





# **MANAGING FOR EXCELLENCE**

## **MANUAL**

September 2017

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## LIST OF ABBREVIATIONS

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APA	: Annual Performance Agreement
ACF	: Agency Categorization Framework
AKRA	: Agency Key Result Areas
APT	: Annual Performance Targets
AWP	: Annual Work Plan
GPMS	: Government Performance Management System
G	: Good
HR	: Human Resource
HRC	: Human Resource Committee
IWP	: Individual Work Plan
IT	: Investigation Team
QQCT	: Quality, Quantity, Cost, and Time
MaX	: Managing for Excellence
MC	: Moderation Committee
ModEx	: Moderation Exercise
NI	: Need Improvement
NKRA	: National Key Result Areas
OS	: Outstanding
PAS	: Performance Assessment Score
PE	: Performance Evaluation
PL	: Position Level
PMC	: Professional & Management Category
PER	: Performance Evaluation Rating
PIP	: Performance Improvement Plan
RCSC	: Royal Civil Service Commission
SI	: Success Indicators
SKRA	: Sectoral Key Result Area
SSC	: Supervisory & Support Category
TRC	: Teacher Resource Centres
VG	: Very Good

## INTRODUCTION

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In 2014, the Royal Civil Service Commission identified Performance Management System (PMS) as one of the areas of reform for the Bhutanese Civil Service. In order to assess the effectiveness and efficacy of the existing PMS, an exercise was carried out in 2014 to evaluate it and the following were the findings:

- All civil servants were rated to outstanding and average PE rating was 3.82 across all Agencies;
- The PE forms indicating the strategic planning and/or strategic involvement of civil servants were minimal; and
- All expected performance output identified lacked objective indicators and linkages to organizational objectives, if any, were weak.

Therefore, the RCSC in order to strengthen performance management, worked to institute procedures that strengthen performance planning, monitoring and evaluation. Further, by creating a mechanism for linking and aligning individual performance to the organizational objectives and results. It is expected that development goals and objectives of the Agencies are achieved to a high level of satisfaction. Organizational objectives, in turn, are drawn from the national vision and the Five Year Plans.

The title of the new PMS is “Managing for Excellence” (MaX).

The key elements of the “Managing for Excellence” framework are as follows:

- Clear organizational targets linked to national targets (NKRA/SKRA/AKRA);
- Organizational targets cascaded down to division level and then down to individual levels with clear performance targets and competency behaviours;
- Evaluation of Performance and Competency Behaviours at the end of the cycle based on agreed performance targets vetted through Means of Verification;
- Ranking of individuals during Moderation Exercise for Professional and Support Categories to Outstanding, Very Good, Good and Need Improvement categories based on the Agency Categorization Framework; and
- The results of Moderation Exercise (ModEx), which is the performance score of civil servants, will be the basis for all HR Actions.

## PURPOSE

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This “Managing for Excellence” Manual shall be used as a guideline for managing and evaluating Performance and Competency Behaviour of civil servants. MaX System shall include two important areas of assessment before the conduct of the moderation exercise, which are:

- **Performance** evaluated through performance targets identified in the Individual work plan in Section B of Performance Appraisal form; and
- **Competency Behaviour** evaluated by using Competency Behaviours indicators identified in Section C of performance Appraisal Form.

The objectives of MaX System are:

- **Alignment:** To align individual performance targets with the organization’s strategic vision/missions/objectives;
- **Accountability:** To ensure organizational effectiveness by cascading institutional *accountabilities* to the various levels of the organization’s hierarchy; and
- **Differentiation:** To enhance Agency’s overall performance by *differentiating* performer from non-performer.

Towards achieving these objectives, this manual shall therefore provide step-wise guideline on the four important aspects of the MaX system elaborated in detail in their respective Chapters as given below:

Chapter 1: Performance Appraisal Form;

Chapter 2: Mechanics of the Moderation Exercise;

Chapter 3: Managing for Excellence Framework for Teaching Services and Teaching Support Services.

Chapter 4: Performance based HR Actions & Appeal Procedures; and

## CHAPTER 1: PERFORMANCE APPRAISAL FORM

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### 1.1. Performance Appraisal Form for PMC and SSC

The Performance Appraisal Form shall be used to formulate Division Outputs, identify Performance Activities, set Target Values, and identify Competency Behaviour (refer Annexure 1 and 2 for the Performance Appraisal Form). The Performance Appraisal Form consists of four Sections.

#### 1.1.1. Section A: Employee Details

Section A requires civil servants to fill up the details such as Appraisal Period, Employee ID number, Name, Position Title, Position Level, Division, and Department or Ministry.

#### 1.1.2. Section B: Performance Assessment (Individual Work Plan) 70%

An Individual Work Plan is a clear plan of action for an individual in an Agency to organize and manage individual activities to effectively contribute to achieving the annual objectives of the Agency. A rigorous individual work planning exercise will ensure alignment of work done by civil servants to the higher order strategic objectives of their Agencies thereby making the individual performance appraisal more purposeful and effective. It carries 70% weightage.

In this section civil servants are required to formulate Division Output, identify performance activities and set target values.

##### a. Formulating Division Outputs

After Agency's Annual Performance Agreements/Annual Performance are signed, divisions shall come up with clear outputs for the fiscal year based on their departmental objectives. As such, division outputs must be clearly substantiated by success indicators and target values in the same format as Departmental and Agency Annual Performance Agreement/ Annual Performance Target.

A division will generally have more than one output which must be achievable and measurable on an annual basis. These division outputs are achieved as a result of activities implemented by individuals working in the division.

##### b. Identifying Activities

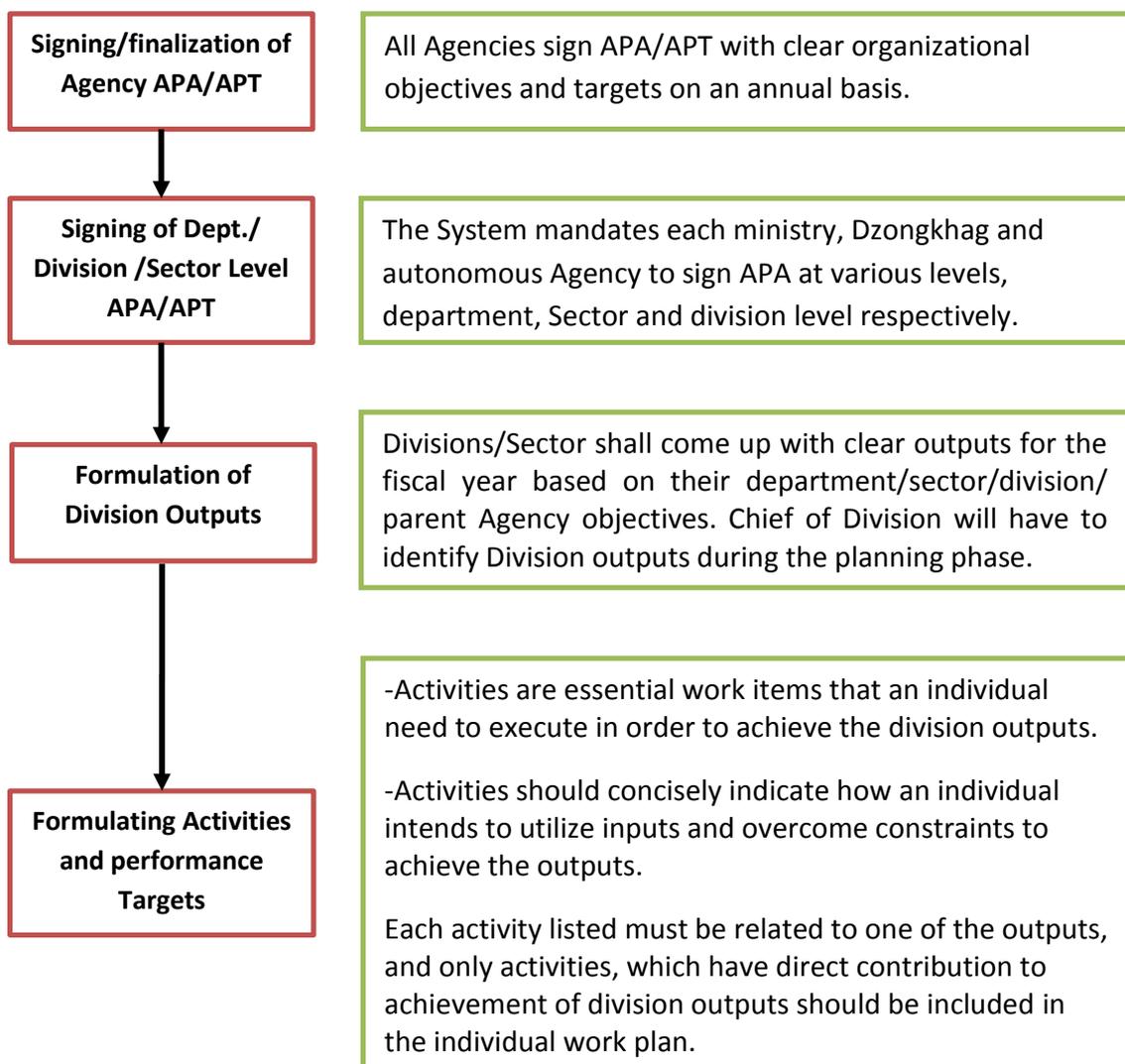
Activities are essential work items that an individual need to execute in order to achieve the division outputs. Activities should concisely indicate how an individual intends to utilize inputs and overcome constraints to attain the outputs. Each activity listed must be related to one of the outputs, and only activities which have direct

contribution to achievement of division outputs should be included in the individual work plan.

