

Reference No: E136/39/78; **Date:** 10/03/83

Circular 4/1983:- Performance appraisal for grades represented by the Civil Service Executive Union

A Dhuine Uasail

1. I am directed by the Minister for the Public Service to say that he has accepted an agreed recommendation by the General Council under the Scheme of Conciliation and Arbitration for the Civil Service (Report 971) on, a scheme of performance appraisal for the grades represented by the Civil Service Executive Union (CSEU). A copy of the report is enclosed; details of the scheme are set out in the Appendix to it.

2. The scheme replaces the appraisal scheme introduced in 1977 (General Council Report 749) for the grades then represented by the CSEU.

3. The new scheme differs from the previous one in the following respects:

* Only the general features of the scheme have been agreed at General Council the precise details of the scheme(s) to operate in any Department will be subject to agreement at the Departmental Council -

* The appraisal process, in addition to its primary purpose of staff development and more effective work performance, will give information to management for use in their assessment of staff for promotion purposes.

* Following agreement on the implementation of the scheme at Departmental Council, the scheme will be compulsory on all Executive Officers, Higher Executive Officers and Administrative Officers and any other CSEU grades agreed to be covered. If an individual officer refuses to participate, his supervisors will proceed with appraising him and will brief him on the results.

4. A system of performance appraisal is an essential part of any system of management accountability. A formal scheme of appraisal enables management to review progress in achieving targets and objectives on a systematic basis, to identify staff strengths and weaknesses (and take appropriate action) and to assess the potential of staff for promotion purposes. Such a scheme provides management with a means of getting the best possible return from available staff resources. From the individual officer's viewpoint, it provides an invaluable opportunity to review performance and discuss career development with his supervisors. This opportunity should have a general beneficial effect on morale and output.

5. A very extensive training programme for supervising grades was launched on the introduction of the previous scheme. The large number of officers who received training at that time should facilitate the early introduction of the scheme in Departments following agreement at Departmental Council. It is not essential for a supervisor to attend a training course to carry out an appraisal successfully; in fact, many officers will have developed these skills over the years in the normal course of their duties. Information and training will, however, be provided as necessary and appropriate, and officers of the Civil Service Training Centre of this Department will be available to discuss any difficulties which may arise in the introductory phase.

6. It is open to the official side or the staff side of any Departmental Council - or preferably both sides jointly - to take the initiative in having the outline appraisal scheme discussed at the Departmental Council with a view to reaching agreement on the precise details of the scheme to be implemented in the

Department, or in a branch of the Department. Heads of Departments are urged to ensure that the matter is taken up at Departmental Council as soon as practicable, and before 31 May 1983, if possible.

7. Please bring this circular to the attention of all officers in your Department and associated offices to whom the scheme applies and to all officers who may be involved as supervisors.

Mise le meas
K Murphy

Civil Service Conciliation & Arbitration Scheme
General Council Report 971
(Meeting of 27 October 1982)

Scheme of Performance Appraisal for grades represented by the Civil Service Executive Union (C.S.E.U.)

1. A Scheme of Appraisal for grades represented by the C.S.E.U. was adopted by General Council on 16 May 1977 (Report 749). This Scheme has been reviewed by the relevant sub-committee.
2. At the meeting of 27 October 1982 a report (copy attached) of the sub-committee was before the Council. Following discussion it was agreed to recommend that effect be given to this report of the sub-committee.
3. This report was adopted on 13 December 1982.

Report of the General Council Sub-Committee on a Scheme of Performance Appraisal for the grades represented by the Civil Service Executive Union (CSEU)

1. Agreement was reached in 1977 on the introduction of a scheme of appraisal for CSEU grades (General Council Report 749). It had been hoped to have this scheme extended across the civil service generally by 1 April 1980. However, progress in the introduction of the scheme was disappointing. Against this background the Sub-Committee met (on 23 February and 30 October 1981 and 18 March and 26 May 1982) to review the position and to consider what further steps should be taken. This report contains proposals for a revised scheme of appraisal for CSEU grades as agreed between the Official and Staff Sides of the Sub-Committee.

