

# PERFORMANCE DEVELOPMENT FRAMEWORK (PDF)

TONGA PUBLIC SERVICE COMMISSION

~~SEPTEMBER 2016~~

Amended May, 2018



# PERFORMANCE DEVELOPMENT FRAMEWORK

## TABLE OF CONTENTS

**Foreword**

**Acknowledgment**

**Introduction**

**Part 1: Tonga Public Service Performance Development Framework (PDF)**

- 1.1 Setting and clarifying expectations
  - 1.1.1 Mandatory performance objectives of everyone
- 1.2 Developing plans
- 1.3 Reviewing plans
- 1.4 Monitoring performance
- 1.5 Recognizing performance
- 1.6 Resolving unsatisfactory performance

**Part 2: Managing the performance of Chief Executive Officers and Senior Managers**

**List of Annexes:**

- Annex 1:** Mandatory RESULTS for Financial Management
- Annex 2:** Mandatory RESULTS for HR Management
- Annex 3:** Core Behavioral competencies for ALL employees (Table 1)
- Annex 4:** Performance Development Planning and Appraisal template (PMS form)
- Annex 5:** Core BEHAVIOURAL competencies for CEOs (in addition to Annex 3)
- Annex 6:** Mandatory RESULTS for ALL CEOs
- Annex 7:** CEO Performance and Development Plan Template
- Annex 8:** Performance Improvement Plan (PIP)

## Foreword

**The Public Service Commission is mandated to develop systems, standards and procedures for the continual performance improvement and performance management of the Public Service.**

The public sector's performance has long been a focus area for public sector reform and the development of a suitable performance management system remains a critically desired outcome. The development of such a system is directly linked to Government's National Priorities as per the Tonga Strategic Development Framework (TSDF II) more specifically the Political Institution Pillar of having a ***"A more efficient, effective, affordable, honest and transparent Public Service, with a clear focus on priority needs, working both in the capital and across the rest of the country, with a strong commitment to improved performance and better able to deliver the required outputs of government to all people"***.

As per Government's enacted legislations, the public service principles require demonstration of the highest standard of transparency, impartiality, honesty, integrity, consistency and accountability. In order to achieve these principles and Government's priorities, this Performance Development Framework (PDF) clarifies the policy instructions, features, processes including tools that make up the performance management system (PMS) set by the Commission, which aligns individual performance to the organizational and national outcomes at both the Chief Executive and employee levels. Taking its cue from best practices from the world, this framework is tailored to transition Tonga's public service current service delivery, to encourage adoption and institutionalization of good performance practices gradually removing barriers to continuous performance improvement through enhancing employee capabilities for transformative results.

Alongside this is the enforcement of the Commission's policy of performance pay through a new remuneration structure that calls for the implementation of a remuneration system that is linked to performance as of July 1 2016.

The concept of performance management had been introduced in 2009 and has continued to be emphasized by the PSC Office from 2012 to date. Hence an adequate foundation has already been laid for the Performance Development Framework to be adopted and embraced throughout all levels in the Public Service. It is work in progress and will continue to be refined to continually ensure improved performance and service delivery of required outputs by the Public Service for the People of Tonga.

**Sione 'Uhilamoelangi Liava'a**  
**Chairman, Public Service Commission**

## Acknowledgment

This Framework acknowledges technical support from Mr. Andrew MacMurdie of Hays Group, financial support from the Minister of Finance and National Planning which committed funding to the corresponding development of the PMS and associated Remuneration Policy review linked to the new remuneration structure; and lastly, the hardworking PMS Unit of the Commission and the PMS subcommittee members from across the Ministries under the Commission.

# Part 1: Tonga Public Service Performance Development Framework (PDF)<sup>1</sup>

## 1.1 Introduction:

The current public service Act and amendments provide for a modern, relevant performance management and remuneration system. The PSC ACT calls for the undertaking of performance reviews by the Commissioners. Similarly, a modern performance development framework is about building a rewarding work environment with leaders displaying appropriate leadership style, clarity, fairness, providing for focused development and training; establishing doable and interesting jobs; and providing equitable remuneration.

There is no one size fits all approach to managing people, and their work performance. However, there is a range of core management practices that can help maximize individual and team performance. This guide includes a section specifically for Chief Executive Officers and senior managers. It is intended to assist CEOs and senior managers maximize their organizational performance at different levels.

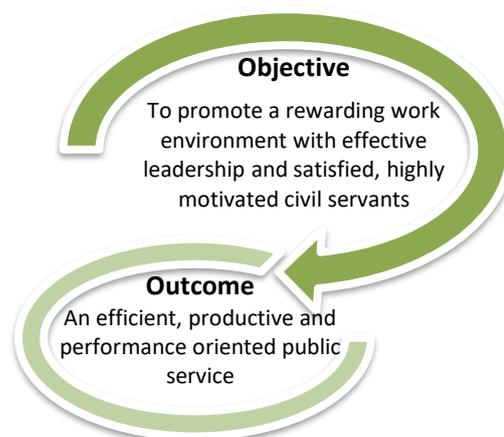
## 1.2 The Tonga Performance Development Framework (TPDF)

The Public Service Act 2010 and the Public Service Policy 2010 as amended require the public servants to perform according to required objectives on an annual basis (refer also to section 19 on code of conduct). Performance Management and its corresponding instructions are also defined in the Public Service Policy Instructions 2010 as amended.

## 1.3 PDF Objective and Outcome

Managing the performance of organisations and their staff is key to the successful attainment of government national goals and outcomes. The Government of Tonga Performance Development Framework (PDF) objective therefore, is to *'promote a rewarding work environment with effective leadership, and satisfied, highly motivated civil servants'* in order to achieve *'an efficient, productive, and performance oriented public service'* (outcome). This is required by the Public Service Act.

This framework shifts the focus to 'performance improvement', and provides an active process for managing and avoiding underperformance. It is not to be seen as a compliance exercise or a shortcut for getting rid of poor performers, giving very little regard to the human element of the public service. Rather, this should enable the employee to know how s/he contributes to the realization of the Ministry's Outcome(s) through the achievement of the Ministry's outputs. The performance development framework therefore provides opportunities to improve organizational, divisional and individual performance.

