Dear Colleagues,

I am pleased to share the revised and expanded edition of *Supporting Performance Management in the Organization*.

The United Nations Secretariat is committed to the idea that a credible, fair and fully functioning performance appraisal system is critical to effective human resources management policies. As such, training in Performance Management is now a strongly recommended day-long course for all managers and supervisors in the UN Secretariat.

The Office of Human Resources Management (OHRM), in collaboration with HR Officers in the Global Secretariat, supports both managers and staff members in the performance management process. OHRM is working diligently to train managers in the skill of effective performance management through a range of leadership and management programmes, as well as specific workshops in the area of performance management. For advice and counsel about performance-related issues, or to become more informed about ePAS and the performance management process, please contact your HR Office.

If you are currently managing a team – or one staff member – I would like to challenge you to think broadly about the concept of managing performance, and its link to the concept of learning, career development and accountability. Managers are responsible for promoting a culture of high performance and continuous learning in a way that both empowers staff and holds them accountable for their performance and development. As a staff member, I challenge you to approach the process of self-appraisal thoughtfully, candidly, and with an eye towards your professional development goals.

We are committed to respond to your needs for advice, counsel, and development in this critical area of performance management. Currently, the SMCC is reviewing the entire performance management structure and making recommendations to enhance the current system; we will be keeping you informed of changes as they occur.

Catherine Pollard  
Assistant Secretary General for  
Human Resources Management
INTRODUCTION

Supporting Performance Management in the Organization: A Guide for Staff and Managers/Supervisors is designed to assist staff members and their supervisors by providing detailed guidance about the concept of performance management in the United Nations.

Performance Management is a key building block of the human resources reform programme. It is based upon International Civil Service Commission (ICSC) performance management principles for the United Nations common system, namely work planning, agreed upon objectives, ongoing feedback, a mid-point review, and an end-of-cycle appraisal. It is linked to other human resources systems and processes including staff and career development, mobility, and recruitment.

"It is an essential element of any long-term management of staff members. Keeping all involved attuned and aware."

Effective performance management improves overall organizational performance by encouraging a high level of involvement and motivation, and increased staff participation in the planning and delivery of work by:

- Establishing up-front performance expectations and accountability through mutual understanding between the staff member and first reporting officer on work goals to be accomplished;
- Setting performance standards using the United Nations competencies, which provide a shared language about what is expected and which help define future development needs;
- Promoting communication and ongoing feedback between staff members and managers on the work programme;
- Encouraging teamwork by integrating individual work plans with the unit work plan;
- Promoting staff members’ own professional development goals.

HIGHLIGHTS OF THIS GUIDE:

This Guide, originally published in 2002, has been extensively revised and updated. It now includes:

- information about how to have an effective dialogue concerning performance issues
- helpful checklists for staff and managers to guide the performance management process
- quotes from UN staff and managers that share personal experiences with performance management
- new sections on preparing a development plan, goals and success criteria, and performance improvement plans
Benefits for Staff Members

By participating in the performance management process, staff members:

• Gain greater clarity about goals and expectations for their work unit and their own work;
• Have increased opportunities to discuss and work with their first reporting officer on their ongoing development, including learning and career development;
• Gain a fuller picture of their performance through the use of the United Nations competencies (a combination of skills, attributes and behaviours that are directly related to successful performance on the job);
• Keep track of their accomplishments throughout their United Nations career;
• Provide information to the Organization on their accomplishments and potential for their future assignments and development needs;
• Gain feedback and participate in discussions to contribute to their own career development.

Benefits for Supervisors and Managers

For supervisors and managers, the performance management process:

• Gives an opportunity to clarify performance expectations, results expected, and competencies to be demonstrated by individual staff members;
• Provides a means to motivate staff members by clarifying how their individual performance contributes to overall work unit goals;
• Promotes a discussion of the UN competencies (the skills, behaviours and attitudes) that contribute to successful performance in the Organization;
• Provides a structured means to address performance gaps early on so that both the first reporting officer and the staff member are clear on what must be done to bring performance up to the agreed-upon standard.

Benefits for the Organization

For the United Nations, the performance management process will:

• Promote a culture of high performance and continuous learning;
• Encourage a high level of staff participation in the planning, delivery and evaluation of work;
• Recognize successful performance and allow a means to address underperformance in a fair, equitable manner;
• Give managers the responsibility and accountability for managing and motivating their staffs.
Supporting Performance Management in the Organization

INITIATING THE PERFORMANCE MANAGEMENT PROCESS: SETTING GOALS AND EXPECTATIONS

Performance management is an ongoing process that is aimed at focusing your work, as a UN staff member, on the goals of the United Nations, clarifying performance expectations at the beginning of each performance period, keeping yourself, or your staff, on track through ongoing dialogue and a mid-point review, and evaluating performance at the end of the period. End-of-cycle evaluation, in turn, informs the planning for the following year, and for development in general.

The basis of all effective performance management is dialogue. The e-PAS form provides a structure for, and a systematic record of, that dialogue. To learn more about the e-PAS technical process, please refer to the “ePAS How To Guide” booklet, available in the bookshelf section of the PAS Help Tab in the ePAS website (www.epas.un.org).

FRAMEWORK FOR WORK PLANNING

Individual work plans should cascade down from the objectives and work plans of the department or office (as indicated in ST/AI/2002/3). Primary responsibility for the timely implementation of the performance management process rests with the first reporting officer (often referred to in this guide as the manager), though as a staff member, you play a very important role in the process.

It is important that the first reporting officer meet with the staff in their work unit, either as a group or individually, to ensure that everyone understands the goals and work standards. In cases where a staff member reports to more than one supervisor, one first reporting officer should be designated who will oversee the performance appraisal process, with additional supervisors providing input, as appropriate.

As new staff member, or an experienced staff member starting a new position, you should prepare a work plan in consultation with your manager within the first month of assuming a new assignment.

“I share my unit work plan with my team in order for them to be able to understand what we are supposed to deliver as part of the overall mandate of our Service/Division/Office and the Department. I review how and what is expected from our work in terms of deliverables, objectives. Then, I try to agree with them on an expected standard of work to be completed, making sure they understand who our clients are, what are their needs and requirements and how the quality of our work affects their work. It is also important for me to make sure that each staff member has some challenge in their assignment and that they have some new things to learn.”

– Manager, DM (P4)
THE INDIVIDUAL WORK PLAN

You are expected, as a UN staff member, to draft an individual work plan (in consultation with your first reporting officer). This work plan establishes a framework for personal accountability so that it is clear what is expected for the cycle.

The plan includes:

- the work plan (goals and success criteria)
- the competencies
- the development plan (continuous learning and career development)

**Setting Goals/Performance Expectations**

As a UN staff member, it is important that you clearly understand:

- how your contribution fits into the overall organizational goals;
- what exactly you are expected to achieve;
- what constitutes fully successful performance (in other words, the criteria by which your performance will be judged).

“Having the opportunity to speak with my first reporting officer about my work plan was helpful for many reasons. Being able to share my work and learning goals allows me to think about my career and how I can grow in my job, and creates a transparent, open dialogue between me and my supervisor.”

