


**ROYAL CIVIL SERVICE COMMISSION**



# **MANAGING FOR EXCELLENCE**

**MAX MANUAL 2023**

**Edition III**



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# List of Acronym

Acronym	Full form
APA	: Annual Performance Agreement
APT	: Annual Performance Target
CBA	: Competency Based Assessment
EE	: Exceeding Expectation
EoL	: Extraordinary Leave
FY	: Fiscal Year
G	: Good
HRC	: Human Resource Committee
HRD/S	: Human Resource Division/Services
HRM	: Human Resource Management
IWP	: Individual Work Plan
KPI	: Key Performance Indicator
LS	: Leadership Statement
MaX	: Managing for Excellence
ME	: Meeting Expectations
ModEx	: Performance Moderation Exercise
MoHA	: Ministry of Home Affairs
NI	: Need Improvement
OC	: Operational Category
PD	: Performance Dashboard
PMC	: Professional and Management Category
PME	: Partially Meeting Expectations
PMS	: Performance Management System
RCSC	: Royal Civil Service Commission
SCS	: Senior Civil Servant
SSC	: Senior Supervisory Category
VG	: Very Good



# 1. Background

Over the last seven years, the Managing for Excellence (MaX) System provided a structured framework to enhance objectivity in assessing performance. MaX, however, is dependent on an effective organisational performance assessment system that aligns individual performance against organisational results and provides accurate and objective agency performance assessments.

The Performance Management System revision of the Bhutanese Civil Service was realigned in the Fiscal Year (FY) 2021-2022 evaluation phase to ensure its relevance. The revision to the MaX framework is an effort towards leaning processes to reduce administrative burden and to strengthen those aspects that promote a good performance management culture.

The performance linked HR incentives and actions will be covered under the chapter on Performance Management System in the BCSR.

## Aligned to these objectives, the following changes have been adopted:

1. Heads of agencies shall develop their deliverables in the form of Key Performance Indicators (KPIs) aligned to agency goals. All heads of divisions, departments and agencies shall reflect their agency goals as their targets.
2. The online platform for developing individual performance targets shall be renamed as Performance Dashboard which will replace the Leadership Statement (LS) and Individual Work Plan (IWP). The Performance Dashboard shall have auto filled mandatory KPIs for all leadership positions which includes the effective management of financial and human resources. KPIs under these areas shall be provided by the Ministry of Finance and Royal Civil Service Commission respectively.
3. The Performance Dashboard shall have a dynamic feature which allows constant progress reporting, monitoring and providing feedback.



4. Final performance evaluation for civil servants at all position levels, except for Operational Category, shall be based on Performance Moderation Exercise. This means senior civil servants shall no longer receive proxy scores of the Agency. Their performance shall be reviewed by their supervisor, and finally determined in the performance moderation exercise.

5. While this does not entail change for performance assessment for civil servants below PI level and specialists, RCSC shall assign a uniform prescribed performance distribution for all agencies, which shall replace the bell curve derived from the Agency Categorisation Framework .

6. In addition to the performance assessment, managers must also conduct the potential assessment of their staff based on the leadership competency for PMC, and competency requirement of profession for other categories, which does not have to be aligned to bell curve distribution. Supervisor should ensure that potential and performance are correlated and not completely contradictory.

7. To tailor performance assessments and career progression to the specific needs for certain technical professions like teachers and clinicians, they will have their bespoke frameworks.



## 2. Components of Managing for Excellence Framework

### Key Features

The MaX is supported by an IT system, the MaX online system that has dynamic individual performance planning, reporting and monitoring features. These features are contained in three sections of the system.

### 2.1 Performance Planning

At the start of every performance period (fiscal year/calendar year) civil servants from S5 and above, including staff on contract, shall indicate their deliverables based on their position level, which shall be derived from the agency targets. Supervisors are accountable for adding objectives ("manage output" feature on system") under which their employees develop KPIs. Supervisors are also responsible to ensure that the quality of KPIs reflect the high performance standards required ("verify employee dashboard" feature).

For senior civil servants (P1 and above), their performance targets/deliverables must be reflected on the Performance Dashboard across the performance areas of a) Business Delivery (Agency targets), b) Financial Prudence, and c) Strategic Human Resource Management.

In addition to the Performance Dashboard, employees and supervisors are required to align skills and competencies development plans reflected under the Potential Assessment.

### 2.2 Monitoring and Feedback

The Performance Dashboard allows for dynamic performance reporting and monitoring where employees update work progress against their annual performance deliverables throughout the year.

Similarly, supervisors can use it to provide feedback and updates on their employees' performance all year round. This new feature has been introduced to encourage and institute a continuous feedback and monitoring loop, which is required for agile management and course corrections towards achieving the results. The information in the performance dashboard must be done proficiently to facilitate performance assessments at the year end.

The same feature is available for Key Competencies and the Supervisors must provide feedback throughout the year in order to allow the employees to work on improving areas identified as gaps and also reference for grooming talent.

### 2.3 Year end Performance Evaluation

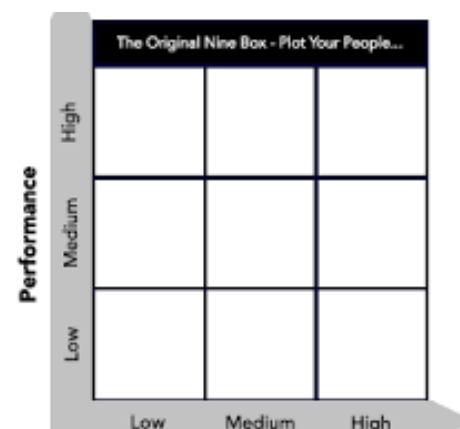
Update of self-evaluation by all individuals should precede evaluation by supervisor of the performance of their direct reportees at the end of the performance evaluation period.

#### 2.3.1 Performance Evaluation and Moderation

Performance Evaluation shall be done in two phases for all civil service employees except employees in "Operational" (O) category. The preliminary evaluation is the first stage which shall be the direct supervisors' evaluation.

