2	Well above required level (5)	Increment to salary point 3
	Above required level (4)	Increment to salary point 3
	Required level (3)	Increment to salary point 3
	Below required level (2)	No increment
	Well below required level (1)	No increment
Salary point 1	Well above required level (5)	Increment to salary point 2
	Above required level (4)	Increment to salary point 2
	Required level (3)	Increment to salary point 2
	Below required level (2)	Increment to salary point 2
	Well below required level (1)	No increment

Salary increment will be awarded only on an annual basis and will not be back dated to previous years. Where annual staff performance appraisal has not been conducted salary increment will be forfeited.

PART H: Certification by Supervisor and Officer

- This Section must be signed by both parties after the performance review to certify that the *Staff Performance Appraisal Guidelines* have been followed in conducting the performance review.
- An appraisal conducted by a Supervisor is only a interim indicative appraisal. The performance rating allocated to the officer shall be verified by the Department or Authority senior management in accordance with PART I.

PART I: Staff Performance Appraisal Verification

- An appraisal conducted by a Supervisor of an officer is only a indicative draft appraisal. The performance rating allocated to the officer by the supervisor shall be verified by the Department or Authority in accordance with **PART I** of the Staff Appraisal Form and **Section 3.4** below.

3.3 Staff Performance Appraisal Verification and Moderation Procedure

- Supervisors must submit all appraisals within one month of the end of the appraisal to their Human Resource Manager (or equivalent position) in their Department of Authority. The Human

Resource Manager (or equivalent position) must keep a record of returns submitted and obtain any outstanding returns.

- The Human Resource Manager (or equivalent position) must analyze all the draft appraisals and produce a statement of draft outcomes in the form of a frequency distribution table, and lists of individual ratings by Branch or Division, and with recommendations for any corrective action, and submit it to the Management Committee of the Department or Authority.
- All draft staff appraisals are to be reviewed for consistency and realism, against the following 'normal distribution' curve:
- If the draft ratings are not close to this distribution curve, they will have to be moderated, i.e. re-examined and adjusted by referral back to Branch Heads and supervisors. The Management Committee may be able to identify specific anomalies based on personal experience and knowledge of the staff in the Department or Authority.
- If a staff appraisal is referred back to the Supervisor for review and adjustment, it should be resubmitted within 10 working days to the Management Committee through the Human Resource Manager (or equivalent position). The Management Committee should then repeat its review, make any final adjustments and approve a final outcome.

Level	Description of level	Percentage of staff expected at this level
1	Well below the required level	5 percent
2	Below the required level	20 percent
3	At the required level	50 percent
4	Above the required level	20 percent
5	Well above the required level	5 percent

3.5 Appeals Procedure

- Should the officer consider that the supervisor did not follow the *Staff Performance Appraisal Guidelines* in undertaken the performance review or if he or she considers that the outcomes of the performance appraisal are incorrect or unfair in relation to the supervisor's or Management Committee's Overall Performance Rating and/or his recommendations for further training, then he or she may lodge a *written* appeal to the Departmental Head.
- A *written* appeal should be lodged with the Departmental Head by an aggrieved officer within seven (7) working days after the final performance rating has been verified by the Management Committee and the officer has been informed outcome. Late appeals will NOT be accepted.
- The Departmental Head will forward the appeal to an Appeals Panel chaired by his or her delegate, who will normally be the officer responsible for personnel matters within the Department (e.g. Personnel Officer or HRM Manager). The Appeal Panel shall comprise of the Departmental Head's delegate as the Chairman and the Department's Training Officer. The Chairman shall provide to the parties to the appeal **seven (7) days written notice** of when the

hearing is to be conducted.

- At the appeal hearing the Chairman shall, in the first instance, conduct a mediation session between the Supervisor and the officer being appraised in an attempt to come to an agreement on the final appraisal assessment outcome. The Chairman will act as a mediator and identify the differences between the two parties and attempt to bring the parties together in agreement **within three hours**.
- If no agreement can be reached between the Supervisor and the officer being appraised within three hours, they shall leave the hearing and the Chairman and the Training Officer shall jointly discuss whether or not the Overall Performance Rating and the other Sections of the *Staff Performance Appraisal Form* are to stay the same or are to be amended.
- The Chairman of the Appeal Panel shall make this decision and inform *in writing* the parties to the appeal **within three (3) working days**.
- The amended form shall be submitted to the Departmental or Authority Head (or his or her delegate) for final approval and the necessary salary actions (if any) be taken, and the Head of the Department shall inform *in writing* the parties to the appeal **within three (3) working days** of his or her decision. There shall be no appeal against the decision of a Departmental Head in relation to an amended and completed *Performance Appraisal Form* (SDT5.1).

4. LINKAGES WITH LEGISLATION AND OTHER POLICIES

- General Order No 6 – Staff Development, Career Path Planning and Performance Appraisal
- General Order 13 – Salaries and Allowances

5. FINANCIAL, STAFFING, AND ADMINISTRATIVE IMPLICATIONS

- These Guidelines impose no additional financial, staffing, administrative, and capital resource requirements on agencies beyond existing policy requirements and available staff resources.
- Salary increments should be budgeted for within existing agency budgets while the administrative arguments to implement these Guidelines can be implemented by existing staff within agencies. There are no additional capital resource requirements.

6. MONITORING AND EVALUATION

- The implementation of these Guidelines will be reviewed on a bi-annual basis by the Department of Personnel Management in consultation with Government agencies.
- In addition, on request from the Secretary of the Department of Personnel Management, Departmental Heads will be required to provide Status Reports on the implementation of the Staff Performance Appraisal System within their organisation.
- Department of Personnel Management auditors and internal auditors or any other auditors during their auditing process must sight the staff performance appraisal as evidence for payment of

salary increment.

7. CONTACT DETAILS

- For further information and advice on implementing the *Performance Appraisal Guidelines* and conducting staff appraisals using **FORM SDT5.1** please call the Policy and Research Division of the Department of Personnel Management on 327-6345.