– Staff member (G-4), OHRM

The work plan should be sufficiently challenging, yet realistic and achievable. Committing to a goal/performance expectation is motivating, and also establishes personal accountability.

As a first reporting officer:

- All goals need to be aligned to the departmental work plan.
- As a manager, it is your responsibility to help your staff members understand how their work directly links to the departmental work plan.
- It is also your responsibility to share the section and/or unit work plan with each staff member.
- As a manager, it is critical that your staff understand the importance of their role and how they contribute to the success of the Organization. Knowing how one contributes increases levels of engagement and motivation.

One effective approach to thinking about goals and performance expectations is ensuring that they are ‘SMART’: specific, measurable, achievable, realistic and time-bound (time-bound may refer to deadlines, but equally may be a turnaround or response time for ongoing activities).

“Plans are only good intentions unless they immediately degenerate into hard work.”

– Peter Drucker

*I normally advise managers and staff to think SMART when writing their workplans, setting challenging, yet attainable goals, that mirror the overall strategic goals of the organisation."

– Human Resources Officer, UNMIT/East Timor

**Talk to Your Team: First reporting officers are responsible for initiating work plan discussions with each staff member under his or her responsibility.**
THE PLAN: GOALS AND SUCCESS CRITERIA

In order for goals to be measured, a critical component in writing effective goals, you may want to consider the following measurement or success criteria:

1. **QUALITY**: How well? What level?
2. **QUANTITY**: How much? Many?
3. **COST**: At what investment?
4. **TIME**: By when?

Each staff member will set different goals and/or performance expectations when writing a work plan, but most fall into one of the following categories.

<table>
<thead>
<tr>
<th>On-going Goals</th>
<th>These are the outputs related to progress/standards for on-going duties and responsibilities.</th>
</tr>
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<tbody>
<tr>
<td></td>
<td><strong>Example</strong>: To ensure all incoming correspondence is properly logged and followed up so that requests are answered within five days.</td>
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<table>
<thead>
<tr>
<th>Problem-Solving Goals</th>
<th>These goals focus on what needs to be improved based on analysis of current problems.</th>
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</thead>
<tbody>
<tr>
<td></td>
<td><strong>Example</strong>: To reduce the time between the issuing of requests for proposals (RFP's) and the contracting of the vendor by 20%.</td>
</tr>
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</table>

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<thead>
<tr>
<th>Innovative Goals</th>
<th>These goals look at what is already done well, but can be improved, or what new ideas can be introduced.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Example</strong>: To create an intranet website to better disseminate information and improve workgroup communications by using the Lotus Notes calendar information, scheduling and workflow by January, 2009.</td>
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<tr>
<th>Development Goals</th>
<th>These are part of e-PAS and are required for every staff member. These goals are meant to create opportunities for staff to develop their competencies, stay current in skills and knowledge, assign challenging work to move staff members toward their career goals.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Example</strong>: To complete a financial analyst certificate programme by January, 2009.</td>
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</table>

These measurements will ensure your goals are SMART. You may want to draft your goal statements and separate the measurement or “M” component by quality, quantity, cost and time.

The Career Resource Centres at UN/NY and in different duty stations offer a helpful mini workshop, "Setting Challenging Performance Goals," for staff and managers. Additionally, the full day workshop, Performance Management for Leaders, has a section for managers on creating strong work goals for the unit and with individual staff members. In Peacekeeping Operations, DFS/CDU and training officers will be launching a new Performance Management training initiative in 2009.
Sample work goal:

To create the strategy and develop the support tools for implementing the VINES initiative by January 1, 2010.

Success Criteria:

- Educational workshops are launched by February 1, 2010 in all OAH’s
- All eligible posts are placed on a compendium by December 1, 2010
- Guidelines for special circumstances are approved by January 1, 2010.

SELECTING COMPETENCIES FOR THE REPORTING PERIOD

As part of the overall reform programme, and as a key element in his human resources strategy, the Secretary-General introduced a model of core values and core and managerial competencies in SGB/1999/15 (See Appendix A). The booklet, United Nations Competencies for the Future, which was distributed to all staff members, provides definitions. (The information in the booklet is also available electronically through the form and/or on the United Nations intranet.)

The UN core and managerial competencies provide a shared language for discussions on performance; in addition, job-related competencies for the reporting period may be determined by the first reporting officer and staff member. (See Appendix A)

Although all staff are responsible for demonstrating the core competencies each reporting cycle, you and your first reporting officer may choose to focus on a few key competencies and core values (i.e. two to four) that would be most relevant for carrying out the work plan during the reporting cycle.

Core values are the shared principles that underpin the work of the Organization and guide the actions and behaviors of United Nations staff members in carrying out their individual work: integrity, professionalism and respect for diversity/gender. All United Nations staff members are expected to behave in accordance with the core values and will be appraised on their compliance with the values.

Core competencies are the skills, attributes and behaviours, which are considered important for all staff of the Organization, regardless of their level. The eight core competencies are: communication, teamwork, planning and organizing, accountability, creativity, client orientation, commitment to continuous learning, and technological awareness. The first reporting officer and staff member discuss and agree on which core competencies are most relevant for this position in this performance cycle.

Managerial competencies are the skills, attributes and behaviours that are considered essential for staff with managerial or supervisory responsibilities. The six managerial competencies are: managing performance, vision, leadership, building trust, judgement/decision-making, and empowering others. Managing performance must be included among the managerial competencies selected for all staff who supervise others (i.e., first and second reporting officers).

“I believe in the need for proper management of staff performance...our team has used the performance management process for planning and evaluating performance and this has helped me tremendously in planning my unit’s work. I also think that the members of our team appreciate the direction this provides, as well as the time we took for discussions around their, as well as my, performance.”

– ESCAP first reporting officer and staff member (P4)
DEVELOPMENT PLANNING

Learning and Development Planning are important concepts in Performance Management, as they allow you to develop your career, and also respond to feedback about skill development. Developmental needs may be addressed through formal courses, on-the-job training or coaching. Each staff member has primary responsibility for his/her own development.

Building a career requires developing new competencies, building relationships, seeing a broader picture, staying current in skills and knowledge, taking risks, demonstrating flexibility, making plans and communicating a proactive and forward looking attitude, among others.

One staff member who was interested in going on mission worked hard to set goals that would allow him to gain important skills that made him more desirable to a mission office in the area of administration. As a senior general service staff member, his manager supported these goals, and formalized a learning and development plan with him. Ultimately, he was able to land a post in East Timor. Later, he went on to receive an SPA and promotion to the P-2 level in two peacekeeping missions.

The Career Resource Centres in most duty stations run a mini-workshop specifically targeted at creating an Effective Development Plan. It is open to managers and staff, and is entitled, “The e-PAS Development Plan.” Staff in peacekeeping missions may contact their e-PAS Focal Point or Career Development Officer for support in this area.

Tips For Managers

1. Block out time in your calendar for regular staff meetings to communicate department/unit goals to staff, especially at the beginning of the year. Be sure to share and discuss - and then update, your unit work plan. Explain new policy initiatives or priorities.