**c. Setting the Target Values**

After identifying the activities, set a value to the activities that merits Level 4/Level 3/Level 2/Level 1 using the QQCT (Quantity, Quality, Cost, and Time) framework. Target values are set in terms of Quantity, Quality, Cost or Time. It is not necessary to have all the four factors fitting in one activity. Either a combination or any of the four factors from the QQCT framework should be reflected in the Target values depending on the nature of activity.

Following process shall apply for developing individual work plan:



### 1.1.3. Section C: Competency Behaviour (30%)

The Competency Behaviour required for Professional and Management category (PMC), and Supervisory and Support Category (SSC) are different. Refer Performance Appraisal forms (Annexure 1 and 2) on the details of Competency behaviour for PMC and SSC.

Section C of Performance Appraisal form requires individuals to fill in Competency behaviours with the description of Competency behaviour and indicating different levels of competencies. The Competency behaviours are used to evaluate qualitative aspect of performance of individual and this will include skills and values required to carry out performance targets indicated in Section B of the Performance Appraisal form. It carries 30% weightage.

Please note, the lists of Competency Behaviours are an indicative list. Agencies based on the requirements can add additional competencies and customize it accordingly.

### 1.1.4. Section D: Final Performance Evaluation Score (Section B & C)

This Section contains the final Performance Score derived from Section B (70%) and Section C (30%).

#### a. Evaluating the Individual Work Plan [Section B of Performance Appraisal form]

This evaluation guideline will serve as the guide for the supervisors to provide ratings for the targets specified in the Individual Work Plan (IWP). In Section B of the appraisal forms, individuals are required to set four levels of target values.

For example: if he/she has performed the activity and achieved Level 4, the corresponding rating will be between 3.00-4.00. Similarly, if s/he achieves "Level 3", the corresponding rating will be changed as per scale. *However, it is not mandatory to fill target values for all four levels. A minimum target value for Level 2 is sufficient. If the target value for only up to Level 2 is drawn, the supervisor shall make the judgement on how to assess at the end of the performance period using Level 2 as the yardstick.*

**SECTION B: Performance Assessment (70%): Evaluating the Individual Work Plan:**

Division Output	Activities	Targets Values				Target Achieved specified by individual	Employee's Feedback/ comment/ justification	Final Score by Supervisor <sup>1</sup>
		Level 4=[3.00-4.00]	Level 3=2.00-2.99]	Level 2=[1.00 -1.99]	Level 1[<=0.99]			
1. Civil servant's performance managed	1.1. Conduct moderation Exercise	July	August	September	Later than September 30	September		1.50
2. OD recommendations Implemented	2.1 Implement approved C2 recommendations	100%	90%	80%	Less than 80%	80%		2.00
<b>Total</b>								<b>3.50</b>
<b>Final Score B (Total/No. of activities)</b>								<b>1.75 (3.50/2)</b>

<sup>1</sup> Note concrete results achieved during the year that were agreed and rate them in the scale indicated in the target values.

**b. Evaluating Competency Behaviour [Section C of Performance Appraisal Form]**

This Section will form 30% of the total performance Score and evaluation will be done as follows. The ratings of competency behaviour will be based on the assessment areas that have been agreed between the supervisor and supervisee. For Example:

**SECTION C: Competency Behaviour (30%)**

Competency Behaviour	Description	Level 4 [3.00-4.00]	Level 3 [2.00-2.99]	Level 2 [1.00-1.99]	Level 1 [<=.99]	Final Rating with Evidence of Behaviour
<b>1. Analytical and Intellectual Capacity</b>	<b>1.1. Sense of Perspective:</b> <i>Demonstrates intellectual flexibility, imagination and socio-political sensitivity in developing a holistic appreciation of the situation and in generating innovative ideas and solutions that bring practical benefit</i>	Thinks ahead to anticipate issues, identifies opportunities and appreciates implications	Takes strategic steps and ways to achieve and enhance the achievement of the target	Need guidance in identifying the opportunities and solutions to solve work towards achieving the target	Is hasty in formulating opinions and judgment taking action before assessing implications and Focuses on day to day problems at the expense of longer term planning	Level 3=2.5 Mr. X when assigned a task on HR Planning submitted recommendation that was approved by the Agency.
<b>Competency Behaviour Score (Total score/number of competency behaviour)</b>						<b>2.5/1=2.5</b>

**c. Final Evaluation of Performance and Competency Behaviour:**

The final rating for the individual will consist of 70% Performance and 30% Competency Behaviour. In the example above, the final rating will be as follows:

Particular	Score received	% Allocated	Final Score	Supervisor's Comment, if any
Performance	1.75	70%	1.23	
Competency Behaviour	2.50	30%	0.75	
<b>Evaluation Score</b>			<b>1.98</b>	

Overall Rating Table:

Performer category	Definition	Rating scale
Level 4	Achieved exceptionally high level of performance above the requirement of the job	3.00-4.00
Level 3	Performed at higher level than requirement of the job	2.00-2.99
Level 2	Employee fulfilled requirement of the job	1.00-1.99
Level 1	Results/Behavior far below performance requirement	<=0.99

The final ratings from Performance Assessment and Competency behaviour will be used as an input during the Moderation Exercise of the employees. *Therefore, the Evaluation Score of IWP and Competency Behaviour will not be the individual's final evaluation score.*

Note<sup>2</sup>

**1.2. The Performance Appraisal Form for Operational category (OC):**

The Performance Appraisal Form for OC consist the details of the employee and the assessment is based on competency behaviour since the roles and responsibilities of civil servants under this category are routine and often repetitive. Overall, staff under this category is required to comply with set of objectives, methodology and specific assignment. They are not required to fill in online performance appraisal forms (the PAF for OC is attached Annexure 3).

<sup>2</sup>Agencies listed under schedule A of this manual due to their unique circumstances will be exempted from the moderation exercise. However, all civil servants in those Agencies including Executives will have to complete the appraisal forms and the evaluation score of appraisal forms will be their final performance score.

## CHAPTER 2: MECHANICS OF MODERATION EXERCISE

### 2.1. Moderation Exercise (ModEx)

The Moderation Exercise is ranking of civil servants into different performance categories (*Outstanding, Very Good, Good and Need Improvement*) based on Agency Categorization Framework.

For Agencies, who sign Annual Performance Agreement, the performance score of their Agency/Department whichever is applicable will be used as the basis for determining the distribution of performers into different performance categories.

For Agency without APA the basis for distribution of performers *into performance categories* will be the scores assigned under the APT evaluation report.

### 2.2. Agency Categorization Framework (ACF)

Agency Categorization Framework (ACF) will be the basis for categorizing employees into different performer categories. The framework will use the APA and APT report scores as the basis for distribution of employees into different performance categories. The ACF is subject to change depending on how the APA/APT is assessed.

Following categories will be used for the purpose of ranking employees into different performance categories. Agencies have the option to put lesser number of staffs than the assigned numbers in *outstanding* and more number of staffs than the assigned number in the *Need Improvement* i.e the assigned quota for OS and NI are the maximum and minimum numbers respectively.

**Table 1: Agency Categorization Framework (ACF) to distribute employees in different Performance Categories**

Agency Category	Agency's Score <sup>3</sup>	Outstanding	Very Good	Good	Need Improvement
Category 1	95.00-100.00	3%	17%	80%	0%
Category 2	85.00-94.99	2%	16%	81%	1%
Category 3	70.00-84.99	1%	15%	82%	2%
Category 4	<=69.99.	0%	14%	83%	3%

<sup>3</sup> GPMS score /APT score

### 2.3. Performance Evaluation of Moderation Committee Members and Specialist (ES3-ES1):

Civil servants at Executive and Management Levels are provided proxy scores based on the Division/Department/Agency performance. The rationale for providing proxy scores for Executives and Management level are:

- Directly accountable for the performance of division/department/Agency;
- The members of the moderation Committee; therefore, they cannot assign score to themselves.

