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Federal Authority For Government Human Resources

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**United Arab Emirates**
**Federal Authority for Government Human Resources (FAHR)**

# Guide of Performance Management System Applied to Human Resources Department's Staff

**1st Edition**
**2012**

**United Arab Emirates**
**Federal Authority for Government Human Resources (FAHR)**

# Guide of Performance Management System Applied to Human Resources Department's Staff

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# Annex of Smart Objectives Preparation

## System Overview

## Introduction:

- FAHR sought to improve the performance of Federal Government's employees and develope their efficiencies and effectiveness by raising their productivity and encouraging them to develop and learn continuously.

- Having an effective system for measuring, evaluating and evaluating staff achievements as a means of encouraging them to acquire more skills and efficiencies that help to raise their performance is deemed as a crucial matter.

- Developing the performance management system by FAHR for federal government's employees based on the relevant best practices, in coordination and collaboration with human resources departments of ministries and government authorities.

- Issuing a decision by the Ministerial Services Council on the application of performance management system for federal government's employees as a pilot stage for specific federal authorities.

- The Federal Government's employees' performance management system consists of the same system, general knowledge of behavioral efficiencies and models attached to the system.

## Objectives of Performance Management System:

- Developing a practical and logical methodology to link rewards, incentives and bonuses to the level of performance and work to assess the excellent achievements and results.

- Improving and increasing the productivity of UAE Federal Government's employees through the annual performance assessment process in line with the UAE Government's strategic objectives.
- Fostering a comprehensive understanding of strategic objectives of ministries and federal government authorities in UAE, encouraging the communication with all employees and detailing them at individual levels of directors and employees.

- Encouraging and enhancing the individual achievements of employee's of the ministries and federal government authorities and instilling a culture of continuous learning, occupational development and progress opportunities and principles of teamwork.

- Urging and encouraging federal government authorities to identify and assess employees with outstanding performance, efficiencies and high skills, preparing and equipping them with the necessary expertise to occupy leadership positions in the future.

- Providing a systematic mechanism to measure the extent to which individuals contribute to achieving the strategic objectives of ministries and federal government authorities in UAE.

## Core Principles of System:

- **Strategic Consensus:** Enhancing and developing the culture of performance by linking the performance of the individual employee to the general and strategic direction of Federal Government, Ministry or FAHR where the employee is working in particular.

- **Managing by Using Objectives:** Engaging employee in planning and setting objectives to comply with the controls and standards that achieve objectives as he/ or she feels that his/her work is valuable and appreciated by the department to achieve the occupational satisfaction.

- **Integrative Feedbacks:** Encouraging fair and positive comments received from the Line Managers who follow-up and control the performance of their employees as a method for the purposes of developing and reviewing the performance.

- **Integrative Relation:** Linking performance with incentives, bonuses and opportunities of promotion, training and development as the measurement of Government Authority's Performance Effectiveness depends on the extent to which the objectives are achieved.

- **Justice and Credibility:** Establishing a stable, fair, equitable and credible staff's performance management system by defining clear standards, policies and procedures in line with Federal Government's legislations and systems.

## System Pillars:

The system is consisted of two main pillars:

**1.** Objectives "What are accomplished?":

The objective of this pillar is to ensure that the employee is able to ensure that he/ or she focuses on the key aspects of his/her work which realizes achievement efficiently and effectively. In addition, all employee's objectives are consistent with the organizational objectives of federal authorities or operational requirements of departments and divisions.

**2.** Efficiencies "How to Accomplish":

This framework focuses on the method or mechanism that determines how the employee accomplishes his/her objectives according to the general framework of behavioral efficiencies as the general framework of behavioral efficiencies includes two different groups of efficiencies (three leadership efficiencies and six basic efficiencies developed in accordance with the strategic priorities, values and document entitled "principles of professional conduct and public service ethics".

| **Objectives of Federal Authorities:** |
|---|
| Efficiencies "How" |
| Objectives "What" |
| Leadership Efficiencies |
| Behavioral Efficiencies |
| Smart Objectives |
| Core Efficiencies |

## Efficiencies:

Types of Behavioral Efficiencies Approved in Federal Government:

The behavioral efficiencies are divided into two parts:

1. **Leadership Efficiencies**: The leadership efficiencies are included among the key efficiencies for roles and positions within the leadership and senior management categories, which have been developed in line with strategic thinking and strategic directions for the development of Federal Government's leaders.

2. **Core Efficiencies:** They include the general efficiencies required to be available in the Federal Government's employees who occupy the tenth rank and above in order to achieve FAHR's objectives and visions. It is prepared in the light of UAE's strategic vision and strategic government plan and "Principles of Professional Conduct and Public Service Ethics".

| | | |
|---|---|---|
| **Leadership Efficiencies** | Strategic Thinking | Having the ability to create and crystallize a clear vision for the future and linking FAHR's strategic objectives with the priorities of work. Including a long-term analysis of FAHR's priorities for the purpose of creating a common vision for FAHR's employees to encourage them, create interest and enthusiasm for this vision and motivate them to achieve FAHR's strategic objectives. |
| | Empowering Employees and developing their capabilities | Having the ability to motivate and encourage staff and teams by giving them the necessary powers to facilitate their works, providing support, guidance and development, creating an encouraging work environment to achieve the highest levels of individual performance and preparing the future leaders to ensure the sustainability of FAHR's success. |
| | Change Leadership | Having the ability to motivate employees to adopt change thinking, constructive criticism of work mechanisms and leadership of |

| | | |
|---|---|---|
| | | development initiatives in line with FAHR's vision and strategic objectives. |
| **Core Efficiencies** | Communication skills | Having the ability to listen, explain, persuade and influence others by expressing ideas and opinions in a way that is consistent with the situation in different aspects whether orally or in writing in a way that achieves objectives of positive communication. |
| | Working as one team | Having the ability to work collectively and in a team spirit among different organizational units to achieve common objectives while maintaining positive linkages at all levels, regardless of cultural differences, as well as respect of mutual views. |
| | Focusing on Results | Having the ability to identify and achieve strategic objectives, maintain the focus, effectiveness and excellence in achieving results that are consistent with FAHR's objectives. Including the ability to overcome challenges and obstacles to work and find appropriate solutions, depending on the available possibilities. |
| | Effective Management of Resources | Having the ability to properly and effectively plan FAHR's resources and adopt the criteria of excellence in achieving its objectives and strategies, including setting priorities, encouraging cooperation and motivating employees to perform their tasks in accordance with the required standards of excellence. |
| | Accountability | Taking full responsibility for the results of its decisions resulting from the tasks assigned to it, addressing the problems effectively, encouraging his/her employees to comply with the achievement of objectives and tasks assigned to them with all sincerity and honesty. |
| | Focusing on Customers Service | Having the ability to understand the needs of internal and external customers, strive to provide services to meet these needs professionally, including the focus on service |

| | | |
|---|---|---|
| | | recipients by providing them with high services within the available possibilities. |

Distributing Behavioral Efficiencies to Jobs:

**Leadership Efficiencies:** Applying these leadership efficiencies to the top management jobs starting from second rank and above.

**Core Efficiencies:** Applying these core efficiencies to different categories and ranks of all Jobs.

**Level of Skill (PL):** Describing both the degree of complexity and importance of behavioral indicators at each level so that more their levels of difficulty and importance gradually increase, more the ranks increase.

More the levels of difficulty and importance of behavioral indicators gradually increase, more both their importance and ranks increase

Chart of Behavioral Efficiencies

<table>
<tr><th rowspan="3">Job Category</th><th rowspan="3">Job Rank</th><th rowspan="3">Level of Skill (PL)</th><th colspan="6">(Core Efficiencies)</th><th colspan="3">(Leadership Efficiencies)</th></tr>
<tr><th colspan="2">Group of Human Capital</th><th colspan="4">Group of Results</th><th colspan="3">Strategic Group</th></tr>
<tr><th>Working as one work team.</th><th>Communication and communication skills:</th><th>Focusing on Customers Service</th><th>Focusing on Results</th><th>Effective Management of Resources</th><th>Accountability</th><th>Change Leadership</th><th>Empowering employees and developing their capabilities</th><th>Strategic Thinking</th></tr>
<tr><td>Leadership Jobs</td><td>Deputy Minister/ Assistant Deputy Minister</td><td>PL7</td><td colspan="9">PL7</td></tr>
<tr><td rowspan="4">Top Management Jobs</td><td>Special A</td><td rowspan="2">PL6</td><td colspan="9" rowspan="2">PL6</td></tr>
<tr><td>Special B</td></tr>
<tr><td>1</td><td rowspan="2">PL5</td><td colspan="9" rowspan="2">PL5</td></tr>
<tr><td>2</td></tr>
<tr><td rowspan="4">Supervisory Roles</td><td>3</td><td rowspan="2">PL4</td><td colspan="6">PL4</td><td colspan="3" rowspan="8">N/A</td></tr>
<tr><td>4</td></tr>
<tr><td>5</td><td rowspan="2">PL3</td><td colspan="6">PL3</td></tr>
<tr><td>6</td></tr>
<tr><td rowspan="4">Supporting Roles</td><td>7</td><td rowspan="2">PL2</td><td colspan="6">PL2</td></tr>
<tr><td>8</td></tr>
<tr><td>9</td><td rowspan="2">PL1</td><td colspan="6">PL1</td></tr>
<tr><td>10</td></tr>
</table>

## Scope of Performance Management System Application:

This system is applied to all ministries and federal authorities, regardless of the types and durations both the contract and job rank, including full-time and part-time employees, except the employees who are working in servicing jobs.