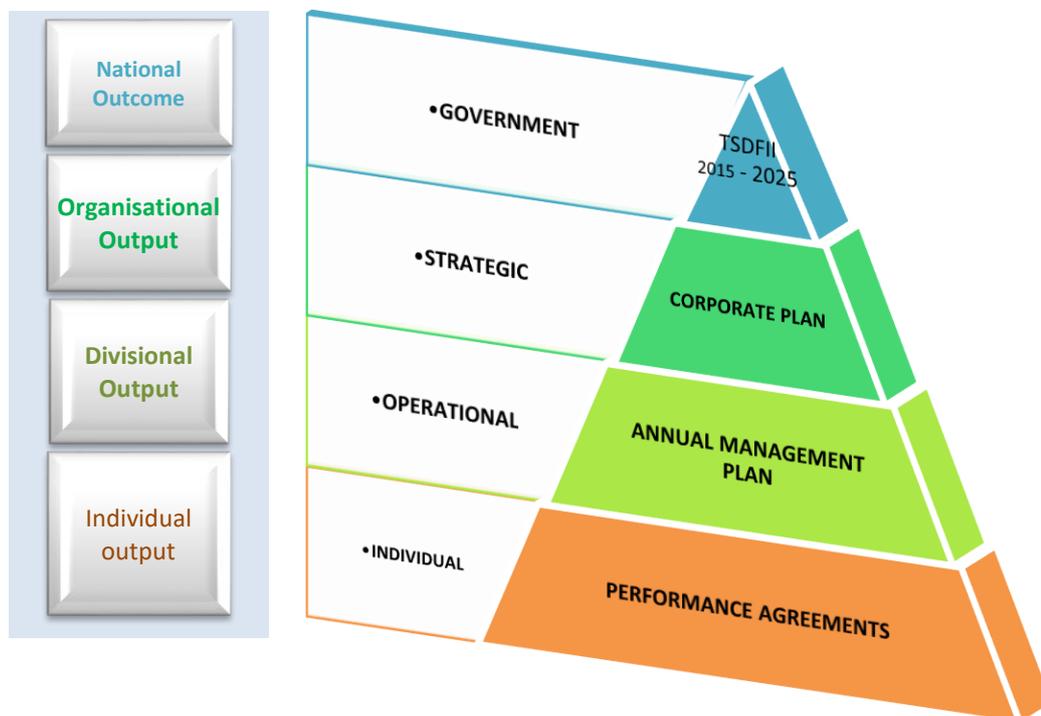


**Figure 1:** PDF Objective and Outcome

<sup>1</sup> Provides the scaffold for the Performance Management System (PMS)

The Performance Development Framework is also intended to show clear linkages from the government policy framework, national outcomes, organizational outputs, to the individual performance outputs. All staff should understand how they contribute to their Ministry’s output and the contribution of their Ministry’s work towards the achievement of national outcomes and impact. Figure 2 shows the linkages of individual performance to the Government of Tonga strategic planning framework.

**Figure 2:** Linking individual performance to the Government strategic framework



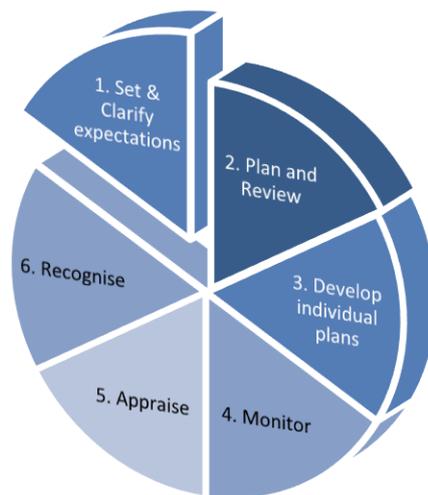
This guide is intended to be aligned to the PSC workforce development strategies which are part and parcel of the Government public sector reform programme. It will be subject to regular review.

This guide is also premised on the assumption that employees work best:

- ✓ when they have clear goals and understanding on what is expected of them and their work (performance expectation)
- ✓ receive fair and regular feedback about their performance (supervision and monitoring)
- ✓ are recognized for performing well (recognition)
- ✓ when they receive constructive advice about areas of performance gaps and where/how they can improve (communication)
- ✓ when they are provided with opportunities to improve their capabilities (talent development)

#### 1.4 COMPONENTS of the Performance Development Framework

The Tonga Performance Development Framework has six (6) components which are visualized in **Figure 3**. The components **define the benchmarks** to guide the management of performance in the service and are not intended to be applied sequentially. There are components which are **continuous processes** in the natural planning cycle such as the setting of expectations for staff, reviewing, planning and monitoring performance. There are components which may be **based on the outcome of appraisal** or **during monitoring** and may be linked to recognition or dealing with unsatisfactory performance.



**Figure 3: PDF Components**

**Table 1 – PDF Components elements**

	<b>Component</b>	<b>Essential elements for all public servants</b>
<b>Continuous</b>	<b>Set and clarify expectations</b>	<ul style="list-style-type: none"> <li>- An updated job description which includes required outputs and competencies linked to the ministry's outputs</li> <li>- Full understanding of public sector values, code of ethics, policies, procedures to be observed, the competencies required for their roles, and deliverables for which they are accountable to</li> </ul>
	<b>Plan and Review (template)</b>	<ul style="list-style-type: none"> <li>- All staff have an annual formal performance agreement with their managers that sets out their individual performance outputs linked to appropriate divisional and corporate outputs and to required competencies. This is based on an individual staff development plan, job description, required capabilities and competencies</li> <li>- New staff undergo a review process between first three – six months that includes informal and formal reviews</li> <li>- Outputs must be SMART – specific, measurable, achievable, realistic and time-based.</li> </ul>
	<b>Develop individual plan including capability plan for staff (staff development)</b>	<ul style="list-style-type: none"> <li>- Each staff develops a development plan based on capability gaps for the staff that may affect the outputs required to deliver the divisional and ministry outputs.</li> </ul>
<b>Cyclical</b>	<b>Monitor</b>	<ul style="list-style-type: none"> <li>- planned and informal opportunities to discuss progress on performance with managers</li> </ul>
	<b>Review (appraise)</b>	<ul style="list-style-type: none"> <li>- planned formal appraisal structure on performance (twice yearly based on financial year</li> <li>- Any unsatisfactory performance can be done promptly, informally and formally as appropriate</li> </ul>
	<b>Recognise(reward)</b>	<ul style="list-style-type: none"> <li>- guidelines are provided in this framework to assist managers in providing appropriate reward and recognition</li> </ul>

## Component 1 – Set and clarify expectations

The first critical step starts with employees having a clear understanding of goals and expectations of their role.

### ***When to set and clarify expectations?***

- When a new employee starts
- When an existing staff starts on a new role
- When the organisation undergoes structural or functional changes
- Must be on an ongoing basis
- Both on an individual and team basis

#### ***What's involved?***

An employee needs to know:

- their role, required competencies (results and behavioural), responsibilities, contribution to team, work unit and the organisation
- who and what they are accountable for to deliver their organisational output and goal
- expectations around work ethics, values and behaviour
- how their performance will be measured and assessed
- what the penalties and rewards will be following performance assessment

#### **Building a high performance team requires setting clear expectations for your team**

- ✓ Discuss shared goals and values for the organization and to the public service
- ✓ Determine key roles and how decisions will be made
- ✓ Establish how team members are to behave and conduct themselves at work including unacceptable behavior
- ✓ Set performance standards expected to meet and how they will be measured and assessed

### **Eligibility to be considered for a Performance Reward**

Employees who are at post in the beginning of the Financial Year (FY) are eligible to be considered for a performance reward provided:

- (1) The employee has completed a Mid-Year Review;
- (2) The employee has completed an End of FY Review;
- (3) The overall performance score of the employee has undergone moderation;
- (4) The overall performance score of the employee (following moderation) is satisfactory, meets expectations or exceeds expectations;

#### **Not eligible**

- (5) The employee is not a new employee on probation;

