APPRAISAL OF CIVIL SERVANTS MANUAL

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FOREWORD

This manual is a product of «the Technical Assistance for the Preparation and Implementation of Administrative Legislation – Phase 2 - Republic of Serbia» project – in short: DIAL. DIAL is financed by the European Agency for Reconstruction and implemented by a consortium lead by «Eureca» of Italy. The project is a sequel to earlier projects that also aimed at enhancing the state administration system and introducing the new civil service system in the Republic of Serbia.

With direct support from national and foreign experts engaged by the said projects, and under the direction by the Director of the Republic Legislation Secretariat, Mr. Zoran M. Balinovac, and his deputy, Ms. Jasmina Damjanović, a series of legislative and subsidiary acts were drafted within the Secretariat regulating the state administration and civil service. The very Government Regulation on Appraisal of Civil Servants and the Manual on Appraisal that followed were drafted between the end of 2005 and October 2006 under the leadership of the Secretariat’s Deputy Director, Ms. Jasmina Damjanović, with assistance from Hans-Achim Roll, LL.D, a prominent expert for administrative law and public administration management from Germany.

The present manual on appraisal is the first in line of publications of similar nature that will follow and pertain to the other relevant aspects of the new civil service system (human resources planning, conducting internal and external job competitions, etc.). The purpose of the manual is twofold: it serves as a tool for the training of civil servants, which is a responsibility of the recently established Human Resources Management Service, as well as a direct aid to all Government’s employees, particularly managing ones, in the process of appraising civil servants. This year, the DIAL project team and the Human Resources Management Service have already organised several seminars on appraisal of civil servants. The events were used to present the draft manual to the participants whose critical remarks, as well as valuable assistance of Ms. Svetlana Tomić, HRMS Head of the Personnel Appraisal Monitoring Group, enabled the production of this final, improved version.

Samo Godec, M.A., Team Leader
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The newly introduced appraisal scheme for civil servants is one of the cornerstones of a politically neutral, professional and merit based civil service in the Republic of Serbia.

Appraisal of civil servants aims at obtaining an objective, valid and comparable statement on their performance and on their abilities and competences. It provides a basis for decisions in personal matters of the civil servant concerned (promotion, and as an ultimate measure, termination of employment), but it serves also as instrument for human resources management in a more general perspective (staff development, training programmes, etc). Appraisal therefore serves the interests of both sides, the employer and the civil servant concerned. It should not be misunderstood as an instrument to discipline civil servants. And ultimately appraisal aims, of course, at improving the quality of services provided by civil servants to the citizens of the Republic of Serbia.

The Law on Civil Servants and the Regulation on Appraisal of Civil Servants provide transparent and effective procedures for the appraisal, however, to make the appraisal scheme really successful and credible, these legal provisions need to be complied with and implemented properly. A successfully implemented appraisal scheme will have also an important and positive impact on the public perception of the civil service system as a whole.

It is the purpose of this Manual to support the timely and effective implementation of the new scheme by providing general guidance for every body involved in the appraisal process, which is in fact every civil servant. The Manual is based on experience with other appraisal systems, and I owe a lot to my colleagues Mark Pinder (UK) and John Moyes (Cyprus). The Manual should be considered as living document, open for amendment and change in the light of growing practical experience with the new appraisal scheme.
INTRODUCTION

1 This manual provides information about legal and managerial aspects of appraisal in the civil service of the Republic of Serbia. Of course, this manual does not in any situation supersede the legal provisions dealing with appraisal. The final authority is always the Law, specifically Articles 82-86 Law on Civil Servants (Official Gazette of RS, No. 79/05) and the Decree on Appraisal of Civil Servants (Official Gazette of RS, No. 11/06).

2 The establishment of a staff appraisal scheme can be regarded as a key step towards civil service institutional development in the Republic of Serbia, towards the improvement of individual work standards, and towards the improvement of service delivery to the citizens. Furthermore, appraisal is an important element in the career development of civil servants.

3 Staff appraisal is a continuous process throughout the whole appraisal period, and not just once a year event. It requires superiors to monitor day to day performance of their staff, to give advice and instruction to them to meet standards and to improve performance. Therefore, staff appraisal is also an interactive process requiring discussions on the performance between superiors and the civil servant concerned throughout the year. The preparation of the appraisal report (see below No. 51 ff) and the ruling of the manager (see below No. 67 ff) after the end of the annual appraisal period are merely summarizing and formalizing all these activities.

4 Staff appraisal deals with performance of the civil servant concerned in the job, and nowhere else. It is not about how the civil servant conducted himself outside of the job, and outside the civil service. This might become relevant within disciplinary proceedings, but it does not have any impact on the appraisal.

5 The basic principles of staff appraisal are set out in Article 2 Decree on Appraisal of Civil Servants: the procedure must be conducted in an independent and impartial manner; instructions or directives by superiors are inadmissible. Biased appraisals or appraisal prepared without full integrity would undermine the objectives of the instrument. They could constitute, as the case may be, a disciplinary violation.

6 The chapters of this Manual deal with the following issues:
   • Terminology
   • Legal framework
   • Who is appraised?
   • What is appraised (appraisal criteria)?
   • When are appraisals conducted (appraisal cycle)?
   • By whom are appraisals conducted?
   • How are appraisals conducted?
   • What are the consequences of appraisals?
   • What are the general administrative duties and responsibilities with regard to appraisals?
The following describes the main terminology used in this Manual:

Civil Servant has the meaning ascribed in Article 2 paragraph 1 Law on Civil Servants and refers to civil servants within the domain of the Human Resources Management Service (civil servants employed in the ministries, special organizations, services of the Government, and support services of the administrative districts).

Appraisal (grading) means the systems of normally annual reporting and ruling carried out on a civil servant and relating to the performance of his/her duties and to the other criteria set out in Article 82 paragraph 2 Law on Civil Servants.

Appraisal report (evaluation report) is the standard form used for the preparation of appraisals as provided for in Article 24 paragraph 3 Decree on Appraisals of Civil Servants.

Appraisee is the civil servant subject to an appraisal following Article 83 paragraph 2 Law on Civil Servants, this includes appointed an executive civil servants,

Evaluator is the person responsible for completing the appraisal report; generally this is the immediate superior of the appraisee according to Article 3 paragraph 3, 24 ff Decree on Appraisals of Civil Servants (depending on the rank of the appraisee in practice this will be a group manager, a head of section, head of division, head of department, or the state secretary).

Counter signer is the person higher ranking in the hierarchy to whom the evaluator reports. The counter signer provides a check to the appraisal report and counter signs it, if he/she agrees (see Articles 3 paragraph 3 and 31 ff Decree on Appraisals of Civil Servants).

Job description refers to the particular paragraph in the Rulebook on Internal Organization and Systematization of the respective state authority describing the job of the appraisee following the requirements provided for in Articles 21 ff (Decree on Classification of Job Posts and Jobs of Civil Servants Official Gazette 97/05).

Work objective(s) are the individual performance goals of the job holder derived from the job description for a specified period, generally the appraisal period. Work objectives are specified in an interview between the evaluator and the civil servant concerned; see Article 6ff Decree on Appraisal of Civil Servants.
LEGAL FRAMEWORK

16 The main legal sources for appraisal of civil servants are:
- Articles 82-86 Law on Civil Servants (Official Gazette of RS, No. 79/05);
- Decree on Appraisal of Civil Servants (Official Gazette of RS, No. 11/06).

17 Overview over the relevant provisions in the Law on Civil Servants:
- Article 82 defines the aim and the criteria of appraisal.
- Article 83 stipulates the calendar year as appraisal period and defines those civil servants who are not subject to appraisal.
- Article 84 defines the five different grades, establishes the responsibility of the state authority manager to determine the grade, and gives authority to the Government to determine the details in a regulation.
- Article 85 deals with the consequences of an “unsatisfactory” grading.
- Article 86 stipulates the termination of employment in case of a final “unsatisfactory” ruling.

18 Overview over the Decree on Appraisal of Civil Servants:
- Chapter 1 (Articles 1-5) deals with appraisal principles, defines the scope of appraisals, and defines the regular appraisal cycle (including one exception).
- Chapter 2 (Articles 6-9) deals with setting, reviewing and monitoring work objectives.
- Chapter 3 (Articles 10-23) defines in detail the various appraisal criteria and the five grades.
- Chapter 4 (Articles 24-37) sets out the various steps of the appraisal procedure, beginning with the completion of the standard appraisal form through the evaluator and ending, after the interview with the appraisee and countersignature, with the ruling through the Manager of the state authority.
- Chapter 5 (Articles 38-42) stipulates details of the special procedure in case of an “unsatisfactory” mark.
- Chapter 6 (Articles 43-46) deals with general administrative duties and responsibilities (confidentiality of the appraisal procedure, duties of the personnel units in the state authorities, duties of the Human Resource Management Service).
- Chapter 7 (Articles 47-48) contains transitional and final provisions, stating that the Decree shall become effective by the 1 July 2006, and that the first appraisal cycle under the new procedure shall begin with the 1 January 2007.
WHO IS APPRAISED?

The appraisee

19 Article 83 paragraph 2 Law on Civil Servants stipulates that civil servants are appraised once a year. Paragraph 2, which is duplicated in Article 4 Decree on Appraisal of Civil Servants, deals with the exceptions to this rule: not appraised are:
- The manager of the state authority;
- A civil servant who worked less than six months during the appraisal period;
- Any civil servant employed for a fixed term.

20 While it is quite obvious that the manager of the state authority is not appraised formally (who should do this?), the two other exceptions are of quite substantial relevance.