The judiciary Authority's members are also excluded from the application of this system, provided that their performance systems comply with the general principles and general framework of this system.

The timeframe of the application process is determined in all ministries and federal authorities in the following table:

| Priorities | First Year | Second Year |
|---|---|---|
| Consistency of Main Performance Objectives | Consistency of objectives with all job ranks assessed and calculated in the final assessment. | Consistency of objectives with all job ranks assessed and calculated in the final assessment. |
| Determining efficiencies based on the Federal Government's general framework of efficiencies. | Applying the efficiencies to all objectives which are assessed, but they are not calculated | Applying the efficiencies to all job ranks assessed and calculated in the final assessment made in the second year. |
| Determining and Assessing the objectives weight | Optional in the first year | Applying the efficiencies in accordance with the system in the second year. |
| Performance Rewards | To be determined later | To be determined later |

## Human Resources Management role:

The Human Resources department plays an important role in the implementation and success of the performance management system, with all the desired results and outputs. The responsibility of system care and coordination among all concerned parties' rests with the human resources department.

| | |
|---|---|
| Human Resources Department | • Taking Responsibility for the management and implementation of Employee's Performance Management System (PMMS), Employee's Performance Management Models and General Behavioral Efficiencies Framework in its authorities.<br>• Implementing strictly and effectively the system to achieve its intended purposes.<br>• Providing support and help to the Line Managers and employees during the application of Employee's Performance Management System. |

| | |
|---|---|
| | • Holding workshops and training courses for Line Managers and employees to raise awareness about the Performance Management System.<br>• Communicating with FAHR to clarify any obstacles or difficulties that would obstacle the proper application of this system or any other emergency problems.<br>• Ensuring that all divisions and departments of Ministry or FAHR comply with the timeframe set for the employee's performance cycle.<br>• Preparing the comprehensive annual statistical reports on the overall performance of system's application and submitting them to FAHR. |

## Roles of Other Concerned Parties:

Knowing and deep understanding of Human Resources Department for all roles and responsibilities of other concerned parties, clarifying, explaining and following-up them when necessary, is important and essential.

| | |
|---|---|
| Federal Authority for Government Human Resources (FAHR) | • Developing all mechanisms, policies and procedures for the Federal Government's employees' performance management, as well as providing the necessary support tools necessary for the best practices.<br>• Developing the Federal Government's behavioral efficiency framework which is applied to all Federal Government's authorities.<br>• Following-up the Government Authority's complying with the provisions stipulated in this system.<br>• Providing the advisory support to the Federal Government Authorities during the implementation stage.<br>• Receiving the annual statistical reports from all government authorities on the effectiveness of Employee's Performance Management System. |
| Concerned Minister | • Assuming the main role responsible for the application of Employee's Performance Management System.<br>• Providing the necessary resources to implement the system in FAHR.<br>• Overseeing the application of this system in FAHR.<br>• Directing guidance to stakeholders inside the Ministry to pay |

| | |
|---|---|
| | attention to activating the system according to the rules prescribed therein.<br>• Instructing to submit the annual statistical reports of Employee's Performance Assessment's Results to FAHR. |
| Deputy ministers and directors working in federal authorities. | • Ensuring the application of this system and its procedures, in addition to ensuring effective communication with stakeholders inside the Ministry or FAHR.<br>• Taking responsibility for effective application of the process of adjustment and balanced and effective percentages in all their divisions and departments.<br>• Submitting the annual statistical reports on the results of applying this system in accordance with the indicators set by FAHR in this regard. |
| Line Manager | • Ensuring that their subordinates understand the Performance Management System correctly and comprehensively.<br>• Discussing their subordinates and agreeing with them on behavioral objectives and efficiencies and individual development plans.<br>• Following-up the performance of their subordinates and managing the development of their performance through periodic and stage review.<br>• Discussing and agreeing on the annual performance document provided for in the Performance Management System in accordance with the individual development plan contained in the Federal Government's Employees Training System.<br>• Providing their subordinates and teams with feedbacks on their performance and measuring the individual performance of each employee.<br>• Preparing and documenting the stage review completely, in advance and as appropriate.<br>• Taking all actions required for the final annual assessment process.<br>• Assessing the performance of their subordinates with all objectivity and transparency in the light of achievements done by them.<br>• Complying with the timeframe set for the Employee's Performance Management Cycle. |
| Subordinates | • Proposing objectives and weight for each objective and agreeing on them with the Line Manager.<br>• Obtaining feedbacks and comments from the Line Manager, conducting dialogues and agreeing with him/her on the action plans and how to apply them.<br>• Initiating to find the required efficiency development methods in accordance with the Federal Government's Employees Training and Developing System.<br>• Implementing the performance plans agreed in the annual performance document accurately and faithfully in order to achieve the established objectives.<br>• Initiating a request to the Line Manager to review performance through periodic review. |

# Performance Management System Cycle

# General Framework

| | |
|---|---|
| January – February | |
| November – December | |
| June – July | |
| Performance Planning | |
| Assessing the annual performance and determining the rewards and bonuses | |
| Stage review of achieved role | |
| Continuous training and feed-Backing | |
| ✓ | Determining Objectives |
| ✓ | Determining Behavioral Efficiencies. |
| ✓ | Unofficial Feed-Backing |
| ✓ | Reviewing the progress of achieving objectives |
| ✓ | Stage Review |
| ✓ | Performance Rewards |
| ✓ | Non-Financial Appreciation |
| ✓ | Promotions |
| ✓ | Assessing Annual Performance |
| ✓ | Process of Adjustment and Balanced Percentages |
| ✓ | Complaints and Grievances |
| ✓ | Individual Development Plans |
| ✓ | Low Performance Management |

## As shown in the general framework of system, the performance management system cycle is composed of three stages as follows:

| Stage | Timeframe | Objectives |
|---|---|---|
| First Stage: Performance Planning | Both months of January and February of each year | • Setting individual objectives or key job responsibilities in accordance with the employee's rank.<br>• Identifying the required behavioral efficiency levels based on the principles and values set out in the General Behavioral efficiencies framework.<br>• Agreeing on and signing the annual performance document. |
| Second Stage: Stage Review | Both months of June and July of each year | • Discussing the progress extent in achieving objectives, demonstrating efficiencies, identifying reasons and obstacles and adjusting any objectives as necessary. |
| Third Stage: Assessment of Annual Performance | Both months of November and December of each year | • Assessing the performance of employees by assessing the achievement level of both the objectives and efficiencies set out in the annual performance document, stage review and identifying also the developmental needs required to achieve the future objectives which will cause the implementation of occupational training, improving and developing process. |

# First Stage

## Performance Planning

| |
|---|
| **Performance Planning** |
| Stage Review |
| Assessing Performance |
| Following-up and documenting performance and providing feedbacks |

## Objectives of Stage:

- Setting the individual objectives or key job responsibilities in accordance with the employee's rank.
- Determining the required level of behavioral efficiencies, based on the principles and values set out under the general behavioral efficiencies framework.
- Agreeing on and signing the annual performance document.

## When we are required to do so?

- Implementing this stage in both months of January and February of each year.

**First Step:**

- Training the Line Managers and staff on both the performance management system and process of setting objectives.

**Second Step:**

- Launching and starting the performance cycle in the Ministry or FAHR.

**Third Step:**

- Coordinating and following-up the meetings relating to the consistency and derivation of objectives, as well as participating in the documentation of their outputs.

**Fourth Step:**

- Coordinating and following-up the process of preparing and issuing the annual employee's performance document.

## First Step: Training the Line Managers and staff on both the performance management system and process of setting objectives

- Holding the introduction workshops and training courses by the Human Resources Department on the Employee's Performance Management System, aiming at:

  1. Raising the Line Manager's awareness of the system as a whole.
  2. Training the Line Managers and staff on the process of proposing and determining the behavioral objectives and efficiencies.

- Ensuring by the Director of Human Resources Department all Line Managers attend all those training courses and receive this system all attachments.

## Second Step: Launching and starting the performance cycle in the Ministry or FAHR

Notifying all directors and employees by the Human Resources Department Manager of the start of performance planning process by sending official memos to all top leaders, department managers, department heads, Line Managers, including information on the framework of Employee's Performance Management System, times and dates of Employee's Performance Management System Cycles, schedules of training and awareness workshops planned to be held, as well as the models and guides of this system.