2. Similarly, block time out to meet with each individual staff member and review their work plan. Make sure that there is also a mutually agreed upon learning, or development, plan. A ‘best practice’ is to encourage five days of learning/training per year – for each staff member.

3. Take time to schedule and conduct mid year and year end performance reviews. Complete them on time. You are setting an example for your entire team.

4. Consider blocking a day, or a half day, for performance management preparation in your unit, inviting the entire team to work on their own goals, end of year appraisal, etc.

5. Celebrate specific successes and publicly communicate recognition and appreciation to staff – daily, weekly, monthly

6. Create folders where you can store feedback on performance-related recording specific emails and examples of positive/negative performance

7. Be sure that you are holding regular, face to face feedback meetings, particularly with underperformers, recorded in calendar and with note for the record based on concrete examples.

8. Ask each member of your team what you could do more of, or less of, to support their work.

9. Walk the talk: attend workshops on performance management and encourage supervisors under your management to do the same.
Supporting Performance Management in the Organization

1. Choose the Most Relevant Competencies (and not too many!):
   When selecting the most relevant competencies for the performance cycle, it is useful to think of them as performance standards to meet while achieving the work plan. For example, does successful achievement of the staff member’s work plan require collaboration with others? Then teamwork is an essential competency in this case. Supervisors can take this opportunity to clearly link competencies to the work plan for this performance cycle.

2. You may choose specific, job-related competencies which contribute towards demonstrating the core value, “professionalism.” Both the staff member and manager must be clear that these skills form part of the performance appraisal for the cycle. Examples of job-related competencies include: financial management, project management, web-design, proposal writing, and emergency management. The competencies must be directly related to the work plan of the staff member and must be indicated on the form during the work planning stage.

3. Use the Staff Development Programme to Develop your Core and Managerial Competencies: Most UN training is specifically designed to develop core and managerial competencies. Release your staff and team for trainings – this is an important component of both “Commitment to Continuous Learning” and “Managing Performance!”

Tips for Staff Members

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The first reporting officer is encouraged to create opportunities for staff members to test and develop new skills and knowledge by offering challenging responsibilities and assignments.

For first reporting officers, a discussion on career aspirations provides an opportunity to:

- understand how each staff member sees his/her skills and competencies
- learn about the competencies that the staff member may have but may not be using in the current role
- support staff members in their efforts toward achieving important professional goals
- direct staff members to support and learning programs

For staff members, it is helpful to consider the following questions:

1. How am I progressing with developing my competencies?
2. Are my career development goals realistic? What additional skills do I think would enhance my chances for a move?
3. What can I do to make my work more challenging?
4. What kind of developmental assignments in my current position would enrich my professional experience?
5. What type of formal or on-the-job learning do you think I would benefit from?
6. How can I improve my potential to be considered for a more senior post?

The United Nations Staff Development Programme provides a wide range of development and learning opportunities for staff at all levels

www.un.org/staffdevelopment
CAREER DEVELOPMENT

Building a career in the current UN environment requires developing new competencies, building relationships, seeing a broader picture, staying current in skills and knowledge, taking risks, demonstrating flexibility, making plans and communicating a proactive and forward-looking attitude, among others.

CONTINUOUS LEARNING

A commitment to continuous learning, a core competency, is supported by the Organization’s learning policy. Learning activities are broadly defined and may include learning gained on special assignments, continuing education, on-the-job training or coaching, seminars, conferences or individual study.

First reporting officers play a critical role in the development of their staff. They should use their performance management discussions as one way to identify developmental needs with their staff and agree on ways of addressing them, whether through formal courses, on-the-job training or coaching.

Development goal(s) selected can focus on skills or knowledge that the staff member may need in current or possible future functions with the United Nations. Supervisors can use this opportunity to suggest that the staff member develop specific competencies that are immediately related to successful completion of the work plan.

Finally, staff members must do their part to develop and maintain their skills and competencies by taking advantage of the development opportunities offered by the Organization and by being proactive in taking on new challenges and seeking ways to contribute to the Organization, as well as to their own growth and development.

"Feedback from your supervisor gives you insight into your strengths and weaknesses and how you can go about correcting these weaknesses and improving personal growth in an effort for you to make a more valuable contribution to achieving the objectives of the Unit."

– Staff member, DM (G5)

Staff members may refer to the United Nations Career Development Guide for supplemental support in the process of contemplating their own career development. The Guide discusses the new world of work as a basis for understanding the implications for the United Nations and is intended as a workbook and a reference manual to be read and consulted when needed. It also draws on experiences of staff throughout the world.

“A learning plan as part of my ePAS is critical to my career development as it establishes and reinforces educational milestones that I plan to meet during the year. These are opportunities that might otherwise be missed due to work commitments and demands."

– Staff member, P2, Department of Public Information
Supporting Performance Management in the Organization

Each staff member has primary responsibility for his/her own career development. The first reporting officer has the responsibility to advise, support and coach the staff member in this process and to help the staff member achieve his/her personal best.

“Anyone who stops learning is old, whether at 2 or 8. Anyone who keeps learning stays young. The greatest thing in life is to keep your mind young.”

– Moshe Arens

“It is essential for managers and staff to constantly engage in what is generally referred to as performance dialogue. A mistake....that staff and managers make is to wait until the half term review or end of cycle to revisit performance. Constantly dialoguing ensures keeping goals on track, easily spotting when one is off track and (can) take corrective measures to achieve results.”

– Manager, UNMIT/East Timor

In having a frank, supportive discussion with staff members about their career aspirations, first reporting officers can guide staff members in selecting appropriate development goals to move staff members toward their career goals. The first reporting officer is encouraged to create developmental opportunities for staff members to test and acquire new skills and knowledge by offering challenging responsibilities and assignments.

Some first reporting officers are concerned that discussing a staff member’s career aspirations is tantamount to a promise to promote them or move them out of the work unit. It is important to help staff members to be realistic about their career path, but also to advise them on what is needed for career development in the United Nations, and to refer them to sources of information such as the Career Resource Centre.
ONGOING DIALOGUE & MID-POINT REVIEW

ON-GOING PERFORMANCE DISCUSSIONS

Both first reporting officers and staff members are encouraged to take the initiative to have on-going performance discussions throughout the performance period. These can happen weekly, monthly, or more spontaneously, as appropriate – and ‘best practices’ involve a mixture of formal and informal feedback.

The mid-point review provides a formal opportunity to ensure that such discussions occur at least once midway through the reporting cycle.

Open communication on performance helps both the first reporting officers and the staff members to assess how work is progressing. Ongoing dialogue is also a means of holding staff accountable for agreed performance expectations. Most Career Centres offer a workshop, Giving and Receiving Feedback, that is helpful to both staff and managers about the importance of feedback, and tips for both giving – and listening – to constructive feedback. Staff in peacekeeping missions may contact their e-PAS Focal Point for support in this area.

THE PERFORMANCE IMPROVEMENT PLAN

As soon as a performance shortcoming is identified, the first reporting officer should discuss it with the staff member and take steps to rectify the situation, such as the development of a performance improvement plan, in consultation with the staff member.

The Performance Improvement Plan (PIP) is designed to facilitate constructive discussion between a staff member and his or her supervisor and to clarify the work performance to be improved.