#### **Under special circumstances**

- (6) An existing employee prior to the commencement of the new FY who has served at their current post for a minimum period of six (6) months to which the principles of pro-rata of performance reward applies
- (7) Absence from work of in excess of three (3) months will be paid on a pro-rata basis (e.g. resumption of duty from secondment, study leave, special leave without pay, maternity leave, long service leave etc.)
- (8) New appointees who assume duty in the permanent position within first three months of new FY will be eligible for a pro-rata payment. Pro-rata payments shall apply as follows based on the date of assumption of duty:
  - a. Within July – full 12 months
  - b. Within August – 11 months pro-rata
  - c. Within September – 10 months pro-rata

## Eligibility for Performance Awards

- (1) The Commission may issue Instructions for Ministries to determine those employees eligible for performance awards.
- (2) The following shall be the threshold for considering performance awards –
  - (a) at the commencement of the review period, there is a current position description that establishes the performance expected in the post;
  - (b) there is a mid-year review that indicates that performance above the standard required for the post is being achieved;
  - (c) there is an annual performance appraisal that confirms the performance level; and
  - (d) all three of the above requirements are attested as true and correct by the supervisor, their manager and the Chief Executive Officer

## Component 2 – Plan and Review

Employees must have specific work outputs linked to the divisional output and corporate plan. This must be agreed upon between the manager and the employee using a **formal performance agreement or annual ‘performance development plan’** and reviewed DURING and at the END of the year. A performance development template (known as PMS form) includes components 2, 3, 4 and 5 of this framework

Formal performance reviews are to inform all assessments for salary progression, pay increases as determined by statutory remuneration authority; and any contract renewal.

### **What’s involved?**

- Identifying objectives or targets should be derived from the Corporate Plan that are non-negotiable, including mandatory government or agency objectives: Examples include -
  - All employees have core behavioural competencies which must be reflected in their outputs.
  - All executives who have financial accountability must have financial management performance objectives. This is set out in **Annex 1 as examples.**
  - All employees who have responsibility for managing people must include mandatory performance objectives as set out in **Annex 2 as examples.**
- Set outputs that link in a cascade to other higher outputs or results.
- Discuss how these outputs can be met. What does the individual staff need to do to achieve his/her respective outputs?
- Agree and sign off on the plan using the template

### **When to review**

- This can be done on a periodic basis informally and formally.
  - Informally - quarterly or biannual basis;
  - formally once or twice during the mid-year (financial year) and end of the financial year.
  - Review process is supported by ongoing monitoring process, two way or multiple feedback process (e.g. from staff, colleagues, supervisor, other stakeholders / implementation partners)

### Setting and Reviewing team objectives

- ✓ Individuals in a team may first discuss shared understanding about team and organizational outputs
- ✓ Determine means of achieving these outputs as a team
- ✓ Then determine what each individual needs to do to deliver the team outputs as linked to their divisional and organizational output

## Component 3 – Develop Capability Development Plans

‘Capabilities’ refer to the knowledge, skills and abilities that must be demonstrated by employees to perform their duties effectively. Developing staff capability is strategically linked to an organisation’s workforce development plan, which is further linked to the public sector capability development or workforce development framework. A capability development plan (training development plan) can improve an employee’s capability and performance which in turn helps achieve the organisational outputs; as well as develop potential talent in different areas as part of succession planning.

### What is involved?

- Be clear on core capabilities specifically for the role (results capability) and other core behavioural capabilities required for all employees. This is discussed in the next section on capabilities. The plan must be linked to work priority rather than personal staff interest in the first instance.
- Identify the current level of capability, strengths and areas needed for development in the employee. There are ways to ascertain this: direct interview or self-assessment, skills audit, feedback from other colleagues, work results or observations.
- Joint identification of tasks to help employee to close the gap: on the job learning/job rotation, peer learning, internet based research, formal courses, professional attachments and study visits.

For consideration;

- When are Capability Development Plans set?
- CEOs have already been advised to develop a Training Plan for their Ministry;
- Who is accountable for it?

### When to Develop

- Throughout the year **formally and informally**
- Use formal assessments review to plan and set targets and assess progress
- Regular monitoring may identify opportunities for mentoring and coaching
- Delegating and giving targeted tasks can be learning events
- Opportunity for team reflection and review can get information on needed skills and knowledge.

### Team Development

- ✓ Can increase productivity, enhances communication, team work, cement trust and build skills
- ✓ Team building is a good way to achieve results
- ✓ Group activities and job rotation can provide for peer coaching and sharing

## Component 4 - Monitor Employee Performance

Monitoring activities is conducted through a number of instruments (quarterly divisional reports on outputs, regular staff surveys, and through HODs and staff updates) which provide useful means to support employee performance.

### What's involved?

Monitoring is an ongoing process to get feedback on progress and provides immediate supervisor feedback to employees whether it is to encourage, to clarify or to discuss poor progress against set outputs and targets in their performance plans.

During the performance year, managers should regularly/on an ongoing basis:

- coach, mentor, lead and address performance issues
- deal with unsatisfactory performance and disagreements
- coach for improved performance

During the monitoring cycle, it is imperative that frequent discussions be held between managers and employees on the performance / behaviour of employees. If managers adhere to best practices for providing employee feedback on a regular basis, it is very realistic to have a read on the level of employee performance at any time and not just during the formal performance appraisal month(s). For an employee, knowing frequently where they stand with regards to their performance will prevent any shock / surprises during the formal performance appraisal. Provision of regular feedback will also encourage an employee's view of Performance Management as a consultative process rather than an overwhelming and threatening process. Informal and sensitive approaches to managing poor performance in an ongoing way often work best to avoid surprises and reduce creating fear and distrust.

### What is unsatisfactory (poor or under) performance?

- Involves an employee failing to perform or deliver outputs to required standard.
- It can include: unsatisfactory work in terms of quantity, quality or timeliness
- Breaches of work practices, codes of conducts that do not warrant a misconduct investigation such as absenteeism and lateness
- Inappropriate behavior including communication problems with customers, bullying, resisting change and direction, personal issues – mental, drugs, or physical related, etc
- Lack of motivation, low morale in the work environment
- A series of minor issues that when taken together make for a difficult working environment

### Dealing with unsatisfactory performance

Managers need to act on unsatisfactory performance promptly during the year (as soon as it has been identified) and can use the staff capability development plan if unsatisfactory performance stems from a lack of skills or knowledge.

#### When to monitor

- This can be done on an ongoing basis which can be divided into periodic timelines during the year (i.e. weekly, monthly or quarterly).
- Monitoring is an ongoing process which involves either a two way or multiple feedback 360 degree) approach (e.g from staff, colleagues, supervisors, other stakeholders / implementation partners);

#### Managing team performance and recording performance trends

- ✓ Team leaders/supervisors should be involved with the oversight of the team's performance;
- ✓ Keeping track of performance using performance logs/files provides evidentiary support;
- ✓ Regular reports should be provided to relevant bodies on current progress.