The evaluation of performance targets should be done vis-a-viz the competency of the position held. The second phase is the moderation exercises at agency level to finalise employee distribution across performance categories.

"O" category employees shall be subject to the differentiated performance category assigned by supervisors without having to go through the performance moderation.



#### 2.3.2 Potential Assessment

The supervisors should also conduct potential assessment based on competency behavioural indicators. This has been introduced to differentiate assessment of performance which looks at achievement of results and assessment of potential which looks at an individual's potential to assume higher responsibilities. This is critical in identifying, grooming and retaining talent in the civil service.

## 3. The Performance Moderation Exercise (ModEx)

Differentiating performance is a key element of good performance management. It allows managers to separate the high performers from the lower performers. Differentiating employee performance allows for applying objective Human Resource (HR) actions vis-à-vis talent management and employee incentivization and thereby encouraging lower level performers to achieve higher performance while celebrating high performers.

### 3.1 Performance Moderation Committees

Moderation Exercises shall be conducted at three levels:

**3.1.1** At National Level, the performance assessment of Cluster Coordinating Secretaries shall be moderated by the RCSC based on performance assessment done by the Cabinet Secretary.

**3.1.2** The Cluster Coordinating Secretaries shall moderate the performance assessment of Government Secretaries and other Secretaries. The Committee shall be chaired by the Cabinet Secretary.

**3.1.3** At Cluster Level, the Secretaries within clusters shall moderate performance assessments of executives in their cluster. The Committee shall be chaired by the Cluster Coordinating Secretary.

**3.1.4** Dzongkhags are under the Security Cluster and their moderation committee representative shall be MoHA Secretary. Similarly, Thromdes are under Economic Cluster and their moderation committee representative shall be MoIT Secretary.

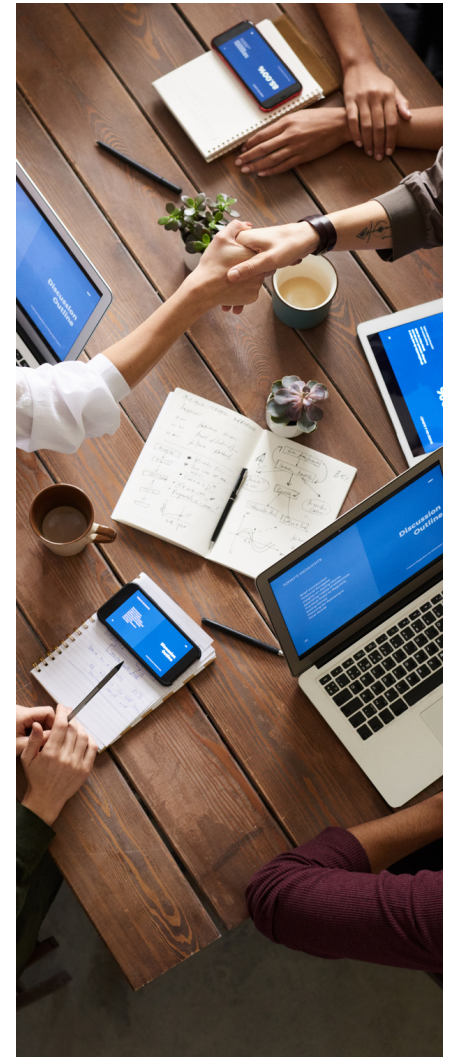
**3.1.5** Constitutional Bodies: Executives in the Constitutional Bodies will be assessed by the head of the agency, and a differentiated performer category is expected.

**3.1.6** At Agency Level, the executives of respective ministries shall moderate performance assessments of P1M Chiefs within their ministries, led by the government secretaries. Allied autonomous agencies of ministries shall be added to the moderation pool of the ministry. At division level, Chief of divisions shall assess performance of employees within the division. If the number of staff at division level is small, the agency may opt to conduct ModEx at agency level by pooling all staff together.

**3.1.7** P1M Chiefs in agencies not allied to any ministries, will be moderated by the respective executive(s).

**3.1.8** At Dzongkhag Level, the Dzongdag shall evaluate the performance of their P1 officials. Moderation of P1 officials in Dzongkhags shall be subject to the performance quota determined at national level for the twenty Dzongkhags P1 as one pool. The performance moderation Committee shall consist of Dzongdags, MoHA Secretary, and a representative from RCSC.

**3.1.9** Moderation of staffs can be done at division level by the immediate supervisor or done at department or agency level based on the management's decision as long as the overall bell curve distribution is met for Partially Meets Expectations (PME).



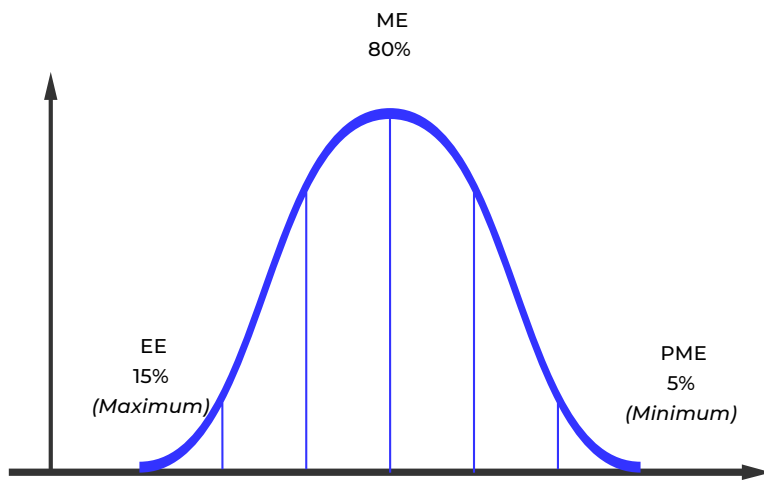
The performance assessment of executives and P1M must be competency based against the leadership competencies with reference to business delivery report of organization and other relevant documents.

## 3.2 Performance Distribution aligned to Performance categories

Bell curve distribution for Performance ratings shall be adopted to ensure that there is differentiation in assigning ratings for staff into different performance categories.