General approach to implementation of the new scheme

2. It has been agreed that the new scheme be implemented as follows:

- * the general outline of the scheme only (set out in Section 3 following) to be agreed in principle at General Council;
- * discussions to be held subsequently at Departmental Councils on the implementation of the scheme;
- * variations in the form of the scheme may be agreed at Departmental Councils;
- * each Department will be responsible for its own scheme/s;

* every Department should, as soon as practicable, introduce a scheme/s;

* in support of the scheme/s, a training programme will be provided by DPS for the supervising grades, as necessary and appropriate.

General features of the new scheme

3. The general outline of the proposed new scheme is as follows:

3.1. Adaptability: Only the general outline of the scheme will be agreed centrally, with the flexibility for Departments to develop differing schemes as required to reflect local needs. Local schemes may also be further amended later, as appropriate, in the light of experience of their operation. However, a considerable degree of uniformity is desirable, in relation to general service grades in particular.

3.2. Purpose: To provide a planned programme of development for staff so that each individual will have an opportunity at regular intervals to review his work performance with his immediate and 2nd supervisors, to identify areas of weakness which can be remedied and areas of strength which can be built on further and to agree a suitable development plan for the future.

To involve supervisors directly in monitoring the performance of staff, to ensure that adequate attention is given to staff training and development, to provide information about the strengths and weaknesses of individual staff members and to lead to more effective work performance by staff.

To provide an input to assessment for promotion procedures.

3.3. Grades covered: The scheme will cover all Executive Officers, Higher Executive Officers and Administrative Officers, together with such other CSEU grades as may be agreed at Departmental Councils.

3.4. Compulsory on Staff: Both the Staff Side and the Official Side are agreed on the desirability of having all members of the grades covered participating in the scheme, save in the most exceptional circumstances. In the event of an individual refusing to participate in appraisal discussions, his superiors would proceed with appraising him and would brief him on the results.

3.5. Performance-linked: Assessment of staff under the scheme will be based on performance on-the-job. Both the quality of work done and the output will be taken into consideration. As far as is practicable, the criteria for assessment should be:

* fixed with the individual in advance (in terms of a short-list of key results which the person is expected to achieve and on which he is given an indication of what constitutes effectiveness);

* objective (in terms of clearly defined and quantifiable headings, as opposed to more general or vague personal qualities);

* concrete (in terms of actual results achieved and standards attained).

3.6. Frequency and scheduling of appraisals: There will be flexibility on these points. Appraisal once a year might be the norm. There might be more frequent appraisals (twice a year?) for those newly-appointed, or recently promoted or transferred to new work, or those on probation. Appraisals might be less frequent for longer-serving staff. Annual appraisals might be scheduled to take place close to some fixed annual event such as increment date, but there will be flexibility to allow for earlier appraisal on change of section/duty, change of superior, etc. as appropriate. Generally, scheduling should be arranged flexibly to facilitate appraisals taking place.

3.7. Link with promotion: While the primary purpose of the appraisal scheme is the development of staff, it will also be used to give managements in Departments information on staff as an input to their assessment of staff for promotion purposes.

3.8. Assessment of staff during probation: The DPS has accepted the Staff Side proposal that the new appraisal scheme may be used in assessing staff during their probationary periods, but it will be for each individual Department to decide whether to do so.

3.9. Open vs. closed reporting: The appraisal scheme will be "open" in that individuals will see the completed appraisal report form (Appendix 4), which also provides space for individuals to record disagreement with any assessment made, should that arise. A separate form will be used for the assessment of suitability for promotion (Appendix 5) but this will not be shown to the individual. However, where an officer is considered to be unsuitable for promotion he will be informed accordingly and the "action plan" of development measures for the future will address the difficulties involved where practicable.

3.10. The "mechanics" of the scheme: The precise details of how the scheme is to operate in practice - including the stages in the appraisal process, the forms to be used - etc will be agreed at Departmental Council. The Appendices attached provide some guidelines.