## Third Step: Launching and starting the performance cycle in the Ministry or FAHR

Participating by the Human Resources Department in the consistency process of Ministry's or FAHR's strategic objectives through the following:

1. Coordinating and attending the meetings held in early January with the participation of deputy minister, assistant deputy ministries, Strategic Planning Department or their equivalent. The organizational objectives of approved strategic plan are reviewed to adopt the subsequent objectives and tasks that will be done in the consistency and derivation process of their employee's performance objectives as the Human Resources Department documents the minutes of meetings, all results and resolutions agreed at these meeting and send them to all participants.

2. Contacting the Assistant Deputy Minister's Office or his/her counterpart by the Human Resources Department to follow up and coordinate the meetings held in the same month (January) with the directors of concerned departments (in accordance with the organizational structure). Notifying the department managers by the Assistant Deputy Minister of strategic plan and main performance indicators relating thereto to agree on their own annual objectives in line with the strategic plan. The Human Resources Department will coordinate with the Office of the Undersecretary to obtain the minutes of the meeting and work to document it in the files and documents of performance management.

3. Following-up and coordinating by the Human Resources Department with department managers and urge them to meet with the heads of their Line Managers of organizational units, including heads of departments, heads of teams or Line Managers to notify them of strategic

plan, key performance indicators relating to the department works and agreeing on the dtermination of their own annual objectives. The attendance of a human resources representative is not essential, but it is preferred for the purposes of early communication with the direct superiors, ensuring their participation and their full commitment to carry-out this system. Coordinating by the Human Resources Department at the end of this meeting with the department managers to obtain the minutes of meetings and work on their documentation in the files and documents of performance management.

4. Taking the responsibilities of meetings held by each Line Manager with his/her employees in relation to the consistency and derivation of objectives to agree at the end of these meetings on the individual objectives, based on their main works and tasks. Following-up and urging the Line Managers by the Human Resources Department to hold these meetings on time, coordinate with them to obtain the minutes of meetings and document them in the files and documents of performance management .

| |
|---|
| Organizational objectives in accordance with the strategic plan |
| Department Objectives |
| Division Objectives |
| Division Objectives |
| Division Objectives |
| Employee's Objectives |
| Employee's Objectives |
| Employee's Objectives |

## Fourth Step: Coordinating and following-up the process of preparing and issuing the annual employee's performance document

1. Coordinating and communicating by the Human Resources Department with the direct superiors and urging them to communicate with their employees in relation to the meetings of setting objectives. Determining also the date of meeting held with them and ensuring the prior preparation of manager prior to the date of meeting by providing the employee's performance management framework and behavioral efficiency framework with him/her, in addition to the guide of procedures, models, documents and tools relating thereto and answering all questions which may be directed by the employee, as well as enhancing their skills in setting smart objectives for employees included in the sixth rank and above or individual responsibilities and tasks of employees included in the seventh rank and below.

2. Providing the adequate support by the Human Resources Department to both the managers and employees during this stage to ensure the proper preparation of both the Line Manager and employees before the meeting of setting objectives is held. Notifying the employee by the manager; during the meeting, of the department's or division's annual objectives and how to link them to the employee's objectives, if possible, taking into account the outcomes of objectives consistency process and working on explaining the behavioral efficiencies framework applied to the Federal Government Authorities.

3. Holding the meetings by the Line Manager with his/her employees to agree on the annual individual objectives and their relative weights, as well as identifying and discussing the required behavioral efficiencies as follows:

| Performance Planning Meeting held between both the Line Manager and his Subordinates | | |
|---|---|---|
| (A)<br>Agreeing on individual objectives | (B)<br>Determining the weights of objectives | (C)<br>Determining the required behavioral efficiencies |

Recommending the Line Managers to review "the direct supervior's Performance Management System Application Guide" to take advantage of the guiding lines and tools provided in relation to the preparation of smart objectives and determination of behavioral efficiencies.

## A. Agreeing with employees on individual objectives:

1. Notifying the employee by his/her Line Manager of the department's or division's objectives and how to link them to his/her role and job efficiencies, so that the employee can visualize his/her individual objectives derived from the objectives of his/her department of division.

2. If the subordinate's job is included in the seventh rank or below, the individual objectives are the same and main job responsibilities.

3. If the subordinate's job is included between the rank of deputy minister and sixth degree, his/her annual objectives are determined jointly and agreed with his/her Line Manager so that these objectives are based on the department's objectives for the purpose of ensuring the aforementioned process of objectives consistency.

4. The number of objectives should not be less than 4 and it is recommended that they should not exceed 8.

The below-mentioned table shows the number of objectives, based on the employee's rank:

| Job Ranks | Number of Objectives |
|---|---|
| Deputy Minister's Rank to Sixth Rank. | Four objectives, at least. |
| Seventh Rank and Below* | Main Job Responsibilities or Tasks. |

*Except Servicing Roles.

You can refer to the special annex contained at the end of this guide on how SMART objectives are prepared in accordance with the smart standards.

## B. Determining the weights of objectives:

- Each Line Manager should; during the meeting held to set objectives, assign weights to the importance of each objective separately. The importance of these weights is represented in the following:
  1. Demonstrating the relative importance of each objective in comparison with other objectives during the next twelve (12) months.

  2. Demonstrating and identifying the key areas on which the employees should focus in their works.

3. Realizing then by the employee that achieving that goal confirms the success achieved by him/her in works in case an objective has a greater value than other objectives.

- The following conditions and terms should be taken into account:
  1. The total percentages of objectives weight reached 100%.
  2. These weights are adjusted only during the stage review phase, but they may not then be adjusted.
- It is recommended that the objectives weight should not be less than 10% and it should not also exceed 40%.

Example for the distribution of weights to 4 objectives:

| Objectives | Weights |
|---|---|
| First Objective | **40%** |
| Second Objective | **30**% |
| Third Objective | **15**% |
| Fourth Objective | **15**% |
| Total | **100**% |

## C. Determining Behavioral Efficiencies:

- The behavioral efficiencies are deemed as the behavioral standards and skills that enable an employee to perform his/her job properly.

- The behavioral efficiencies and levels required for each efficiency are determined by each Line Manager for his/her subordinates after the process of determining objectives and their weights ends and in accordance with the general behavioral efficiencies framework issued by FAHR as both the Line Manager and employee comply with the corresponding level of each efficiency and pursuant to the ranks Shown in the efficiencies chart table set out below. To obtain additional information on the efficiency levels, you should refer to the general behavioral efficiencies framework.

| Job Category | Rank | Level of Skill (PL) | (Core Efficiencies) | | | | | | (Leadership Efficiencies) | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Group of Human Capital | | Group of Results | | | | Strategic Group | | |
| | | | Work as one work team | Communication and communication skills | Focusing on Customers Service | Focusing on Results: | Effective Management of Resources | Accountability | Change Leadership | Empowering employees and developing their capabilities | Strategic Thinking |

| | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| Leadership Jobs | Deputy Minister / Assistant Deputy Minister | PL7 | PL7 | | | | | | | | |
| Top Management Jobs | Special A | PL6 | PL6 | | | | | | | | |
| | Special B | | | | | | | | | | |
| | 1 | PL5 | PL5 | | | | | | | | |
| | 2 | | | | | | | | | | |
| Supervisory Roles | 3 | PL4 | PL4 | | | | | | N/A | | |
| | 4 | | | | | | | | | | |
| | 5 | PL3 | PL3 | | | | | | | | |
| | 6 | | | | | | | | | | |
| Supporting Roles | 7 | PL2 | PL2 | | | | | | | | |
| | 8 | | | | | | | | | | |
| | 9 | PL1 | PL1 | | | | | | | | |
| | 10 | | | | | | | | | | |

## Cont. Fourth Step: Coordinating and following-up the process of preparing and issuing the annual employee's performance document

**4.** Preparing and completing both the first part and second part of the annual performance document by the Line Manager after the meeting and as agreed with employees. Signing then the document in its relevant part by both the Line Manager and employee.

**5.** Sending the completed form by the Line Manager to his/her superior manager (in accordance with the organizational structure) to review and ensure the quality of performance planning process outputs.

| First Part of Annual | Second Part of Annual |
|---|---|
| Performance Document of | Performance Document of |
| Annual Objectives/Job Tasks | Behavioral Efficiencies |

Ensuring by the department manager about both the quality and clarity of objectives and their consistency with both the department's strategic objectives and standards of smart objectives. Recommending to make certain amendments or changes by the department manager and the document is then returned to the Line Manager to make the required amendments to it.

Notifying the employee by the Line Manager of some amendments or changes and discussing them with him/her in case they are recommended by your Line Manager. Making and signing the amendments later in the document.

**6.** Keeping the original copy of performance document by the Line Manager and sending another copy to the Human Resources Department.