The performance of management which include Executives, Chief of Division, Sector head and/or Members of Moderation Committee, shall be as follows:

GPMS report/ Achievement (%)	Proxy score for moderation committee members and specialist
95.00% -100%	Outstanding
85.00% -94.99%	Very Good
70.00% -84.99%	Good
<=69.99%	Need Improvement

### 2.4. Assignment of scores to civil servant at various PL

#### 2.4.1. Executive (EX3-EX1):

- a. For Executive heading Agencies, the Agency's score will be proxy for his/her performance.
- b. For Executive heading Departments, the ratio of APA scores between Agency and Department (50:50) will be the performance rating of the executive.
- c. For Executives heading Agencies, which do not have Agency score, will have to complete performance appraisal forms, which will be evaluated by the Chairman of Board/Commission. Refer Schedule A.

#### 2.4.2. Specialist (ES3-ES1)

- a. All Specialists (ES) will get the Departments or Agency's score as proxy based on type of working Agency.

**2.4.3. Professional and Management (P1)**

- a. Head of division at P1 or officiating head at P2 in Ministries will receive the Ministry/ Department's score as Proxy Performance rating.
- b. Head of division at P1 or officiating head at P2 in the Dzongkhag and Autonomous Agencies will receive the Agency's score as Proxy Performance rating.
- c. All other P1 (Specialist) who do not head divisions will fall in the general pool considered for ranking purpose during the moderation exercise.
- d. Chief of Division, which do not have Agency scores will have to complete performance appraisal form which will be evaluated by Executives.

**2.4.4. Professional and Management (P5-P2), Supervisory and support (S5-SS1):**

- a. Civil servants under this category including contract employees will be ranked into different performance category during moderation exercise as per Agency's score and ACF.

**2.4.5. Civil servants on Secondment, Long Term SL, ML, EOL and Transferred cases:**

**2.4.5.1. Secondment:**

**2.4.5.1.1. Secondment outside Civil Service:**

Civil servants on secondment will be given default performance rating of "Good". If the seconded Agency submits non-performance record on the CS during secondment, s/he shall be put under Needs Improvement Category. Employees on secondment will not be included in the pool of staff being moderated for respective Agency for the particular performance appraisal period.

**2.4.5.1.2. Secondment within Civil Service:**

Civil servants seconded within Civil Service will be moderated with the employees of working Agency where he/she is currently seconded for that particular appraisal period.

**2.4.5.2. Long term Study leave:**

Civil servants on long-term study will be given default performance rating of "Good" on submission of successful course completion certificate. Employees on study will not be counted in the pool of staff for moderation in the respective Agency for that particular performance appraisal period only if he/she is away for the entire assessment year.

### **2.4.5.3. Maternity Leave**

Civil servants on maternity leave will be given default performance rating of “Good” if she is on maternity leave during the moderation exercise.

*For Section 2.4.5.1, 2.4.5.2 and 2.4.5.3, the default performance score is good. However, the moderation committee has the discretion to assign such civil servants to other performance categories based on evidence.*

### **2.4.5.4. Extra Ordinary Leave (EOL)**

Civil servants on EOL will not have Performance Evaluation for the period of EOL as the duration for EOL is considered as inactive service and as such this period is not included for any HR actions.

### **2.4.5.5. Transfer Cases**

Any civil servant transferred during the appraisal period will be moderated in the Agency where he/she is currently serving for the appraisal period, irrespective of the length/duration.

Note<sup>4</sup>

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<sup>4</sup>1. Civil servants from S5 to P1 Specialist need to fill in appraisal forms including Chief of Division for all Agencies.  
2. Qualitative aspect of Managers’ (Head of division/department/agency) performance will be evaluated through online leadership feedback system, which will have equal weightage) as quantitative aspect of performance score vetted through department/agency score

**2.5. Table 2: Composition & Performance Score of Moderation Committee members and Employees:**

**Table 2** below outlines the various types of Agencies and within Agencies on how employees based on their functions, lines of reporting /accountability will be clustered and moderated

Profile/Position Title	Performance score	Moderator/Additional Comments	Composition of Moderation Committee
<b>1. MINISTRY</b>			
Secretary of Ministry	Ministry's performance score		
Director/ Director General of Departments	Equal ratio between Ministry's score and respective Department's score.	NA	NA
Chief of Division	Respective Department's score		
Chief of Division/Secretarial Services	Ministry's performance score		
Employees	Secretariat Services/Staff Function	Director of Directorate to moderate them with Division Chiefs chaired by Secretary.	<b>For Secretariat:</b> MC will consist of: 1. Secretary of Ministry (Chairperson) 2. Director, Directorate (Member) 3. Chief of Divisions & Services (Member) 4. Chief HR Officer/HR Officer (Member Secretary)
	PPD, Internal Audit Services	Secretary to represent staff directly reporting to Secretary	
Core Division/Line Function	Moderate them according to Department's score to different performance categories	Director of respective departments will chair and moderate employees under each department with head of division representing employees under each division	<b>For Line Department</b> MC will consist of: 1. Director/Director General, Department (Chairperson) 2. Chief of Division, Division (Member) 3. HR Officer (Member Secretary)

Profile/Position Title	Performance score	Moderator/Additional Comments	Composition of Moderation Committee
<b>Commission, Autonomous Agency, Thromdes</b>			
Secretary of the Commission/Director General/Director of Agency	Agency's Score	NA	NA
Chief of Divisions	Agency's Score		<p><b>For Agency:</b> MC will consist of: 1. Secretary, Agency (Chairperson) 2. Director, Directorate/Secretariat (Member) 3. Chief of Division (Member) 4. HR Officer (Member Secretary) <b>OR</b> MC will consist of: 1. Director, Agency (Chairperson) 2. Chief of Division (Member) 3. HR Officer (Member Secretary)</p>
<b>1. DZONGKHAG</b>			
Head of Dzongkhag/Dzongdag	Dzongkhag's performance	NA	NA
Head of Staff Function/Dzongrab/Dungpa	Dzongkhag's performance		
Employees	Secretariat Services/Staff Function	Moderate them according to Agency's score to different performance categories	
	Core Division/Line Function	Moderate them according to Agency's score to different performance categories	
Employees	Planning Services, DT Secretary, Legal Services, Internal Audit Services, Environment services	Rank them according to dzongkhag's performance to different performance categories	Dzongdag
	Staff function/HR Services, IT Services, Finance and Admin. Services	Rank them according to dzongkhag's performance to different performance categories	Dzongrab
<p><b>For Dzongkhag:</b> MC will consist of: 1. Dzongdag, Dzongkhag (Chairperson) 2. Dzongrab, Secretariat (Member) 3. Drungpa, Drungkhag (Member) 4. Head of Sector/BHU I/Hospitals (Member) 5. HR Officer (Member Secretary)</p>			

Profile/Position Title	Performance score	Moderator/Additional Comments	Composition of Moderation Committee
Sectors/Health Sector, Education Sector, RNR Sector-Agriculture, Livestock, Census, Culture, land record.	Rank them according to dzongkhag's performance to different performance categories	<b>Sector Head with P2 and above</b> Dzongda and Dzongrab shall receive written feedback from other sector heads who are P3 and below on their employees	
BHLUs Grade I/Hospitals	Rank them according to Dzongkhags performance to different performance categories	Medical Head heading Hospitals/BHU to represent employees	
Administrative Staff, including GAO and Gewog Accountants  Dungkhag Staff	Moderate them according to dzongkhag's performance to different performance categories	<b>Dungpa:</b> Note: Dungpa shall receive written feedback from Gup, HR and Planning Services on GAO's Performance. Dungpa shall receive feedback from Dzongkhag Accounts Officer on Gewog's Accountant's performance.	
Sector/Education, Health and RNR- Agriculture, Livestock & Forest	Moderate them according to dzongkhag's performance to different performance categories	Sector Head and Dungpa: sector head will evaluate Performance Appraisal forms after seeking feedback from Dungpa. During the moderation, the respective Sector head will represent the Dungkhag sector staff	

Profile/Position Title		Performance score	Moderator/Additional Comments	Composition of Moderation Committee
<b>Gewog Staff</b>	GAO, Gewog Accountants and any other administrative staffs	Moderate them according to Dzongkhag's performance to different performance categories	Dzonggrab: <b>Note:</b> Dzonggrab shall receive written feedback from Gup, HR and Planning on GAO's performance.	
	Sector/Education, Health and RNR- Agriculture, Livestock & Forest	Moderate them according to dzongkhag's performance to different performance categories.	Sector Head: Note: Sector heads to get written feedback on individuals from Gup for the purpose of Moderation.	