It is implemented, at the discretion of the supervisor, when it becomes necessary to help a staff member improve his or her performance. The supervisor, with input from the affected staff member, develops an improvement plan; the purpose of the activities outlined is to help the individual to attain the desired level of performance.

In certain cases, it is recommended that the first reporting officer’s supervisor and OHRM/Personnel Section in case of Peacekeeping Operations review the plan. This will ensure consistent and fair treatment of staff members across the Organization. The supervisor will monitor and provide feedback to the employee regarding his / her performance on the PIP. If a performance issue becomes more severe, a manager may take additional disciplinary action, through the Organization’s Progressive Discipline Process, if necessary.

The supervisor should review the following five items with the staff member when using the document.

1. State performance to be improved; be specific and cite examples.
2. State the level of work performance expected and that it must be performed on a consistent basis.

For staff members, having a sense of progress is motivating, since knowing the work is going well promotes a sense of accomplishment.

MID-POINT REVIEW DISCUSSION

Although the first reporting officer is expected to give feedback to the staff member continuously throughout the performance period, the mid-point in the performance cycle is a good time to take a step back from the day-to-day work and review progress against the work plan and other performance expectations.

The mid-point review offers an opportunity for the first reporting officer and staff member to meet together to discuss what has been accomplished, how the competencies are being developed and how the development plan is progressing.
3. Identify and specify the support and resources you will provide to assist the staff member.

4. Communicate your plan for providing feedback to the staff member. Specify meeting times, with whom and how often. Specify the measurements you will consider in evaluating progress.

5. Specify possible consequences if performance standards are not met.

While the responsibility for timely execution of the PAS process lies with the first reporting officer, the staff member may also take the initiative and request a meeting. For this stage as for the others, a proactive approach is the most beneficial for all concerned.

At the mid-point review, the work plan may be revised if there have been significant changes in the nature of the functions carried out by the staff member or if such revision is required to pursue the revised goals of the work unit.

Comments are required only in cases where there are changes in assignments or priorities or where remedial action is proposed to close performance gaps.

**Completion of Mid-point Review**

Just as in the work-planning stage, both the staff member and the first reporting officer acknowledge that the discussion and the mid-point review have been completed on the PAS form by clicking to attach their names and the date to the form.

"E-pas for me became very useful once I ... got agreement on wording for plans which were really quantifiable and measurable. So we went from general words...to a system where everyone fully knew what was expected and was fully committed to meet their goals."

– First Reporting Officer, UNMIK

**PERFORMANCE IMPROVEMENT PLAN FORM**

**Staff Member Name:**

**Title:**

**Department:**

**Date:**

Performance in need of improvement: (List the goals and activities the employee will initiate to improve performance. Include skill development and changes needed to meet work performance expectations.)

Targeted date for improvement:

Expected results - list measurements, where possible:

Dates to review progress by the employee and supervisor:

Progress at review dates:

**Employee Signature:**

**Date:**

**Supervisor Signature:**

**Date:**
Plan for the discussion: Review agreed work plan goals and expectations; any changes in the work plan since the last discussion; review examples of completed work, exceptional performance, and under performance.

Prepare a summary list of challenges or problems you faced, how you dealt with them, and the results.

Request that sufficient time be set aside for the discussion and at a time when your supervisor is not dealing with unanticipated emergencies.

Be prepared to comment on your performance: Your supervisor will likely ask you to comment on your performance during the reporting period. Base your response on concrete examples of meeting or exceeding goals, or goals unmet. Listen carefully to your supervisor’s perspectives on your performance.

If the comments are overly general, request specific examples to increase clarity: Ask your supervisor to restate his/her comments if they remain unclear.

Ask for priority goals: Request that your supervisor share the priority goals of the work unit for the remainder of the reporting period. Ensure that your personal goals are in alignment.

Discuss ways to enrich your current job: This might include, (for example), greater autonomy, increased feedback, more inclusion or participation in discussions related to your work, greater variety in tasks assigned, assuming on new challenges and learning, and the opportunity to work on task forces or project teams.

Ask career related questions: “How am I progressing with developing my competencies? “Are my mobility goals realistic?” “What additional skills do you think would enhance my chance for a move?” “What type of developmental assignments in my current position would enrich my professional experience and skills portfolio?”

Give feedback: If you feel there is something that your supervisor could do more of or less of to be supportive to your work, let him/her know. Also provide feedback on the regularity and clarity of their performance feedback to you. If you work better with more regular feedback, positive or negative, say so.

Bring a concrete proposal regarding your short, medium or long-term career plans: Explain the benefits of your proposal to the work unit. Invite your supervisor’s ideas and suggestions. Discuss your proposals with positive energy!

How to Prepare for a Performance Review – Staff Member Checklist
How to Prepare for a Performance Review – Supervisor’s Checklist

- Plan for the discussion: Review agreed work plan goals and expectations; any changes in the work plan since last discussion; review examples of completed work, exceptional performance, and underperformance that you have recorded.

- Set aside sufficient time for the meeting: Avoid phone, email or visitor interruptions. Recognize difficult discussions will take longer.

- Begin by asking for information: Ask the staff member to highlight achievements during the reporting period. This should focus on work plan objectives or expectations regarding deliverables, things to be produced, and services to be rendered. Ask for concrete examples.

- Listen carefully without interruption.

- Comment on the examples given: including areas of agreement and reinforcement of what the staff member has said. Offer any comments on different views of performance based on concrete examples. Explain the impact of negative performance on the work unit or team.

- Restate or update departmental/work unit work priorities: Check for understanding on goals and expectations for the months ahead.

- Express appreciation for work that went well and competencies that have been demonstrated in achieving the work plan goals and expectations: Discuss performance gaps and what should be done to close them. If necessary, discuss a performance improvement plan. The plan should be detailed regarding what is to be done, by whom, when and how with a follow-up discussion meeting scheduled.

- Ask staff what you, as their supervisor, can do more of or less of, to support their work: Ask staff if they are satisfied with the frequency and clarity of your feedback on their performance.

- Discuss longer-range career development plans: Revisit short, medium and long-term professional goals and steps taken to reach them. Review and, if necessary, revise a previously agreed on learning/training plan.

- Prepare for any disagreement you might anticipate

- Base your performance ratings on concrete observable examples of performance: Examples are particularly important in justifying higher or lower ratings. Ratings should not be given arbitrarily to meet the demands of a predetermined departmental bell curve.
END-OF-CYCLE APPRAISAL

The end-of-cycle appraisal is the culmination of the performance management process each year. If the work plan and mid-point review have been done well, if discussions to review work in progress have taken place, if the expected competencies have been agreed and a development plan undertaken, the end-of-cycle appraisal will flow naturally.

PART ONE: STAFF MEMBER PREPARATION

Prior to the end-of-cycle appraisal meeting between the first reporting officer and the staff member, it is a good idea for the staff member to review what was accomplished in the work plan, how the competencies were demonstrated in carrying out the work plan, and the learning undertaken during the reporting period (see checklist on page 14).