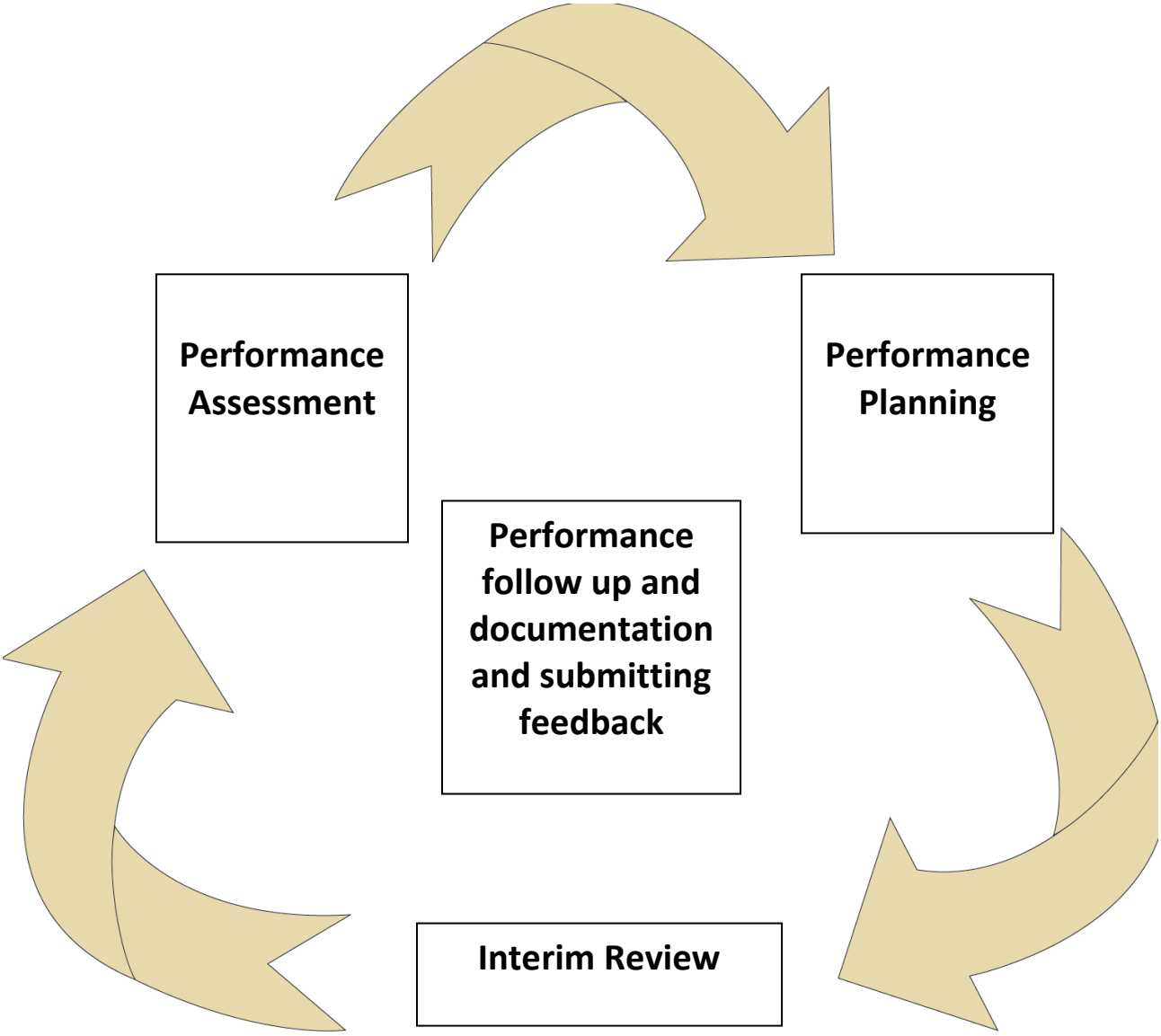
**7.** Following-up the Line Managers by the Human Resources Department's Staff at this stage and communicating with them to receive the signed copies of the annual performance documents on time.

**8.** Reviewing the copies of annual performance documents after receiving them from Line Managers to ensure that they comply with the required terms and criteria (in relation to setting objectives and determining efficiencies) and ensure also that the signatures of both the Line Manager and employee are available.

**9.** Keeping these copies in the employees' files after they are then reviewed.

Recommending the Line Managers to review "the direct supervior's Performance Management System Application Guide" to take advantage of the guiding lines and tools provided in relation to following-up and documenting the performance and providing the feedbacks to employees.

**Second phase**
**Interim review**




**Goal of the stage**

- Discussing progress in achieving goals, demonstrating competencies, identifying causes and obstacles, and adjusting any targets as necessary.

**When we need to do that?**

- This stage comes in June and July every year.

**What should human resources management do at this stage?**

**First step:**

Launch and start of the process of interim review in the ministry or the federal authority

**Second step:**

Follow up of preparation of the interim review at the Ministry or Federal Authority

**Third step:**

Follow-up and monitoring of the interim review meetings at the Ministry or the Federal Authority.

**Fourth step:**

Ensuring that the interim review process is completed at the Ministry or federal agency.

Step 1: Launch and initiation of the process of interim review at the Ministry or Federal Authority

- The Director of Human Resources will inform all managers and staff with the commencement of the interim review process by sending official notes to all senior leaders, department managers and Line Managers including information on the time frame and main purpose of the interim review process and information ensuring that all Line Managers are fully aware of the process (especially the new Line Managers) and that they all use the same model of this process.
- Human resources department may need to hold and organize workshops and training workshops aiming to training and reminding the immediate supervisors with the framework of the employee performance management system procedures when necessary.

**Step 3: Follow up and monitoring the interim review meetings at the Ministry or Federal Authority**

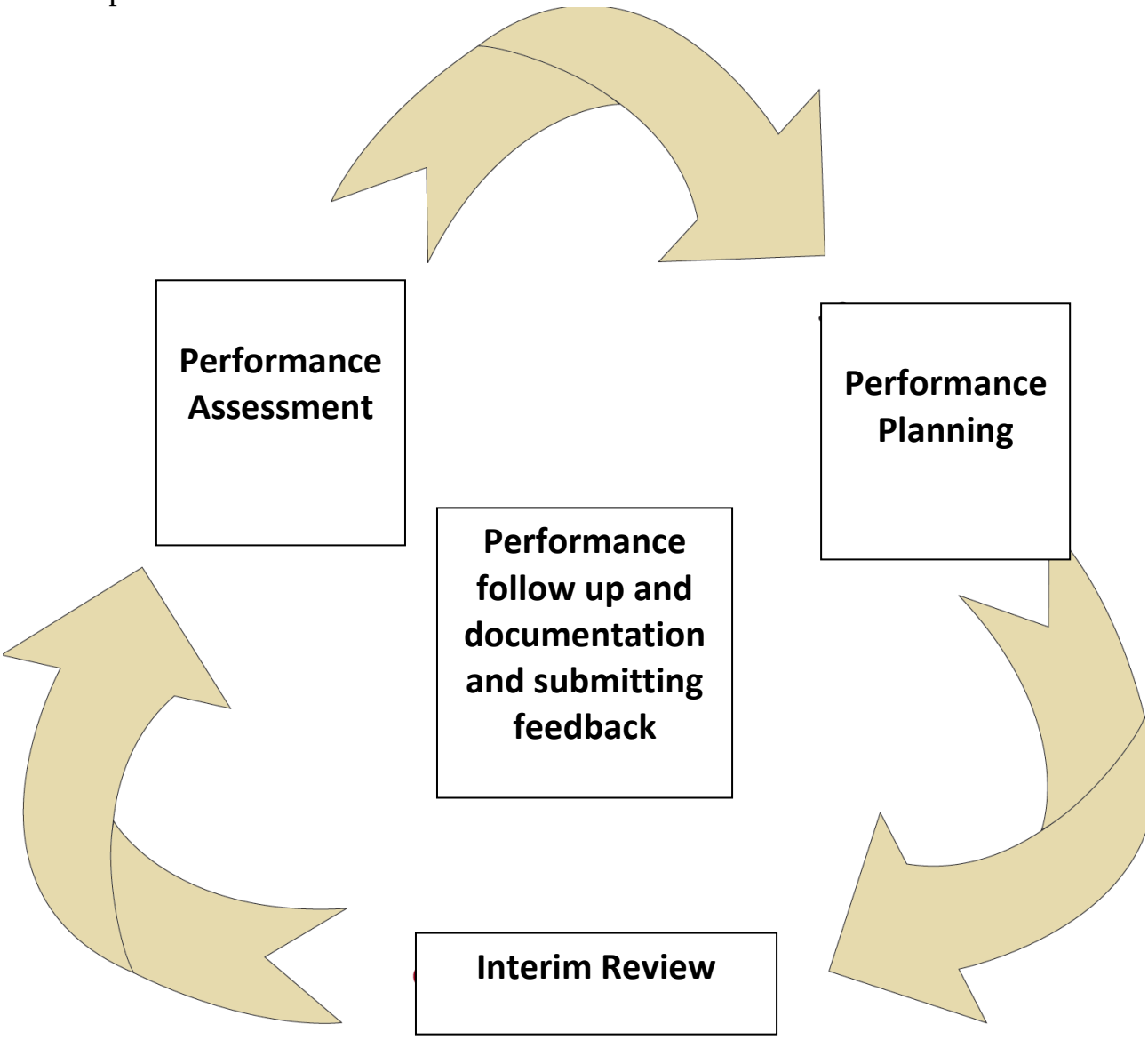
- During the meeting, the Line Manager and employee shall review the documents, conduct an open discussion on progress in performance, achievement and progress in achieving specific performance objectives, and measuring key performance indicators and behavioral competencies.
- It is also necessary to discuss the obstacles or barriers that the employee has encountered during the first half of the performance cycle, and to agree with the employee on practical procedures directly to overcome them.
- In some cases, this review is an important opportunity for employees who have changed the nature of their business and objectives during the first phase of the performance course, as the Line Manager adjusts the performance targets to suit the business interest and the circumstances surrounding it. The behavior competencies of the new employees, who joined after February and before June shall also be indicated.