**Additional Note<sup>5</sup>**

- i. Specialist as the Advisor to the Department/Agency shall be the member for Moderation Committee.
  - ii. Officiating head at P2 and above level will be the member of the Moderation Committee, if he/she is officiating for the following reason:
    - a. Post of Chief is vacant [there is no fully fledged chief];
    - b. If the incumbent chief is on short-term training for 3 months and more; and
    - c. If the incumbent chief is on medical leave exceeding 3 months.
- An officiating head in P3 and below will not be a member of moderation Committee. Relevant executive will represent that division for the ME.*
- iii. HR Officer as the member secretary for Moderation Committee will be asked to leave discussion when the discussion is about him/her and join as soon as the discussion is over and same protocol will be followed for all members of the Moderation Committee in the event there is any conflict of interest.

## 2.6. Pre-requisite for Moderation Exercise

In order to carry out moderation exercise, the following pre-requisites have to be considered:

**a. APA/APT Assessment report Completed**

The GPMD will publish an annual report on the Agency's performance. Similarly, other competent Agencies will prepare report on Agencies with APT evaluated by Gross National Happiness Commission.

**b. Evaluation of Performance Appraisal Form Completed**

PE Score of all civil servants will be completed online which comprise of Performance assessment (70%) and Competency Behaviour (30%). The managers shall produce either print or soft copy of the appraisal form from the MaX online system during the moderation exercise.

## 2.7. Procedures for the Moderation Exercise

*The Moderation Exercise is the next step following the completion evaluation of individual performance appraisal form by the supervisor. Refer Annexure 4 for guidance on performance calibration.*

As explained earlier, after the evaluation of Agencies' performance the Agencies' performance is cascaded down to individuals through the process of the Moderation Exercise.

The ACF will determine the "quota" assigned to various performance categories based on Agencies' APA/APT score. When the ACF is applied, decimal figures are likely to merge. Below is the process of rounding off of the decimal, to get the differentiation for the category 1, 2, 3 and 4 are as follows:

1. Category 1 = The rounding off shall be done as follows:  
*1<sup>st</sup> round off - OS Category, 2<sup>nd</sup> round off - VG category, rest employee in - G category*
2. Category 4 = The rounding off shall be done as follows:  
*1<sup>st</sup> round off - NI Category, 2<sup>nd</sup> round off - G category, rest employee in - VG category*
3. Category 2= The rounding off shall be done as follows:  
*1<sup>st</sup> round off - OS category, 2<sup>nd</sup> round off - NI category, 3<sup>rd</sup> round off = VG category, rest employee in G category*
4. Category 3= The rounding off shall be done as follows:  
*1<sup>st</sup> round off - OS category, 2<sup>nd</sup> round off - NI category, 3<sup>rd</sup> round off - G category, rest employee in VG category*

**For example: Total number of Staff: 30**

Agency Category	Agency Score	Rounding off				Remarks
		OS	VG	Good	NI	
Category 1	95%-100%	3% of 30 (0.9=1)	17% of 30 (5.1=6)	80% (23)	0%	1 <sup>st</sup> round off OS 2 <sup>nd</sup> round off VG Rest in G
Category 2	85.00%- 94.99 %	2% of 30 (0.6=1)	16% of 30 (4.8=5)	81% (23)	1% of 30 (0.3=1)	1 <sup>st</sup> round off OS 2 <sup>nd</sup> round off NI 3 <sup>rd</sup> round off VG Rest in G
Category 3	70.00%- 84.99 %	1% of 30 (0.3=1)	15% (3)	82% of 30 (24.6=25)	2% of 30 (0.6=1)	1 <sup>st</sup> round off OS 2 <sup>nd</sup> round off NI 3 <sup>rd</sup> round off G Rest in VG
Category 4	<=69.99%	0	14% (4)	83% of 30 (24.9=25)	3% of 30 (0.9=1)	1 <sup>st</sup> round off NI 2 <sup>nd</sup> round G Rest in VG

## 2.8. Different Roles in the Moderation Exercise

There are three primary roles in a moderation exercise. The Chairperson, Members of the Moderation Committee and Secretariat (HR Division). Refer Table 2 for Composition.

- a. Chairperson:** The Chairperson will be the Secretary/Director General/Director/Dzongdag/Executive Secretary depending on the type of Agency.

The Chairperson shall:

- Maintain order and fairness throughout the moderation exercise;
- Ensures that all relevant considerations in the moderation process are adhered to; and
- Makes the final decision to dissolve gridlocks (if any).

*Chairperson has the prerogative to appoint the member secretary from amongst the members of moderation committee if he/she so decides.*

- b. Members.** The members are manager of the employees they represent (Heads of Department/Divisions) within each Agency based on type of Agency- whether it's Ministry, Autonomous Agency, or districts (Refer Table 2).

The Members shall:

- Evaluate performance appraisal forms of their employees and provide performance score to the Secretariat, prior to the moderation exercise;

- Prepare and collate the evidences for each employee to justify the proposed rating for him/her;
- During the preliminary assessment, the members should ideally align their assessment of respective supervisees in accordance with the Agency/Department score and its allocated quota as per the ACF;
- Take full ownership of final ranking decision and maintain confidentiality of the moderation discussions; and
- Communicate results of moderation exercise to employees, individually.

**c. Member Secretary:**

The HR Officer/s from HR Division/Services within the Agency shall:

- Collect Agency's score from GPMD and GNHC and work out on performance category distribution using Agency Categorisation Framework;
- Collate and analyse past and current moderation exercise data, identify pertinent issues and brief the Chairperson prior to the moderation exercise;
- Share the above information and prepare brief on overall performance score collected from relevant department/division with the Chairperson prior to moderation exercise;
- Serve as the member secretary for Moderation Exercise and shall maintain records/minutes of discussions made during the moderation exercise;
- Assist the Chairperson (when appropriate) on adherence to relevant considerations during moderation exercise;
- Schedule moderation exercises in advance and publish a timeline with key dates to all managers so that they understand the preparations required for the exercise;
- Seek endorsement of principal and supplementary consideration before actual moderation exercise and facilitate preliminary assessment and preparatory meetings/discussions by different division/sector to prepare for final moderation exercise;
- Prepare to facilitate by compiling and examining performance data for the Agency/Department/Division including average ratings across critical factors, performance distributions and the identification of outliers;
- Ensure that the final performance appraisal meetings between managers and employees are conducted to convey the final moderation decisions;
- May recommend to the Chair on the need to have preparatory meetings in the run up to the final ModEx; and

- For Divisions/Dzongkhag Sectors not headed by P1/P2 Officer, the member secretary should organize preliminary meetings to get the views of all officiating division heads and sector heads on the performance of their employees, prior to the final ModEx.

## 2.9. Consideration/ Criteria

To ensure that the moderation exercise achieves the intended objectives, the following indicative considerations are recommended for application during the moderation exercise. The following considerations are to be factored but not limited to, in the course of moderating employees during the moderation exercise:

### a. Primary Considerations

- Requirement of their IWP:  
The performance targets set and specified in the IWPs and achievement against it.
- The manner in which the performance targets were fulfilled.  
Qualitative aspect of the performance vetted in terms of competency behaviour displayed during the evaluation period.
- Job sizes held by the employee vis-à-vis position level of the employee:  
Assess an employee against the size, volume, quality and value of work delivered vis-à-vis his/her current position and terms of reference.
- Degree of impact upon the mission of the Agency/Department/Division.  
The contribution of the staff against achievement of the core mission of the Agency.
- Reference to bouquets and brickbats but confined to the period of assessment/appraisal period. Any merits, special achievements, recognition, or otherwise any negative behaviors, which are confined to that period of assessment/appraisal period.

### b. Supplementary Considerations.

In the event that the principal considerations are exhausted, supplementary considerations as established by respective Agencies can be applied wherever appropriate. Some of the recommended supplementary considerations are:

- Potential of the employee;  
Ability of an individual to shoulder higher responsibility. This assessment should be made considering past performance i.e. beyond the current evaluation period.

- Profile of the employee;  
The importance and criticality of the job responsibility shouldered by individuals for meeting organization's objective and targets.
- Signalling effect;  
The kind of signal an Agency would want to convey for promoting different performers/groups/occupations/teams within the Agency based on set of criteria or an intuition that shall be in the mind of the Members that the OS/NI employee should be from that particular division.
- Economies of Experience  
Number of years of experience and contribution in achieving Agency's performance targets and other benefits to Agency concerned. An outstanding/very good worker will usually be upto speed in his/her work with fewer years of experience as compared to a less efficient staff entering at the same time or earlier who may take longer to learn.

The primary and supplementary criteria/consideration outlined above is very broad to suit all Agencies. However, they can be customised by Moderation Committees to fit their own specific needs.

### **2.10. The Moderation Exercise (ModEx) Process:**

The moderation exercise comprises of three steps.

#### **Step 1: Appraisal (by Manager/Member of Moderation Committee, before actual ModEx)**

The process begins with evaluation of performance appraisal forms (i.e. review of the Individual Work Plan), between the manager and each employee. Close attention should be paid to the rating scale definitions that will be used to make assessments. Managers should prepare specific cases/evidence to substantiate the proposed rating for the employee.