21 The six-month rule applies to any civil servant who worked in sum less than six months over the year. This is reasonable because it is difficult to assess the performance of somebody, who has been present in office only for a period less than half a year. Exclusion from appraisal does not require a continuous absence from work for six months, it is sufficient when several periods of absence amount to more than six months. The reasons for absence in office may vary: illness, studies, etc. It has to be noted, however, that temporary performance of other tasks according to Article 20-22 Law on Civil Servants, official assignments abroad and official training has to be considered as work and does not lead to exclude the civil servant concerned from appraisal. Also official vacation according to Article 14 Law on Civil Servants shall not be included in the period of absence relevant for exclusion from the appraisal procedure. For example, a civil servant who has been ill for five months and additionally took his full vacations shall be appraised in the regular procedure.

22 The exception for civil servants employed for a fixed term is even more substantial. Cases of fixed term employment of executive civil servants are listed in Article 63 Law on Civil Servants. It has to be underlined, however, that the exception is only applicable for fixed term employment as civil servant, not for already employed civil servants, who are promoted temporarily to an appointed position (see Articles 69, 76 Law on Civil Servants). Article 63 Law on Civil Servants is a legal definition of fixed term employment.

Responsibilities of the appraisee

23 It would be a misunderstanding of the Law on Civil Servants and of the Decree on Appraisal of Civil Servants to define the appraisee as a mere subject of the procedure. However, it is necessary that appraisees are involved proactively in the specification of working objectives and later on during the appraisal interview by the evaluator. Furthermore, they should regularly consult their superiors about their performance and seek for advice regarding improvement during the appraisal period, to get the necessary feedback through the evaluator on the one side and to provide the evaluator with the necessary information on the other side. The superior is obliged to provide this information and feedback according to Article 9 Decree on Appraisal of Civil Servants.
WHAT IS APPRAISED?

Appraisal criteria (overview)

24 Appraisal criteria are listed in Article 82 paragraph 2 Law on Civil Servants. These criteria can be subdivided into the following two groups:
• Results oriented, work objective related criteria,
• Abilities, qualities, aptitudes related criteria.

Setting work objectives

25 According to Article 82 paragraph 2 Law on Civil Servants “results achieved in the realization of tasks of a job position and defined aims” are graded together with abilities, qualities and aptitudes listed in the same Article. This approach in the Law implies that aims or performance goals of the appraisee have been identified and defined in advance. Therefore, setting work objectives for each civil servant and for each appraisal period is fundamental to performance appraisal. The procedure for setting work objectives is stipulated in Articles 6-7 Decree on Appraisal of Civil Servants.

26 Setting work objectives means specifying the job description of the respective post for a particular period and a particular job holder. Therefore, in setting work objectives the general job description contained in the Rulebook on Internal Organization and Systematization of Job Posts is translated into concrete performance goals to be achieved by the civil servant concerned during the next year with regard to the annual business plan. Performance goals may vary from year to year, while the job description remains unchanged.

27 Work objectives cannot be agreed upon without an underlying job description from the Rulebook on Internal Organization and Systematization of Job Posts. According to Article 21 of the Decree on Classification of Job Posts and Jobs of Civil Servants the job description shall have the following content:
• General information: Job title, which should include the level of the job and reporting lines;
• Statement of job purpose: A short description (summary) of the main work and tasks of the indicating the level of complexity, responsibility, communication and independence in work and decision making relevant to the execution of the specific post;
• Main activities: An extensive description of the main activities (what does the job do).

The Decree does not exclude the inclusion of further information into the job description, like requirements, education, experience and competencies needed to hold the job or quantitative information: e.g. number of subordinated staff, functioning costs (budget), and other significant figures.
Work objectives must fall within the ambit of the job description for the respective post. Therefore evaluators are not free to include in the work objectives work of any sort; work objectives must be always relevant to the main duties of the job as set out in the job description. They shall be specific and realistic (achievable through the civil servant concerned and with a performance measure attached to it), if possible quantifiable (which will not always be the case), and should have a deadline. The SMART-Formula may serve as a guideline with regard to the content of work objectives; according to this formula the work objective should be

- Specific
- Measurable
- Achievable
- Relevant to the job
- Timetable related

Examples for specific work objectives derived from a job description:

### Head of a general department in a ministry

**Main activities in the Job description:**
- Management and control of the department units and their staff,
- Consolidation and preparation of the annual budget of the ministry and management of the budget and accounts,
- Preparation of proposals concerning work organization and staffing of the ministry,
- Preparation of tenders for goods and services and participation in the selection of tenderers,
- etc.

**Work objectives for 2007:**
- To manage and to control the department units and their staff, especially ensuring effectiveness of the newly established IT unit by the third quarter of 2007,
- To prepare the ministry 2008 budget based on the submissions of other department heads throughout the ministry before the end of June, and manage the agreed 2007 budget throughout the year ensuring that costs are maintained within budget lines or possibly reduced by 4%,
- To prepare a new internal regulation on files management to be adopted through the minister by October 2007,
- To prepare a tender for new IT equipment, establish a committee for assessment of the tenderers and ensure a selection decision before the end of November 2007,
- etc.

### Executive civil servant responsible for European integration

**Main activities in the Job description:**
- Review of legislation within the remit of the ministry with regard to European harmonization,
- Prepare reports for the leadership of the ministry on harmonization issues,
- Liaise with other ministries and the international donor community with regard to legal harmonization,
- etc.

**Work objectives for 2007:**
- Preparation of a report for the minister dealing with necessary changes of legislation in the following areas (specification) to harmonize Serbian law with the Acquis Communautaire (deadline: 30 November 2007),
- Act as liaison officer and advisor to the international consultants working in the ministry,
- Liaise with civil servants of neighboring states with regard to specified bilateral agreements with relevance for the Stabilization and Association process,
- etc.
Further examples for specific goals:
- Deal with all correspondence within 10 days of receipt;
- Improve staff management by better communication and monitoring on a daily basis;
- Reduce drafting of secondary legislation to three versions;
- Reduce error rate by X% by end of March, Y% by end of May, and Z% by end of July and maintain this level thereafter;
- Reduce backlog in dealing with applications for... by 25% each month from February to May, and maintain a two weeks clearance time afterwards.

Specification of work objectives should not be interpreted as top-down process imposing something on the civil servant by his/her superior. Work objectives for the following year shall rather be discussed openly between the evaluator and the civil servant concerned in a meeting. In principle, this meeting of the evaluator and the civil servant concerned shall take place in December before beginning of the new appraisal period, the latest before 15 January within the appraisal period (see Article 7 paragraph 1 Decree on Appraisal of Civil Servants). The discussion shall aim at ensuring that there is a common understanding of the matter, if appropriate, a second meeting can be scheduled. After the discussion, the specification of work objectives shall be recorded in a document signed by the evaluator and the civil servant concerned. For this, the evaluator shall use document forms that need to be distributed to all evaluators well in advance of December of each year. In the rare cases, when no agreement on the work objectives can be reached, the evaluator can specify the working objectives unilaterally. If the appraisee refuses to sign the specification, the final decision rests with the counter signer, according to Article 7 paragraph 4 Decree on Appraisal of Civil Servants. The form specifying work objectives can be structured as follows:
<table>
<thead>
<tr>
<th>Name of civil servant</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Education</td>
<td></td>
</tr>
<tr>
<td>Rank</td>
<td></td>
</tr>
<tr>
<td>Post of Employment</td>
<td></td>
</tr>
<tr>
<td>Organizational Unit</td>
<td></td>
</tr>
<tr>
<td>Appraisal period</td>
<td></td>
</tr>
<tr>
<td>Name of Evaluator</td>
<td></td>
</tr>
<tr>
<td>Name of Counter Signer</td>
<td></td>
</tr>
</tbody>
</table>

The following work objectives are hereby specified in order of significance:

1
2
3
4
5

Key prerequisites for the achievement of the above work objectives:

1
2
3
4
5

Date of discussion between evaluator and civil servant:

________________________

Comments of the evaluator:

_______________________________________________________

Comments of the civil servant:

_______________________________________________________

Date:

________________________

Signatures: _______________________ _______________________
(Evaluator) (Civil Servant)
If necessary, work objectives may be adapted or changed during the appraisal period according to Article 8 Decree on Appraisal of Civil Servants. Possible reasons for a change:

- Change of the underlying job description;
- Change of priorities within the state authority;
- Incapability of the civil servant to achieve the work objective (intrinsic or extrinsic reasons).

The original document with the work objectives for each year shall be included in the personal file of the respective civil servant, while copies shall be retained by the evaluator and by the civil servant (see Article 7 paragraph 3 Decree on Appraisal of Civil Servants).

### The other Article 82 paragraph 2 appraisal criteria

The following other criteria for appraisal are listed in Article 82 paragraph 2 Law on Civil Servants:

- Independence is defined in Article 12 Decree on Appraisal of Civil Servants as follows: “Independence” shall mean the extent to which the appraised civil servant has been able to achieve his/her working objectives under the guidance and control by the Evaluator that correspond to the appraisee’s rank.

- Creativity is defined in Article 13 Decree on Appraisal of Civil Servants as follows: “Creativity” shall mean the extent to which the appraised civil servant has been able to make analytical and creative judgments and assess facts and circumstances while making decisions or giving proposals for solving problems.

- Initiative is defined in Article 14 Decree on Appraisals of Civil Servants as follows: “Initiative” shall mean the extent to which the appraised civil servant has been able to, without specific directives by the Evaluator, plan and implement his/her working objectives within limits of responsibilities and authority listed in his/her job description.

- Precision and diligence is defined in Article 15 Decree on Appraisals of Civil Servants as follows: “Precision and diligence” shall mean the extent to which the appraised civil servant has been able to perform in a timely and correct manner.

- Quality of cooperation is defined in Article 16 Decree on Appraisals of Civil Servants as follows: “Quality of cooperation” shall mean the extent to which the appraised civil servant has been able to work and communicate productively and harmoniously with the superiors, peers, and subordinates in his/her unit. It shall also include the extent to which the appraisee has been able to link and coordinate his/her actions with civil servants from his/her own state authority units and/or other state authorities.