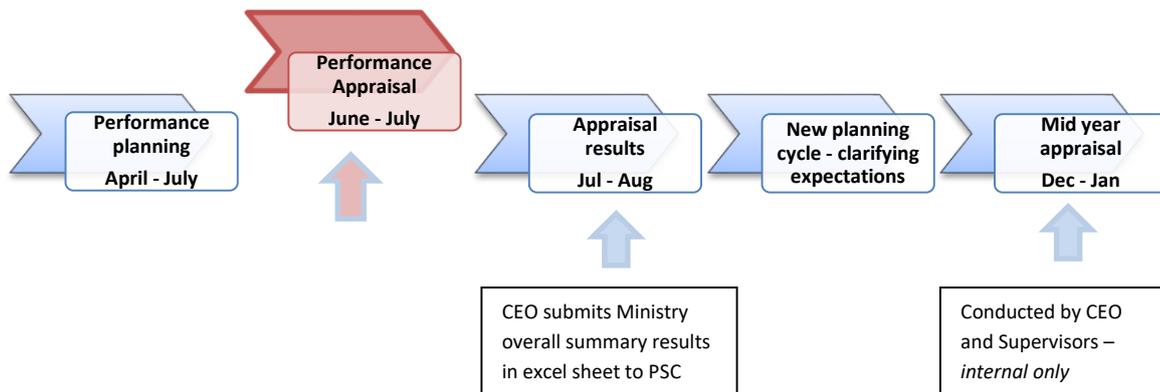
## Component 5 – Performance Appraisal

Performance Appraisal is the systematic evaluation of the performance of employees and to understand the abilities of a person for further growth and development. Performance appraisal is mandatory for everyone and is generally done in systematic way.

### What's involved?

The appraisal process is the formal review of employee performance. The appraisal dates are based on the corporate planning process which is based on a financial year. Appraisal of all Tonga public service employees (CEOs and employees) are based on the Financial Year planning process.

**Figure 4: Planning and Review Process**



The following should be discussed during the appraisal meeting:

- progress against the stated results and targets as in the agreed performance plan are discussed and evidence produced by the employee (or revision if required to results or targets)
- achievements are recognised
- continuous poor/under performance and development of a performance improvement plan
- capability/training needs are addressed

#### **When to review (appraise)**

- This can be done on a bi-annual basis.
  - o Mid-year Performance Review;
  - o End of Year Performance Review
  - o The appraisal process should be based on evidence from performance during the year which is compared against the performance agreements determined at the beginning of the year.

#### **Agreeing on performance rating and performance improvement**

- ✓ The scheduled date and time for the appraisal should have been agreed to in advance;
- ✓ Both parties need to collate all evidentiary support relating to performance;
- ✓ Determine way forward for addressing any performance gaps which had not been resolved during the year.

As set out in the earlier sections, the process on review is by financial year while monitoring is an ongoing process.

### Guide to measuring performance - Why measure performance?

Measuring employee performance starts with comparing actual performance against the defined performance standards agreed to in the performance plan. A performance plan with well-defined goals and performance standards is the starting point for measuring performance.

The information obtained from measuring performance can be used to identify training and workforce planning requirements. Most importantly, it gives your employees feedback on their progress and how they can improve.

<b>Identifying achievement</b>	•You need to know who is achieving their goals and who isn't.
<b>Identifying strengths and weaknesses</b>	•You can identify strong points and also identify areas that need development.
<b>Recognition and reward</b>	•You need to measure performance objectively in order to fairly recognise and reward your employees.

## Measurement tools

There are a range of approaches and tools for measuring performance. The existing PMS Form outlines the key components to be used by Tonga Public Service Employees to measure performance. This includes components for Job Performance (derived from the individual Job Description), Core Competencies (Behavioural and Results) and Training.

## Staff Performance Appraisal Process

The performance review process can be summarised as:

***Output Achievement = Results (What) and Behaviours (How) minus Extenuating Circumstances***

The actual result against the established target is qualified by any extenuating circumstances which may have developed during the plan period (eg: major industrial unrest, changes in Government policy, a reprioritisation of the organisation's outputs) and an assessment of the achievement level of each output on a five category scale which is tabled in the next pages.

A standard performance development and appraisal template commonly known as the PMS Form (Annex 4) is used for all employees). This includes relevant information and sections to review core competency and behavioural competencies mid-year and at the end of the year.

## The Performance Development Planning and Appraisal Form aims to help staff to:

- (i) Understand the Impact, Outcome & Output of their Ministry;
- (ii) Understand how the Impact, Outcome & Outputs filter/cascade down to the individual level;
- (iii) Identify what their key outputs are;
- (iv) Link key outputs to the achievement of overall outputs;
- (v) Help individuals to achieve individual outputs
- (vi) Identify areas of weakness that needs to be addressed through Capacity Building and Training

All positions below Chief Executive Officer Level will follow the Staff Performance Appraisal Process as shown below. Following implementation on 01 July, 2016, the Performance Monitoring period will run from July to June each year with ongoing support to be provided by the PSC Office. As explained earlier, there are two formal Performance Review dates aligning with a Mid-Year Review (Dec-Jan) and End of Financial Year Review (Jun-Jul).

**Figure 5: Performance Appraisal (review) process for positions under the CEO level (Band F-S)**



### Responsibilities for Appraisal

During the Staff Performance Appraisal Process, there are three levels of responsibility;

- **Chief Executive Officers (CEO's)** – ensure organization structure is in place. At best, budget is confirmed for each Division and intended outputs expected are clearly articulated.
- **Heads of Divisions (HoDs) and Supervisors** – ensure that divisional outputs to be delivered by the Division (as intended by the CEO) are fully understood by Division Staff. Divisional Plans are in place reflecting intended outputs. Job Descriptions are designed according to structure and expected deliverables of each post and internal processes are in place as part of the Monitoring Process. During the PMS Process, it is expected that supervisors would have done their best to ensure that employees are properly mentored and relevant capacity building programs have been explored to assist employees.
- **Staff** – ensure that they understand their intended outputs as is reflected in their JDs and measured in their PMS Form. They should seek clarity if intended outputs or activities are not clear and work with team members to achieve the divisional outputs.

It should be advocated that achievement of overall outputs requires Team effort at all levels. The performance of employees is assessed based on what they have achieved (results) compared with outputs they had agreed to with their supervisor will be delivered as stipulated in their individual Performance Planning and Appraisal Form (PMS Form). As such, the appropriate performance rating should be allocated based on what the employee has delivered as measured against the Key Performance Indicators (KPIs) or Key Performance Standard (KPS) that has been set. This will be subject to the provision of records / documents used as evidentiary support to substantiate achievement / non-performance at all levels.

## Eligibility to be considered for a Performance Reward

Employees who are at post in the beginning of the Financial Year (FY) are eligible to be considered for a performance reward provided:

- (1) The employee has completed a Mid-Year Review;
- (2) The employee has completed an End of FY Review;
- (3) The overall performance score of the employee has undergone moderation;
- (4) The overall performance score of the employee (following moderation) is satisfactory, meets expectations or exceeds expectations;

### Not eligible

- (5) An employee who is newly appointed within the Financial Year and is currently serving under probation.

### Under special circumstances

- (6) An existing employee prior to the commencement of the new FY who has served at their current post for a minimum period of six (6) months to which the principles of pro-rata of performance reward applies
- (7) Absence from work of in excess of three (3) months will be paid on a pro-rata basis (e.g. resumption of duty from secondment, study leave, special leave without pay, maternity leave, long service leave etc.)
- (8) New appointees who assume duty in the permanent position within first three months of new FY will be eligible for a pro-rata payment. Pro-rata payments shall apply as follows based on the date of assumption of duty:
  - a. Within July – full 12 months
  - b. Within August – 11 months pro-rata
  - c. Within September – 10 months pro-rata

## Preparing for a Performance Evaluation (Mid-Year and End of FY)

Prior to a formal evaluation taking place, a Supervisor and an employee are responsible for ensuring that they are well prepared for the Evaluation Discussion. Both need to have gathered relevant information and records that will prove achievements / results.