Self-Appraisal (Optional – but recommended)

While a Self-Appraisal is optional, it is highly recommended. A Self-Appraisal allows a staff member to reflect on his/her own performance. The self-appraisal should be brief, and highlight the major accomplishments of the reporting cycle. The self-appraisal is not intended to be a rewritten job description or work plan.

Ideas on what to include in a self-appraisal are:

- The most significant accomplishments achieved during the appraisal period
- Additional work and learning activities that demonstrate your skills and competencies, contributions to the work of the Organization. Examples might include: serving as the departmental focal point for gender issues, LAN focal point, participation on a task force or working group, serving on the JMC or Rebuttal Panel for PAS, etc.
- Have there been any special circumstances that have helped or hindered you in doing your job this year? If yes, how did they affect your work, and what were the circumstances?
- Since the last review period, have you performed any new tasks or additional duties outside the scope of your regular responsibilities? (Be specific).
- What are your goals for next year and what action will you take to accomplish these goals?

The following is an example of several self-appraisal comments:

- Conceptualized and launched a new initiative to train gender focal points to integrate gender targets into intradepartmental training programmes; this resulted in a 25% increase in gender streamlining objectives in the departmental training plan.
- Negotiated to secure XYZ software system to expedite the creation of the annual Yearbook (resulting in time savings of 3 months);
- Appointed to the Central Review Body (CRB); participated in weekly meetings to review appointments and ensure integrity and fairness in Staff Selection.

Whether you have written a self-appraisal or not, it is important to review your own work plan and be prepared to discuss the challenges and accomplishments that occurred during the reporting cycle, as well as upcoming learning goals, in order to be well-prepared for the end-of-cycle appraisal meeting.

Comment on Supervision Received (Optional)

The staff member may, if he or she wishes, also comment on the supervision received during the reporting cycle. This is an opportunity to provide formal feedback to one’s first reporting officer on
Supporting Performance Management in the Organization

how he/she has supported the staff member’s performance throughout the year.

As an example, the following might be a comment on supervision received:

In addition to the work planning and mid-point review discussions, my supervisor and I met monthly during the year to discuss work in progress and make necessary adjustments.

Feedback from Additional Supervisor(s) (Optional)

Staff members may request feedback from up to two additional supervisors for whom they have worked for significant amounts of time or for significant assignments. In such cases, the arrangements must be agreed upon between the staff member and first reporting officer at the work planning stage or at the beginning of the additional assignment. The additional supervisor(s) must agree at the beginning of the assignment to provide a brief comment on work performed at the end of the performance cycle. The comments of the additional supervisor(s) allow for a broader view of all work of the staff member. The additional supervisor(s) name should be entered in the Staff Member Information on the first page of the e-PAS form by the staff member.

Before the end-of-cycle appraisal discussion and the submission of the form to the first reporting officer for his/her final comments and appraisal, the staff member requests and collects the brief feedback comments from the additional supervisor(s). The first reporting officer should support the staff member’s efforts to receive this feedback. It is suggested that the staff member request the comments at least a week before the end-of-cycle appraisal meeting with the first reporting officer.

While the comments by additional supervisors are intended to be brief, it may be useful to follow a format that reflects the principles of PAS: a summary of the performance expectations for the assignment, and concrete comments about the results achieved.

PART TWO: FIRST REPORTING OFFICER/MANAGER PREPARATION

To prepare for the appraisal discussion, first reporting officers should begin by reviewing each staff member’s work plan (including values, competencies and development plan) as well as the staff member’s self appraisal and comments from additional supervisors. (Refer to page 15 for additional tips).

The End-of-Cycle Appraisal

The first reporting officer and the staff member meet at the end of the performance cycle to discuss the staff member’s overall performance and the competencies demonstrated in achieving the work plan.

First Reporting Officer Comments:

- The first reporting officer’s comments should specifically demonstrate how each staff member has carried out his/her work and the accomplishments of the reporting period.
- Overall comments are required for all ratings. They are particularly important when assigning high and low ratings.
- Comments should be consistent with the assigned rating.
Review your work plan and note achievements, as well as goals not met. Analyze each of your work plan objectives or goals for the reporting period and write down what you delivered, produced, or otherwise achieved. Write out examples of achievements. Identify achievements that went beyond what was expected, and, assignments that were uncompleted. Highlight the gaps between your specific goals and what was actually achieved. Analyze reasons for not reaching closure on assignments.

Reflect on the extent to which you found your assignments challenging. Record any thoughts on how to make them more challenging, or, list some additional assignments that you think would stretch your capacity and enrich your professional experience more.

Are there ways you think you could enrich your current job?

Looking back on the reporting period, was your performance affected in any way by skill or competency gaps? For example, do you need to improve your IT, management, communication, planning and organizing, or client service skills? Are there any internal training opportunities that would help you develop your competencies?

Are you aware of how your interpersonal style has impacted others? Have you been able to maintain good interpersonal relationships, up, down, or with peers? Are you satisfied with how you manage impulsive feelings (your ability to stay composed, positive and unflappable even in trying moments)?

Reflect on the nature of support you received in implementing your work plan assignments. Do you feel your supervisor could have done more of/less of anything to support your work?

Have you done any serious career planning during the reporting period? Do you have a career plan with some career goals for next 3-5 years? Have you considered opportunities for lateral mobility, mission assignments or testing new areas of work? What more do you think you can do to stretch your skills?
Assessing Work Plan Achievements (Goals/performance expectations)

The first reporting officer and staff member review and discuss the work plan, along with any changes or comments from the mid-point review, to assess achievements throughout the year. This includes the extent to which the staff member has achieved the goals/performance expectations as agreed, taking into account any unforeseen developments during the reporting period that may have affected performance. Goals may be treated as a group or individually.

The importance of setting clear goals/performance expectations in the individual work plan becomes evident at this time. This is when the value of concrete goals defined in “SMART” terms (specific, measurable, achievable, realistic and time-bound) is most clearly seen. They make it much easier to evaluate the performance outcomes against performance expectations.

Assessing Values and Competencies

All staff will be evaluated on how they have demonstrated the Core Values, the Core and Managerial Competencies selected for the reporting cycle and any Job-related Competencies that were included during the work-planning stage at the beginning of the performance period. What would outstanding demonstration of a competency look like - this should be discussed at the work planning stage, and reviewed against the staff member’s performance now, at the end of the cycle.

Each value and competency should be considered independently; in other words, the same individual may be proficient in one area, and need to develop in another. At the beginning of the performance period, the first reporting officer in discussion with the staff member determined the competencies that would be relevant for the performance period. Examples of indicators for the values, core and managerial competencies appear in the annex.

Each value or competency should be evaluated as being: “outstanding,” “fully competent,” “developing,” or “unsatisfactory”. Comments are required if selecting “outstanding” or “unsatisfactory”. The descriptors for the core values and competencies given in the annex informs staff members of the indicators and may also help first reporting officers in formulating their comments.

Development Plan (Continuous Learning and Career Development)

The first reporting officer and staff member review the development plan, which includes the learning activities undertaken and completed during this reporting period. A minimum target of five days for professional development per staff member per year is recommended by all staff members. However, the time allocated for learning and developmental activities should not be limited to five days per staff member. The first reporting officer comments on what was accomplished during the reporting cycle.