- Additional Appraisal Criteria, with regard to a particular position and referred to in Article 17 Decree on Appraisals of Civil Servants.

Assessment of these criteria requires judgment in each particular case. This is not an abstract exercise using the same standards for each civil servant. It is rather necessary to define the required standards with a view and in relation to the job description of the civil servant concerned. Independence, creativity, initiative, etc, will mean different things for the different job descriptions. The requirements for higher level civil servants with regard to, for example, independence or quality of cooperation will vary from the corresponding requirements for lower level civil servants. Only for comparable jobs of the same level equal standards can and shall be applied. However, this does not exclude using checklists for the assessment of the appraisal criteria (see Annex 1).
WHEN ARE APPRAISALS CONDUCTED?

The appraisal cycle

35 The appraisal cycle is prescribed in Articles 83 paragraph 1 Law on Civil Servants and in Article 3 Decree on Appraisal of Civil Servants. According to these provisions the appraisal period runs from 1 January to 31 December of each year. Work objectives that form the basis for appraisal shall be determined, in principle, before the beginning of each appraisal period (see Article 7 Decree on Appraisal of Civil Servants). The formal appraisal procedure (appraisal form, interview) shall start after the end of each appraisal period, which is in January of the following year, and shall be completed, with the ruling of the manager the latest by the end of February (see Article 83 paragraph 1 Law on Civil Servants). Of course, all these activities require adequate administrative preparation and appropriate follow up action (for details see below and the flow chart in Annex 2).

36 Two months, January and February, for completing the formal appraisal are not a long time. Consequently, evaluators and counter signers must carefully plan to do this work. On average, completion of one appraisal report will take about one hour, the appraisal interview will at least take half an hour for each appraisee. Evaluator and counter signer shall take into account that the manager should have reasonable time to look at the appraisal report, to check it and to ask questions before signing the final appraisal ruling before the end of February. In principle, the process should follow the following timetable:

- **January**: completion of the appraisal form through the evaluator including interview with the appraisee (Articles 24-30 Decree on the Appraisal of Civil Servants);
- **February, first week**: countersignature procedure (Articles 31-32 Decree on the Appraisal of Civil Servants);
- **February, second week**: personnel unit checks the appraisal report and submits the proposal for a ruling to the Manager of the state authority (Articles 34-35 Decree on Appraisal of Civil Servants);
- **February, third and fourth week**: ruling through the Manager of the state authority, and ruling served to the civil servant concerned before the end of February (see Article 83 paragraph 1 Law on Civil Servants, Articles 36-37 Decree on Appraisal of Civil Servants).

37 While performance in 2006 will be appraised according to the previous regulation, 2007 will be the first appraisal period under the new provisions. Work objectives for 2007 shall be specified according to Articles 6 ff Decree on Appraisal of Civil Servants during December 2006, and the latest before 15 January 2007 (see Article 7 paragraph 1 Decree on Appraisal of Civil Servants). The appraisal process shall follow the timetable set out above.
As stated in the introduction appraisal is a continuous process throughout the year, culminating in the formal procedure described in the above timetable. During the appraisal period the evaluator shall monitor on an informal basis the performance of civil servants under his appraisal authority, give advice to them with regard to specific aspects of their performance, and document evidence for positive or negative actions, which should be included in the formal appraisal report after the end of the appraisal period (see Article 9 Decree on Appraisal of Civil Servants).

Exceptions to the regular appraisal cycle

There are three exceptions to the appraisal cycle described above:
- Appraisal before expiration of the appraisal period according to Article 5 Decree on Appraisal of Civil Servants;
- Interim appraisal report in case of change of the evaluator during the appraisal period according to Article 25 Decree on Appraisal of Civil Servants;
- Extraordinary Appraisal of Civil Servants graded “unsatisfactory” according to Article 85 f Law on Civil Servants, Articles 38 ff Decree on Appraisal of Civil Servants (see below N.).

An out of course appraisal may be requested by a civil servant leaving the civil service (e.g. because he/she enters private business), or who wants to go on long term leave of absence (e.g. for studies in a university or other institution). In these cases the appraisal has the purpose to inform the new employer or the educational institution on how the civil servant concerned did during his/her time as civil servant. According to Article 5 Decree on appraisal the out of course appraisal has to be finalized and submitted to the civil servant concerned within 30 days after his request.

An interim appraisal during the appraisal period becomes necessary, when the evaluator changes during the appraisal period (Article 25 Decree on Appraisal of Civil Servants). In practice there are two main reasons for such a change of evaluator during the appraisal period:
- The appraisee is transferred to another position within the same state authority (horizontally or vertically) or is transferred to another state authority. In both cases his/her new immediate superior becomes responsible for his/her appraisal beginning with the day of transferal, while the “old” superior has to cover the preceding period in his/her interim report.
- The appraisee stays in his/her position, however, his/her immediate superior is transferred to another post within the same authority or to another authority; in this case the successor of the outgoing immediate superior will be the new evaluator from the day of taking office, while the outgoing superior has to produce an interim report. The interim appraisal has to be completed by the outgoing evaluator as soon as possible, the latest of course before the end of the respective appraisal period. The interim appraisal covers the period during which the outgoing evaluator has been responsible for the appraisee. It has the same format as the regular appraisal; however, the interim appraisal is not submitted to the Manager of the respective state authority for a ruling. The interim appraisal serves merely as material for the formal appraisal after the end of the appraisal period (see Article 25 paragraph 3 Decree on Appraisal of Civil Servants). The interim appraisal prepared by the outgoing evaluator shall be transmitted to the personnel unit of the respective state authority after countersignature, and the personnel unit transmits it to the new evaluator before expiration of the appraisal period (see Article 25 paragraph 2 Decree on Appraisal of Civil Servants). If two different state authorities are involved because e.g. the appraisee has been transferred to another institution, the interim report shall be transmitted from the personnel unit of the first state authority to the personnel unit of the second state authority, and this personnel unit shall transmit it to the new evaluator as provided for in Article 25 paragraph 2 Decree on Appraisal of Civil Servants.
BY WHOM ARE APPRAISALS CONDUCTED?

The evaluator

42 Article 84 paragraph 2 Law on Civil Servants places the duty to determine formally and finally the appraisal grade on the Manager of the respective state authority. It is obvious that the Manager cannot carry out the preparatory work necessary for a proper appraisal of all civil servants working in the respective state authority. Therefore, the concept of the evaluator is introduced by the Decree on Appraisal of Civil Servants.

43 The evaluator is the immediate superior of the civil servant concerned according to Article 3 paragraph 3 Decree on Appraisal of Civil Servants. Therefore, depending on the hierarchy in the respective state authority, each civil servant (appraisee) will have his/her own evaluator. In many cases and for most executive civil servants this will be the head of the respective division, who will have the role of the evaluator for all of his/her subordinates. And of course, each evaluator will have, at the same time, the position of an appraisee in relation to his/her immediate superior.

44 The evaluator is the most appropriate person to prepare the material for the appraisal ruling of the Manager, because he/she works together with the appraisee on a daily basis and is, as immediate superior, highly suitable to carry out the necessary tasks. The main responsibilities of the evaluator are as follows:
- Specify, and revise if necessary, the working objectives for the civil servant concerned according to Articles 7f Decree on Appraisal of Civil Servants;
- Supervise and document the work of the appraisee throughout the year according to Article 9 Decree on Appraisal of Civil Servants;
- Prepare the appraisal report using the standard form according to Articles 24f Decree on Appraisal of Civil Servants;
- Determine the proposal for a final grade based on an assessment of the appraisal criteria according to Article 26 Decree on Appraisal of Civil Servants;
- Conduct the appraisal interview with the appraisee according to Articles 28 f Decree on Appraisal of Civil Servants;
- Liaise with the counter signer (see below) and with the personnel department to implement the further procedure.

The counter-signer

45 The counter signer provides for checks and balances in the appraisal process. He/she is the immediate superior of the evaluator, and as such further removed from the work of the appraisee than the evaluator, but he/she will still have some specific knowledge of the work and the performance achieved. The primary tasks of the counter signer are stipulated in Articles 31-32 Decree on Appraisal of Civil Servants:
- He/she has the right to enter his/her comments to the appraisal and the proposed grade in the appraisal standard form; his/her comments could cover the issue whether the appraisal through the evaluator are **realistic and properly justified**
- He/she has the duty to countersign the appraisal report prepared by the evaluator and submit it to the personnel unit according to Article 32 Decree on Appraisals of Civil Servants;
- Additionally he/she may be involved in the specification of working objectives, when the civil servant refuses to agree with the working objectives established through the evaluator (see Article 7 paragraph 4 Decree on Appraisal of Civil Servants).

46 In case there is an obvious disagreement between the evaluator and the appraisee with regard to the content of the appraisal report or to the proposed grade, the counter signer has the right to **resolve this difference** on his/her own judgment according to Article 31 paragraph 2 Decree on Appraisals of Civil Servants. Such differences of opinion will have emerged primarily during the appraisal interview between the evaluator and the appraisee. In this case the judgment of the counter signer, which has to be objectively based, of course, supersedes that of the evaluator. The purpose of this provision is to present to the Manager a non controversial proposal.

47 Article 33 Decree on Appraisals of Civil Servants covers the exceptional case that the evaluator is immediately reporting to the Manager of the state authority. In this case the appraisal report shall be submitted **without countersignature**, simply because there is no suitable counter signer.

**The responsibilities of the Personnel Unit**

48 The responsibilities of the Personnel Unit in the appraisal of a particular civil servant are **entirely technical**. The Personnel Unit does not have the right to influence the appraisal report in substance. The main responsibility of the personnel unit is to check the appraisal report formally and to prepare a proposal of a ruling for the Manager based on the appraisal report submitted through the counter signer and to submit it to the Manager (see Article 35 paragraph 2 Decree on Appraisal of Civil Servants). However, from a general point of view, the personnel unit has a series of managerial, advisory and coordinating responsibilities with regard to the appraisal process (see below No. 69 ff, 83 ff).