- Appendix 1 - Stages in the Appraisal Process
- Appendix 2 - Notes on the use of the Appraisal Form
- Appendix 3 - Appraisee's Preparation Form
- Appendix 4 - Appraisal Form and Action Sheet
- Appendix 5 - Assessment of Future Potential Form

Appendix 1 - Stages in the Appraisal Process

The stages will be as follows, subject to agreement at the Departmental Council

(a) Appraisal discussions will be prompted by Personnel Section which will send out documentation when appraisal is due;

(b) Where the structures permit, three levels of staff will be involved in appraisal discussions

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- * the appraisee
- * his immediate supervisor
- * the officer two grades above the appraisee (2nd supervisor);

(c) There will be a number of stages in the process of appraisal:

- * appraisee will prepare for discussions, helped by some notes for his guidance;
- * Supervisor will consult with 2nd supervisor about performance of the appraisee in the period under review;
- * First appraisal discussion between the appraisee and his immediate supervisor; a draft development/improvement plan will be the result;
- * The immediate supervisor will brief the 2nd supervisor on the outcome of the appraisal discussion and the proposals which have emerged for the further development of the appraisee and the course of his work for the future. The 2nd supervisor will consider the proposals and add any ideas which he may have himself;

* Second appraisal discussion between the appraisee and his 2nd supervisor: the development/improvement plan will be finalised

* 2nd supervisor completes the documentation on promotion, following consultation with 1st supervisor.

(d) The documentation will be returned to Personnel Section by the 2nd supervisor on completion of the appraisal discussions. Copies will be retained by the appraisee and his superiors, except for the documentation on promotion. The Personnel Section will consider and follow up recommendations made as appropriate (e.g. training course attendances, transfers, change of duties etc). Supervisors and appraisee will also have an obligation to follow up.

(e) Personnel Section will generally oversee the operation of the scheme and ensure its effective operation;

(f) Some arrangements will be made to monitor and oversee the general operation of the appraisal scheme in the particular Department, perhaps through a Sub-Committee of the Departmental Council.

Appendix 2 - Notes on the Use of the Appraisal Form

(The notes below refer to the Appraisal Form (Appendix 4). A similar explanatory note might also be prepared to accompany the Appraisee's Preparation Form).

The general atmosphere or climate in which the appraisal for development takes place is critical to its success. It is important that there be an air of openness and frankness and a willingness to face issues directly. However, the purpose of the discussion - the development and performance of the individual - should always be kept in mind. This will be best served if the appraisee and his superiors can agree as much as possible on the details of appraisal and development measures.

Section 1 General purpose of job

A brief statement of the general purpose of the job.

Sections 2 Main results which were to be achieved in the review period

and 7 Main work targets to be achieved in the period ahead

A short list of the key results which the appraisee was expected to achieve in his job in the period under review (section 2) or which are to be achieved in the future (section 7). These could include special once-off projects as well as items of on-going work which, by the nature of the job, will never be 'completed'. As far as possible, there should also be an indication of the standard to be achieved for effective performance and the quality of work expected.

At the first appraisal interviews on the introduction of the scheme there would be no fixed results to review. These first interviews would be used, among other things, to decide the results to be achieved in the period ahead (to be reviewed the second time through the process).

Once the key results for a particular post have been agreed under the scheme, an officer newly appointed to the post will meet his immediate superior for a first appraisal interview to fix his own key results, at an early stage following his appointment.

It is important that the items selected as key results to be achieved accurately reflect the main purpose and content of the job. It will be for the supervisors to ensure that they do. Personnel Sections will also be able to monitor this aspect of the scheme and follow up with supervisors as required.

Section 3 Extent to which the key results were achieved

A brief assessment by the immediate superior of the extent to which each of the key results listed in section 2 was achieved. The assessments should as far as possible be in concrete terms, with examples by way of illustration as appropriate. Both positive and negative points would be noted and both work output and quality of work would be considered.