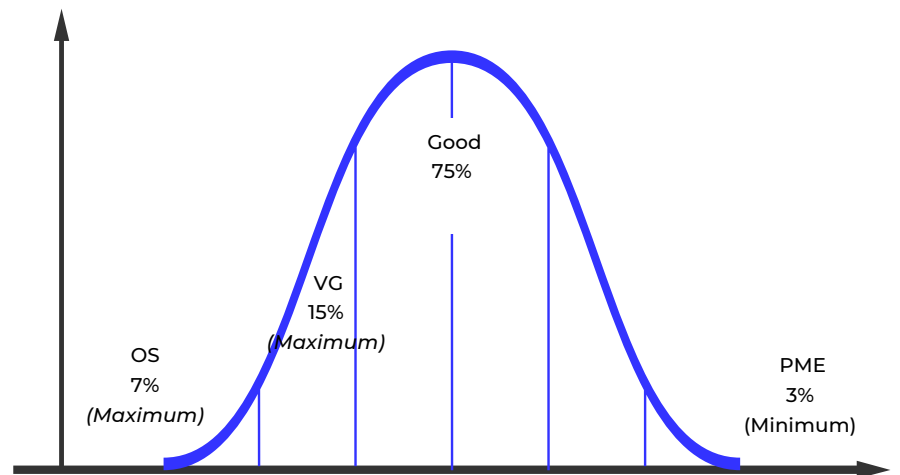
### 3.2.1 Civil Servants in Supervisory Positions

Civil Servants in P1M category and Executives, shall be moderated for performance across three categories of performance. The bell curve distribution under each category is uniformly set based on the Pareto principle, as follows:



### 3.2.2. Other Civil Servants

Other groups of civil servants which include Specialists (ES3/2/1+P1S), <=P2 officials, and SSC, the employee distribution quota for each performance category shall be as follows:



Note:

P1M and EX categories: EE: Exceeding Expectation, ME: Meets Expectation, PME: Partially Meets Expectation. Other categories: OS: Outstanding, VG: Very Good, PME: Partially Meets Expectation,

The total number of employees to be categorised under the EE and OS categories shall not exceed the assigned bell curve distribution, but the moderation committee can also choose to put less numbers of employees in this category.

In the case of the PME category, the number identified for the agency is the minimum number of staff that have to be assigned in this performance category. However, Agencies can identify more than the required numbers.

### 3.2.3. Methodology for Determining Bell Curve Distribution

To determine the exact number of employees under each category, agencies must first finalise the total number of employees as the pool for moderation exercise. Based on this number, the bell curve distribution must be applied according to the two moderation pools i.e. P1 and Executives, and Specialists, P2 and below. Decimal figures are likely to emerge and the following steps must be adhered to determine exact numbers of employees in each performance category.

#### 3.2.3.1. For Executive and P1M

- 1st round off in EE category.
- 2nd round off PME category and rest in ME.

#### 3.2.3.2. For P1S, ES3/2/1, P2 and below, SSC

- 1st round off in Outstanding category.
- 2nd round off in the PME Category.
- Third Round off in Very Good category and rest in Good.

When rounding off in PME, EE/OS, VG, after reaching the number 1, any rounding up shall be done only if the next digit is higher than 0.5 and the number shall be kept the same without any change if the next digit is less than 0.5. Eg. if the total number of employees eligible under EE/OS/VG or PME is 0.4, the number of employees distributed shall be rounded up to 1. However, if the number is 1.4, the total number should be maintained at 1, and if the total number is 1.5, this shall be rounded up to 2.

### 3.3 Schedule

Agencies to plan performance evaluation after June 30 aligned to the submission and approval of promotion schedule of BCSR.

### 3.4.Determining the Moderation Pool

The moderation pool shall constitute employees who were engaged in the agency in the performance year for a substantial period. Agencies can choose to moderate staffs together or separately based on the categories (specialist, PMC or SSC). Moderation can be done at division, or agency, or department (relevant to ministry) level as long as the overall quota requirement is met.

As such, following shall be considered for determining the moderation pool:



#### 3.4.1. Employees to be included are:

- a) Employees who served the Agency for the particular appraisal period including those who are serving their probation period and those on any kind of contract.
- b) Employees who joined on transfer during the appraisal period irrespective of the duration.
- c) Employees who joined or left the Agency for Medical Leave, Study Leave and Secondment during the appraisal period having served the Agency for six months and above.



#### 3.4.2. Employees to be excluded are:

- a) Employees on leave (all types) for the entire appraisal period.
- b) Employees separated at any point during the appraisal period.
- c) Employees on temporary transfer to Special Projects.
- d) Employees on Secondment for the entire appraisal period.
- e) Employees who joined on transfer after the completion of the particular appraisal period.
- f) Contract employees recruited on short term contracts (12 months or less).





### 3.4.3 In addition, following considerations must be noted:

#### 1 Secondment

Civil servants on Secondment during the entire appraisal period will be given a default performance rating of “Good”. However, if the Agency where they are serving on Secondment submits a non- performance record on the civil servant, s/he shall be categorised in the PME.

If they have served six months and above and are relieved for Secondment, they shall be included in the pool of employees to be moderated in their previous agency.

#### 2 Long Term Study Leave

Civil servants on long-term study leave for the entire appraisal period will be given a default performance rating of “Good” on submission of a successful course completion certificate. However, if they have served six months and above and are relieved for study leave, they will be included in the pool of employees to be moderated.

#### 3 Maternity Leave

Civil servants on maternity leave shall be included in the pool of employees to be moderated and may generally be given a minimum performance rating of “Good”.

However, the moderation committee shall have the discretion to categorise such civil servants into higher performance categories based on the performance for the duration served in the Agency.

#### 4 Extraordinary Leave (EOL)

Civil servants on EOL will not have Performance Evaluation for the period of EOL only if he/she is away for the entire assessment year. The duration for EOL is considered as inactive service and as such this period is not included for any HR actions and hence, he/she shall not be included in the Moderation Pool. However, civil servants who join or leave the agency during the performance period with at least 6 months of active service shall be included in the pool of employees to be moderated.