**The ruling by the Manager of the state authority**

49 The manager is the formal decision maker in the appraisal process. However, as a rule and in practice the manager should be able to **fully rely** on the preparatory work of the evaluator and of the second signatory “translated” into a technical proposal for a ruling through the personnel unit. The manager may, however, require further information and, as the case may be, amend any of the markings or comments. But he/she should do so only if the marks or comments seem unrealistic or if there are unsolved points between the evaluator and the appraisee. If necessary, the manager shall resolve any remaining disagreement between the evaluator and the counter signer.
HOW ARE APPRAISALS CONDUCTED?

Appraisal procedure (overview)

A rational and unbiased appraisal is far from being an easy exercise, and the evaluator as well as the counter signer need a lot of commitment, experience and character to cope with the following major difficulties:

- Appraisal should not be influenced by subjective feelings of the evaluator favoring appraisees whom he/she likes or who are similar to him/her. (Actually most civil servants believe that their superior’s evaluation is influenced by subjective elements like sympathy or dislike).
- It should not reflect on the entire appraisal, if the appraisee has been either remarkably successful with one particular task (halo effect) or completely unsuccessful with another task (black mark effect).
- Recent accomplishments or mistakes of the appraisee should not overshadow his/her whole performance during the appraisal period.
- The appraisee should not be rated relative to other civil servants, but against standards and objectives.
- Appraisal should focus on appraisal and not on anything else, like preserving a convenient working relationship, encouraging a poorly performing civil servant, or at avoiding confrontation with an aggressive civil servant.
- Appraisal should deal with parameters that can be controlled by the appraisee, and not with those beyond his control.

From a procedural point of view the annual appraisal procedure encompasses six major steps:

- Setting of work objectives (see above),
- Completion of the appraisal report by the evaluator (see Articles 24 ff Decree on Appraisal of Civil Servants),
- Conducting an appraisal interview between the evaluator and the appraisee (see Articles 28 ff Decree on Appraisal of Civil Servants),
- Forwarding of the appraisal report to the second signatory for checking and counter signature (see Article 31 Decree on Appraisal of Civil Servants),
- Submission of the appraisal report to the personnel unit for technical checking and preparing the proposal of a ruling (see Articles 34-35 Decree on Appraisal of Civil Servants),
- Ruling of the manager (see Article 35 paragraph 1 Decree on Appraisal of Civil Servants) and disclosing this ruling to the civil servant concerned (see Article 37 Decree on Appraisal of Civil Servants).
Completion of the appraisal form

It is obligatory to use the **standard form** annexed to the Decree on Appraisal of Civil Servants in the appraisal procedure (Article 24 paragraph 3 Decree on Appraisal of Civil Servants). The standard form deals in No. 1 with “General Data”. In No. 2 the “Working Objectives” relevant for the appraisal period shall be entered. Generally, they must have been agreed upon between the evaluator and the appraisee according to Article 7 Decree on Appraisal of Civil Servants prior to the beginning of the current appraisal period, or the latest 15 days after the beginning of this period (that is in practice more than 12 months before the appraisal, or the latest 15 January of the currently appraised period). Completion of these boxes should not cause any difficulties.

### 1. General Data

First name and family name of the Appraisee:

________________________________________________________________________

State authority:

________________________________________________________________________

Position and Rank of the Appraisee:

________________________________________________________________________

Education:

________________________________________________________________________

Date of last promotion:

________________________________________________________________________

Appraisal period from ________ to : ________

Training programs attended during the appraisal period:

________________________________________________________________________

First name and family name of the evaluator:

________________________________________________________________________

Position of the evaluator:

________________________________________________________________________

First name and family name of the counter signer:

________________________________________________________________________

Position of the counter signer:

________________________________________________________________________
2. Summary of the appraisee’s specified working objectives

Short description of the overall purpose of the appraisee’s job:

 Specified working objectives of the appraisee (in order of importance):

<p>| | | | | |</p>
<table>
<thead>
<tr>
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<td>1</td>
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<td>4</td>
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</tr>
<tr>
<td>5</td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

In the “results achieved” paragraph of the standard form the evaluator appraises performance by analyzing on how and to what extent the work objectives agreed upon prior to the appraisal period (see above) were fulfilled, in particular whether the appraises has met the standards as regards quality and quantity of work and whether the time table was kept (see Article 11 Decree on Appraisals of Civil Servants). This is the key element of the appraisal, because work objectives are linked to the overall targets of the state authority; “results achieved” measures the appraisee’s contribution to these targets. This requires judgment, and cannot be reduced to a simple formula. Two aspects are primarily important in this context:

- With regard to the degree each work objective has been achieved, quality, quantity of achievement and keeping deadlines have to be balanced according to their relative weight for the particular case.
- With regard to determining the overall grade for “results achieved” the relative importance and relevance of each work objective has to be weighted.

Grading standards need to be consistent within each particular state authority and throughout the whole civil service. This places a specific responsibility on the Human Resources Management Service with regard to organizing mutual information and providing training (see below).

According to Article 26 Decree on Appraisal of Civil Servants “results achieved” are graded for each quarter of the year. This wording should not be misunderstood as a quarterly appraisal, which would require a quarterly interview with the appraisee, etc; actually, performance is appraised only once a year after the end of the whole appraisal period, but separately for each quarter of the year. This ensures more accuracy in judgment. The grades included in the “results achieved” paragraph of the form by ticking the respective box need to be supported by explanatory comments in the respective column. These comments should highlight any significant accomplishments or significant problems or weaknesses of the civil servant concerned.

For grading the grades defined explicitly in the Decree on Appraisal of Civil Servants are applicable:

- Unsatisfactory (Article 19 Decree on Appraisal of Civil Servants): “The “unsatisfactory” mark shall be assigned to the civil servant who has failed to reach even the minimum performance score when working toward achievement of the working objectives and satisfaction of regular job requirements.” The “unsatisfactory” mark may be applied, for example, when the civil servant clearly (with regard to quality, quantity and timetable) failed to achieve any or the majority of his work objectives, and when this malperformance is not compensated through better results with regard to the other work objectives. The issue whether the appraisee has the potential to improve, is not subject of the regular appraisal; it is, however, covered by the extraordinary appraisal (see below).
• **Satisfactory** (Article 20 Decree on Appraisal of Civil Servants): “The “satisfactory” mark shall be assigned to the civil servant who has achieved the specified working objectives and satisfied the regular job requirements at the minimum performance level.” For example, a civil servant should get the “satisfactory” mark, if he/she achieved at least the majority of work objectives on a just acceptable, though low level. He/she may have areas for improvement, but the shortcomings with regard to the other objective(s) should not be so serious as to neutralize his/her positive achievements.

• **Good** (Article 21 Decree on Appraisal of Civil Servants): “The “good” mark shall be assigned to the civil servant who has achieved the specified working objectives and satisfied the regular job requirements at an average performance level.” According to this definition the civil servant marked “good” is an average performer meeting expectations, but not exceeding them. As a rule he/she should have achieved all working objectives in a fair and reasonable manner with regard to quality, quantity and timetable. There should not be any real shortcomings with regard to performance.

• **Distinction** (Article 22 Decree on Appraisal of Civil Servants):” The “distinction” mark shall be assigned to the civil servant who achieved the specified working objectives and satisfied the regular job requirements above an average performance level.” The grading should be “distinction, when the appraisee has continuously and significantly exceeded expectations by producing work better than that would normally be expected of a civil servant in this role and at this level.

• **Exceptional distinction** (Article 23 Decree on Appraisal of Civil Servants):” The “Exceptional distinction” mark shall be assigned to the civil servant who has achieved the specified working objectives and satisfied the regular job requirements at an exceptionally high performance level.” In principle, “exceptional distinction” marks should be a rare exception, reserved only for truly exceptional civil servants, who exceed expectations on all parameters very considerably and are recognized as such by peers, subordinates and more senior civil servants.

**Example** (a civil servant who did not work adequately during the first two quarters of the year, but then, with the end of the appraisal period in sight, improved slightly):

<table>
<thead>
<tr>
<th>Results achieved</th>
<th>Marks</th>
<th>Comments in support of grading</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Quarter</td>
<td>x</td>
<td>«A» did not undertake any relevant planning or other preparatory work with regard to his work objectives</td>
</tr>
<tr>
<td>II. Quarter</td>
<td>x</td>
<td>«A» continued his/her passive approach toward the duties</td>
</tr>
<tr>
<td>III. Quarter</td>
<td>x</td>
<td>Work objectives No. 2 and 3 have been achieved, though in poor quality</td>
</tr>
<tr>
<td>IV. Quarter</td>
<td>x</td>
<td>Work objective No. 1 has been achieved, however more than two months late</td>
</tr>
<tr>
<td>Average for all four quarters I-IV</td>
<td>1.5</td>
<td></td>
</tr>
</tbody>
</table>

The “other appraisal criteria” paragraph in the Standard Form deals with the further appraisal criteria listed in Article 82 paragraph 2 Law on Civil Servants and more precisely defined in Articles 12-17 Decree on Appraisal of Civil Servants (see above No. 34). These criteria are interconnected with each other and also with the
other performance oriented criterion, “results achieved”. For example, “results achieved” (see above) will of course depend on “creativity” or “precision”. The evaluator is required to make an evaluation of the performance of the appraisee against these criteria and give a rating from 1 to 5 (see above) by ticking the appropriate box on the form.