#### **Step 2: Actual ModEx Meeting**

During the ModEx meeting, Chairperson and members will moderate employees according to different performance categories, guided by the primary and supplementary considerations as well as other relevant considerations to be applied at the discretion of the meeting. This is to be done in addition to references made to the performance score as mentioned in Step 1 above.

**Step 3: Feedback and updating of Moderation Results in the MaX online System (by Manager/Member of Moderation Committee)**

Subsequent to the ModEx, Moderation results are to be entered in the performance appraisals form. The Managers should have their second one-on-one performance review discussions with employees. At this point, managers should have a comprehensive understanding of the organisational performance standards as well as how their team members are performing relative to others within and outside of the team. Managers shall now communicate the finalised performance categorisation to their respective employees. They should ensure confidentiality of the views of the MC members and only communicate the final results and if required, the rationale of the rating.

Sample ModEx Agenda can be referred in Annexure 5. Agencies in Schedule A will not be moderated because of their unique circumstances. (Refer Annexure 6)

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## CHAPTER 3: MANAGING FOR EXCELLENCE FOR TEACHING SERVICES AND TEACHING SUPPORT SERVICES

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### 3.1. Performance Appraisal Form

#### 3.1.1. Performance Appraisal Form: Preparation of Individual Work Plan for Teaching professionals and school support services:

The School Performance Management System Scorecard will be the basis for developing individual work plan for Principals, Teachers, and support staffs in Schools

#### 3.1.2. Formulation of School Outputs

Section A consists of employee details.

Section B: The Six Key Operational Areas of School Improvement Plan (SIP) shall be used to identify school outputs under individual work plan:

- i. Leadership and Management Practices;
- ii. Green School domain;
- iii. Curriculum Practices: Planning and Delivery;
- iv. Holistic Assessment;
- v. Broader Learning Domain; and
- vi. School Community Vitality.

#### 3.1.3. Formulating Activities:

While developing IWP, a civil servant needs to identify individual activities that contribute to the six key operational areas of school improvement plan. Individual activities may contribute to all six key areas or to one or more only. Accordingly, individuals can choose only the relevant outputs to formulate activities. The suggested list of target areas from PAS manual is recommended to use as guideline to formulate activities. Further, for each activity, SMART performance targets need to be identified for objective evaluation.

##### 3.1.3.1. Guidelines for Identifying Competency Behaviour

List of Competency behaviour as per *Annexure 1 and 2* are recommended for Professional and Management Category and Supervisory & Support Services Group separately. Schools can list down other competency behaviour or contextualize it based on the relevancy and need of the organization.

##### 3.1.3.2. Performance Evaluation Guideline

For performance evaluation, refer Chapter 1.

### 3.2. Procedure of Moderation exercise and Performance Categorization Framework

Following Agency Categorization framework based on School Performance report will be used to determine bell curve to identify performer categories for schools:

Agency Category	School Score	Outstanding	Very Good	Good	Need Improvement
Category 1	95.00%-100.00%	3%	17%	80%	0%
Category 2	85.00%-94.99%	2%	16%	81%	1%
Category 3	70.00%-84.99%	1%	15%	82%	2%
Category 4	<=69.99%	0%	14%	83%	3%

### 3.3. Performance Evaluation for Moderation Committee Members

The performance of moderation committee members shall be:

EMD report/ Achievement (%)	Principals
95.00-100.00	Outstanding
85.00-94.99	Very Good
70.00-84.99	Good
<=69.99.	Need Improvement

### 3.4. General Principle for Performance Evaluation rating of staff in Schools

#### a. Principal

- Principal shall receive 50% of his school score and 50 % of the TRC score as proxy.
- His/her performance shall also comprise of score of online leadership feedback system, which will have equal weightage.

#### b. Teachers and support staff

- All staff in the schools shall be moderated as per Teacher Resource Center performance score and moderation framework.
- Moderation pool shall comprise of both regular and contract employees

#### c. O-level

- Evaluated by immediate supervisor based on the standard performance evaluation forms as per Annexure 3.

### **3.5. Moderation Exercise Guideline for Schools:**

Schools shall be clustered based on Teacher Resource Centre. The Education Monitoring Division shall provide school cluster performance report. Moderation Exercise shall be conducted based on school cluster score. The moderation Committee for school shall be as follows:

- Chief DEO will be the chairperson;
- All school principals under each TRC shall serve as members; and
- HR Officer as the member secretary.

Refer Chapter 2 on Procedures for the Moderation Exercise and roles of Chairperson, Member and Member Secretary.



## CHAPTER 4: PERFORMANCE LINKED HR INCENTIVES AND APPEAL SYSTEM

4.1. Table 4: Performance linked HR Actions

Management	Position Level	Profile	HR Actions			
			Outstanding	Very Good	Good	Need Improvement
Chairperson/members of moderation committee who will be given Agency score as the their performance score	EX3-EX1/ES3-ES1	Head of Agency, Head of Department, Dzongdag	<ul style="list-style-type: none"> <li>✓ Recommend appropriate Civil Service Award for Excellent Service for minimum of two years consecutive outstanding performance</li> <li>✓ Consider/ recommend for next level promotion. <i>Other conditions as per Promotion rule shall apply.</i></li> <li>✓ Targeted Leadership Trainings</li> </ul>	<ul style="list-style-type: none"> <li>✓ Targeted Leadership Trainings</li> <li>✓ Consider/ recommend for next level promotion. <i>Other conditions as per Promotion rule shall apply</i></li> </ul>	<ul style="list-style-type: none"> <li>Targeted Leadership Trainings</li> </ul>	<ul style="list-style-type: none"> <li>Will be on Waiting list. (Relevant Clauses from BCSR on waiting list apply).</li> </ul>
	P1	Chief of Division, Dzongrab, Dungpa, Sector Heads	<ul style="list-style-type: none"> <li>✓ Recommend appropriate Civil Service Award for Excellent Service for minimum of two years consecutive outstanding performance</li> <li>✓ Award full mark for PE Score during open competitions</li> <li>✓ Targeted Leadership Trainings</li> </ul>	<ul style="list-style-type: none"> <li>✓ Award 75% marks for PE rating during open competitions</li> <li>✓ Provide Targeted Leadership Trainings</li> </ul>	<ul style="list-style-type: none"> <li>Award 50% marks for PE rating during open competitions</li> </ul>	<ul style="list-style-type: none"> <li>✓ Not Eligible for executive Positions for next 2 years</li> <li>✓ Refer him/ her to relevant authority based on reason falling under NI</li> <li>✓ Targeted capacity development program (In-country)</li> </ul>

Management	Position Level	Profile	HR Actions			
			Outstanding	Very Good	Good	Need Improvement
	Others	Officiating Chief of Department/ Divisions, Sector Heads	<ul style="list-style-type: none"> <li>✓ Recommend appropriate Civil Service Award for Excellent Service for minimum of two years consecutive outstanding performance</li> <li>✓ Award full mark for PE Score during open competitions</li> </ul>	<ul style="list-style-type: none"> <li>✓ Award 75% marks for PE rating during open competitions</li> <li>✓ Normal Promotion</li> </ul>	<ul style="list-style-type: none"> <li>✓ Award 50% marks for PE rating during open competition</li> <li>✓ Normal Promotion</li> </ul>	<ul style="list-style-type: none"> <li>✓ Debar from participating in any open competition for next one year.</li> <li>✓ Not allowed to head the Agency/sector</li> <li>✓ Provide in country targeted capacity development program</li> <li>✓ Refer him/her to relevant authority</li> </ul>
Specialist	ES3 - ES1	Proxy Score	<ul style="list-style-type: none"> <li>✓ Recommend appropriate Civil Service Award for Excellent Service for minimum of two years consecutive outstanding performance</li> <li>✓ Consider/recommend for next level promotion.</li> <li>✓ Targeted Leadership Training</li> <li><i>Other conditions as per Promotion rule shall apply.</i></li> </ul>	<ul style="list-style-type: none"> <li>✓ Targeted specialized Trainings</li> <li>✓ Normal Promotion</li> <li><i>Other conditions as per Promotion rule shall apply.</i></li> </ul>	<ul style="list-style-type: none"> <li>✓ Targeted specialized Trainings</li> <li>✓ Normal Promotion</li> <li><i>Other conditions as per Promotion rule shall apply.</i></li> </ul>	<ul style="list-style-type: none"> <li>✓ Will be on Waiting list. (Clauses from BCSR on waiting list apply).</li> <li>✓ Refer him/her to relevant authority</li> </ul>