It is important to stress that managers are strongly encouraged – and expected – to take time and coach staff who are exhibiting performance problems. Revisiting the Performance Improvement Plan (PIP) that was established at the MidPoint Review becomes critical here. For more guidance on how to work with a staff member who is having a performance issue, please visit the Career Resource Centre and/or your local e-PAS focal point.

Assigning a Rating

Before discussing the end-of-cycle appraisal with the staff member, the first reporting officer should discuss the appraisals of all staff members who report to him/
her with the second reporting officer. This will help to ensure consistency and fairness across the work unit.

The final overall appraisal for the staff member’s performance during the performance period should be determined according to the rating descriptions for assessing overall performance given below. The first reporting officer needs to consider both the achievement of the goals as described in the work plan and the demonstration of the relevant competencies.

Overall Ratings
It is expected that the performance of most staff will be found to be fully successful, assuming they have met the performance expectations agreed in the work plan, that their performance meets the high standards of the Organization. This rating establishes full satisfaction with the work performed and shall be so viewed when staff members are considered for renewal of a fixed-term appointment or selection for a post at the same or a higher level.

The appropriate rating for these staff members is:

**Fully successful performance**

- This assessment describes performance that fully meets all the goals or performance expectations of the work plan.
- This represents the fully acceptable level of performance for the position and is the standard or norm for the position.
- The majority of staff will earn this rating, which represents successful performance in carrying out the goals and tasks of the Organization.

In addition to this rating, PAS offers two ratings that distinguish those staff members whose performance during the reporting period exceeds the expectations agreed in the work plan, and is beyond the expectations for a staff member at that level or in that position. These ratings should reward performance that is unusually high:

**Frequently exceeds performance expectations**

- A rating of frequently exceeds performance expectations means that performance frequently exceeded what was expected for the position. Performance at this level should be regarded as unusual.
- This rating reflects high levels of quality, quantity or timeliness of work.
- Generally, performance will be higher for some goals than others. Managers should provide clear examples to explain why this rating is appropriate, noting how the staff member’s actions and their results contributed greatly towards achieving work unit or departmental goals.

**Consistently exceeds performance expectations**

- By definition, only a few people, and their actions, can be considered exceptional in any endeavour.
- A rating of consistently exceeds performance expectations is characterized by going well beyond those normally expected for the job. It might also include a special assignment or additional responsibilities well outside of the specific purview of the position.
- Performance at this level contributes to significant outcomes that advance the work of the unit and department or office as a whole.
- This rating, because it reflects exceptional performance, must be especially well supported by statements of the specific actions and the results of those actions in terms of their contributions to organizational goals.

**A rating of “partially meets performance expectations” may justify the withholding of a within-grade increment, particularly if the same rating is given for a second consecutive year.**
Where staff members do not fully meet the performance expectations, one of the following two ratings should be given:

**Partially meets performance expectations**

- This rating describes performance that meets some goals but that still does not meet enough of the success criteria of the work plan, and where higher quality or more timely outcomes are needed.

- Managers should provide specific examples of where the staff member’s performance needs improvement, as well as instances of clear improvement.

- For staff given this rating, the first reporting officer must ensure a more detailed and comprehensive work plan for the upcoming year, including performance improvement plan (see page 12), more frequent reviews and closer assessment of progress in areas identified as needing improvement.

- At the end of the cycle, if performance still needs improvement, examples should be cited in the comments sections of the end-of-cycle appraisal.

**Does not meet performance expectations**

- This assessment means performance has not met the performance expectations articulated in the work plan for the performance period.

- Indications of such performance include:

  - Quality of the work reflects serious shortcomings, or the quantity produced falls well short of the goals that have been established;
  
  - The results are inadequate after consideration of any relevant circumstances beyond the staff member’s control;
  
  - Failure to complete significant assignments properly or to meet deadlines, which results in a serious negative consequence in meeting the work unit’s goals;
  
  - A continued lack of achievement of goals in spite of documented reviews with the first reporting officer;
  
  - Performance affects the work of others to the point of being detrimental to achieving the work unit’s goals; and/or
  
  - Serious reservations are evident as to the staff members overall ability to contribute towards achieving unit goals.

*"The performance appraisal is a twice a year 'checks and balance effort' which reminds us of what we have done and perhaps where we could have improved. Moreover, it should be a way of setting goals and planning a strategic framework for the important priorities in our work."

– Political Affairs Officer, MONUC/DRC
In such cases, a proactive approach should be taken by first reporting officers, who must document and discuss the performance issues with the staff member, as well as develop a performance improvement plan to encourage the staff member to take the needed steps for performance improvement. Continued performance issues should result in appropriate sanctions.

These two ratings indicate the existence of shortcomings, or a gap in performance between the goals/expectations set forth in the work plan and the staff member’s performance.

A rating of “does not meet performance expectations” may lead to a number of administrative actions, such as:

- The withholding a within-grade increment
- The non-renewal of a fixed-term contract
- Termination for unsatisfactory service.

“I have always been pleasantly surprised - sometimes amazed - at the extraordinary feedback I have gotten from my supervisors over the last years. I have always felt gratified by the acknowledgement of the efforts and long work hours that my team and I put in, particularly during times of major crises. Even though at times, we have been overwhelmed by the magnitude of the humanitarian crises we face, feedback from higher levels that we did all that we could do at least helps alleviate some of the stress we face on a daily basis in the face of human suffering or conflict.”

– OCHA Staff Member (P5)
Supporting Performance Management in the Organization

Steps for Finalizing the PAS for the Cycle

1. The first reporting officer finalizes the PAS by clicking to sign off on the e-PAS form. This sign-off indicates that the end-of-cycle discussion with the staff member has taken place and that all required parts of the appraisal have been completed. No further changes may be made after this step.

2. The second reporting officer reviews the staff member’s e-PAS form and comments, if he/she desires. Then, the second reporting officer clicks to sign-off.

3. The staff member clicks to sign off on the e-PAS form to indicate that he/she has received the completed PAS for the cycle. The staff member may add comments if he/she wishes.

4. The first reporting officer then prints out the e-PAS form to sign and collect the signatures of the second reporting officer and the staff member. The staff member’s signature acknowledges that the appraisal has been reviewed, but does not necessarily acknowledge agreement. The first reporting officer then must “finalize the record” in the ePAS after receiving the signature.

5. If the staff member receives comments from the first or second reporting officer in the end-of-cycle overall appraisal section of the form that he/she perceives to be inconsistent with the rating assigned, the matter may be brought to the attention of the Head of Department/Office for resolution and, if necessary thereafter, to the attention of the Office of Human Resources Management.

6. The original printed copy is submitted to the Executive Office, e-PAS focal point, or Personnel Unit for Peacekeeping Missions (for inclusion in the staff member’s official record file) and a copy is given to the staff member as a paper record. e-PAS records are also stored in the PAS database and are viewable to the staff member, the first and second reporting officers. Staff members may submit their e-PAS as electronic attachments to applications for UN vacancies.