Employees should therefore be prepared to:

- Prove their worth to the organization
- Be open minded to accept criticism.
- Show how they have grown as an individual
- Understand goals and skills they would like to develop

Supervisors should therefore be prepared to:

- Notify staff of evaluation date and time well in advance
- Gather information about the employee's performance
- Understand the progress made by employee (if any)
- Understand the gaps (if any)
- Be available / make time for the evaluation with no disruptions

## The Rating Scale

Prior to proceeding with Evaluation, all employees and supervisor should already understand the principles and logic of the Rating Scale.

Rating is on a **5-point scale** as follows:

5 – Outstanding / Exceptional; 4 – exceeds; 3 = fully effective (100%); 2 - needs improvement; 1 - not achieved

**Table 2: The Rating Scale**

Indicator statement			
Rating	For each individual RESULT / PERFORMANCE OUTPUTS (Section 3.1)	For each individual PERSONAL ATTRIBUTES /COMPETENCIES (Section 3.2)	SUMMARY STATEMENT RATING (Section 3.3 – Overall performance)
<b>5. Outstanding / Exceptional</b>	Employee frequently meets and often exceeds most / all of the performance indicators. Employee performance far exceeds performance targets. Employee achievement and contributions to the organization are of marked excellence and is demonstrated by performance results and examples of excellence.	Consistently demonstrates exceptional behavior in most / all of the performance standards. An exceptional employee whose excellence is obvious to all. Serves as a role model and mentor to his work colleagues.	<b>Performance attained far beyond expectation</b> Performance in all aspects was well beyond the job requirements. An exceptional employee whose excellence is obvious to all. Consistently exceeds in all of the behavioral / competency requirements.
<b>4. Exceeds</b>	Employee frequently meets and often exceeds some performance indicators. Employee clearly and consistently surpasses performance expectations and goals and demonstrates understanding of work beyond job requirements. This must be supported by performance results and examples.	Consistently demonstrates effective behavior with demonstrated exceptional behavior in at least half of the performance standards.	<b>Performance met above expectation</b> Performance was noticeably above the required job level. In addition to meeting all job requirements, some areas (at least half) were above the expected performance / behavioral requirements.
<b>3. Fully Effective</b>	Employee competently and consistently meets the agreed performance indicators. Employee demonstrates reliable results.	Consistently demonstrates effective behaviors in accordance with the required performance standards. Performed at a competent and experienced level.	<b>Performance met to expectation</b> Performance fully met all job requirements (100%). Demonstrated required competence in all behavioral requirements.
<b>2. Needs Improvement</b>	Work results are inconsistent. Did not fully achieve the job requirements in accordance with the specified performance indicators. Employee shows potential but requires frequent guidance / development.	Demonstrates some behaviours but not others, or uses behaviours inconsistently in accordance with the specified performance standards. Needs coaching and support.	<b>Performance partially met expectations</b> Performance met only some aspects of the job requirement and other areas were not fully achieved. Competency in some of the behavioral requirements fell short of expectations. Further improvement is needed to perform at fully competent level.
<b>1. Not achieved</b>	Inadequate progress made towards meeting agreed job requirements. Employee performance is poor and requires significant improvement to meet basically all of the performance indicators. Employee entered Ministry less than six (6) months and is still learning the job requirements.	Rarely demonstrates competency behavior even with sufficient assistance or close supervision. Requires significant development. Employee entered Ministry less than six (6) months and is still trying to meet behavioral requirements. Has yet to demonstrate improvement in behavior / skill.	<b>Performance substantially lower than expectation</b> Performance fell well short of the expected job requirements in majority of the performance areas. Demonstrated competence fails to meet most (if not all) the behavioral requirements. Urgent action is required to ensure improved performance to meet the required expectation levels.

### Random Interview process

Following submission of results, the PSC Office in consultation with line ministries, will be tasked with making sure that the relevant support and principles of joint performance discussions were undertaken in accordance with the performance appraisal process.

The process will involve random employees selected for an interview based on the overall results submitted to the PSC Office. If the principles for holding joint performance discussions were not undertaken the PSC Office may make appropriate recommendations to the Ministry to address prior to the Moderation process.

## Moderation process

To ensure that the performance of employees is evaluated fairly, consistently and equitably, a moderation process will be established as part of the quality check process.

This will require the set-up of Moderation Teams at the following levels:

**Table 3: Composition of Moderation Team**

Composition	
<b>Ministry Level:</b>	Ministry CEO and Deputies
<b>PSC/Oversight Level:</b>	PSC Commissioner, Central Agency CEO, CEO PSC, PMS HOD, PSC Senior Officer
<b>CEO Level:</b>	Central Agency representative, Private Sector representative or Statutory Board member, Minister of Cabinet

At each Level, the Moderation Teams will be responsible for ensuring:

- ▶ Whether an overall rating obtained by an employee is a fair reflection of an employee's performance (i.e. too low / too high) at the Ministry level
- ▶ That supervisors have evaluated performance in a consistent way;
- ▶ There is a common understanding of the standards required at each level of the rating scale
- ▶ The integrity of the Performance Management System is maintained.

In order to ensure the above, Moderation Teams will be required (where appropriate) to make a selection of a **MINIMUM** of ;

- Three Top Scorers by Division / Section / Ministry
- Two middle scorers by Division / Section / Ministry
- Three low scorers by Division / Section / Ministry

Where it is found that there are minimal discrepancies / alterations to be made, the Moderation Team may make alterations but will be responsible for advising the relevant staff/supervisor of such an alteration. Where it is found that there are major discrepancies across a Division / Section / Ministry, markings will be returned to be re-done by the supervisor and employee. This may be done with the assistance of the relevant HR/PMS Officer.

## Dealing with Disagreements

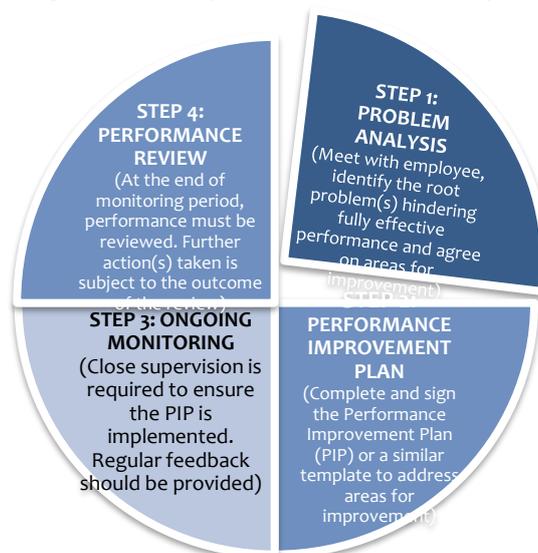
During performance review, your employee may disagree with you during the discussion of the results. In preparing for review, employees are required to submit evidence to demonstrate the work they have achieved. The following suggestions should guide managers to deal with any disagreement:

- Ensure the meeting environment is suitable for both parties
- Be clear and honest in explaining decisions
- Speak openly and calmly
- Do take time to listen
- Do not assume that the other person has the same understanding as you
- Keep matters confidential
- If cannot be resolved, agree to have another talk about it
- Seek other input from staff that may help

If a disagreement cannot be resolved by the manager and an employee, the Chief Executive Officer is required to address the disagreement using the same guide as above stated. The Public Service Policy Instructions 2010 (as amended) provides the process for grievance against the performance assessment of a Supervisor.