**Step 4: Ensuring that the interim review process is completed at the Ministry or Federal Authority**

- The results of the interim review meeting shall be documented by the Line Manager in the section entitled "Interim audit" in the first and second sections of the annual performance document, then signing it and obtaining the employee signature.
- HR staff should follow up the Line Managers to receive copies of the annual performance document before the end of July and ensure that all information is

complete, clear and accurate with regard to the interim audit notes and proofs. They shall also ensure that signatures are present and that copies are kept and documented in files and documents of Performance Management.

Third stage
Annual performance assessment




**Goal of the stage**

Assessment of the performance of employees by assessing the level of achievement of the goals and competencies identified in the annual performance document, and identifying the developmental needs required to achieve future goals, which will be in the process of training, improvement and career development.

**When do we need to do it?**

- This stage comes in June and July every year.

**What should human resources management do at this stage?**

**First step:**

Launch and start of the process of interim review in the ministry or the federal authority

**Second step:**

Follow up of preparation of the interim review at the Ministry or Federal Authority

**Third step:**

Follow-up and monitoring of the interim review meetings at the Ministry or the Federal Authority.

**Fourth step:**

Ensuring that the interim review process is completed at the Ministry or federal agency.

Goals total assessment + Competencies total assessment = final performance result

Step 1: Launch and initiation of the process of interim review at the Ministry or Federal Authority

- The Director of Human Resources will inform all managers and staff with the commencement of the annual assessment process by sending official notes to all senior leaders, department managers and Line Managers including information on the time frame and deadline of achieving the process.
- Human resources department may need to hold and organize workshops and training workshops aiming to training and reminding the immediate supervisors with the best practices related to performance evaluation when necessary.

**Second step: Follow up of the preparations of the annual performance evaluation process at the Ministry or Federal Authority**

- The HR staff should follow up the Line Managers, ensure that they set the time for the annual performance assessment meeting and that they are well prepared to hold the meeting as appropriate.
- The Human Resources Department shall provide the necessary support and advice to the Line Managers and staff, and provide them with all necessary documentation to conduct the annual performance assessment process as appropriate.
- The Line Manager should well prepare for the annual performance assessment meeting by collecting and documenting short written notes on the level of performance and achievement, as well as reviewing what was recorded in the annual performance document during the performance planning and interim review stages, as well as collecting feedback by supervisors and other employees under whose supervision the employee worked, and to work on filling in the final evaluation part of the annual performance document.
- The Line Manager shall notify the employee by sending a note indicating the date, purpose and preparation of the annual performance assessment meeting.
- Also, prior to the annual evaluation meeting, the staff member should develop and write observations on the results of its performance to be discussed with their immediate supervisor. This also includes other information related to the goals and

behavioral competencies they have achieved and those that they have not achieved, with reasons and justifications not achieved in writing.

**Section 3 of the Annual Performance Document: Evaluation of Annual Objectives and Behavioral Competencies**

**Step 3: Follow up and monitoring annual performance assessment meetings**

- The Human Resources Department shall monitor and supervise annual performance appraisal and supervision meetings.
- Oversee the Line Managers, ensure that they are provided with the necessary support and advice to adequately manage and meet the annual performance assessment meeting and achieve all goals of it.

How does a Line Manager assess goals?

- During the meeting, the Line Manager and the employee shall review the supporting documents that demonstrate the employee's achievement of the agreed goals, the main contributions made by the employee during the evaluation period, and work on measuring the level of achievement of the goals using the scale of the goals and tasks assessment, as shown in the table below.

| Points | Level | Level description |
|---|---|---|
| 4 | Significantly higher than expected | - Achieved its goals efficiently throughout the year<br>- The measurement ratio for performance indicators for targets has significantly exceeded (more than 100%)<br>- Achieved more goals than the targets agreed in the Annual Performance Document<br>- The goals it achieved had a positive and tangible impact on its work entity<br>- It made suggestions and initiatives that were taken and applied by its employer |
| 3 | Higher than expected | - Achieved its goals efficiently throughout the year<br>- The measurement ratio for performance indicators for targets has significantly exceeded (more than 80 - 100%)<br>- The goals it achieved had a positive and tangible impact on its work entity<br>- It made positive suggestions and initiatives |
| 2 | Satisfying expectations | - Performs its work regularly in accordance with the established rules and meets expectations in all requests |

| | | |
|---|---|---|
| | | - Achieves most of its objectives (60 – 80 %). |
| 1 | Need improvement | The employee's performance level is always below expectations, since it achieves a measurement ratio of performance indicators of less than 60% in many core areas of work, and needs to develop and improve its performance to the required level. |

The Line Managers' recommendation to review "the performance management system manual of Line Manager" is recommended here to take advantage of the guidelines provided with regard to assessing behavioral goals and competencies.

An example of how to analyze and evaluate the level of achievement for each goal:

Assuming that one of the specific objectives is:

Training workshops (including scientific material and presentation) and training of 100 employees in all departments of the institution during the first half of the year, conditional on reaching the rate of satisfaction of the trainees 90%

According to the scale of the goals assessment table, the Line Manager can assess the level of achievement as follows:

| **The actual achievement of the goal** | **Appropriate level of assessment for each probability** | **Points** |
|---|---|---|
| If the employee prepares the scientific material and presentation, trains 75 employees within 6 months and achieves 70% of the satisfaction of the trainees. | The expectations for this goal are met | 2 |
| If the employee prepares the scientific material and presentation, trains 100 employees within 6 months and achieves 90% of the satisfaction of the trainees. After training, it summarizes the trainees' notes and suggests useful additions and modifications to the scientific material. | Exceeding expectations for this goal | 3 |
| If the employee prepares the scientific material and the presentation, trains 90 employees within 7 months and satisfaction rate of trainees exceeds 80%. After training, it summarizes the trainees' notes and suggests useful additions and modifications to the scientific material. | Exceeding expectations for this goal | 3 |
| If the employee prepares the scientific material and the presentation in a creative manner, trains 150 employees in less than 5 months and | Significantly exceeding expectations for this goal | 4 |

| | | |
|---|---|---|
| satisfaction rate of trainees exceeds 95%. If it takes the opportunity to devote additional hours to hold orientation sessions for those who wish after the course and this initiative resonates widely with the trainees and increased their skill in using the system. | | |
| If the employee prepares the scientific material and the presentation and trains only 40 employees or the satisfaction rate of the trainees is less than 50% | Needs improvement | 1 |

How does a Line Manager evaluate competencies?

- The Line Manager and employee shall discuss the level of achievement and demonstrate behavioral competencies, identified and measured, using the competency assessment scale shown below:

| Points | Level | Competencies level |
|---|---|---|
| 4 | Significantly exceeding expectations for this goal | The employee proves his/her enjoyment throughout the year of the following:<br>- All behavioral indicators identified, in accordance with the required skill level, and most of the behavioral indicators of the following skill level are marked throughout the evaluation period.<br>- No administrative sanctions were taken during the year. |
| 3 | Exceeding expectations | The employee proves his/her enjoyment throughout the year of all behavioral indicators that meet the level of skill in all competencies required for its grade. The employee also demonstrates that it has some behavioral indicators that exceed the specified skill level in at least 4 competencies.<br>- No administrative sanctions were taken during the year. |
| 2 | Satisfies expectations | The employee generally demonstrates that it enjoys the most behavioral indicators required for its current grade throughout the year, while the employee does not show any additional behavioral indicators. |
| 1 | Needs improvement | The employee lacks most behavioral indicators in 4 or more competencies, leading to significant |

| | | |
|---|---|---|
| | | defects and deficiencies, which adversely affect the work, or the team. Therefore, improvement is required in the most important behaviors. |

An illustrative example of how to evaluate and classify competency

Suppose the employee is in the 7th grade, so according to the competency plan, the level of skill expected from him in all the main competencies is (PL2) .We now assess one of the main competencies:

In this step, reference should be made to the behavioral competency framework to compare the actual behaviors demonstrated by the employee during the evaluation year with the appropriate behavioral indicators under the PL2 level in the "one team work" competency. These indicators serve as a benchmark for the effectiveness of the behaviors and skills during the evaluation year:

| | |
|---|---|
| **PL2** | • Works in collaboration with all staff.<br>• Share information whenever possible, and keep staff up-to-date.<br>• Listens to the ideas of other colleagues and responds constructively.<br>• Communicates decisions positively to all concerned people.<br>• Provides honest and constructive feedback to other colleagues and suggests ways to improve overall effectiveness. |