<table>
<thead>
<tr>
<th>Other appraisal criteria</th>
<th>Marks</th>
<th>Comments in support of grading</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Independence</td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Creativity</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. Initiative</td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. Precision and Diligence</td>
<td></td>
<td></td>
</tr>
<tr>
<td>e. Quality of cooperation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>f. Additional Criteria</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Average of a-f</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The above list covers abilities, qualities, and aptitudes. In this context also the following aspects should be taken into account:

- **Abilities** relate also to: Facility for written and oral work, facility for problem solving, ability to implement, ability to analyse and synthesise, ability to plan, ability to communicate, general IT skills, ability to work effectively in teams, any other ability generally relevant to the job.

- **Qualities** might include the following: Ethical standards – integrity, honesty, respect for the law and so on, loyalty to superiors, subordinates and the authority or institution, diligence, adaptability and flexibility, responsibility.

- **Aptitudes** mean having a special facility for something: aptitude for languages, aptitude for figures, aptitude for communication, aptitude for inter-personal relations, creative aptitudes.

- **Managerial competence** covers the following: Organisational skills, leadership and motivation skills, control and coordination skills, decision making, delegation, communication, project management, implementation, counselling, general human relations, management skills.

The above aspects should be considered in connection with the most appropriate criterion explicitly listed, e.g. managerial competence in connection with quality of cooperation.

The Standard Form contains two further paragraphs dealing with training suggestions for the appraisee and with other observations. **Training suggestions** should be based on practical observations during the appraisal period. They may either aim at addressing apparent weaknesses of the appraisee or at developing further his abilities, qualities and aptitudes. In “other observations” the evaluator should include any **special factors** not covered elsewhere in the standard form, for example, factors outside the control of the appraisee that have affected his performance. In particular, details of any significant sickness or other objective difficulties during the appraisal period should be noted, as well as the total number of days of absence during the year. Furthermore, major accomplishments
or major problems or weaknesses of the appraisee should be included in “other observations”, if not already mentioned in the comment boxes of the “results achieved” and the “other appraisal criteria” boxes.

The appraisal interview

58 Conducting an interview with the appraisee is a **mandatory part** of the appraisal process (see Article 29 Decree on Appraisal of Civil Servants). It should take place as soon as the appraisal report is completed through the evaluator as described above. The main functions of the appraisal interview held between the evaluator and the appraisee are:
- To inform the appraisee of the markings and all comments made by the evaluator on the standard form; at the conclusion of the interview the appraisee should be fully aware of the entire content of the report;
- To resolve, if possible, any differences between the evaluator and the appraisee relating to the grades and comments;
- To enable the evaluator to review the training needs entered into the respective box of the standard form and to include any other comments;
- To review work objectives agreed upon for the coming appraisal period in the light of the current appraisal.

59 The appraisal interview is a **formal event** and needs preparation. Regularly, appraisal interviews will take place in January of the year following the appraised period (see above No.36). Written notice of the interview shall be given to the appraisee, and the interview shall take place the latest within seven days from the receipt of the invitation (Article 28 paragraph 2 Decree on Appraisal of Civil Servants). In principle, the appraisee should have at least three days to prepare for the event on the basis of the draft appraisal report transmitted to him/her together with the invitation. The interview should take place either in the office of the evaluator or in any other room where nobody else but the participants have access. The duration of the interview will vary, but at least thirty minutes should be set aside for each interview; interviews considerably longer than one hour should be avoided. The evaluator should ensure that the interview is not disturbed by third persons (telephone should be diverted, mobiles should be switched off). With regard to the content of the interview the evaluator should play out different scenarios in his/her mind about how he/she will deal with different situations during the interview.

60 Conducting an effective interview requires from the evaluator some **interviewing skills**, which will grow with experience. It is recommended to consult publications on interviewing techniques that exist in a large number. The following issues are of practical importance for the role of the evaluator:
- Begin with a more general conversation to settle down possible nervousness and anxiety at both sides (ice-breaking);
- Explain the purpose and the structure of the interview;
- Ensure that the appraisee is a real participant in the interview, not just a passive attendee;
- Structure the questions to the appraisee to the situation, use open questions (response more than “yes” or “no”) and closed questions (response only “yes” or “no”) appropriately;
- Vary the style and the pace of the interview (changing roles from providing information to listening and vice versa);
- Control the body language (eye contact, movements).

61 Explaining, and if necessary changing the appraisal of “results achieved” is one of the centerpieces of the interview. The conversation should be based on the draft report transmitted to the appraisee and should deal with the following issues:
• Review of the work objectives for the appraisal period together with the appraisee: were they clear and meaningful to the appraisee, were they in force for the whole period or only for part of it, were the timelines appropriate, were there any special circumstances influencing implementation of the work objectives;
• Explanation of the marks and comments given with regard to each work objective, inviting the appraisee to give comments to each work objective;
• Decision whether the grading or the comments need to be amended or changed in the light of the appraisee’s comments;
• Summary of the points made with regard to “results achieved” before going to the next part of the report.

62 In the next part of the appraisal interview the relevance of the “other appraisal criteria” for the individual performance and the marks given for each criterion should be explained. The appraisee should be allowed to make comments and reservations. If necessary amendments to the marks or to the comments in the standard form should be made.

63 With regard to the “training needs” box and to the “other observations” box it will be generally sufficient to summarize the points, and ask for comments and reservations. The recommended training may either aim at helping the appraisee to overcome shortcomings in his/her performance or it might be aiming at developing his/her career.

64 Before closing the interview the work objectives for the next appraisal period, that were probably agreed upon only one month before the current appraisal (see Article 7 paragraph 1 Decree on Appraisal of Civil Servants), should be reviewed briefly in the light of the appraisal. Possible amendments or changes might be advisable already now in the light of the appraisal dealing with last years work objectives (see Article 8 Decree on Appraisal of Civil Servants).

65 At the end of the interview the appraisee may include comments or dissenting views, in the appraisal report, if he/she so wishes, and he/she shall sign the document (see Article 30 Decree on Appraisal of Civil Servants). His/her signature does only indicate that he/she took notice of the report, not that he/she agrees with it.

The Final Grade and the Signature of the Appraisal Form

66 The evaluator includes in the standard form his/her proposal for the final grade at the end of the interview. This proposal for the overall grade must reflect the appraisal of the individual appraisal criteria (“results achieved” and “other criteria”). According to Article 26 Decree on Appraisal of Civil Servants the proposal for the final grade is obtained as an average of the grade awarded for work objectives related performance and of the average of the grades awarded for the other criteria. “Results achieved” is most important in an output oriented civil service; this criterion, therefore, accounts for 50% of the overall grade; the aggregated grades of the other 5/6 criteria account for the other 50%. According to Article 26 paragraph 3 Decree on Appraisal of Civil Servants the scores obtained are equated to a narrative standard as follows:
• Results ranging from 4,78-5,00: Exceptional distinction
• Results ranging from 3,77-4,77: Distinction
• Results ranging from 2,77-3,76: Good
• Results ranging from 1,65-2,76: Satisfactory
• Results below 1,65: Unsatisfactory
Examples for Grading

**Exceptional distinction achieved:**

<table>
<thead>
<tr>
<th>Results achieved</th>
<th>Grades</th>
<th>Comments in support of grading</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Quarter</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>II. Quarter</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>III. Quarter</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>IV. Quarter</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Average of I - IV</td>
<td>5</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Performance standards</th>
<th>Grades</th>
<th>Comments in support of grading</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Independence</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>b. Creativity</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>c. Initiative</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>d. Precision and</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Conscientiousness</td>
<td></td>
<td></td>
</tr>
<tr>
<td>e. Quality of</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>cooperation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>f. Other criteria</td>
<td>Not applicable</td>
<td></td>
</tr>
<tr>
<td>Average of a-f</td>
<td>4.80</td>
<td></td>
</tr>
</tbody>
</table>

Final Grade: 5.00 plus 4.80 = 9.80 divided by 2 = 4.90: equals exceptional distinction

**Exceptional distinction missed:**

<table>
<thead>
<tr>
<th>Results achieved</th>
<th>Grades</th>
<th>Comments in support of grading</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Quarter</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>II. Quarter</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>III. Quarter</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>IV. Quarter</td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Average of I - IV</td>
<td>4.75</td>
<td></td>
</tr>
</tbody>
</table>
To prevent inflationary or deflationary appraisal procedures some administrations have introduced some form of non binding rating distributions, while binding quotas are rejected to a large extent. These non binding rating distributions serve as reference point for evaluators; they are designed to support meaningful and realistic grading. Since 1997, in Germany the reference level for the highest grade in a five grade scale is 15%, and for the second highest grade 35%; however, the 2001 evaluation of this approach is by all means ambivalent: one of the observations is that generally the full potential is used by evaluators, which does not lead necessarily to realistic and budgetary sustainable results; the second important observation is that the figures for the two highest grades are too high and should be restricted to a lower percentage; the third observation refers to counterproductive effects of this approach, because civil servants graded below the two highest grades blame the quota and do not question their own performance. The most recent standardization has been issued by the Irish Ministry of Finance for the 2007 appraisal:

- Rated as 5 (outstanding): 0-10% of staff
- Rated as 4 (exceeds required standard): 20-30% of staff
- Rated as 3 (fully acceptable): 40-60% of staff
- Rated as 2 (needs improvement): 10-20% of staff
- Rated as 1 (unacceptable): 0-10% of staff

The EU-Commission has a more general and pragmatic approach for their civil servants: based on past experience the Commission expects 15% of its officials to be rated above average and some 10% below average, consequently about 75% should be rated at average on a three grade scale. Certainly, no patent medicine can be derived from these examples for the Serbian civil service; however, one lesson can be learnt already now: the number of the really outstanding civil servants (“exceptional distinction”) should probably not amount to more than 5-10%, and together with the civil servants graded with “distinction” not more than 15% of the total staff. Such an approach would preserve the motivational factors of the procedure, while the budgetary sustainability would need separate examination. The number of civil servants rated “unsatisfactory” might be higher in the first years of the new procedure, while in the mid term not more than 10% should fall into this category.