## Managing Low Performance

The process for managing low performance will involve the development of a Performance Improvement Plan or a similar template (refer **Annex 8**). **Figure 6** below provides details on the process for managing low performance;



**Figure 6: Process for Managing Low Performance**

The Public Service Policy Instructions 2010 (as amended) provides the process for dealing with Low Performance. If at the end of the formal review process at the end of the FY, performance is still at an unacceptable level, managers are required to develop a Performance Improvement Plan (PIP) – refer to **Annex 8** or a similar improvement plan to agree to areas / behaviours to be improved.

## Reporting and Dissemination of Results

Overall results of the organisation at the end of the financial year (June/July) are to be collated and submitted to the PSC by CEOs in an excel sheet template (sample below) generated for the PSC for quality check and moderation. This will enable appropriate recommendations to be made to the Commission for the granting of appropriate rewards/incentives. CEO results will be submitted together with overall Ministry result to the PSC (refer to CEO process in **Part 2**).

### COLLATED TEMPLATE FOR LINE MINISTRY REPORTING OF PERFORMANCE (BY DIVISION)

Ministry: \_\_\_\_\_  
 Division: \_\_\_\_\_  
 Section/Unit \_\_\_\_\_  
 No. of Div. Staff \_\_\_\_\_  
 No. of Section Staff \_\_\_\_\_  
 Section 1 \_\_\_\_\_ n/a  
 Section 2 \_\_\_\_\_ n/a

Section 3		3.1 Job Performance			3.2 Personal Attributes/Competencies			3.3 Overall Performance
Name	Position	Total Average Employee Score	Total Average Supervisor Score	Total Average JOINT score	Total Average Employee Score	Total Average Supervisor Score	Total Average JOINT score	
								0
								0
								0
								0

**Figure 7: Template for collating Line Ministry's Overall Performance Results**

Chief Executive Officers have a template for their performance review adapted from this standard template but to reflect the core competencies that inform their responsibilities (**Annex 5**). The process for CEOs appraisal is set out in **Part 2**.

## Component 6 – Recognise performance

Employees should be acknowledged for their contribution to the organisational and wider development goals and this should be an essential part of the performance development framework. Recognising good performance increases morale, sense of ownership, self-confidence and job satisfaction.

### What’s involved?

- recognition has two aspects:
  - o noting good performance
  - o monetary or non-monetary recognition (praise, financial, promotion, opportunity for further study etc)
- must be clearly linked to actions and behaviours that need to be promoted and reinforced
- Must be clearly linked to achievement of important outcomes

**When to recognize**

- Recognition needs to be immediate to be effective.
- Recognition should be made visible and awarded to incentivize employees
- It can be different modes: monetary, public acknowledgment, promotion, training development

### Performance Rewards and Sanctions to recognize performance

#### 1. For All Employees (except CEOs)

Financial recognition of performance is already provisioned for in the Public Service Policy Instructions under Part 5A.6.2. Progression within the current salary band is subject to an employee’s overall performance score rating at the end of the FY review as approved by the Chief Executive Officer **and** the Public Service Commission which is as follows;

Overall Performance Score Rating	Performance Reward
Rating of 5	Salary increase of 5% based on basic salary as of 30 <sup>th</sup> June
Rating of 4	Salary increase of 3% based on basic salary as of 30 <sup>th</sup> June
Rating of 3	Salary increase of 1.5% based on basic salary as of 30 <sup>th</sup> June
Rating below 3	No salary increase applicable as this is considered low performance

#### 2. For All Chief Executive Officers

In contrast to the rest of the Public Service employees, the approved performance rewards for CEOs who are under a fixed contract is as follows;

Overall Performance Score Rating	Performance Reward
Rating of 5	Salary increase of 10% based on basic salary as of 30 <sup>th</sup> June
Rating of 4	Salary increase of 7% based on basic salary as of 30 <sup>th</sup> June
Rating of 3	Salary increase of 4% based on basic salary as of 30 <sup>th</sup> June

Rating below 3	No performance reward applicable as this is considered low performance
----------------	--

### **Effective date of salary reward and movement up the band**

- (1) The granting of any salary and movement up the band shall be linked only to performance of duties at post and shall be effective as from 1<sup>st</sup> July of every financial year.
- (2) Performance related increase shall be paid out after 12 months and should be within the first three months of the new financial year (i.e. by September);
- (3) This is to allow sufficient time for the Oversight and CEO Moderation processes to be completed prior to submission to APRA, Commission and Cabinet and other relevant authorities as deemed appropriate.

### **Non-monetary Rewards to recognize performance**

Intrinsic rewards are the non-monetary rewards. They are recognition of performance that do not use cash payments. Such recognition become intrinsic sources of motivation to employees. Such rewards are at the discretion of line Ministries CEO/Commission and may include, but not limited, to some of the following:

- Preference on Training and Development Needs
- Certificates / Trophies
- Commendation letters for Professional Profile
- External Attachments
- Career Progression
- Employee of the Month / Year Award

Further details are provided in the Incentive Guide displayed.

## INCENTIVE GUIDE FOR PERFORMANCE EXCELLENCE

### PUBLIC SERVICE (AMENDMENT) ACT 2010:

Functions of the Commission (a) develop systems, standards and procedures for the continual performance improvement and performance management of the Public Service;

### PUBLIC SERVICE POLICY 2010:

Policy 33 (1) Performance Awards - Performance awards under sub-policy (1) may be paid **out by movement up the salary band** or in lump sum or in other forms determined by the CEO



### PUBLIC SERVICE POLICY INSTRUCTIONS 2010 (as amended):

Policy 3A.3.2 (8) Rewards are both extrinsic and intrinsic  
(9) The Commission will periodically review elements to recognize performance to include but not limited to recognition for service excellence, long service, as part of organizational wide and / or public sector wide improve-



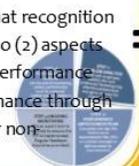
### PUBLIC SERVICE COMMISSION DECISION:

PSCD No. 282(a) of 01 July, 2016 approved the Performance Development Framework (PDF) for the Public Service.



### PERFORMANCE DEVELOPMENT FRAMEWORK:

Component 6 states that recognition of performance has two (2) aspects which is noting good performance and rewarding performance through the use of monetary or non-monetary means.



### EXTRINSIC (MONETARY) REWARDS

(means monetary / bonus rewards)

Examples of Extrinsic Rewards that have been approved by the Commission and Cabinet;

1. Performance Rewards (Movement up the Salary Band)
2. Performance Bonuses for those at the maximum salary point.

### INTRINSIC (NON-MONETARY) REWARDS

(means non-monetary reward such as career progression, health insurance, discounts or special allowances for vehicle or phone, overseas workshops up skilling, service recognition or national awards including but not limited to service excellence, specific service category medals, certificates, media releases. These can be at the discretion of Ministries / Commission which should contribute to professional profile).