#### 5 Medical Leave

Employees on medical leave for the entire appraisal period shall be excluded from the pool of employees to be moderated and given a default performance rating of “Good”. However, if they have served six months and above, they will be included in the pool of employees to be moderated.

#### 6 Transfer

Any civil servant transferred in between the appraisal period will be moderated in the Agency where he/she is transferred irrespective of the duration by the new supervisor in close consultation with earlier supervisor(s) on targets set by the employee for the former agency. For effective and objective evaluation and moderation, the HRD/S shall ensure that the Performance rating for activities carried out in the former Agency is obtained from the former supervisor in the MaX Online system as the System allows to evaluate the performance throughout the year.

#### 7 Employees Separated from civil service

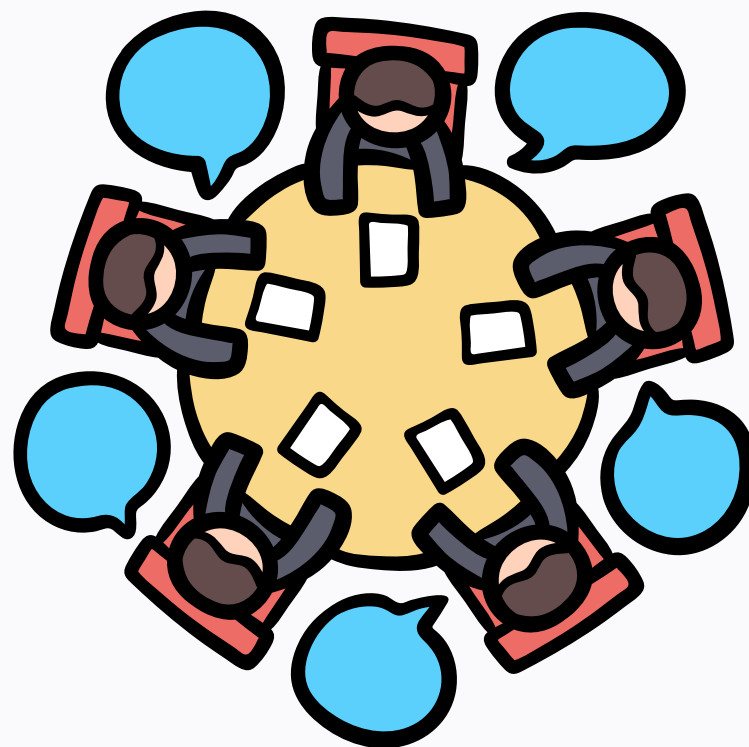
During the conduct of the Moderation Exercise, any civil servant who has left the civil service at any point during the appraisal period shall no longer be included in the moderation pool.

## 3.5 Requisites to Conduct ModEx

As a general principle, all employees shall ensure that regular progress reporting against KPIs is made on the performance dashboard in the MaX Online System. All supervisors shall ensure that continuous performance feedbacks are provided against reported progress throughout the year both through the performance dashboard of the online MaX system, and by meeting the employee in-person, to ensure that there are no surprises on the performance assessment results at the end of the year.

### 3.5.1 The moderation committee shall ensure:

- a. Communication of the criteria for moderation at the start of appraisal period and start of assessment.
- b. Complete assessment of direct report's performance including performance category determination and ranking of employees.
- c. Complete preliminary assessment of other candidates in the moderated pool, who are not his direct reports.
- d. Prepare and keep ready any additional documents required by other moderation committee members for performance assessment.



### 3.5.2 The moderation committee Secretariat shall ensure:

- a. Communication of agreed and approved ModEx criteria and moderation schedules.
- b. Determination of moderation pool size and ensure all supervisors/moderation committee members have carried out their preliminary assessment of employees and drawn their performance categorization and ranking within each category.
- c. Collection of all required documents for the purpose of moderation exercise including the individual employee assessments by supervisors
- d. Preparing the chair of the ModEx committee for the meetings based on the preliminary assessment and categorization by the members.
- e. Conduct preliminary moderation exercises as and when required.

### 3.6 Moderation Criteria

For the purpose of establishing clear performance standards for each of the categories, the moderation committee shall first identify a performance baseline of what PME, ME or EE entails. It is recommended that “results” be measured beyond any other derailing parameters. However, in cases of close competition, results shall be assessed viz-a-viz other relevant criteria such as job size/position level and impact of results.



The following guide is suggested for the moderation committees:

#### 3.6.1 Performance

##### Performance Category

##### Performance Standard

<p><b>Exceeding Expectation/ Outstanding</b></p>	<p>Performance is significantly and noticeably better than others. Routinely exceed job expectations. No major areas for improvement. The high quality of leadership and achievements, both in terms of the results achieved and the way he/she went about achieving those results.</p>
<p><b>Meeting Expectation/ Very Good</b></p>	<p>Meet overall baseline requirements. Performance is satisfactory. While no major improvement is needed, can afford to go the extra mile and perform at a higher level.</p>
<p><b>Good</b></p>	<p>Meet overall baseline requirements. Performance is satisfactory. There is some room for improvements.</p>
<p><b>Not Meeting Expectation/ Partially Meeting Expectation</b></p>	<p>Performance is not acceptable. It does not meet the minimum expectations for the job. Needs substantial improvement in job competencies.</p>



If it becomes impossible to differentiate performance due to equal results achieved by employees using the primary criteria of performance differentiation, moderation committee may adopt consecutive additional criteria to differentiate performance.