There is a danger that these assessments might tend to become very general and vague. As such they would be of little value. It will be for supervisors (particularly the 2nd level supervisor) to ensure that this does not happen. During a first appraisal interview there would be no need to complete this part of the form. However, it would normally be appropriate for the appraisee and his immediate supervisor to have a general discussion of the effectiveness of the appraisee's past performance at this stage.

Section 5 Aspects of appraisee's performance which affected the level of results achieved

This and section 6 which follow are the central elements of the scheme as far as the development of the individual is concerned - a detailed examination of aspects of the individual's performance with a view to identifying areas for development and improvement to be worked on in the future.

The purpose of including a list of factors at this part of the form is to help the individuals structure this part of the appraisal discussion. The items included are intended as prompts or points to be considered and are purely illustrative items. Only a few of them might be found relevant to any individual. We would expect that this part of the form might differ from one locally-developed scheme to another.

Appendix 3 - Appraisee's Preparation Form

Note: This preparation form is the property of the appraisee.

You will shortly be invited to appraisal discussions, aimed primarily at agreeing a development programme for you for the future. The assessment is also intended to provide information for those making decisions on promotion.

The appraisal discussions provide an opportunity for you and your superiors to review your progress over the past year and to agree a development programme for you, embracing both on-the-job and off-the-job aspects, for the next 12 months.

To help you get the most benefit from the discussions, you are asked to complete a self-assessment before the appraisal discussion takes place. This form has been designed as an aid to you.

1. Main results to be achieved in the review period

1	_____
2	_____
3	_____
4	_____
etc	_____

2. Your self-assessment of achievement

1 _____
2 _____
3 _____
4 _____
etc _____

3. Note of any factors, outside your direct control, which you feel may have hindered you.

Can you think of any practical steps which could be taken to remove or reduce some of these in the future?

4. Aspects of your own job performance which you think may have affected the level of results achieved

In relation to your own self-assessment at 2 above, consider in regard to your job performance

- (a) what areas could be improved?
- (b) what strengths can be further developed?

(You may find the list of aspects of job performance on the next page of some assistance).

Notes for guidance in completing the self-assessment

In considering your performance, it may be helpful to consider some or all of the following aspects

OUTPUT

How much work do you get through?

ORGANISATION OF WORK

How effectively do you organise the workload?

How do you cope with pressure of work?

QUALITY OF WORK

What standard of work do you produce?

How sound are your proposals?

WRITTEN EXPRESSION

How clearly and concisely do you write letters, reports, submissions etc.?

ORAL EXPRESSION

How clearly and convincingly do you express yourself to others?

NUMERICAL ABILITY

How effectively do you handle and interpret numerical information?

RELATIONSHIPS WITH OTHERS

How effectively do you deal with people generally?

MANAGEMENT OF STAFF

To what degree do you control, train and inspire staff to give of their best?

DRIVE AND DETERMINATION

How determined are you in carrying tasks through to the finish?
Do you work well on your own and accept responsibility?

5. In the context of the above, consider the opportunities for development, both on and off-the-job, which you would like to see included in your development programme.

6. Reflecting on the information given above, what issues would you like to raise at the discussions with your supervisors?

Appendix 4 - Appraisal Form

To be completed by the Immediate Supervisor

NAME: _____
GRADE: _____
SECTION & LOCATION: _____
PERIOD UNDER REVIEW: FROM _____
TO _____

DETAILS OF FORMAL TRAINING COURSES, SEMINARS, ETC ATTENDED DURING THE PERIOD UNDER REVIEW: (by whom presented, duration, title)

1. GENERAL PURPOSE OF JOB:

2. MAIN RESULTS TO BE ACHIEVED IN THE REVIEW PERIOD:

1. _____
2. _____
3. _____
- etc. _____

3. THESE MAIN RESULTS WERE ACHIEVED TO THE FOLLOWING EXTENT:

1. _____
2. _____
3. _____
- etc. _____

If appraisee has any views on above, these should also be recorded:

4. WHAT FACTORS, IF ANY, OUTSIDE HIS/HER CONTROL, AFFECTED THE RESULTS ACHIEVED?

If appraisee has any views on above, these should also be recorded:

5. WHICH ASPECTS OF PERFORMANCE AFFECTED (POSITIVELY OR NEGATIVELY) THE LEVEL OF RESULTS ACHIEVED?

(Please comment on any aspect you feel is relevant - the notes overleaf may help)

If the appraisee has any views on the above, these should also be recorded:

Notes for guidance in completing the appraisal

In considering the appraisee's performance, it may be helpful to consider some or all of the following aspects.