Examples of Intrinsic Rewards that can be implemented internally within a Ministry:

(1) CEOs Award for Performance Excellence

(2) Employee of the Month



(3) Employee of the Year



(4) Division of the Quarter

(5) Early Bird Reward



(6) Customer Service Reward



### REFERENCE DOCUMENTS

(will differ by Ministry according to internal processes used)

1. Performance Development Plans (PDP's - at the CEO level)
2. Performance Management System (PMS Forms - at the individual level)
3. Annual Management Plan (AMP) attainment
4. High Level KPI (derived from Corporate (CP) Plan) attainment



### REFERENCE DOCUMENTS

(will differ by Ministry according to internal processes used)

1. Ministry Survey Result - Culture survey, Customer service survey (internal/external), Engagement survey
2. Peer Reviews
3. Anecdotal feedback, impacts
4. Media highlights (stories)
5. Divisions quarterly reports and progress against Annual Management Plan (AMP)
6. Attendance Register and Reporting
7. Monitoring and Evaluation Matrix



Internal Incentive Awards can contribute to the overarching

**Public Service Excellence Awards**

Examples of Public Service Excellence Awards:

1. Prime Minister's Award
2. Service Excellence Award for Employee of the Year
3. Service Excellence Award for most progressive Employee
4. Service Excellence Award for Ministry with the Best Customer Service
5. Service Excellence Award for most innovative (non-digital) Ministry



### Additional Examples of Intrinsic (Non-Monetary) Rewards

1. Host an annual award ceremony and give awards to employees for their tremendous contributions;
2. Celebrate the anniversary of employees joining the Ministry;
3. Start “Wall of Fame” and add them to it;
4. Give employees a new/improve job designation;
5. Provide a catered breakfast for the employee;
6. Have a quarterly staff appreciation day;
7. Create and give them an award that they can keep and frame for a job well done;
8. Get each employee to write something positive about their colleagues and give them the collated box of sayings;
9. Provide them with a formal letter of appreciation/recognition for their personal file;
10. A handwritten thank you note or a thank you speech;
11. Prepare a short video montage of the employee’s highlights and celebrate his/her accomplishments with the rest of the staff;
12. Let them suggest a way they would like to be recognized;
13. A public thank you announcement;
14. Write a formal letter to employee’s immediate family expressing how important he/she is to the Ministry;
15. Give them a small gift as a token of appreciation for their performance;
16. Provide them with one-on-one mentoring;
17. Allow them to dress casually on Fridays;



### Additional Examples of Service Excellence Awards

1. Service Excellence Award for Digital Innovation
2. CEO of the Year
3. Service Excellence for Employment Equity and Diversity
4. Service Excellence in Citizen - Focused Service Delivery
5. Award for Management Excellence
6. Award for Career Excellence
7. Team Spirit Award
8. Award for Excellence in Leadership
9. Archivist Award of the Year
10. Special Recognition Award



### References:

1. <https://goodnewsaday.wordpress.com/2011/03/29/51-ways-to-reward-employees-without-money/>
2. <http://www.tbs-sct.gc.ca/psm-fpfm/modernizing-modernisation/arp/gl-ld-eng.asp>
3. <https://offices.nsuok.edu/Portals/17/Greek%20Awards%202015.pdf>
4. <http://www.per.gov.ie/en/civil-service-excellence-and-innovation-awards3/>
5. <http://www.luc.edu/staffcouncil/excellenceawards/>
6. <http://asq.org/learn-about-quality/malcolm-baldrige-award/overview/overview.html>
7. <http://www.tfma.org/?page=TypesofAwards>
8. <http://www.hrexcellenceawards.com/#winners-2016>

## **Sanctions for unsatisfactory performance for public servants who are not Chief Executive Officers**

Where an employee's performance does not fully meet (i.e. 100%) the agreed performance standards, the employee shall be given counselling as well as a written warning to help improve the level of performance during the Financial Year and is required to work against a signed performance improvement plan that s/he must meet in terms of outputs. This should include:

- Standard performance expected of the employee
- The areas requiring improvement
- Steps the employee must take to improve work performance

Where an employee fails to improve job performance consecutively within a six (6) months period of performance review, the CEO, after discussion with the employee, shall forward a complete report of the employee's work performance to the Minister and Commission for review. The Commission, in consultation with the CEO and Minister may after giving the employee an opportunity to be heard:

- a) Transfer the employee to another post or locality
- b) Decide on demotion
- c) Decide on suspension
- d) Decide on termination
- e) Decide on any other action that the Commission may consider necessary

Where an employee is identified as a low performer after two (2) consecutive performance cycles, even after having been afforded the sanctions provisioned for in part (3) above, will be liable to have his/her employment terminated at the discretion of the Public Service Commission.

## **Sanctions for Unsatisfactory performance during contract (after the confirmation of probation) for Chief Executive Officers**

For Chief executive officers, sanctions on unsatisfactory performance are provided for under their contracts for performance review during probation period and throughout the contract period after the probation period has been completed.

Where under the performance review processes prescribed under Clause 22 according to Schedules A, B and C of CEO contracts the Commission in consultation with the Minister in question, deem that there is unsatisfactory performance, the Commission may,

- (a) discuss the assessment with the Appointee;
- (b) advise the Appointee of the areas in which his/her work is unsatisfactory and depending on the area of unsatisfactory performance, give the Appointee from 1 to 6 months to demonstrate competent performance.
- (c) If performance continues to be unsatisfactory, give notice of termination within 1 calendar month
- (d) Terminate the appointment in writing.

Nothing in these instructions shall diminish the Commission's right to terminate an employee.

## 1.5 CAPABILITIES or COMPETENCIES for all Public Servants

Capabilities or competencies are the knowledge, skills and abilities that public sector employees must demonstrate to perform their roles effectively. In this guide, there are two types of competencies:

1. **Technical** competencies (what is done)(results)
2. **Behavioural** competencies (how the job is done)

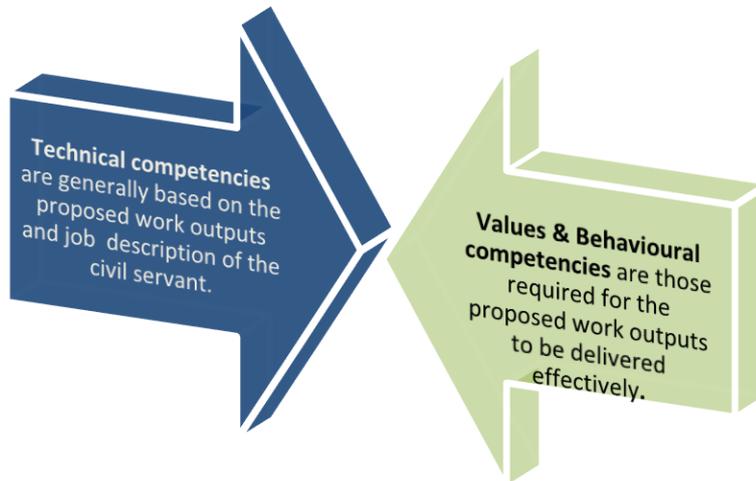


Figure 8: Competencies

## 1.6 MANDATORY BEHAVIOURAL COMPETENCIES for ALL EMPLOYEES

Annex 3 and below lists thirteen (13) **core behavioural** competencies, proposed for all civil servants. Some examples of effective and less effective behaviours for these competencies are provided in the table.