It is also advisable to look at the behavioral indicators at the higher levels such as PL3 and PL4, given the likelihood that the employee will demonstrate some behaviors associated with these levels in many situations during the evaluation year and thus it exceeds expectations. PL3 indicators in the same competency include:

| | |
|---|---|
| **PL3** | • Ensures that the efforts and objectives of its managers are consistent with management objectives.<br>• Establishes open and transparent business relationships.<br>• Points of disagreement are identified and action is taken to resolve them.<br>• Includes individuals from diverse backgrounds in its administration.<br>• Review cases of failure and success by giving feedback to its employees and other departments. |

**Follow an illustrative example of how to evaluate and classify competency**

Now we look at how to evaluate and classify the employee's actual behaviors according to the competency assessment scale:

| **Probability of the employee's actual behaviors during the assessment period** | **The appropriate classification for each probability** | **Points** |
|---|---|---|
| If the employee shows the most appropriate behavioral indicators at PL2 level throughout the year, but did not demonstrate additional behaviors beyond this level. | Meets expectations for this efficiency | 2 |

| | | |
|---|---|---|
| If the employee shows all the relevant PL2 behavioral indicators throughout the year and demonstrates some behavioral indicators at the higher PL3 skill level, for example:<br>- It manages to establish open and transparent relationships with its team and other work teams, and has also been able to deal effectively with people from a variety of backgrounds in its administration.<br>- No disciplinary sanctions were imposed to it during the year. | Exceeds expectations for this efficiency | 3 |
| If the employee shows all the relevant behavioral indicators at the PL2 level throughout the year and demonstrates most of the behavioral indicators in the PL3 skill level, demonstrating the potential of its abilities:<br>For example, it succeeds in establishing open and transparent relationships with its team and other work teams. It also manages to deal effectively with individuals from a variety of backgrounds in its administration. It also demonstrates clear abilities to resolve differences among team members and to align its efforts and those of its colleagues with the goals of the section.<br>No disciplinary sanctions were imposed during the year. | | 4 |
| If the employee does not show the expected cooperation with its colleagues in many cases, does not share the necessary information, give them honest and constructive feedback and does not listen to its colleagues i.e. it does not meet more than half of the behavioral indicators at the required PL2 level of skill. | Needs improvement | 1 |

**Step 4: Ensuring that the annual performance evaluation process is completed at the Ministry or Federal Authority**

- At the end of the behavioral objectives and competency assessment process, the Line Manager should calculate the outcome of the employee's final performance.
- **How the Line Manager calculates the outcome of the employee's final performance**

**First: Calculating the total results for the objectives:**

It is done by multiplying the performance rating of each target by its weight and then collecting the results.

**Assessment score of performance of each target x target weight = result of goal evaluation**

**Total outcome of goal evaluation**

**Illustrative example:**

| **Target** | **Target weight** | **Assessment** | **Points** | **How to calculate the evaluation result** |
|---|---|---|---|---|
| First goal | 40% | Significantly exceeds expectations | 4 | 4 x 0.40 = 1.6 |
| Second goal | 20% | Significantly exceeds expectations | 4 | 4 x 0.20 = 0.8 |
| Third goal | 20% | Exceeds expectations | 3 | 3x 0.20 = 0.6 |
| Fourth goal | 10% | Satisfies expectations | 2 | 2 x 0.10 = 0.2 |
| Fifth goal | 10% | Satisfies expectations | 2 | 2 x 0.10 = 0.2 |
| Total target assessment | | | | 304 |
| Classification | | | | Exceeds expectations |

Second: Calculation of the results of competencies:

This is done through the collection of competency assessments, divided into the number of competencies provided for in the revised calculation

**Total competency points / number of competencies = average competency results**

**Illustrative example:**

| Competency | Classification | Points |
|---|---|---|
| Competency 1 | Exceeds expectations | 3 |
| Competency 2 | Exceeds expectations | 3 |
| Competency 3 | Satisfies expectations | 2 |
| Competency 4 | Satisfies expectations | 2 |
| Competency 5 | Needs improvement | 1 |
| Competency 6 | Needs improvement | 1 |
| Total points | | 12 |
| Total competency | | 2 |
| Level | | Satisfies expectations |

**Third: Calculation of the final output of the performance:**

Total target assessment = Total results of target assessment x Target weight of professional grade

+

Total competency assessment = Total results of competency x Competency weight of functional grade

=

Final result of performance

The weight of the target and the weight of competency shall be obtained according to the functional grade of the table below:

| Functional grades | Target weight | Competency weight |
|---|---|---|
| Top leadership positions<br>Undersecretary of the Ministry / Director General<br>Assistant Undersecretary / Executive Director | 60% | 40% |
| Private (A) to the second degree | 50% | 50% |
| Class III and below<br>(Excluding service functions) | 40% | 60% |

The final or total rating of performance according to the final product of performance is determined as follows:

| **The final outcome of performance** | **Final rating of performance** |
|---|---|
| 4 | Significantly higher than expected |
| 3 | Higher than expected |
| 2 | Satisfies expectations |
| 1 | Needs improvement |

**Example**

For applying the above equation to the previous example, the above outcome is calculated for the performance of a fifth-grade employee:

Note:

If the results of the evaluation are of a decimal number as shown above, then the fractions shall be "rounded" as follows:

The range between 0.49 - 0.1 is close the lower (Example 2.2 becomes 2)

The range between 0.99 - 0.5 is close to the higher (Example 2.8 becomes 3)

| | |
|---|---|
| Total assessment of targets | 3.4 x 40% = 1.36 |
| Total assessment of competencies | 2 x 60% = 1.2 |
| Final outcome of performance | 1.36 + 1.20 = 2.56 (close to 3) |
| Final classification of performance | Exceeds expectations |

**Follow step 4: Ensuring that the annual performance evaluation process is completed at the Ministry or Federal Authority**

- In this step, the Human Resources Department will provide support and advice to staff and Line Managers regarding the proper documentation of assessment results in the annual performance document.
- HR staff should follow up Line Managers and staff to ensure that they comply with the performance management system's instructions and procedures of this stage as follows:

1- After the final performance score has been calculated, the Line Manager must document the results and all relevant data in the Annual Performance Assessment section in the Performance Document.
2- Thereafter, it shall sign the document and obtain the employee's signature in the relevant part of the performance document, then it shall retain a copy for it and a copy for the employee.
3- The Line Manager shall inform the Director-General of the following in writing if the performance results are at a performance level that is above expectations or need to be improved, for review and approval before the Control and Balancing Committee exercises its functions.
4- The Line Manager shall send the original copy of performance document to its next director (according to the organizational structure of management), who will in turn review and provide feedback and opinions on: performance outcome and direct feedback provided by the Line Manager, which may sometimes lead to changes in staff performance results.
5- The Director-General will immediately review all relevant management results, ensure their consistency and fairness before signing them and send them to the Human Resources Department to ensure that all information in the various forms is complete, clear and accurate. It shall keep and document the form within files and documents of performance department.

- When performance documents are received from Line Managers, HR staff shall ensure validity of the final performance calculation in accordance with the performance management system procedures, review the final performance rating and the consistency and quality of the evaluation data in accordance with the above criteria. If any adjustments are made, they must notify their immediate supervisors.

**Important Notes on the Annual Assessment Meeting**

1- It is important for the Line Manager to explain the reasons and justifications for not achieving some of the objectives in the written notes part, the results of the annual performance assessment, writing all relevant observations and recommendations, and identifying the areas that need to be developed.

2- The Line Manager should also identify the key strengths and areas of improvement of the employee as well as setting a preliminary vision on the employee's future targets.

3- The meeting should have an atmosphere of transparency and openness by allowing staff to participate in it and discuss all aspects of performance levels and technical competencies completed. It is essential that the staff member be able to discuss the obstacles and challenges encountered during the performance cycle, if any.

It is recommended that Line Managers review the "Line Manager Performance Management System Implementation Manual" to take advantage of the guidelines provided for how to prepare and manage the evaluation meeting.

Operations related to the performance management system

- Adjustment and balance of ratios process
- Complaints and grievances Process
- Process of determining performance-related rewards
- Low performance management process

**Adjustment and balance of ratios**

**Target of the process**

- To define standards for the classification of employee performance in order to ensure fairness and equality in the annual performance evaluation and the overall performance assessment of the federal authority.

**When is this process completed?**

This process is carried out after the completion of the annual performance assessment (the last week of December and the first week of January of each year).

**Who is responsible for this project?**

- This process is based on the "Committee for the Control and Balance of Ratios" which is formed in each federal agency headed by the Undersecretary of the Ministry or the Director General and the membership of the Director of Human Resources Department and the Assistant Undersecretaries of the Ministry.
- Take final decisions regarding the final evaluation of each employee's performance.