Management	Position Level	Profile	HR Actions			
			Outstanding	Very Good	Good	Need Improvement
Pool for Moderation Exercise	Pooled Employees (S5 - P1(s))	P1 specialist position not heading division, Others	<ul style="list-style-type: none"> <li>✓ Meritorious Promotion if 3 years and 6 months of outstanding performance. <i>Other conditions as per Promotion rule shall apply for P1 Specialist</i></li> <li>✓ Award full mark for PE rating during open competitions.</li> <li>✓ Recognition with Certificate and other awards by the Agency through HRC.</li> <li>✓ May be assigned as mentor/guide in the Agency to co-work with the NI category.</li> </ul>	<ul style="list-style-type: none"> <li>✓ Award 75% marks for PE rating during open competitions</li> <li>✓ Normal Promotion</li> <li><i>Other conditions as per Promotion rule shall apply for P1 Specialist</i></li> </ul>	<ul style="list-style-type: none"> <li>✓ Award 50% marks for PE rating during open competitions</li> <li>✓ Normal Promotion if 4 years of consecutive good performance</li> <li>✓ Normal promotion</li> <li><i>Other conditions as per Promotion rule shall apply for P1 Specialist</i></li> </ul>	<ul style="list-style-type: none"> <li>✓ Will not be eligible for promotion for that year.</li> <li>✓ Not eligible to participate in any open competition for next one year.</li> <li>✓ Provide basic capability development opportunities for improvement in performance</li> <li>✓ Debar from availing any ex-country long/short term training up to six months in the succeeding year.</li> <li>✓ Attach the employees to a mentor with a PIP in the Agency/Dept./ Division for Mentoring, coaching and guidance</li> <li>✓ Refer him/her to relevant authority</li> <li>✓ Redeploy/Retrain the employee wherever his/her skills are appropriate.</li> </ul>

Management	Position Level	Profile	HR Actions			
			Outstanding	Very Good	Good	Need Improvement
Operational Category	O4- O1	Driver, Dispatcher, Receptionist, Telephone Operator)	Status-quo as per BCSR 2012			

**Note<sup>6</sup>**

1. Civil servants can be put under *Waiting List for reasons other than performance* as per relevant sections of BCSR.
2. For all Promotion, relevant clauses on promotion from the BCSR shall apply
3. All civil servants falling under “Need Improvement” category for two consecutive years shall be liable for major penalty
4. All Meritorious promotion for civil servants in schedule A (non-moderation Agencies) shall be processed through RCSC (refer BCSR)

## 4.2. 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. However, the appeal submitted shall be supported by sufficient evidence of injustice and within 10 working days of the decision.

### 4.2.1. Appellate authority to review appeal cases of Moderation Exercise

The HRC of the respective Agency shall be the first level to review and decide the appeal pertaining to Moderation Exercise;

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.

### 4.2.2. Appeal period

Aggrieved civil servant shall appeal to respective HRC within 10 working days from the declaration of moderation results.

Any appeal to RCSC against the decision of HRC shall be submitted within 10 working days from decision of HRC.

### 4.2.3. Appeal process

#### 4.2.3.1. HRC of the working Agency;

- The HRC of the working Agency should deliberate on the appeal within 5 working days from the date of the appeal received, and form Investigation Team (IT), if required.
- The investigation, if required, shall be conducted within 10 working days after the formation of the IT.
- The IT shall report the findings to the HRC within 2 working days.
- The HRC, after receiving the investigation report, shall render final decision within 5 working days.
- The HRC shall convey the decision of the HRC.

#### 4.2.3.2. Royal Civil Service Commission;

- A civil servant aggrieved by the decision of the HRC of the working Agency shall appeal to the RCSC within 10 working days.
- The RCSC shall deliberate on the appeal within 5 working days from the date of the appeal received, and form an Investigation Team, if required
- The investigation, if required, shall be conducted within 10 working days after the formation of the IT
- The IT shall report the findings to the RCSC within 2 working days.

- The RCSC, after receiving the investigation report, shall render final decision within 5 working days
- The RCSC shall convey the decision of the Commission.
- The decision of the RCSC shall be final and binding.

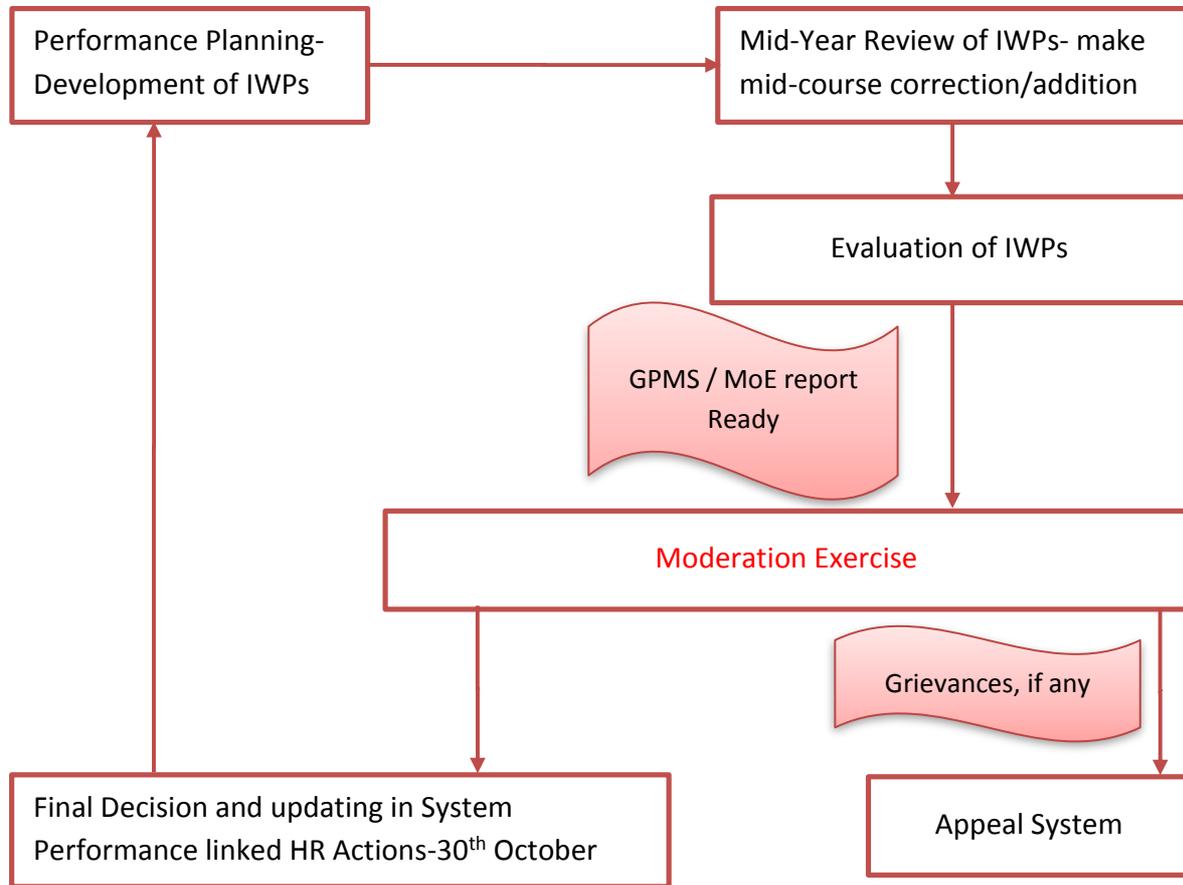
**Table 5: Max Calendar for civil servants: Fiscal Year (July-June)**

Sl. No	Activities	Responsible	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
1	Develop IWPs and core competencies. Submit Appraisal Form online. Online system will be closed by August 31 <sup>st</sup>	Supervisor and concerned civil servants		By 30 <sup>th</sup>										
2	Mid-Year Review of Appraisal form	Supervisor and concerned civil servants							30 <sup>th</sup>					
3	Evaluation of Appraisal form	Supervisor		30 <sup>th</sup>										
4	Moderation Exercise for the evaluation of the previous year	Moderation Committee				30 <sup>th</sup>								
5	Update Score of ME on Max online System	HRD					15 <sup>th</sup>							
6	Performance linked HR actions	HRD						31 <sup>st</sup>						

**Table 6: Max Calendar for civil servants in Schools: Calendar Year (January-December)**

Sl. No	Activities	Responsible	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sept	Oct	Nov	Dec
1	Develop IWPs and core competencies Submit Appraisal Form online	Supervisor & concerned civil servants			30 <sup>th</sup>									
2	Mid-Year Review of Appraisal form	Supervisor & concerned civil servants							30 <sup>th</sup>					
3	Evaluation of Appraisal form	Supervisor												30 <sup>th</sup>
4	Moderation Exercise for the evaluation of the previous year	Moderation Committee					By 30 <sup>th</sup>							
5	Update Score of ME on Max online System	HRD					By 30 <sup>th</sup>							
6	Performance linked HR actions	HRD						30 <sup>th</sup>						

**Process mapping of MaX**





**Annexure 1: Performance Appraisal Form for Professional and Management, and Specialist Services Group**

**Section A: Employee Details**

APPRAISAL PERIOD: \_\_\_\_\_

EMPLOYEE ID No. \_\_\_\_\_

NAME OF THE EMPLOYEE: \_\_\_\_\_

POSITION TITLE: \_\_\_\_\_

DIVISION: \_\_\_\_\_

POSITION LEVEL: \_\_\_\_\_

DEPARTMENT/AGENCY: \_\_\_\_\_

**Assurance on Accuracy of CV:** I have verified my CV in CSIS and hereby declare that the information is correct as of....date.....