The appraisal report with the proposal for the final grade is signed by the evaluator (Article 30 paragraph 2 Decree on Civil Servants) and then submitted to the counter signer. The duties and responsibilities of the counter signer are described in detail above (see No.45-47).
The role of the personnel unit

69 The countersigned appraisal report shall be submitted to the personnel unit according to Article 32 Decree on Appraisal of Civil Servants. The personnel unit has the duty to check the appraisal report from a *technical point of view*, and not in substance. This requires the following action:

- Check whether the report was properly due (e.g. exclude that the civil servant concerned worked less than six months or that he/she was only employed for a fixed term);
- Check that the right evaluator made the report; check whether interim reports of a previous evaluator have been included;
- Check whether the report takes due and correct account of the job description and of the work objectives;
- Check that all boxes in the standard form are completed;
- Check whether there are an evident and significant inconsistencies in the report;
- Check whether the major remarks in the report are done with adequate supporting information and explanation; this is especially relevant for reports ending with an “unsatisfactory” mark; the personnel unit should ensure in these cases that the report is based on robust reasoning;
- Check whether the interview has been carried out and properly documented;
- Check the signatures.

In case there are technical omissions or other flaws in the report, the personnel unit returns the document to the evaluator and counter signer for correction according to Article 34 paragraph 1 Decree on Appraisals of Civil Servants. If the report is massively wrong or if the marking standards applied by the evaluator are evidently wrong or differ substantially from common practice within the state authority, the personnel unit may return the report and ask for a new appraisal. Legal basis for these steps is Article 44 paragraph 1 No 2 and 3 Decree on Appraisal of Civil Servants. However, in principle the personnel unit should accept the appraisal report as written. The evaluator and the counter signer should have more experience of the performance of the civil servant concerned than the personnel officers.

70 On the basis of a correct and complete report (including a final grade) then the personnel unit prepares a *proposal for an appraisal ruling* of the Manager (see Article 35 paragraph 2 Decree on Appraisal of Civil Servants). In this proposal the personnel unit is not allowed to make any judgment of its own, or to amend and change the assessment of the evaluator and counter signer. The functions of the personnel unit are, as mentioned above, entirely technical.

71 The proposal for a ruling is submitted to the Manager for decision according to Article 35 paragraph 1 Decree on Appraisals of Civil Servants. It is advisable not to submit each proposal separately, but to collect an adequate number of reports and proposals and present them together during the last two weeks of February. This allows for the manager to compare different appraisals and to organize better his/her time schedule.

72 The personnel unit has *further auxiliary functions* in the appraisal procedure. These general administrative support functions are listed in Article 44 Decree on Appraisal of Civil Servants (see below the Chapter on the general administrative duties and responsibilities with regard to appraisals).

Ruling of the Manager

73 According to Article 84 paragraph 2 Law on Civil Servants and Article 35 paragraph 1 Decree on Appraisal of Civil servants the final appraisal decision is taken by the **Manager of the respective state authority** (see No. 49 above). His/her ruling is
based on the proposal prepared by the personnel unit following the appraisal report of the evaluator. In the exceptional case that the appraisee is directly subordinated to the Manager, no formal appraisal report needs to be prepared according to Article 36 paragraph 1 Decree on Appraisal of Civil Servants. The Manager shall, however, issue his/her ruling based on an interview with the appraisee. In conducting this interview it is advisable for the Manager because of practical reasons to follow the pattern provided for in the standard form.

74 The appraisal ruling is served formally to the appraisee together with the appraisal report as soon as possible after the decision has been taken (see Article 37 paragraph 2 Decree on Civil Servants). The appraisee shall acknowledge receipt of the ruling in writing.

75 According to Article 16 paragraph 1 Law on Civil Servants in connection with Article 37 paragraph 2 Decree on Appraisal of Civil Servants appeal against the ruling may be filed within eight days from the formal receipt of the ruling (see Article 21 Law on Civil Servants). The appeal shall be in writing and with stating grounds. If the appraisee requests an interview either with the evaluator or the counter-signer or with an officer from the personnel unit before filing his/her appeal, this request should be granted. In many cases the appraisee will abstain from appealing formally after receiving further information and explanation in an additional interview. In case of a successful appeal against an appraisal ruling (because of procedural or other shortfalls) the decision of the Appeals Board does not replace the appraisal ruling, however, the appraisal shall be reconsidered in the light of the reasoning of the Appeals Board.
WHAT ARE THE CONSEQUENCES OF APPRAISALS?

General

76 Follow up analysis and action with regard to appraisals is one of the primary responsibilities of personnel units within each particular state authority. They add the ruling to the personal file of each civil servant according to Article 44 paragraph 1 No. 4 Decree on Appraisal of Civil Servants. Together with the appraisal report this document is a basic element for all decisions on career development of the civil servant concerned; this includes internal transfer, training, promotion, and, as the case may be, termination of employment. These issues should be analyzed and addressed appropriately by the personnel unit automatically and without prior order from the leadership of the state authority.

Some cases may require urgent action through the personnel unit:

- Domestic or health problems of the civil servant concerned impinging upon performance; in this case, which might become apparent in the comment box of the appraisal report, the personnel unit should at least offer advice to the civil servant concerned and involve, if appropriate, his/her superior.
- Alleged discrimination or mobbing issues, which again might become apparent in the comment box of the appraisal report, should be examined, and if necessary, addressed through the personnel unit.
- Cases encompassing disciplinary aspects, again the personnel unit should take the necessary action.
- Promotion initiatives that include promotion of executive civil servants on the pay scale without changing the job position and promotion to a higher ranking position (see Articles 87 ff Law on Civil Servants and Article 17 (Draft) Law on Pay for Civil Servants and Employees) (see below No. 77).
- Termination of employment following an “unsatisfactory” mark (see below No. 79 f).

Follow up on the average, good, and out performer

77 The most obvious consequence of an “exceptional distinction”, a “distinction” and to a certain extent also of a “good” rating is the chance of promotion. With regard to promotion two categories have to be distinguished:

- Out performing executive civil servants who are marked with “exceptional distinction” at least two consecutive times or with “distinction” at least at four consecutive times may be promoted to a higher ranking job position according to Article 88 Law on Civil Servants; comparable requirements are stipulated for promotion of to appointed or higher ranking appointed positions according to Article 89 Law on Civil Servants. However, it has to be underlined that there is no promotion automatism. In each case it is necessary, that a vacant job position is available and that the civil servant fulfills the requirements for work on the respective higher work position. (For an exception see Article 88 paragraph 2 Law on Civil Servants).
Promotion of executive civil servants on the pay scale for one or two pay grades without changing jobs is provided for by the Law on Pay for Civil Servants and Employees. Details depend on the marks accumulated in one, two or three appraisal periods.

Generally, not much more than about 5% of staff, and almost never more than 10%, will fall into the category of civil servants really deserving the title of out performers. In some publications these out performers are characterized as being capable of immediate good performance at least two career steps above their present level or as being capable, given the necessary luck, of reaching the highest level of the civil service within some years. Anyhow, they are a highly valuable resource for the civil service in the respective state authority and should certainly be retained. Consequently, their aspirations regarding training and career development should be met with priority through human resources management in the respective state authority. Training should cover primarily general aspects aiming at producing a broadly educated civil servant; however, training is not the major need of this staff, even more it is important for them to rotate through a series of jobs to get acquainted with all major aspects of civil service work in the respective area. Therefore, the personnel unit should develop a career path for the small number of out performers which should include policy, operations and finance, get consent to this career path through the leadership, and keep track of the implementation of this career path. In any case it would be a major mistake to hamper these out performers and to slow them down, because in this case they are likely to depart, knowing that their skills are highly transferable and marketable.

Civil servants marked “good” or “satisfactory” are in fact the backbone of any administration. They will be the majority of cases to be dealt with in the follow up actions through the personnel unit after the annual appraisal rulings by the manager. It is recommended that the personnel units conduct a personnel interview with the civil servants belonging to this group in the months following the annual appraisal ruling. The interview should, of course not repeat the appraisal interview; its main purpose is to review the possibilities for development activities and to improve individual performance in the interest of the state authority and of the civil servant concerned. In many cases there will be no need for specific action, and the civil servant will continue doing his/her good or average job without any intervention through the human resources management. To identify the cases which require short-term or mid-term action, the interview should have the following structure:

- Identify the relative strengths and weaknesses of the civil servant and find out his/her potentials and the types of work that he/she found particularly interesting; review the civil servants own medium and long term career objectives;
- Against this background update the general development plan for the civil servant, if such a plan is established in the respective state authority;
- Review transfer options to another job position within the state authority; (normally transfer should occur at between 3 to 5 years);
- Review training and other development needs and possibilities;
- Record the findings and the outcome of the interview in the personnel file, and inform the immediate superior of the civil servant concerned.

**The unsatisfactory performer**

Generally two types of underachievers can be distinguished: first those who are in fact not capable to perform adequately, and it is perfectly acceptable, that they are subject to termination of employment as provided for in Articles 86 Law on Civil Servants, 42 Decree on Appraisals of Civil Servants. And second those who...
underperformed and were graded “unsatisfactory”, but who have the potential to improve. The Law takes due account of this distinction by providing the necessary instruments to identify and support those civil servants who have the potential. These instruments are:

• An **extraordinary appraisal** for the period of 90 days after the regular appraisal with the “unsatisfactory” grade has become final (Article 85 paragraph 2 Law on Civil Servants, Articles 38 paragraph 2, 39 Decree on Appraisal of Civil Servants; for further details see below.

• **Additional professional training** for those civil servants graded “unsatisfactory” (see Article 85 paragraph 1 Law on Civil Servants, Article 38 Decree on Appraisal of Civil Servants). This training aims at increasing the chances of the civil servant to be successful in the extraordinary appraisal mentioned above. If possible, candidates should be included in the regular training programmes covering all civil servants, because this would be less discriminating. However, also special training for “unsatisfactory” civil servants may be offered. Though the employer does not have the duty to provide any kind of training in these cases, it might be also in his/her interest to do so. Decisions on training are made by the personnel unit on proposal of the evaluator; in case the evaluator fails to make such a proposal the personnel unit should contact him/her to clarify the case.