**What should human resources department do?**

**Step 1:**

Launch and start of the process of control and balance at the Ministry or the Federal Authority

**Step 2:**

Coordination and management of ratios adjustment and balance meeting of the results of the annual performance assessment in the federal authority.

**Step 3:**

Follow up the process of adjusting and adapting the performance results of the final employees based on the decisions of the Control and Balancing Committee in the Federal Authority.

**Step 1: Launch and start of the process of adjustment and balance in the Ministry or Federal Authority**

- This process begins through the formation of the Control and Balancing Committee headed by the Undersecretary of the Ministry / Director General, and the membership of the Director of Human Resources Department and Assistant Undersecretaries
- The Director of Human Resources will inform the members of the Control and Balance Committee to start its work from the beginning of the last week of December to the end of the first week of January, by sending notes containing the meeting date and other information to ensure the full knowledge of the members of the committee.
- When necessary, Human Resource Management may need to hold and organize workshops and training courses aimed at training and reminding Committee members of the best practices in the control and balancing process.

- Prior to the start of the meeting, the Director of Human Resources will prepare a study on performance results statistics and calculations, with a view to presenting them to the Committee.

Step 2: Coordinate and manage the adjustment meeting and balance ratios for the results of the annual performance assessment in the federal agency

- The Director of Human Resources will present the results of its study on the overall results of the performance assessment in the Ministry or federal authority, in order to serve the basic purpose of the process of control and balance of ratios, which is to ensure the fairness of the results of all employees through the application of the ceiling of distributing the special proportions of their results.
- During the ratios control and balance meeting, the members of the committee shall change opinions, feedback and considerations of adjustments and possible changes in all departments on the basis of the ceiling of the ratios for the distribution of the overall results of the employee performance assessment of the performance management system described below:

| **Performance classification** | **Approved percentage** |
|---|---|
| Significantly higher than expected | 0 – 5 % |
| Higher than expected | 0 – 10 % |
| Satisfies expectations | 80 – 100 % |
| Needs improvement | 0 – 5 % |

**Coordination and management of the ratios control and balance meeting of the results of the annual performance evaluation in the federal authority**

- In case a manager is invited to provide information or clarifications about the results of its employees' performance assessment, it should present the results and ratings of its employees' performance, and provide a summary of the objectives achieved, proven competencies, results presented, supporting notes and documentation of behavioral competencies as well as points needing improvement at the level of management staff before the control and balancing committee.
- At the end of the meeting, the members of the Control and Balancing Committee shall agree with their employees on the adjusted staff results. The result of the performance scores approved at the meeting of the Control and Balancing Committee shall be final.
- Human resources department ensures that all observations and decisions are documented in the annual performance assessment form based on the output of the control and balance of ratios meeting, and retained in the performance management files, as well as follow-up of adjustments and changes based thereon.

**Third step:**

**Following up the process of adjusting and adapting the results of the performance of the final employees based on the decisions of the Control and Balancing Committee in the federal authority**

- If the Adjustment and Balancing Committee recommends adjusting and suiting the final results of some staff performance, the Line Managers concerned with the verification of all modified data shall prepare the final annual performance evaluation documents.
- Line Manager:
  - The final annual performance evaluation documents shall be submitted to the Director, who in its turn documents the forms, and is affected by the decisions and changes adopted by the Control and Balancing Committee in accordance with the Performance Management System Performance Manual, and then it shall send it to the Direct Head and Human Resources Management.
  - It shall be responsible for informing staff of the results of the final performance and feedback based on the decisions and recommendations of the Control and Balancing Committee and the approval of the Director.
  - The Director shall send copies of the final annual evaluation documents to the Human Resources Department and maintains them in the performance management files. The Human Resources Department also sends a copy of these results to the Line Managers and staff concerned, as well as preparation for linking the results of the overall performance to the rewards.

**The process of determining rewards associated with performance**

**Objective of the process**

To recognize and reward outstanding employees who have a high level of performance, in accordance with the results of the annual performance assessment, which increases their level of professionalism and inspires them to continue to achieve the annual goals at the highest possible level and with maximum productivity.

**When does this process take place?**

This process is carried out after the completion of the adjustment process and budget during January of each year

**What should human resources management do?**

**Step 1**

Determination of results of final employee performance based on the outcome of the meeting of the Control and Balancing Committee

**Step 2**

Granting bonuses to eligible employees

**Step 3**

System of promotions, annual bonuses and moral incentives

**What is the outcome of this process?**

Salary and career promotions are determined in accordance with the results of the final performance evaluation for each employee approved by the Control and Budget Committee.

**Step 1: Determining the results of final staff performance based on the outcome of the meeting of the Control and Balancing Committee**

HR department shall abide by the ceiling of the results of the Personnel Performance Management System (PMM) by determining who is rated as "meeting expectations" or above, and determining who is rated as "needing improvement".

| Final performance assessment | Periodic allowance (which becomes part of the basic salary paid monthly) | Promotion * |
|---|---|---|
| Significantly higher than expected | According to the executive regulations | Qualified for exceptional, functional or financial promotion |
| Higher than expected | According to the executive regulations | Qualified for functional or financial promotion |
| Satisfies expectations | According to the executive regulations | Qualified for financial promotion |
| Needs improvement | Not eligible for periodic allowance | Not eligible for any kind of allowances |

The promotions are linked to the annual budget of each federal government and are subject to the provisions of the Human Resources Law and its executive regulations.

**Step 2: Granting rewards to eligible employees**

In accordance with Decree Law No. (11) of 2008 Concerning Government Human Resources and its Regulations and the Federal Decree Law No. (9) of 2011 regarding the amendment of some provisions of the Federal Decree Law No. (11) of 2008 on human resources in the federal government, periodic benefits and promotions are determined based on the annual budget of the federal government.

- The Director of Human Resources Department shall notify the department of financial affairs by awarding decisions and working on the submission of the documents of necessary salary increases and supporting documentation (including the rating of the approved employee performance and the results of the meeting of the control and balance of ratios committees).

- After obtaining the approval of the Department of Finance and Senior Management, the Director of Human Resources Department shall issue the statements and letters of confirmation of the salary increases, send them to the directors of the departments to be signed and distribute them to the Line Managers for communication with the employees thereon and delivering them letters and data of approved salary increases.

**Promotion system**

| Extraordinary promotion for two levels | Regular career upgrade |
|---|---|
| Subject to the following standards and controls:<br>• The promotion of a higher degree post is vacant<br>• The job title, functional objectives and tasks of the promotion shall be different and has higher responsibilities<br>• Responsibilities, objectives and functions of the previous job<br>• The employee has a performance assessment within the (significantly higher than expected) category of the previous year. | Subject to the following standards and controls:<br>• The promotion of a higher degree post is vacant<br>• The job title, functional objectives and tasks of the promotion shall be different and has higher responsibilities<br>• Responsibilities, objectives and functions of the previous job<br>• The employee has a performance assessment within the (significantly higher than expected) category of the previous year. |

**Allowance system**

The employee's actual periodic reward is linked to the result of the assessment. It varies from year to year. If the employee meets the performance expectations, he / she will be eligible for periodic benefits according to the following rules:

1- Employees whose performance is evaluated at the following levels shall be entitled to a periodic reward in accordance with the provisions of Article 31 of the Executive Regulations of the decree law. Extraordinary, functional or financial promotion may be given to the one who is significantly higher than expectations, financial or functional promotion to the one who is higher than expectations and financial promotion to the one who meets the expectations.

• Exceeds expectations significantly
•Above expectations
• Meeting expectations
• Employees whose performance rating (needs to be improved) do not receive a periodic allowance or any financial rewards and must communicate with their Line Managers to develop their performance improvement plan.
• Employees are eligible for a periodic benefit on the first of January or July following the expiration of at least one year as of the date of appointment.
• An employee whose services are terminated for any of the reasons specified by law during the evaluation year or even during or after the final decisions regarding the rewards associated with the performance management system and before receiving them shall not be subject to the application of these charges and royalties or any other annual increases.

**Moral incentives**

In accordance with the provisions of the Human Resources Law of Federal Authorities, moral incentives may be provided during the year in their budget to employees who contribute to exceptional achievements that contribute to the development of work through one of the following means:

• Certificate of appreciation from the Minister during one of the events of the Authority.
• Nomination for the UAE Award for Outstanding Government Performance
• Appreciation of staff efforts during public events.
• "Employee of the Month or Year"
• Gift in kind.
• Any other means determined by federal authorities.

**Complaints and grievances process**

**Objective of the process**

The process of "complaints and grievances" aims to give employees whose performance results in the category of "needs to be improved" the opportunity to complain about these results. However, it is always advisable to encourage dialogue and transparency between the direct bosses and their staff to discuss the issue of objection before resorting to the process.

**When does this process take place?**

This process is carried out after the Line Manager informs the employees with the final results of the performance, based on the decisions of the meeting of "Control and Balancing Committee".