**SECTION B: Performance Assessment (70%)**

Division Output	Activities	Targets Values				Target Achieved specified by individual	Employee's Feedback/ comment/ justification	Final Score by Supervisor <sup>7</sup>
		Level 4=[3.00-4.00]	Level 3=2.00-2.99]	Level 2=[1.00 -1.99]	Level 1[<=0.99]			
1.	1.1. ....							
	1.2. ....							
2.	2.1. ....							
	2.2. ....							
<b>Total</b>								
<b>Final Score B (Total/No. of activities)</b>								

<sup>7</sup> Note below concrete results achieved during the year that were agreed and rate them in the scale indicated in the target values.

**SECTION C: Competency Behaviour (30%)**

Potential Assessment Area	Quality & Description	[3.00-4.00] Level 4	[2.00-2.99] Level 3	[1.00-1.99] Level 2	[<=.99] Level 1	Final Rating with Evidence of Behavior
1.Analytical and Intellectual Capacity	<b>1.1. Sense of Perspective</b> <i>Demonstrates intellectual flexibility, imagination and socio-political sensitivity in developing a holistic appreciation of the situation and in generating innovative ideas and solutions that bring practical benefit</i>	-Thinks ahead to anticipate issues, identifies opportunities and appreciates implications -Exercise imaginations and creativity to generate a range of alternative solutions -Takes strategic perspective when formulating proposals and recommendations	-Takes strategic steps and ways to achieve and enhance the achievement of the target	Need guidance in identifying the opportunities and solutions to solve work towards achieving the target	-Is hasty in formatting opinions and judgment taking action before assessing implications and Focuses on day to day problems at the expense of longer term planning	
		<b>1.2 Analysis and Judgment</b> <i>Demonstrates power of analysis and a sense of reality in the context of complex issues and solutions</i>	-Analyses situations and problems in a systematic and logical manner to identify key issues -Makes sound judgment based on rigorous, independent thinking -Makes good use of background	-Proposes strong judgmental recommendation towards overall issues for a realistic achievement	-Limited to supervisory directives in tackling the problems and issues and does provide any strong judgmental recommendation to owns issues	-Makes assumption based on superficial analysis -Spends too long on analysis and deliberating at the expense of responding in a timely fashion

Potential Assessment Area	Quality & Description	[3.00-4.00] Level 4	[2.00-2.99] Level 3	[1.00-1.99] Level 2	[<=.99] Level 1	Final Rating with Evidence of Behavior
<b>2.Influence &amp; Collaboration</b>	<b>2.1.Influencing and Inspiring</b> Persuades, motivates and inspires others, developing a sense of purpose and unity	knowledge -Put team's success ahead of personal success -Work to resolve conflict among team members by showing respect for others' opinions and working toward mutually agreeable solutions.	-Maintains wide network of good working relationship with peers, subordinates, supervisor, customer and clients. Makes consistent efforts to generate trust and co-operation to foster positive and productive team spirit.	-Stick to good working relationship with most of the peers, subordinates, supervisor and the clients. Initiates encouragement of trust and cooperation among others.	-Blame others for mistakes and/or setbacks that negatively affect team results.	
		<b>2.2.Collaboration &amp; Engagement</b> Takes lead in communication and consultation, engaging with a wide range of supervisors, peers and stakeholders across division, department, and Agencies.	-Help to keep team performance and morale high even during periods of intense pressure or heavy workload. -Actively seeks development opportunities for team	-Demonstrate to work in a team and foster sharing of workloads while he/she is not utilized.	-confines to his/her own assigned task and does not extend and seeks support to collaborate and engage in a team.	-Work only to serve self-interests and meet personal goals -Blame others for mistakes and/or setbacks that negatively affect team results.

Potential Assessment Area	Quality & Description	[3.00-4.00] Level 4	[2.00-2.99] Level 3	[1.00-1.99] Level 2	[<=.99] Level 1	Final Rating with Evidence of Behavior
<b>3.1. Achieving Results</b> Strives hard to achieve Agency's five year and annual targets by focusing on national interest to ensure efficiency and high standards of delivery.	<b>3.1. Achieving Results</b> Strives hard to achieve Agency's five year and annual targets by focusing on national interest to ensure efficiency and high standards of delivery.	-Achieves all targets set within the allocated resources without compromising on the quality -Minimizes waste of his Agency and nation's resources	-Always look towards achieving the result with best quality within the resources under his/her control	-Hard working towards achieving the results but needs extra resources to achieve it	-Do not deliver as per the set targets and budget allocated -Wastes his Agency and nation's resources	
		<b>3.2 Commitment and Accountability</b> Demonstrates personal integrity and commitment to serving Bhutan's national interest	-Upholds both explicit and implicit terms and understandings he has with the Royal Government, public, family, Agency, superiors, peers, subordinates and clients -Ready and willing to take additional responsibility by one's own initiatives	-Demonstrate strong bond towards the Royal government and uphold the belongingness of oneness among the public family. Needs guidance to take the initiatives	-Upholds the bond towards one public family as and when required only and resistance to take initiatives	-Breach the norms and values of the society -Speak and act in a way that is not in conformity to the Civil Service values of integrity, professionalism, honesty, impartiality, accountability, loyalty, and leadership. -Do not participate in any extra assignments
<b>3. Motivation for Excellence</b>						
<b>Final Score C (Total/No. of competency behavior)</b>						
<b>Total</b>						

**SECTION D: Final Performance Evaluation Score [Section B & C]**

Particular	Score received	% Allocated	Final Score	Supervisor's Comment, if any	Moderation Exercise Category (OT, VG, G or NI)	Head of Agency's Comment if any.
B. Performance		70%				
C. Competency Behaviors		30%				
<b>Total</b>						

Employee's Signature:

Date

Supervisor's Signature:

Date

Overall Rating Table:

<u>Performer category</u>	<u>Definition</u>	<u>Rating scale</u>
<b>1. Level 4</b>	Achieved exceptionally high level of performance	3.00-4.00
<b>2. Level 3</b>	Performed at higher level than required	2.00-2.99
<b>3. Level 2</b>	Employee fulfilled requirement of the job	1.00-1.99
<b>4. Level 1</b>	Results/Behavior far below performance requirement	<=0.99

**Annexure 2: Performance Appraisal Form for Supervisory and Support Services Group**

**Section A: Employee Details**

APPRAISAL PERIOD: \_\_\_\_\_

EMPLOYEE ID No. \_\_\_\_\_

NAME OF THE EMPLOYEE: \_\_\_\_\_

POSITION TITLE: \_\_\_\_\_

DIVISION: \_\_\_\_\_

POSITION LEVEL: \_\_\_\_\_

DEPARTMENT/AGENCY: \_\_\_\_\_

**Assurance on Accuracy of CV:** I have verified my CV in CSIS and hereby declare that the information is correct as of.....date.....

**SECTION B: Performance Assessment (Individual Work Plan) (70%)**

Division Output	Activities	Targets Values				Target Achieved specified by individual	Employee's Feedback/ comment/ justification	Final Score by Supervisor <sup>8</sup>
		Level 4=[3.00-4.00]	Level 3=2.00-2.99]	Level 2=[1.00 - 1.99]	Level 1[<=0.99]			
1.	1.1.....							
	1.2.....							
2.	2.1.....							
	2.2.....							
<b>Total</b>								
<b>Final Score B (Total/No. of activities)</b>								

<sup>8</sup> Note below concrete results achieved during the year that were agreed and rate them in the scale indicated in the target values.