80

The **obligatory extraordinary appraisal** provided for “unsatisfactory” civil servants in Article 85 paragraph 2 Law on Civil Servants is different from the regular appraisal in substance. It would not make sense to let the evaluator repeat the whole appraisal exercise after 90 days, because this is too short a period to produce new realistic and firm results in a performance oriented appraisal. Therefore, the extraordinary appraisal is focussed on the potential of the appraisee for **future improvement**. It has to be decided whether he/she should get a second chance, or whether the right approach is termination of employment, because there is no realistic chance that the civil service gets the value out of him/her it should get. This requires a lot of judgement and fairness from the persons participating in the extraordinary appraisal. The procedure for the extraordinary appraisal is provided for in Articles 39 ff Decree on Appraisal of Civil Servants. The special features of the extraordinary appraisal are:

• The evaluator and the counter signer **act together** in preparing the appraisal report, not consecutively (see Articles 39, 40 paragraph 1 Decree on Appraisal of Civil Servants);

• In case their prognosis with regard to future satisfactory performance is positive, they do not propose a specific grade, otherwise they propose “unsatisfactory” (see Article 40 paragraph 2 Decree on Appraisal of Civil Servants). For their proposal they use the standard form provided for in Annex II of the Decree on Appraisal of Civil Servants. The criteria for the extraordinary appraisal are the same as for the regular appraisal; however, the perspective is completely different: while it is retrospective in the regular appraisal, it is **forward-looking** in the extraordinary appraisal. For a sound prognosis it is, of course, of vital importance to support the “x” either in the “positive” or “negative” column by substantial reasons in the “comments” column of Box 2 of the Standard Form.
Part of the extraordinary appraisal through the evaluator and the counter signer is an interview with the appraisee (see Box 3 of the Standard Form). Again this interview serves different purposes than the interview in the regular appraisal. The evaluator and the counter signer should find out whether there are any mitigating circumstances that might explain the “unsatisfactory” result, and they should ensure that the appraisee fully understands their proposal, which leads, if it is “unsatisfactory” to termination of employment.

The extraordinary appraisal through the evaluator and the counter signer has to be completed within 7 days after the 90 days extraordinary appraisal period (see Article 41 paragraph 1 Decree on Appraisal of Civil Servants). The deadlines of 90 and 7 days are not at the discretion of the evaluator and the counter signer, and it would constitute a disciplinary violation if they do not meet these deadlines. However, the extraordinary appraisal is not precluded through an explicit provision in the Law or in the Decree, if they do not comply with the deadlines. It is possible to catch up on the extraordinary appraisal also at a later reasonable time within the appraisal period.

The completed and signed standard form containing the extraordinary appraisal report is submitted to the personnel unit, regularly through the counter signer, because he/she is higher ranking than the evaluator. The personnel unit checks the extraordinary appraisal report following the line described in No. 63. Afterwards the report is submitted to the Manager for decision. He/she has the following options:

- Return the report and require further information;
- Follow the proposal of the evaluator and the counter signer.

In case the manager follows a positive proposal, the civil servant stays in office. However, it is advisable, that his/her immediate superior and/or the personnel unit discuss with him/her in detail about areas of improvement and identify further need for training. Apart from that the civil servant concerned continues to work on his/her prior job position without having a special status or being on “probation”. As any other civil servant he/she will be appraised again after the end of the regular appraisal period following the normal standards; the 90 days period appraised in the extraordinary appraisal is included in this regular appraisal period. When the Manager wants to follow a negative proposal, he/she issues a ruling to that effect, stating also that the employment relationship is terminated. This termination, which is covered by Article 126 paragraph 1 Item. 5 Law on Civil Servants, becomes effective when the ruling has been served properly to the civil servant concerned and has become final (see Article 86 paragraph 1 Law on Civil Servants). It should be regular practice for the personnel unit to offer to him/her a “counselling out” interview, which might deal with the practical arrangements for termination.
WHAT ARE THE GENERAL ADMINISTRATIVE DUTIES AND RESPONSIBILITIES WITH REGARD TO APPRAISALS?

Duties of the Personnel Unit

Apart from the particular duties already mentioned (see above) the personnel unit or the civil servant charged with the respective tasks according to Article 45 Decree on Appraisal of Civil Servants has a series of more general managerial, coordinating and advisory functions with regard to the conduct of appraisals in the respective state authority. These duties are listed in Article 44 Decree on the Appraisal of Civil Servants. They relate to particular stages of the process (see below No. 76 ff). The following duties relate to the entire process:

- **Ensure procedural uniformity** (Article 44 paragraph 1 No. 2 Decree on Appraisals of Civil Servants). This can be achieved through written information and through meetings with evaluators to discuss topical issues. Very important with regard to procedural uniformity is also the checking of incoming appraisal reports according to Article 41 paragraph 2 Decree on Appraisal of Civil Servants (see above).
- **Advice** evaluators and counter signers on all appraisal related issues according to Article 44 paragraph 1 No. 3 Decree on Appraisal of Civil Servants. This implies that at least one staff member in the personnel unit should be the best informed person in the ministry or state authority with regard to appraisal issues. This staff member should take part on a regular basis in relevant training measures.

Before each appraisal cycle the personnel unit has to prepare a list identifying the evaluator and the counter signer for each appraisee, and inform each evaluator, counter signer and appraisee accordingly. Because these facts are completely open, the information can be in an annual circular, setting out also the timetable for the next appraisal cycle including specification of working objectives. Special attention should be given to cases where an interim report has been produced: the interim report should be delivered in due time to the new evaluator according to Article 25 paragraph 2 Decree on Appraisals of Civil Servants. In case the necessary interim report is not yet completed, the personnel unit should urge the civil servant responsible to do this.

After completion of appraisals the reports and the rulings are to be sent to the personnel unit to be included in the personnel files of each appraisee according to Article 44 paragraph 1 No. 4 Decree on Appraisal of Civil Servants. This will happen after the end of February each year. In large ministries or other large state authorities this can mean a considerable volume of paper to be dealt with. Control sheets should be used by the personnel unit, listing all the civil servants for whom reports and rulings are due, and listing the date of receipt by the personnel department. At this stage also the Central Personnel Registry has to be informed on the appraisal results for each appraisee (see Article 44 paragraph 2 Decree on Appraisal of Civil Servants). This corresponds to Articles 160 No. 7 and 161 Law on Civil Servants.
After each appraisal cycle the personnel unit in each ministry or other state authority has to prepare an analytical report on the outcome of the appraisal (see Article 44 paragraph 2 Decree on Appraisal of Civil Servants). The report shall be submitted to the Human Resource Management Service within the time lines defined by HRMS. The purpose of this report is to trace trends, for example, an inappropriate inflation of ‘exceptional distinction’ grades and identify necessary changes in the procedure. The analytical report should follow a common pattern, prescribed by the Human Resource Management Service. The report should at least contain the following information:

- Number of civil servants subject to appraisal and number of civil servants appraised in fact; reasons for discrepancies;
- Number of civil servants not appraised because of Article 83 paragraph 2 Law on Civil Servants;
- Results of the appraisal in the current year for all appointed and executive job positions separately;
- Dynamics (comparison with previous appraisal cycles);
- Percentages at the five different grading levels (e.g. 5% exceptional distinction, 6% distinction, 19% good, 40% average, 30% unsatisfactory);
- Special observations (e.g. like in the above example with the astonishingly high percentage of unsatisfactory marks);
- Suggestions (e.g. training needs).

Confidentiality

Appraisal is a confidential process. Interviews and discussions between persons participating in the appraisal process concerning the appraisal should be conducted in confidence and the content of the completed appraisal report must be maintained confidential. The appraisal report including the ruling through the Manager are only accessible to the persons listed in Article 43 Decree on Appraisal of Civil Servants. However, with the appraisee’s consent the report and the ruling may be made available also to other persons. This might become relevant in the case of an application for transfer or promotion to the new superior as part of the selection process. Also the Human Resource Management Service and the High Civil Service Council are only entitled to inspect particular appraisal reports and rulings with the consent of the civil servant concerned. Any violation of confidentiality must be considered as disciplinary offence.

The out of course appraisal according to Article 5 Decree on Appraisals of Civil Servants is designed to be submitted to persons outside the civil service (see above No.40); however, this requires also the consent of the appraisee.

Duties of the Human Resource Management Service

The HRMS is the central institution for civil service management issues in general. Therefore the HRMS should be held responsible for ensuring high and uniform standards of appraisal procedures within state institutions and for planning and providing the relevant training for evaluators, as well as the appropriate training for “unsatisfactory” civil servants as provided for in Article 85 Law on Civil Servants.

The HRMS has the explicit duty, as stipulated in Article 46 Decree on Appraisals of Civil Servants, to issue an analytical report on the appraisals conducted within the previous year through the various state authorities. In this report, which should be published not later than 8-9 month after the end of the appraisal cycle covered by the report, the HRMS shall identify reform necessities. Therefore, the HRMS report is an important prerequisite to keep the whole procedure open and flexible. One of the topics could be combating any inflation of the highest grades, which occurs in many appraisal systems.
CONCLUSION

As mentioned in the Preface this Manual should be considered as a *living document*. Any comments, critical remarks and suggestions for amendments are welcomed. Please send your comments to:

svetlana.tomic@suk.sr.gov.yu
vuruna@dial-serbia.com
FORM PRR

The Human Resources Management Service strongly recommends all the evaluators to use the following form throughout the course of the Civil Service appraisal. The Form has been designed to make the process more efficient and easy, and is meant solely for the Evaluators’ use only.