**What should human resources department do?**

Here begins the process of complaints and grievances

**First Action**

Encouraging the culture of dialogue and transparency between Line Managers and their staff to discuss overall performance outcomes.

**The second procedure**

Addressing cases of employees who wish to complain about the performance result of "needs improvement"

**Here begins the process of complaints and grievances**

To promote a culture of dialogue and transparency between Line Managers and their staff to discuss the overall performance results

- Human resources department needs to be aware of the importance of giving employees who have achieved a "performance in need of improvement" the opportunity to discuss this result with their immediate supervisors who shall encourage them to deal with these cases professionally and transparently.
- Human resources department may need to hold and organize some workshops and training courses aimed at training Line Managers on how to deal with underperformance appropriately.

- In all situations, the immediate supervisor should exert the best logical efforts, and use best practices to communicate with the employee who has achieved "performance needs to be improved" through informal discussions and the use of appropriate persuasive techniques, evidence of facts and practical evidence.

**Action 2: Addressing cases of employee wishing to complain about the performance result "needs improvement"**

If the employee does not agree to the overall score of its performance - which falls within the category of "needs improvement" - it shall fill out the complaints and grievances form and submit it to the Line Manager within five days as of the date of receipt of the final result. Performance and presentation of clarifications and justifications related thereto.

**Summary of the process of complaints and grievances**

The employee fills the complaints and grievances form

↓

The direct supervisor meets the employee to discuss justifications

↓

If there is no result satisfying the employee is reached

↓

The employee shall file the complaint within five days to the following administrative level

↓

The director of the concerned department and HR director and complainant employee meet

↓

**If the grievance is settled and the employee accepts the decision**

HR director shall maintain the original copy of the complaints and grievances form and send a copy to the direct supervisor and another to the employee itself.

**If the grievance is not settled**

The grievance shall be filed to the minister or its representative

↓

The minister shall discuss the grievance with HR director and on this basis, it shall take its final decision

**Details of the steps**

1 - If the employee does not agree with the overall result of its performance which falls within the category of "needs improvement", it must fill out the complaints and grievances form and submit it within five working days to the Line Manager, who will receive the form and work on scheduling a meeting with the employee to discuss performance results and present the clarifications and justifications.

2- The Line Manager shall document the result of the meeting in the concerned part of the complaints and grievances form and inform the employee with the decision.

3- If a satisfactory result is not reached, the employee may submit the complaint within 5 working days to the next administrative level and must respond within 10 working days.

4- The Human Resources Department shall coordinate and follow up the meeting, which includes the Director of the Department concerned, the Director of Human Resources Department and the Complaining Officer, in order to discuss the reasons for the complaint and explain the justification for evaluating its performance. After the meeting, both the director of the department and the director of human resources management will discuss the situation and take opinions and observations about them, then they will agree on a decision either to reassess the employee's performance or to maintain the performance assessment itself.

5- The Director of the Department and the Human Resources Department will document and follow up the relevant part of the Complaints and Complaints Form. The Director of Human Resources will then report the grievance to the employee and the observations and decisions taken.

6- If the issue of grievance is resolved and the employee accepts the decision taken, the HR Manager shall retain the original copy of the complaints and grievance form and send a copy thereof to the immediate President and to the same employee. If the matter is not settled, the minister will be referred to.

7- The employee may refer the complaint to the Minister or its representative within 5 working days to the next administrative level and must respond within one month.

8 - The Human Resources Department will provide the Minister or its representative with all the attachments and documents which will discuss the complaint with the Director of Human Resources Department and on that basis the final decision will be taken.

9- The Human Resources Department will record and document the decisions of the Minister or its representative in the relevant part of the complaints and grievance form (Form No. 4) and work on preserving the original copy of the Form. The Director of Human Resources will then notify the complainant with the final decision.

**Low performance management process**

**What is the low performance according to the performance management system?**

Employees whose performance falls within the level of "needs improvement" performance are considered low performers.

**What is the purpose of the process?**

Improving and supporting the skills and abilities of low-performing employees.

**When does this process take place?**

This process takes place in December of each year and after reaching the results of the final annual performance and completion of the grievance phase.

**What should human resources department do?**

**Step 1:**

Launch and start of a low-performance management process in the ministry or federal authority

**Step 2:**

Follow up and coordination of the development of performance improvement plans

**Step 3:**

Follow up the implementation of the performance improvement plan

**Step 4:**

Follow up and supervision of the review of Performance Improvement Plan

**Step 1:** Launch and start if a low-performance management process in the ministry or federal authority

- The Director of human resources department informs the Line Managers with the start of the annual performance management process by sending notes to all relevant departmental directors and Line Managers as well as other information to ensure the full knowledge and awareness of all Line Managers on the process.
- Human resources department may need to hold and organize workshops and training courses aimed at training and reminding the members of the Line Managers with the practices of the low performance management process in the ministry or the federal authority.

**Step 2:** Follow up and coordination of the development of performance improvement plans

The Human Resources Department directs Line Managers to review all reports related to staff performance (including the annual performance document, feedback of supervisors and evaluation reports, if any).

Low employee performance, which may include the following:

- Lack of sufficient knowledge or skills required by the employee to perform the expected work.
- Employee is not aware of what is expected of it because the objectives are not clear.
- Lack of guidance, notes or feedback regarding employee performance.

- Lack of personal motivation or low level of motivation in the workplace and / or a low level of work environment.

It is recommended that the Line Managers review the Line Manager's performance management system manual to take advantage of the guidelines and tools provided for diagnosing and addressing the causes of low performance and how to develop a performance improvement plan.

- Line Manager shall identify and evaluate the problem. It shall coordinate a meeting with the low-performing employee to identify the reasons for the low level of performance, inform the staff member with the purpose of the meeting and how to prepare properly.
- During the meeting, the direct and staff leader shall discuss the reasons for the low performance and agree to develop an action plan for improvement, but the Line Manager shall document the outcome of the meeting and complete the practical actions required in the performance improvement plan form.

**Step 3: Follow up of the implementation of the Performance Improvement Plan**

- Human resources department shall supervise implementing performance improvement plans and inform Line Managers with the best practice on providing training and feedback to staff during the performance improvement plan period with documenting all relevant steps and activities.
- The Human Resources Department shall inform Line Managers to determine the date for a meeting, which aims to follow up the staff member concerned, assess progress and performance and compare it with the agreed plan of action.

Step 4: Follow up and supervision of the review of Performance Improvement Plan
HR department shall follow-up performance review meetings after the six months determined to complete the plan, improve performance, as the Line Manager should provide feedback on the employee's level of performance and achievement of the defined plan and update feedback and notes data in the Performance Improvement Plan form.

**In case the employee does not improve or achieve the performance improvement plan**

A formal warning may be sent and it shall give a grace of additional 6 months to improve its performance. Before the start of the additional period, the direct supervisor shall agree with the concerned employee on the style and way of achieving the indicated improvement missions and / or the new plan in necessary.

If functional non-competency of the employee is proved, the direct supervisor may consider one of the following procedures:
1- Recommendation to transfer the employee to another job suiting its ability
2- Recommendation to end the service of the employee for lack of functional non efficiency

**In case the employee achieves what is required according to the said performance improvement plan**

The minister or its representative may grant the employee a cash reward of about half of the total periodic allowance decided for its functional degree for the last year.

The direct supervisor shall agree with the employee to determine targets or missions for the remaining six months. It shall subject to all provisions of performance management system like the rest of employees.

## The formulation of smart objectives:

In order for the target to be effective and capable of directing the employee, its abilities and efforts towards the right activities that ensure its achievement, the objectives must be formulated in a "smart" manner, with five basic criteria:

| | |
|---|---|
| Specific | Written in a clear and unambiguous way in terms of what must be achieved. |
| Measurable | There must be clear and transparent criteria for measuring objectives |
| Achievable | The objective should be achievable and feasible, and reflect the government's aspirations to improve the standards of federal services. It shall also be achievable. |
| Relevant | To reflect the general objectives that the federal government seeking to achieve. |

| | |
|---|---|
| Time-bound | A specific time period must be specified to achieve the objective. |

**General guidelines for building smart targets according to SMART standards:**

| | |
|---|---|
| Specific | Who are the target customers? What is the expected outcome? Can the goal be divided into a clear series of action plans that lead to it? After the formulation and writing the goal, can it be interpreted in several ways or is it specific enough to be understood and interpreted in one way? |
| Measurable | Is there a quantitative or qualitative criterion to measure the achievement of the objective? (Number, quantity, frequency or descriptive standard of the desired outcome quality of the target) |
| Achievable | What are the human, financial, material and technical resources needed to achieve the goal in a timely manner? Will these resources be available? What obstacles or challenges are expected to prevent the achievement of the goal and how can it be realized or controlled? |
| Relevant | Are these objectives consistent with the overall objective of the job and the objectives of the department and its administration? Does achieving this goal serve the strategic plan? |
| Time-bound | What is the time period required to accomplish the objective? What is the start date of the goal and what is the date of completion? Is this time frame realistic and consistent with the resources available to achieve the goal? |

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