**SECTION C: Competency Behaviour (30%)**

Competency Behaviour	Description	[3.00-4.00] Level 4	[2.00-2.99] Level 3	[1.00-1.99] Level 2	[<=0.99] Level 1	Final Rating with Evidence of Behaviour
<b>1. Analytical Skills</b>	Demonstrates sense of understanding and appreciation of one's work to meet organizational objectives and results	-Makes critical judgment on her/his contribution to organization based on independent thinking by making good use of background knowledge	-Makes strong judgements based on the work experiences upon receiving the guidance from supervisor to carry the work activities	-Makes judgements by using limited work knowledge and timely supervision required to carry the work activities	-Carries out work activities without critical judgement and not putting the work knowledge in use	
		Demonstrates ability to plan and organize work activities around organization's objectives making optimum use of resources and time	-Every day activities are guided by meticulous work plans and demonstrates good time management skills to meet Agency's objectives by using available resources optimally to meet work activities without compromising the quality of the work output	-Systematic work Planning on the work activities are drawn clearly and needs minimum supervision and resource and maintain quality of the work	-Work plan are maintained but are not followed and requires extra resources to carry the activities and quality of work compromised	-Does not follow clear work plan and mostly involved in ad hoc activities and work are not up to the expected quality
<b>2. Planning &amp; Organizing</b>						

Competency Behaviour	Description	[3.00-4.00] Level 4	[2.00-2.99] Level 3	[1.00-1.99] Level 2	[<=0.99] Level 1	Final Rating with Evidence of Behaviour
<b>3.Decisiveness</b>	Demonstrates sound judgment to identify and recognise problems and solutions, and escalate them to appropriate authority	-Submits problems and recommended solutions before time for supervisory intervention	-Submits problems and recommended solutions on time for supervisory advice	-Submits problems without recommendation on time	-Waits for supervisory intervention to resolve issues	
<b>4.Leadership &amp;Influencing Skills</b>	Demonstrates urgency and proactively takes lead in assigned work activities and solicits support.	-Initiates assigned works proactively, identifies and tries to solve bottlenecks in his/her own area of work	-Work assigned are taken with strong responsibility to be completed	-Any assigned work are done but requiring a minimum supervision	-Initiates assigned work with reminder only	
<b>5.Interpersonal Skill</b>	Demonstrates ability to work in teams and garner supports, built relationship and develop congenial work environment	-Achieves individual performance targets while maintaining friendly relationship within and outside Agency	-Achieves individual performance with good relationship within but limited level of interpersonal skills outside Agency	-Achieves individual performance with limited relationship within and outside Agency	-works only to serve self-interest and meet personal goals	

Competency Behaviour	Description	[3.00-4.00] Level 4	[2.00-2.99] Level 3	[1.00-1.99] Level 2	[<=0.99] Level 1	Final Rating with Evidence of Behaviour
6.Oral/ Written communication	Demonstrates ability to articulate one's ideas, views and opinions clearly and concisely both in oral and in writing	-Articulates information to others in language that is clear, concise and easy to understand	-Articulates information to other in languages that is understandable	-Articulates information to other in limited language limited unto his/her level of understanding	-Does not articulate information that is clear and concise	
<b>Total</b>						
<b>Final Score C (Total/No of Competency Behaviour)</b>						

**SECTION D: Final Performance Evaluation Score [Section B &C]**

Particular	Score received	% Allocated	Final Score	Supervisor's Comment, if any	Moderation Exercise Category (OT, VG, G or Nil)	Head of Agency's Comment if any.
B. Performance		70%				
C. Competency Behaviors		30%				
		<b>Total</b>				

Employee's Signature:  
Date

Supervisor's Signature:  
Date

Overall Rating Table:

Needs Improvement Performer category	Definition	Rating scale
<b>1. Level 4</b>	Achieved exceptionally high level of performance	3.00-4.00
<b>2. Level 3</b>	Performed at higher level than required	2.00-2.99
<b>3. Level 2</b>	Employee fulfilled requirement of the job	1.00-1.99
<b>4. Level 1</b>	Results/Behavior far below performance requirement	<=0.99

**Annexure 3: Performance Appraisal for O category**

APPRAISAL PERIOD:

EMPLOYEE ID No.

NAME OF THE EMPLOYEE:

POSITION TITLE:

POSITION LEVEL:

DIVISION:

DEPARTMENT/AGENCY:

**Assurance on Accuracy of CV:** I have verified my CV in CSIS and hereby declare that the information is correct as of date.....

Competency Behavior	Description	Rating by Supervisor (0-4)	Comments
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>Total Rating</b>			
<b>Average Rating = Total Rating/6</b>			

(Signature of Employee)

(Name and Signature of Supervisor)

**Overall Rating Table:**

Performer category	Definition	Rating scale
<b>1.Outstanding</b>	Achieved exceptionally high level of performance	3.00-4.00
<b>2. Very Good</b>	Performed at higher level than required	2.00-2.99
<b>3. Good</b>	Employee fulfilled requirement of the job	1.00-1.99
<b>4.Needs Improvement</b>	Results/Behaviour far below performance requirement	<=0.99

#### ***Annexure 4: Performance Calibration through the Moderation Exercise***

Moderation Exercise is a process in which managers within an Agency, a department or division, whichever is applicable convenes together to discuss the performance of employees and establish consensus on ratings. The practice of moderation exercise refers to the steps taken to make sure that members of the Moderation Committee apply a consistent set of standards in finalizing ratings. The moderation exercise ensures:

- **Differentiation of Categories of Performers.**

One of the primary goals of the moderation exercise is to effectively differentiate high performers from average or poor performers so that high performers can be rewarded and retained, and non-performance are given targeted intervention. The performance score provided by managers on performance targets and competency behaviour in the appraisal forms are important data points in HR and leadership decision making. This data not only have an impact on promotion and compensation, but are considered in succession planning and the allocation of developmental resources.

- **Improves the Objectivity and Accuracy of Performance Ratings.**

Moderation exercise serves to increase the objectivity and accuracy of performance ratings provided by managers. The moderation process helps to ensure that all employees are evaluated on the same criteria. The collective discussion regarding performance allows managers to have new insight into the performance of employees and reduce potential bias. Peer-to-peer discussion brings about transparency - calling attention to an individual manager's tendency to rate leniently or harshly. Managers become accountable to each other for the performance appraisal ratings made for all employees.

- **Clarifies Criteria for Performance Categorisations.**

Moderation exercise clarifies and reinforces the criteria for performance categorisations across the management team. During the moderation exercise, managers will discuss the supporting reasons for the performance categorisation ratings provided. This type of discussion builds a common language around defining performance expectations across all managers. As a result, managers will be better prepared to discuss the reasons behind ratings with employees and create development plans for ongoing performance improvement and career development. The support reasons can be presented in accordance to the discretion of the manager. One suggested format that could be applied by the manager when citing specific cases to substantiate the proposed performance categorisation for the employee is as follows:

- Brief description of the incident/case. Appraisal forms can be used to note such incidences;
  - Description of the action taken by the employee (include the key challenges the employee had to overcome where appropriate); and
  - Description of the impact of the action taken by the employee. Quantify the impact where possible and establish link to the mission and/or core values of the organisation.
- **Increases Perceptions of Fairness.**

Together, the accuracy of performance categorisation and the clarification of performance criteria increase the likelihood those employees will perceive the performance appraisal process to be fair. Since compensation, promotion and succession decisions are based, in part, on performance categorisations, it is important that employees believe that they are being fairly evaluated by their manager.

## ***Annexure 5: Sample Meeting Agenda***

### **Introduction**

- Desired Outcomes of Meeting
- Joint Ownership
- Confidentiality

*The information discussed and the resulting outcomes should be kept confidential by all managers involved. Participants should be reminded of the expectation regarding confidentiality at the start of the meeting.*

### **Clarify Standards**

*Review of the ratings scale/s and scale definitions used in the performance evaluation process.*

### **Performance Trends of Agency/Department/Division**

*Examination of the performance distribution of the Agency/department/division, including how the distribution compares to the previous performance period and/or desired distribution.*

### **Alignment with Agency/Department/Division Results**

*Discussion of the linkage between initial performance ratings with the results produced by the Agency/department/division.*

### **Individual Presentation**

*Review of each employee's performance rating/s and the supporting rationale behind the rating/s.*

### **Moderation**

*Moderation of ratings, as necessary, to accurately reflect performance over the performance period.*

### **Discussion Records**

*Secretariat to minute the details and evidences relating to the decisions leading to assignment of performance ratings, especially for Outstanding and Need Improvement categories. Chairperson of meeting to vet and approve minutes.*

### **Next Steps in the Performance Management Process**

*Communication of finalised performance rating with the employee and discuss on follow-up developmental plans where appropriate (e.g. those rated as Need Improvement).*

## ***Annexure 6: Schedule A***

### **Agencies under Schedule A are:**

1. His Majesty's Secretariat;
2. His Majesty the Fourth Druk Gyalpo Secretariat;
3. Office of Gyalpoi Zimpon;
4. Anti-Corruption Commission;
5. Royal Audit Authority;
6. Office of the Attorney General;
7. Supreme Court of Bhutan;
8. High Court;
9. District Court;
10. Dungkhag Court;
11. Bhutan Olympic Committee;
12. Bhutan National Legal Institute;
13. Royal Privy Council;
14. Bhutan Health Trust Fund;
15. Civil Society Organization Authority; and
16. Bhutan Medical Health Council.

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