### 3.6.2 Job size vs. position level

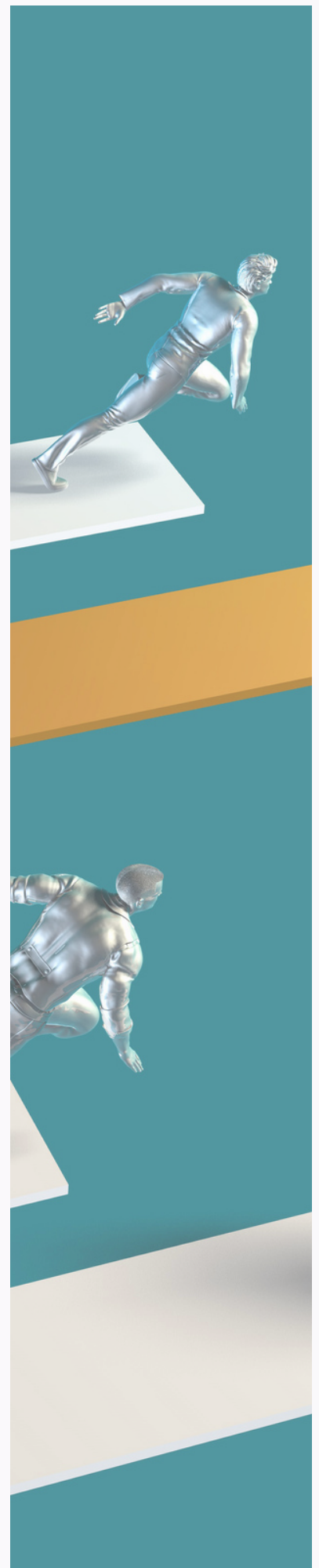
Performance Category	Job size vs. position level
Exceeding Expectation/ Outstanding	Job Size >= Position
Meeting Expectation/ Very Good	If Job Size < Position, "ME" would typically be the highest performance category if Performance and Impact is at least "meeting".
Not Meeting Expectation/ Partially Meeting Expectation	Job Size =< Position

### 3.6.3 Impact

Performance Category	Impact
Exceeding Expectation/ Outstanding	High Significant Deep Widespread
Meeting Expectation/ Very Good	Moderate Adequate Considerable Essential
Not Meeting Expectation/ Partially Meeting Expectation	Limited Minor Superficial

### 3.6.4 Signaling Effect

Performance Category	Signaling Effect
Exceeding Expectation/ Outstanding	Special achievements Signaling effect Job criticality
Not Meeting Expectation/ Partially Meeting Expectation	Conduct & behavioural issues



## 3.7 Role of Moderation Committee Members



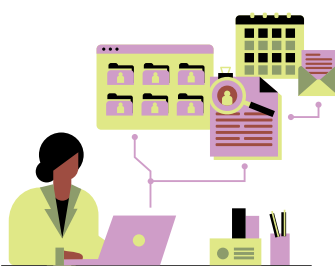
### 3.7.1 Role of Moderation Committee Members

Moderation committee's role is key in instituting an objective and reliable performance moderation process. Therefore, it is critical for committee members to take ownership of the process and the results.

- The moderation committee members shall ensure that an objective and performance based view is adopted to assess individual performance.
- All members shall present clear assessment points for making their case in order to provide the rest of the committee members with information as required in making final moderation decisions.
- All members must declare Conflict of Interest.
- All members shall be accountable for the overall moderation results and therefore must take ownership of the decisions.
- All members shall be responsible for conveying performance moderation results clearly to their respective employees based on agreements made within the committee.
- The Chair of the committee shall facilitate the meetings and summarise the final decisions at the end of the meeting.

### 3.7.2 Role of Secretariat

The Secretariat to Moderation Committees shall be the Human Resource Division/Services/Official who shall lead the successful conduct of the moderation. Their responsibilities are:



- Ensure supervisors are continuously checking in on performance management of their employees.
- Collect all required documents for the purpose of moderation exercise including the individual employee assessments by supervisors.
- Ensure sharing all required information for conduct of moderation with the committee members. Carry out pre-moderations as required.
- During the conduct of final moderation, ensure proper note taking of discussions especially for those which discuss reasons why employees are categorised in EE/Outstanding and PME. This shall be used for communicating with the employees.
- Lead the discussion by laying out all necessary facts as information and make clear requirements out of the moderation exercise. Ensure to run through final decisions.
- Ensure supervisors communicate performance assessment results with employees within five working days of the conduct of the moderation exercise.

## 4. Appeal Procedure

A civil servant who is not satisfied with the decision of the moderation committee can appeal to the relevant authority as detailed below. Appeal submitted shall be supported by sufficient evidence of injustice.

### 4.1

#### Appellate Authority to Review Appeal Cases of Moderation Exercise

- a) The HRC of the respective Agency shall be the first level to review and decide the appeal pertaining to Moderation Exercise.
- b) RCSC shall be the highest appellate authority to review the decision rendered by the HRC of the Agency, if there is any appeal against the decision of HRC. The RCSC shall accept such appeal only after it was reviewed by the respective agency, hence direct appeal to the RCSC will be invalid.

### 4.2

#### Appeal Period

- a) Aggrieved civil servants shall appeal to respective HRC within 10 working days from the declaration of moderation results.
- b) Any appeal to RCSC against the decision of HRC shall be submitted within 10 working days from the day the decision of HRC is conveyed formally.

### 4.3

#### Appeal Process

- a) The HRC of the working Agency shall deliberate on the appeal within 5 working days from the date of the appeal received, and form an Investigation Committee.
- b) The investigation, if required, shall be conducted within 10 working days after the formation of the Investigation Committee.
- c) The Investigation Committee shall submit an investigation report within five working days after the investigation.
- d) The HRC, after receiving the investigation report, shall then render the final decision within five working days.
- e) The HRC shall convey the decision to the appellant.
- f) A civil servant aggrieved by the decision of the HRC of the Agency shall appeal to the RCSC within 10 working days after receiving the decision of the HRC.
- g) The RCSC shall deliberate on the appeal within 15 working days from the date of the appeal received, and assign an Investigator or form an Investigation Committee, if required.
- h) The Investigator/Investigation Committee shall submit an investigation report within five working days after completion of the investigation.
- i) The RCSC, after receiving an investigation report, shall render the final decision within 15 working days.