7. If necessary, any additional, required documents may be attached to the e-PAS form by the Executive Office (e.g., rebuttal documentation, if applicable).
IN CONCLUSION

Summary of Staff Member, First and Second Reporting Officer Responsibilities

A successful performance management process involves the commitment of each staff member, his/her first reporting officer and the second reporting officer carrying out their roles and responsibilities as summarized below:

The staff member’s responsibilities:

- Seeking to understand larger organizational goals;
- Soliciting clarification on goals/performance expectations;
- Preparing the draft work plan and development plan for discussion with first reporting officer;
- Sharing work-related information with the supervisor and the team;
- Contributing to work unit success; and
- Preparing for end-of-cycle discussion.

The first reporting officer’s responsibilities:

- Establishing and communicating the direction for the work unit;
- Establishing and discussing clear and challenging goals/performance expectations with staff members in their individual work plans;
- Initiating and maintaining open communication regarding work issues and coaching for improved performance as needed;
- Holding a formal, mid-point review
- Providing regular performance feedback to the unit as a team and to individual staff members;
- After the end-of-cycle discussion with the staff member, providing end-of-cycle appraisal and comments. (The written comments should be consistent with the overall rating assigned.)
- In some cases, incorporate comments from additional supervisors.

The second reporting officer’s responsibilities:

- Providing input on the performance management process throughout the cycle, including timeliness and thoroughness of work planning, feedback and end-of-cycle appraisal;
- Providing ongoing feedback, including in the PAS of the first reporting officer an appraisal of his/her management of staff performance;
- Holding the first reporting officer accountable for appraising staff in accordance with PAS guidelines.
- Reviewing the PAS of staff who report to the first reporting officer and providing comments, if so desired; and
- Evaluating the first reporting officer on managing performance including compliance with the PAS process and procedures.
### APPENDIX A: CORE VALUES, COMPETENCIES, AND MANAGERIAL COMPETENCIES

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<thead>
<tr>
<th>CORE VALUES</th>
<th>CORE COMPETENCIES</th>
<th>MANAGERIAL COMPETENCIES</th>
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<td>Integrity</td>
<td>Communication</td>
<td>Managing performance</td>
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<td>Professionalism</td>
<td>Vision</td>
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<td></td>
<td>Respect for diversity/gender</td>
<td>Leadership</td>
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<td>Empowering others</td>
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<td>Building trust</td>
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<td>Judgement/Decision-making</td>
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### CORE VALUES

**Integrity**
- Upholds the principles of the United Nations Charter.
- Demonstrates the values of the United Nations, including impartiality, fairness, honesty and truthfulness, in daily activities and behaviours.
- Acts without consideration of personal gain.
- Resists undue political pressure in decision-making.
- Does not abuse power or authority.
- Stands by decisions that are in the Organization’s interest even if they are unpopular.
- Takes prompt action in cases of unprofessional or unethical behaviour.

**Professionalism**
- Shows pride in work and in achievements.
- Demonstrates professional competence and mastery of subject matter.
- Is conscientious and efficient in meeting commitments, observing deadlines and achieving results.
- Is motivated by professional rather than personal concerns.
- Shows persistence when faced with difficult problems or challenges.
- Remains calm in stressful situations.

**Respect for Diversity/Gender**
- Works effectively with people from all backgrounds.
- Treats all people with dignity and respect.
- Treats men and women equally.
- Shows respect for, and understanding of, diverse points of view and demonstrates this understanding in daily work and decision-making.
- Examines own biases and behaviours to avoid stereotypical responses.
- Does not discriminate against any individual or group.
- Includes a gender perspective in substantive work.
CORE COMPETENCIES

Communication
- Speaks and writes clearly and effectively.
- Listens to others, correctly interprets messages from others and responds appropriately.
- Asks questions to clarify, and exhibits interest in having two-way communication.
- Tailors language, tone, style, and format to match the audience.
- Demonstrates openness in sharing information and keeping people informed.

Teamwork
- Works collaboratively with colleagues to achieve organizational goals.
- Solicits input by genuinely valuing others’ ideas and expertise; is willing to learn from others.
- Places team agenda before personal agenda.
- Builds consensus for task purpose and direction with team members.
- Supports and acts in accordance with final group decisions, even when such decisions may not entirely reflect own position.
- Shares credit for team accomplishments and accepts joint responsibility for team shortcomings.

Planning and Organizing
- Develops clear goals that are consistent with agreed strategies.
- Identifies priority activities and assignments; adjusts priorities as required.
- Allocates appropriate amount of time and resources for completing work.
- Foresees risks and allows for contingencies when planning.
- Monitors and adjusts plans and actions as necessary.
- Uses time efficiently.

Accountability
- Takes ownership for all responsibilities and honours commitments.
- Delivers outputs for which one has responsibility within prescribed time, cost and quality standards.
- Operates in compliance with organizational regulations and rules.
- Supports subordinates, provides oversight and takes responsibility for delegated assignments.
- Takes personal responsibility for his/her own shortcomings and those of the work unit, where applicable.

Client Orientation
- Considers all those to whom services are provided to be “clients” and seeks to see things from clients’ point of view.
- Establishes and maintains productive partnerships with clients by gaining their trust and respect.
- Identifies clients’ needs and matches them to appropriate solutions.
- Monitors ongoing developments inside and outside the clients’ environment to keep informed and anticipate problems.
- Keeps a client informed of progress or setbacks in projects.
- Meets timeline for delivery of product or services to client.

Creativity
- Actively seeks to improve programmes or services.
- Offers new and different options to solve problems or meet client needs.
- Promotes and persuades others to consider new ideas.
• Takes calculated risks on new and unusual ideas; thinks “outside the box”.
• Takes an interest in new ideas and new ways of doing things.
• Is not bound by current thinking or traditional approaches.

Managing Performance
• Delegates the appropriate responsibility, accountability and decision-making authority.
• Makes sure that roles, responsibilities and reporting lines are clear to each staff member.
• Accurately judges the amount of time and resources needed to accomplish a task and matches task to skills.
• Monitors progress against milestones and deadlines.
• Regularly discusses performance and provides feedback and coaching to staff.
• Encourages risk-taking and supports staff when they make mistakes.
• Actively supports the development and career aspirations of staff.
• Appraises performance fairly.

Vision
• Identifies strategic issues, opportunities and risks.
• Clearly communicates links between the Organization’s strategy and the work unit’s goals.

Leadership
• Serves as a role model that other people want to follow.
• Empowers others to translate vision into results.
• Is proactive in developing strategies to accomplish objectives.
• Establishes and maintains relationships with a broad range of people to understand needs and gain support.
• Anticipates and resolves conflicts by pursuing mutually agreeable solutions.
• Drives for change and improvement, does not accept the status quo.
• Shows the courage to take unpopular stands.

Commitment to Continuous Learning
• Keeps abreast of new developments in own occupation/profession.
• Actively seeks to develop oneself professionally and personally.
• Contributes to the learning of colleagues and subordinates.
• Shows willingness to learn from others.
• Seeks feedback to learn and improve.

Technological Awareness
• Keeps abreast of available technology.
• Understands applicability and limitations of technology to the work of the Office.
• Actively seeks to apply technology to appropriate tasks.
• Shows willingness to learn new technology.