OUTPUT

How much work does he/she get through?

ORGANISATION OF WORK

How effectively does he/she organise the workload?

How does he/she cope with pressure of work?

QUALITY OF WORK

What standard of work does he/she produce?

How sound are his/her proposals?

WRITTEN EXPRESSION

How clearly and concisely does he/she write letters, reports, submissions, etc?

ORAL EXPRESSION

How clearly and convincingly does he/she express himself/herself to others?

NUMERICAL ABILITY

How effectively does he/she handle and interpret numerical information?

RELATIONSHIPS WITH OTHERS

How effectively does he/she deal with people generally?

MANAGEMENT OF STAFF

To what degree does he/she control, train and inspire staff to give of their best?

DRIVE AND DETERMINATION

How determined is he/she in carrying tasks through to the finish?

Does he/she work well on his/her own and accept responsibility?

6. DRAFT DEVELOPMENT PLAN:

On the basis of the appraisal discussion, which aspects of the appraisee's performance require development over the next months?

Arising from the above points and other development needs, what are your tentative plans for the development of the appraisee over the next months?

e.g. change in duties or in time allocated to particular duties; delegation; training courses; on-the-job coaching; new methods of tackling problem areas; job rotation; transfer to new work; etc.

7. WE HAVE AGREED THE FOLLOWING MAIN TARGETS FOR THE COMING PERIOD (MAJOR WORK TARGETS ONLY):

- 1.
- 2.
- 3.
- 4.
- 5.

Appraisee's Signature	Date
Immediate Supervisor's Signature	Grade
2nd Supervisor's Signature	Date

APPRAISAL ACTION SHEET

To be completed by the 2nd Supervisor

Name of appraisee _____ Division/Section _____

Appraisal discussion took place on _____

Original of the Action Sheet to be sent to Personnel Division. Copies to be retained by Appraisee, Immediate Supervisor and 2nd Supervisor.

_____ We have agreed the following plan for the appraisee's development over the coming twelve months:

Item No.	Proposed Action	By Whom?	When?
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Signed:

Appraisee

2nd Supervisor

Date:

To be completed by Personnel Division
Received by _____

Follow-up action by Personnel on items:
Item Action and date completed

Appendix 5 - Assessment of Future Potential

Please give your views here on the officer's fitness for promotion.

Qualified for promotion

1. Exceptionally well qualified
2. Well qualified
3. Qualified; able to do the higher job adequately

Not qualified for Promotion

4. Likely to qualify in time; not able for the higher job now but should qualify after more experience
5. Unlikely to qualify shows little or no promise
6. If this officer were promoted to a higher grade and assigned to me, I would be;
Very satisfied

Satisfied
Unhappy

Signature: _____
2nd Supervisor

Grade: _____
Date: _____

Notes:

1. These questions should be answered by the 2nd supervisor following discussion with the 1st supervisor.
2. They should be answered by reference to the officer's experience at present. They are not intended to reflect an immutable view. For example, a promising officer of limited experience might initially be rated 3 and subsequently be rated 2 or even 1.
3. The 2nd supervisor should send this form to the Personnel Officer and receive his approval before advising the individual of his rating under note 4.
4. If an officer is marked at either 4 or 5 he should be told by his 2nd supervisor that he could not be considered for promotion at this stage of his career and the main reasons for this should be explained to him. Where feasible the action plan should specify practical steps which would assist him in overcoming his deficiencies.