## **5. ANNEXURES**

# Annexure 1: Performance Planning and Evaluation form

Performance Dashboard Executives and P1M				
<b>Section A: Employee Details</b>				
PERIOD:				
EMPLOYEE ID No.				
NAME OF THE EMPLOYEE:				
POSITION TITLE/LEVEL:				
DEPARTMENT/AGENCY:				
<b>Section B: Agency Strategic Plan/Annual Performance Target</b>				
Objective	KPI	Monitoring Dashboard (Progress/achievement/track)		
		Year 1	Year 2	Year 3
1. Business Delivery				
2. Financial Prudence	<i>(prepopulated)</i>			
3. Strategic HRM	<i>(prepopulated)</i>			
<b>Section C: Leadership Capability Framework</b>				
Competencies	Description	Self assessment	Remarks from Supervisor (qualitative assessment)	
<b>1. Direction</b>	a. Long-Term Vision (The ability to develop and express the desired goals and destination for the nation over a longer period of time)			
	b. Change agent			
	c. Personal Mastery and Growth Mindset			
	d. Adaptability (Responding to various trends and changes with appropriate strategies, policies, and actions)			
<b>2. Drive</b>	a. Excellent people managers			
	b. Exemplifies Personal Drive and Ethical Leadership			
	c. Cultivates productive working relationship through managing others.			
	d. Communicates Effectively			
<b>3. Delivery</b>	a. Strategic Prioritisation (Developing longer-term plans and decision making frameworks that focus on important goals and outcomes)			
	b. Uses Resources Efficiently and Effectively and achieves results			
	c. Innovation (The capacity for learning, and the generation, adaptation, and application of ideas )			
	d. Anti-Corruption (The control and prevention of the abuse of public power for private benefit )			
<b>Assessment (EE/ME/PME)</b>				



## Annexure 2: Performance Planning and Evaluation form

Performance Dashboard( P1S/ES3/2/1)				
<b>Section A: Employee Details</b>				
PERIOD:				
EMPLOYEE ID No.				
NAME OF THE EMPLOYEE:				
POSITION TITLE/LEVEL:				
DEPARTMENT/AGENCY:				
<b>Section B: Agency Strategic Plan/Annual Performance Target</b>				
Objective	KPI aligned to 3 specialist role	Monitoring Dashboard (Progress/achievement/track)		
		Year 1	Year 2	Year 3
1. Technical Advisor	1. Technical Advisor/KPI			
2. Strategic Partner	2. Strategic Partner/KPI			
3. Researcher	3. Researcher/KPI			
4. Management	<i>(relevant to specialist head/offtg only)</i>			
<b>Performance Score (OS/VG/G/PME)</b>				
<b>Section C: Specialist Competency Framework</b>				
Specialist Competencies	Description	Remarks from Supervisor (qualitative assessment)		
<i>Specific to profession</i>				
<b>Potential Assessment (OS/VG/G/PME)</b>				
<b>Section D: Overall Assessment</b>				
Category of Assessment	Overall Score (OS/VG/G/PME)	Qualitative remarks		
Performance Score (B)				
Potential Assessment (C)				

# Annexure 3: Performance Planning and Evaluation form

## Performance Dashboard PMC <=P2

### Section A: Employee Details

PERIOD:	
EMPLOYEE ID No.	
NAME OF THE EMPLOYEE:	
POSITION TITLE/LEVEL:	
DEPARTMENT/AGENCY:	

### Section B: Agency Strategic Plan/Annual Performance Target

Output	Activity	KPI	Individual Performance Reporting		Supervisor Assessment/Monitoring report
<b>Performance Score (OS/VG/G/PME)</b>					

### Section c: Leadership Competency Framework

Leadership Competency	Description	Individual Performance Reporting	Remarks from Supervisor (Qualitative Assessment)		
1. Strategic View	Innovation & Creativity Analytical Thinking Decision Making Risk Management & Contingency Planning				
2. Achieve Results	Problem Solving Conflict Management Team Spirit/Team Building Project Management Change Management Mentoring & Coaching Results Oriented				
3. Cultivate Productive Working Relationship	Citizen Centric Statesmanship Emotional Intelligence Empathy (Listens, understands & adapts to audience) Collaborative Skills				
4. Personal Drive and Integrity	Professionalism Motivation & Inspiration Transparency & Accountability Integrity				
5. Communicates effectively	Effective Communication Skills Adaptability/Flexible Thinking Skills Negotiation Skills (ability to work towards win-win outcomes) Observant and Investigative Skills				
<b>Potential Assessment (OS/VG/G/PME)</b>					

### Section D: Overall Assessment

Category of Assessment	Overall Score (OS/VG/G/PME)	Qualitative remarks
Performance Score (B)		
Potential Assessment (C)		

## Annexure 4: Performance Planning and Evaluation form

Performance Dashboard Supervisory and Support Category				
<b>Section A: Employee Details</b>				
PERIOD:				
EMPLOYEE ID No.				
NAME OF THE EMPLOYEE:				
POSITION TITLE/LEVEL:				
DEPARTMENT/AGENCY:				
<b>Section B: Agency Strategic Plan/Annual Performance Target</b>				
Output	Activity	KPI	Individual Performance Reporting	Supervisor Assessment/Monitoring report
Performance Score (OS/VG/G/PME)				
<b>Section C: Competency Based Framework</b>				
Competency	Description	Individual Performance Reporting	Remarks from Supervisor (Qualitative Assessment)	
Potential Assessment (OS/VG/G/PME)				
<b>Section D: Overall Assessment</b>				
Category of Assessment	Overall Score (OS/VG/G/PME)	Qualitative remarks		
Performance Score (B)				
Potential Assessment (C)				

## Annexure 5: Performance Planning and Evaluation form

<b>Performance Appraisal Form for Operational Category</b>		
PERIOD:		
NAME OF THE EMPLOYEE:		
POSITION TITLE:		
POSITION LEVEL:		
DIVISION:		
DEPARTMENT/AGENCY:		
Competency Behavior	Description	Supervisor Comments (not mandatory)
1.Ethics & Integrity	Earns others' trust and respect through consistent honesty and professionalism in all interactions	
2.Communication Skills	The ability to convey information to another effectively and efficiently	
3.Service Focus	Values and delivers quality service to all	
4.Team Work	Promotes cooperation and commitment within a team	
5.Self Management	Manages own time, priorities, and resources to provide quality services	
6.Safety Focus	Adheres to all workplace and work safety laws, regulations, standards, and practices	
<b>Overall Score</b>	OS/VG/G/PME	

## Annexure 6: Frequently Asked Questions (FAQs)

### 1. What if all the PI who are being assessed, meet all the criteria set? What happens to the prescribed quota?/What happens if all are rated as ME and there is no PME?