Managerial Competencies
Empowering Others

- Delegates responsibility, clarifies expectations and gives staff autonomy in important areas of their work.
- Encourages others to set challenging goals.
- Holds others accountable for achieving results related to their area of responsibility.
- Genuinely values all staff members’ input and expertise.
- Shows appreciation and rewards achievement and effort.
- Involves others when making decisions that affect them.

Building Trust

- Provides an environment in which others can talk and act without fear or repercussion.
- Manages in a deliberate and predictable way.
- Operates with transparency, has no hidden agenda.
- Places confidence in colleagues, staff members and clients.
- Gives proper credit to others.
- Follows through on agreed upon actions.
- Treats sensitive or confidential information appropriately.

Judgement/Decision-making

- Identifies the key issues in a complex situation, and comes to the heart of the problem quickly.
- Gathers relevant information before making a decision.
- Considers positive and negative impact on others and on the Organization.
- Proposes a course of action or makes a recommendation based on all available information.
- Checks assumptions against facts.
- Determines that the actions proposed will satisfy the expressed and underlying needs for the decision.
- Makes tough decisions when necessary.

JOB-RELATED COMPETENCIES

Inclusion of specific job-related competencies is an optional feature of the revised PAS form and may be included during the work planning stage.

These should be defined and mutually agreed upon by the first reporting officer and staff member. They may include knowledge of official languages for job-related purposes, project management, specific computer skills or other skills of a technical nature, drafting skills such as drafting reports of the Secretary-General, editing skills, etc.
APPENDIX B:
KEY DOCUMENTS RELATED TO PERFORMANCE MANAGEMENT IN THE UN

The following documents provide guidance on dealing with difficult performance issues. It’s worth reviewing them:

Reference Documents on Performance Appraisal System
- ST/AI/2002/3 Administrative Instruction – Performance Appraisal System
- ST/AI/2002/3, sections 14 and 15. Rebuttal of performance appraisal (PAS)

Reference Documents on Professional Conduct
- Charter of the United Nations
- Staff Regulations (ST/SGB/2006/4)
- Staff Rules: 100 Series (ST/SGB/2002/1), 200 Series (ST/SGB/2002/2) and 300 Series (ST/SGB/2006/3)
- Status, basic rights and duties of United Nations staff members (ST/SGB/2002/13)
- Standards of Conduct for International Civil Servants (International Civil Service Commission, 2001)

Other Administrative Issuances by Subject

Conflicts of Interest
- Outside Activities (ST/IC/2006/30 and ST/AI/2000/13)

Disciplinary Procedures
- Practice of the Secretary-General in Disciplinary Matters(ST/IC as current)

Harassment and Interpersonal Conflicts
- Prevention of Workplace Harassment, Sexual Harassment and Abuse of Authority (ST/SGB/2005/20)
- Promotion of Equal Treatment of Men and Women in the Secretariat and Prevention of Sexual Harassment(ST/SGB/253 - 29 October 1992)
- Procedures for Dealing with Sexual Harassment (ST/AI/379 - 29 October 1992)

Staff responsibilities
- Integrity Awareness Initiative (ST/SGB/2005/17)
- Our Core Values Prohibit Discrimination and Harassment
### SEPARATE EPAS “PULL OUT” CHECKLIST OF DEADLINES AND RESPONSIBILITIES: APRIL – MARCH PAS CYCLE

<table>
<thead>
<tr>
<th>HEAD OF DEPARTMENT / OFFICE</th>
<th>MANAGEMENT REVIEW COMMITTEE</th>
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<tbody>
<tr>
<td><strong>WORK PLANNING</strong>&lt;br&gt;March/April</td>
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<tr>
<td>• Establish work plan for the department/office that will be the foundation for work unit plans</td>
<td>• Assist the Head of Department/Office in ensuring consistency and fairness in all phases of the PAS process and in reaching the PAS goals in the annual performance management plan including:</td>
</tr>
<tr>
<td>• Establish performance standards for the department/office</td>
<td>• Establishing performance standards for the Department/office</td>
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<tr>
<td>• Provide leadership to ensure that PAS is implemented, in spirit and letter, for overall compliance as well as fair implementation</td>
<td>• Developing a culture of continuous learning and improvement in the department/office</td>
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<td></td>
<td>• Recognizing successful performance and addressing under-performance</td>
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<tr>
<td><strong>ONGOING &amp; MID-POINT REVIEW</strong>&lt;br&gt;September/October</td>
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<tr>
<td>• Provide leadership for all phases to ensure that PAS is fully implemented</td>
<td>• Model PAS implementation by fulfilling responsibilities as first and second reporting officers</td>
</tr>
<tr>
<td>• Promote communication between staff members and supervisors, and encouragement of ongoing feedback and teamwork</td>
<td>• Provide guidance to promote communication between staff members and their first reporting officer</td>
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<tr>
<td><strong>END-OF-CYCLE APPRAISAL</strong>&lt;br&gt;March</td>
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<tr>
<td>• Ensure consistent and fair performance appraisal throughout the department/office (providing guidance prior to end-of-cycle appraisals)</td>
<td>• Model PAS implementation by fulfilling responsibilities as first and second reporting officers</td>
</tr>
<tr>
<td>• Provide advice and recommendations to supervisory staff as required</td>
<td>• Assist Head of Department/Office in ensuring consistent and fair performance appraisal throughout the department or office (providing guidance prior to end-of-cycle appraisals)</td>
</tr>
<tr>
<td>• Report on PAS compliance including rating distribution by 30 June (three months after end of cycle)</td>
<td>• Review staff development and career support needs</td>
</tr>
<tr>
<td>SECOND REPORTING OFFICER</td>
<td>FIRST REPORTING OFFICER</td>
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<tr>
<td>Hold first reporting officers accountable for preparing work plans with fair and consistent performance expectations</td>
<td>Initiate process by discussing work unit plan</td>
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<td>Ensure timely completion of individual plans</td>
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<td>Advise, support and coach the staff member on professional development</td>
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<tr>
<td>Discuss managing performance with first reporting officers</td>
<td>Raise performance issues when they occur</td>
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<td>Provide ongoing feedback (appreciative and constructive)</td>
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<td>Ensure timely completion of mid-point review</td>
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<td>Develop a performance improvement plan in consultation with staff member in the case of performance gaps</td>
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<tr>
<td>Timely review of first reporting officer’s implementation of PAS</td>
<td>Initiate process by inviting staff member to review PAS for the year</td>
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<tr>
<td></td>
<td>Sign off on individual PAS forms</td>
</tr>
<tr>
<td></td>
<td>Ensure fair and consistent appraisals from supervisory staff reporting to him/her</td>
</tr>
<tr>
<td></td>
<td>Grant or withhold salary increments</td>
</tr>
<tr>
<td></td>
<td>Initiate process by inviting staff member to review PAS for the year</td>
</tr>
<tr>
<td></td>
<td>Support staff in collecting feedback from additional supervisor(s), if applicable</td>
</tr>
<tr>
<td></td>
<td>Timely completion of end-of-cycle appraisal</td>
</tr>
<tr>
<td></td>
<td>Recommend to grant or withhold salary increments</td>
</tr>
</tbody>
</table>