**PERFORMANCE MONITORING PROTOCOL**

<table>
<thead>
<tr>
<th>Evaluator:</th>
<th></th>
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<tbody>
<tr>
<td>Education:</td>
<td></td>
</tr>
<tr>
<td>Rank:</td>
<td></td>
</tr>
<tr>
<td>Post of Employment:</td>
<td></td>
</tr>
<tr>
<td>Unit:</td>
<td></td>
</tr>
<tr>
<td>Ministry/Organization/Service:</td>
<td></td>
</tr>
<tr>
<td>Appraisal Period:</td>
<td>From:</td>
</tr>
<tr>
<td>Appraised Civil Servant:</td>
<td></td>
</tr>
<tr>
<td>Quarter:</td>
<td></td>
</tr>
</tbody>
</table>

**ACHIEVED RESULTS**

Does the civil servant achieve the working objectives and to what extent? *(List and explain)*

<table>
<thead>
<tr>
<th>Working objectives in order of importance:</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
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<tr>
<td>3.</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td></td>
</tr>
</tbody>
</table>

Were the prerequisites for achieving the working objectives secured during the monitoring period? *(Explain)*

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
</table>

Should corrections and supplements to the cases handled and materials and document produced by the appraisee have been made? *(Explain)*

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
</table>

To what extent the appraisee observes work procedures and professional rules? *(Explain)*

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Autonomy
- The extent to which the appraisee was able to execute his/tasks and solve problems encountered in service without relying on external assistance or advice (peers, superiors). *(tick and explain)*

<table>
<thead>
<tr>
<th>Rating</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Often asks for assistance and/or advice.</td>
</tr>
<tr>
<td>2</td>
<td>Sometimes asks for assistance and/or advice.</td>
</tr>
<tr>
<td>3</td>
<td>Rarely asks for assistance and/or advice.</td>
</tr>
<tr>
<td>4</td>
<td>Hardly ever asks for assistance and/or advice.</td>
</tr>
<tr>
<td>5</td>
<td>Never asks for assistance and/or advice.</td>
</tr>
</tbody>
</table>

### Creativity
- Discovering new and/or best solutions to problems in line with the regulations and professional rules, as well as recommending procedural improvements and work processes at his/her post of employment or within the unit. *(tick and explain)*

<table>
<thead>
<tr>
<th>Rating</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>In most cases does not succeed in finding the best solution autonomously, does not tend to recommend improvements.</td>
</tr>
<tr>
<td>2</td>
<td>Sometimes manages to find an appropriate solution, rarely recommends improvements.</td>
</tr>
<tr>
<td>3</td>
<td>Often finds appropriate solutions, occasionally recommends improvements.</td>
</tr>
<tr>
<td>4</td>
<td>Almost always manages to find the best solution, often recommends improvements.</td>
</tr>
<tr>
<td>5</td>
<td>Autonomously finds the best solution in every situation, very disposed to recommend improvements.</td>
</tr>
</tbody>
</table>

### Initiative
- Planning and achievement of working objectives without special directing or coaching, showing initiative in discharging the functions. *(tick and explain)*

<table>
<thead>
<tr>
<th>Rating</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Needs constant direction.</td>
</tr>
<tr>
<td>2</td>
<td>Mostly needs direction.</td>
</tr>
<tr>
<td>3</td>
<td>Occasionally needs direction.</td>
</tr>
<tr>
<td>4</td>
<td>Very rarely needs direction.</td>
</tr>
<tr>
<td>5</td>
<td>Does not need any direction.</td>
</tr>
</tbody>
</table>

### Precision and Diligence
- Punctuality and diligence when carrying out the tasks, taking care of details; meeting deadlines, observing work hours, etc. *(tick and explain)*

<table>
<thead>
<tr>
<th>Rating</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>In most cases does not provide clear and precise data, does not take care much about details, rarely meets deadlines.</td>
</tr>
<tr>
<td>2</td>
<td>More often than not provides clear and accurate data, in many cases takes care about details, more often than not meet deadlines.</td>
</tr>
<tr>
<td>3</td>
<td>Very often provides clear and accurate data, mostly takes care about details, most frequently meets deadlines.</td>
</tr>
<tr>
<td>4</td>
<td>Almost always provides clear and accurate data, takes care of details, and meets deadlines.</td>
</tr>
<tr>
<td>5</td>
<td>Always provides clear and accurate data, takes care of details, and meets deadlines.</td>
</tr>
</tbody>
</table>
QUALITY OF COOPERATION - purposeful communication with superiors, willingness to exchange information and advice with peers, avoiding conflicts, fostering good cooperation, respect of associates. *(tick and explain)*

<table>
<thead>
<tr>
<th>Description</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cooperation with others often jeopardizes the work.</td>
<td>1</td>
</tr>
<tr>
<td>Cooperation with others sometimes jeopardizes the work.</td>
<td>2</td>
</tr>
<tr>
<td>Satisfactory cooperation with others, good enough not to jeopardize the work.</td>
<td>3</td>
</tr>
<tr>
<td>Rather well cooperation with peers and superiors.</td>
<td>4</td>
</tr>
<tr>
<td>Very well cooperation with peers and superiors.</td>
<td>5</td>
</tr>
</tbody>
</table>

ADDITIONAL CRITERIA - special skills necessary for doing the job, e.g. knowledge of relevant regulations. *(tick and explain)*

<table>
<thead>
<tr>
<th>Description</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Knows the law and other regulation insufficiently.</td>
<td>1</td>
</tr>
<tr>
<td>Knows the basics of the law and other regulations.</td>
<td>2</td>
</tr>
<tr>
<td>Knows the law and other regulation well.</td>
<td>3</td>
</tr>
<tr>
<td>Knows the law and other regulation very well.</td>
<td>4</td>
</tr>
<tr>
<td>Knows the law and other regulation remarkably well.</td>
<td>5</td>
</tr>
</tbody>
</table>

INFORMATION ON TRAINING

What training the appraisee underwent during the quarter? *(List all)*

What knowledge or skills he/she lacks to perform better? *(List all)*

Did the appraisee give suggestions regarding his/her own training?  YES  NO

If YES what:

OTHER

Talks with the appraisee and other activities related to improvement of the performance and achievement of the working objectives:

Other remarks, comments (e.g. illnesses incurred during the appraisal period, personal circumstances, etc.):
# 2007 Appraisal Cycle Time Table

<table>
<thead>
<tr>
<th>Activity</th>
<th>Responsibility Of</th>
</tr>
</thead>
<tbody>
<tr>
<td>Naming officer-in-charge of Personnel Affairs</td>
<td>Principal of State Organ</td>
</tr>
<tr>
<td>Listing evaluators and countersigners</td>
<td>Personnel Unit</td>
</tr>
<tr>
<td>Notifying civil servants, evaluators and countersigner on their respective roles in the appraisal process</td>
<td>Personnel Unit</td>
</tr>
<tr>
<td>Training of Personnel Units, evaluators and countersigners</td>
<td>HRMS</td>
</tr>
<tr>
<td>Discussion between evaluator and appraisee on working objectives</td>
<td>Evaluator</td>
</tr>
<tr>
<td>Specification of working objectives, their documentation and signing the document (Form RC)</td>
<td>Evaluator</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>RESPONSIBILITY OF</th>
</tr>
</thead>
<tbody>
<tr>
<td>Furnishing working objectives document to the Personnel Unit</td>
<td>Evaluator</td>
</tr>
<tr>
<td>Filing a copy of working objective document in the appraisee’s personal dossier</td>
<td>Personnel Unit</td>
</tr>
<tr>
<td>Monitoring and documenting the appraisee’s performance</td>
<td>Evaluator</td>
</tr>
<tr>
<td>Finalizing the Performance Monitoring Protocol for 1 and 2 Quarters (Form PPR)</td>
<td>Evaluator</td>
</tr>
<tr>
<td>--------------------------------------------------------------------------</td>
<td>------------------------------------</td>
</tr>
<tr>
<td>Monitoring and documenting the appraisee’s performance</td>
<td>Evaluator</td>
</tr>
<tr>
<td>Finalizing the Performance Monitoring Protocol for 3 and 4 Quarters (Form PRR)</td>
<td>Evaluator</td>
</tr>
<tr>
<td>Preparation of Appraisal Report, inserting comments, transmitting the Report to the Appraisee together with invitation for discussion</td>
<td>Evaluator</td>
</tr>
<tr>
<td>Discussion between Evaluator and Appraisee on the Report, inserting comments and signing the Report</td>
<td>Evaluator and Appraisee</td>
</tr>
<tr>
<td>Transmitting the signed Report to Countersigner</td>
<td>Evaluator</td>
</tr>
<tr>
<td>Checking up the Report, countersigning</td>
<td>Countersigner</td>
</tr>
<tr>
<td>Dispatching the Report to Personnel Unit</td>
<td>Countersigner</td>
</tr>
<tr>
<td>Checking up the Report</td>
<td>Personnel Unit</td>
</tr>
<tr>
<td>Dispatching the Report to the Principal together with the draft Ruling assigning the grade</td>
<td>Personnel Unit</td>
</tr>
<tr>
<td>Issuance of the Ruling carrying the grade</td>
<td>Principal of State Organ</td>
</tr>
<tr>
<td>Furnishing the Ruling and the Appraisal Report to the Appraisee</td>
<td>Personnel Unit</td>
</tr>
<tr>
<td>Filing a copy of the Appraisal Report in the Appraisee’s personal file</td>
<td>Personnel Unit</td>
</tr>
<tr>
<td>Entering the data on marks assigned to each civil servant into the Central Personnel Registry</td>
<td>Personnel Unit</td>
</tr>
<tr>
<td>Finalizing the Appraisal Cycle Analysis (Form ACO) and its furnishing to HRMS</td>
<td>Personnel Unit</td>
</tr>
</tbody>
</table>