We can and should trust the process of moderation. Typically, we would be able to identify the EE, ME and a few PME performers if we stick to the rigours of substantiating the performance claims based on justifications of performance outcomes, results, leadership qualities, job size–employee position relativity and impact of contributions.

### 2. How to deal with PME??

PME performers are those who did not meet the performance requirements. The focus is to restore their performance to at least the ME level. The supervisor and officer should jointly implement an improvement plan to this end. The message to convey to PME performers is NOT that they should exit the civil service. Rather, we should tell PME performers plainly that they did not meet expectations and we want them to improve their performance in the next performance appraisal cycle.

### 3. How to deal with different standards of rating used by individual moderation committees?

Each moderation committee is allowed to customize its moderation criteria according to the ambit and context of the operations of the agencies/depts/divisions under their purview. Notwithstanding that, the standard parameters of performance (including leadership competencies), job size relativity and impact would have been adapted across all moderation committees, thereby ensuring consistency in the assessment approach.

### 4. Is it fair if performance standards used by moderation committees of one cluster/agency is higher than others where similar performing employees could be categorised in different categories merely because of difference in performance expectations?

Inevitably, there could be some differences in performance standards across clusters/agencies due to the complexity of measuring human performance in different and diverse work settings. This should be expected. What we want to ensure is procedural fairness through a rigorous process of scrutinising and justifying the performance, competencies and impact of the individual's contributions. In the eventuality that the individual feels that his/her abilities can be better used and appreciated in a different agency, the individual may decide to apply for a transfer to the other cluster/agency.

### 5. Should the size of a division/department be a consideration to look at the span of control (people/budget) in assessing job size?

In assessing the job size, span of control is only one of several attributes for consideration. Other attributes that should be considered include job know-how, problem solving and accountabilities etc.

### 6. Can those senior officials whose job size is comparatively smaller due to the system design be simply by-default be put in ME? Otherwise, it would be hard to use the parameters like job size vis-a-vis position level to differentiate them if they are contending for EE or PME.

We should adhere to the rigour of performance moderation through objective discussion, clarification and critique. We should not assign anyone to a performance category without first examining his/her performance, leadership competencies and impact of contributions.

### **7. How can the impact of results delivered be measured when assessing annual performance?**

Impact of results can be appraised by reviewing the performance dashboard.

### **8. How to adjust for cases where employees excel in delivering results in areas that are not their core job?**

Every employee is expected to first deliver results in his primary role and core job. An employee who delivers excellent results in secondary roles but fails to deliver expected results in his primary role/core job would generally not be eligible for consideration to receive a EE performance rating.

### **9. Is there a risk factor where individuals will not coordinate to avoid letting others perform if successfully coordinated?**

Collaboration is an important leadership quality. Any deliberate attempt to undermine the accomplishment of agency objectives due to lack of cooperation would only lead to a loss-loss outcome for the individual and the agency. Hence such behaviour cannot be tolerated and should not.

### **10. Should there be differentiating weight for the parameters in moderation criteria? How about prescribing set weightage on the criteria for clarity on which criteria are crucial?**

Weights applied in performance moderation provide a form of basis in explaining the performance differentiation. However, the prescription of the weightages itself is subjective and arbitrary which has no real advantage over the rigour of objective discussion, clarification and critique when assessing the overall performance of the individual.

### **11. What would the "Signalling effect" constitute?**

The "signalling effect" is generally used to recognize exceptionally high potential and the significant value of their sustained contributions.

### **12. Is it important to set a standard of EE even though there is consensus on which employees are categorised?**

Yes. Explicit understanding of the performance standards and knowing the reasons for EE performance would help the EE performers to sustain their performance in the future.

### **13. How to factor those officials dealing with mental health challenges, on long medical leaves and such similar situations? Should we give better ratings on the grounds of compassion?**

As a principle, we should not be assigning better performance ratings based on compassionate grounds, rather it should be a merit-based system. There should be a clear policy on the treatment of officials who were on long absence from work during the performance appraisal year.

### **14. Does the Chair have the authority to make the final decision on moderation when there is no consensus in the discussion?**

The Chair has the authority to make the final decision in the performance moderation.

### **15. How to take into consideration disciplinary cases which might not be directly related to the individual's work?**

The nature and severity of the offence (alleged or otherwise) and the disciplinary verdict/outcome (if available) will have to be considered when reviewing its impact on the final performance rating for the individual. A conditional performance rating may be given if there is yet to be a conclusion to the disciplinary case that is pending the Court's decision.

### **16 Shouldn't officials with severe misconduct cases like sexual harassment be excluded from the moderation pool altogether?**

All officials should be included in the moderation pool since a decision on their performance for the year has to be made.

**17. What happens to cases of misconduct from prior to the performance year in question? What about those cases where someone has already been penalised?**

An official who has already been penalised after full consideration of the entirety of the case during the previous performance moderation exercise should not be penalised again in the current moderation exercise.

**18. Can the moderation committee determine during criteria setting to exclude officials with misconduct cases pending?**

Generally, no. The permission of RCSC must be sought for any such exclusions with very good reasons.

**19. What does PME stand for? Messaging is critical in avoiding giving the wrong message.**

PME denotes "Partially meets expectations". It means performance is not acceptable and only partially meets the expectations for the job. It may also include the employee's need for substantial improvement in leadership qualities (Direction/Delivery/Drive).

**20. In the current environment of high attrition rates, will it be better to have something else instead of PME?**

Consistent and reliable messaging with open and honest feedback of performance results is an important tenet of any performance management system. Masking non-performance through clever use of semantics will not improve the performance of the individual nor the Service in the long term.

**21. Why is the bell curve system forced when there could be a situation where no one deserves to be in PME?**

The bell curve offers a disciplined approach in differentiating the performance of the employees. Instead of prematurely concluding the non-existence of PME performers, the moderation committee would work through the process of performance moderation to ensure employees are placed in the appropriate performance category. We can and should trust the process of moderation. Typically, we would be able to identify the EE, ME and a few PME performers if we stick to the rigour of substantiating the performance claims based on justifications of performance outcomes, results, leadership qualities, job size-employee position relativity and impact of contributions.

**22. Can the moderation be done after a few years as there is risk of attrition with Performance Management?**

The performance appraisal cycle is conducted on an annual basis. Accountability necessitates timely and objective appraisal of performance (which includes moderation) with no delays.

**23. Would a moderating committee member be able to assess across the dimension of 3D for those officials with whom there is little interaction but by only using the performance dashboard and other information provided?**

Moderation committee should access and consider all relevant information to the full extent where possible in arriving at the appropriate assessment of the individual.

**24. Does the moderation have a bearing on PBI and other decisions?**

The moderated performance rating would have a consequential impact on the PBI and other HR actions according to the prevailing HR policy.

**25. Who should be responsible for leading the management of PME categorised employees, and what should be the consequences?**

The agency supervisor and employee concerned will be jointly responsible to close the performance gap through regular coaching and following through an improvement plan.

**26. Can we moderate staff into EE/ME/PME, and only if required rank them?**

You may not need to rank everyone. However, you should be able to identify your strongest and weakest performers in each category since there will be a need to calibrate standards at the performance boundaries.

**27. What might be the differentiating competencies that define the performance baseline of the EE category?**

The differentiating competencies should be defined in the context of organisational performance which will have to be decided by the Agencies.

**28. Each moderation committee member will be defending and biased for one's candidate, what mechanisms should be placed to moderate this?**

A consistent approach, objective moderation criteria, an open and robust discussion among members have shown to facilitate procedural fairness and in ultimately achieving the objectives of performance moderation.

**29. What if no one is nominated under PME by any of the moderation committee?**

Review the weakest ME performers in each agency/dept/division to assess whether any should be assigned to the PME category.

**30. Why is the deliberation mostly done for EE and PME and not for ME?**

In the performance management ecosystem, attention is placed on the EE performers so that they are brought into the virtuous loop of making their strengths stronger and sustaining the impact of their contributions for the agency. Likewise, PME performers are identified, managed and developed to mitigate the risks of derailment. If there are sufficient resources, time and effort should also be devoted to discussing the ME performers.

**31. How can you compare a routine job of regulatory function with a more strategic work? How do we compare different professional categories?**

The moderation criteria should be set in such a manner that it offers fair opportunities to everyone to be eligible for consideration of a EE rating.

**32. If someone's delivery is affected by external factors, should we not reward effort?**

The fundamental criterion of delivery is the demonstration of results and not recognition of efforts. If there are uncontrollable factors that impede or inhibit the achievement of objectives, these should be discussed and considered in arriving at an appropriate grade for the individual.

**33. How do we objectively measure performance for those employees with whom there is no daily basis interaction within the moderation committee?**

The moderation committee does not necessarily have to know all employees personally for an effective performance review. The important task is to familiarise with the parameters of moderation and use them to facilitate quality discussions. It is also important to refer to the information matrix which should contain vital information on the individual employees. The respective supervisors are responsible to ensure comprehensive information on their employees.

**34. How is the performance bell curve/ distribution determined?**

For a start, the bell curve for the 3 and 4 tier performance categories is based on the 80:20 principle and to implement a disciplined approach in enforcing performance differentiation among senior civil servants.



**35. Is it possible to base the bell curve on annual performance which means that in years of good performance, there may not be any employee eligible for PME?**

While the moderation committee may decide on the number of PME performers based on customised moderation criteria, the setting of the quota rests with RCSC which is enforced across all agencies. The quota which is applicable at the Cluster/Agency level allows some flexibility for agencies to decide the distribution of EE, ME and PME performers within the departments/divisions. It is therefore possible that the quota is not distributed evenly across all departments. For illustration, one department may have done extremely well and consume a large portion of the agency's EE quota while another department may have done significantly poorer and taken the major share of the PME quota.

Agencies who can consistently meet the minimum PME quota requirements for consecutive years could face an increasing challenge to fulfil the same PME quota in successive years if there is a rise in performance standards. A review of the performance quota at such a time would be deemed reasonable if such a situation arises.

**36. How do we compare "apples to oranges", i.e., difference in job nature? How to compare employees with varying job sizes and nature?**

The types and nature of jobs that can be found in today's global economy are so diverse that different job evaluation methodologies have evolved which attempt to approximate the relative value or size of jobs. Common job evaluation methodologies include the ranking method, classification/grading method, point-factor method and factor comparison method. In relation to performance moderation, the relativity between job size and employee position level is an approach to assess whether an employee has a bigger job compared to his counterpart in the same moderation cohort.

**37. On the usage of the average score of all panelists to determine final EE and PME.**

The convenient method is to conduct a voting exercise by the panelists and rank the individual performer based on the number of votes obtained or the average score obtained from all the panelists. This shorthand approach while efficient does not account for the different level of understanding each panelist has on the performance of the individual performer. Hence, it is advisable to use this approach only after members of the moderation committee had the opportunity to present their own cases and listen to other members' justifications.

**38. If there are two different levels of Director position, does this put the senior person at a disadvantage in considering criteria of job size relativity?**

This approach is fair since job size affects performance and hence should be taken into consideration.

**39. What can be used in addition to a performance dashboard to measure performance?**

LCF with the behavioural indicators are additional information which are useful for assessing the performance of the officers.

**40. How can we determine job size across departments?**

A job evaluation exercise can be conducted to evaluate the relative value or size of jobs across departments in the organisation. Some common job parameters that can be considered when evaluating job size include span of control (no of people reporting to you), job complexity, accountability (including fiscal responsibility), etc.

**41. Why are we using the performance distribution bell curve again? Why are we delinking the bell curve from the APA scores? What is different in the current system?**

The APA scores were inflated and did not reflect the true performance of the agency. The current performance distribution which is based on a bell curve distribution model focuses on a clear set of articulated performance standards, holding quality discussions during performance reviews and fair and objective moderation exercise in determining the final performance ratings for the officers.