Change and Innovation		
Interpersonal Skills		Integrity / Accountability
Results Orientation	Teamwork and Collaboration	Customer Focus (internal & external)
Self Confidence and Assertiveness	Building individual capacity	Judgment
Supports the Organizations Enabling Theme, Outputs and Outcome		
Promotion of equity and equality	Management/Supervision (where applicable)	

## Part 2: Managing and guiding the performance of Chief Executive Officers and Senior Managers

This section guides the management of Chief Executive Officers and senior managers.

It includes all those in Part 1 and provides the additional following elements:

- The range of capabilities of CEOs and HODs - core competencies both results and behavioural related.
- Developing plans
- Reviewing plans
- Monitoring performance

### 2.1 CEO COMPETENCIES

All Government CEOs share the same functions as stipulated under the Public Service (Amendment) Act 2010. These functions are translated to their respective job descriptions and outputs or **technical competencies (results)**.

CEOs also share a set of **behavioural competencies** (how the results are done). Both are essential to the effective delivery of their key functions and responsibilities. They provide a systematic basis for creating, recruiting roles, management performance, capability development, career planning and more generally, workforce planning.

**Figure 9: Government of Tonga CEO competencies**

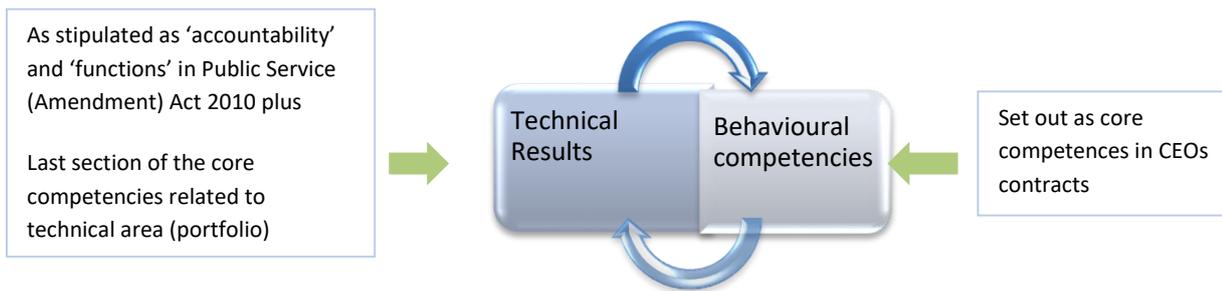


Table 4: Functions of Chief Executive Officers

Functions of Chief Executive Officers (As stipulated under the Public Service (Amendment) Act 2010)	
<b>13A Accountability of Chief Executive Officers</b>	<p>(1) A Chief Executive Officer shall be responsible to the relevant Minister for the performance of the Chief Executive Officer's functions under this Act in relation to his Ministry, and for its proper, efficient and economic administration.</p> <p>(2) A Chief Executive Officer shall comply with all Instructions applicable to the Chief Executive Officer or his Ministry and to all directions given under this Act by the Commission.</p>
<b>13B Functions of Chief Executive Officers</b>	<p>Subject to section 13A (1), a Chief Executive Officer shall have the following functions, to:</p> <p>(a) devise and implement financial and management plans for his Ministry, in accordance with Government planning and budget process, and monitor the Ministry's financial and administrative performance;</p> <p>(b) ensure the delivery of public services meets the needs of citizens in a cost efficient, service effective and diligent manner;</p> <p>(c) uphold and promote the Public Service Principles;</p> <p>(d) devise organisational structures and operational arrangements which are aligned to the Ministry's strategic plans;</p> <p>(e) ensure the attainment by the Ministry of any objective set by the relevant Minister in accordance with the approved budget;</p> <p>(f) assign duties to be performed by each employee in the Ministry;</p> <p>(g) direct the employees in the Chief Executive Officer's Ministry;</p> <p>(h) <b>evaluate and manage the performance of employees in the Ministry;</b></p> <p>(i) assign designations to employees in the Ministry and to vary such designations in accordance with designation systems, standards and procedures determined by the Commission;</p> <p>(j) <b>assist employees in the Ministry to undertake relevant training, education and development programs that meet the Ministry's priority skill needs;</b></p> <p>(k) <b>devise and implement programs to ensure that employees have equal opportunities in relation to their employment in accordance with the merit principle;</b></p> <p>(l) ensure the application in his Ministry of appropriate health and safety standards and programs; Public Service (Amendment) Act 2010 Section 12 to Act No. 34 of 2010 Page 13</p> <p>(m) ensure that public complaints pertaining to service delivery is dealt with in a timely and effective manner; and</p> <p>(n) such other functions as are imposed on the Chief Executive Officer by or under this or any other Act."</p>

### Mandatory RESULTS COMPETENCIES for all CEOs

Government Chief Executive Officers have the following mandatory results areas which is part of Schedule B in their contracts (**Annex 6**)

**POLICY**  
Leadership, Policy Advice and Implementation

**FINANCE**  
Financial Management and Systems Control

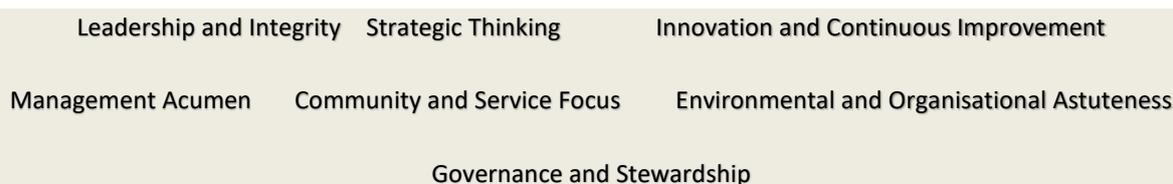
**PEOPLE**  
Human Resource Planning, Management, and Development.

**CUSTOMER**  
Service Delivery

Competency in financial management as outlined in the stipulated functions of CEO "(a) devise and implement financial and management plans for his Ministry, in accordance with Government planning and budget process, and monitor the Ministry's financial and administrative performance" are outlined in **Annex 1**.

Competency in Management of human resources and other areas are also outlined in **Annex 2** and listed in CEO contracts.

Other areas that are specifically spelled out are listed in the box.



## Key aspect of the CEO Performance Review

In line with the substantive aspects of CEOs Contracts, the performance review will consider the following areas:

1. Performance Agreement achievement, or Ministry Annual Plan achievement, or Achievement of Ministry priorities as directed (which ever may be most suitable in your particular case) based on agreed core competencies and result areas;
2. Competent exercise of statutory powers and applicable regulations;
3. Adherence with the Public Service Code of Conduct.
4. Adherence with government regulations and policies to do with financial and procurement and HR policies

## Responsibilities

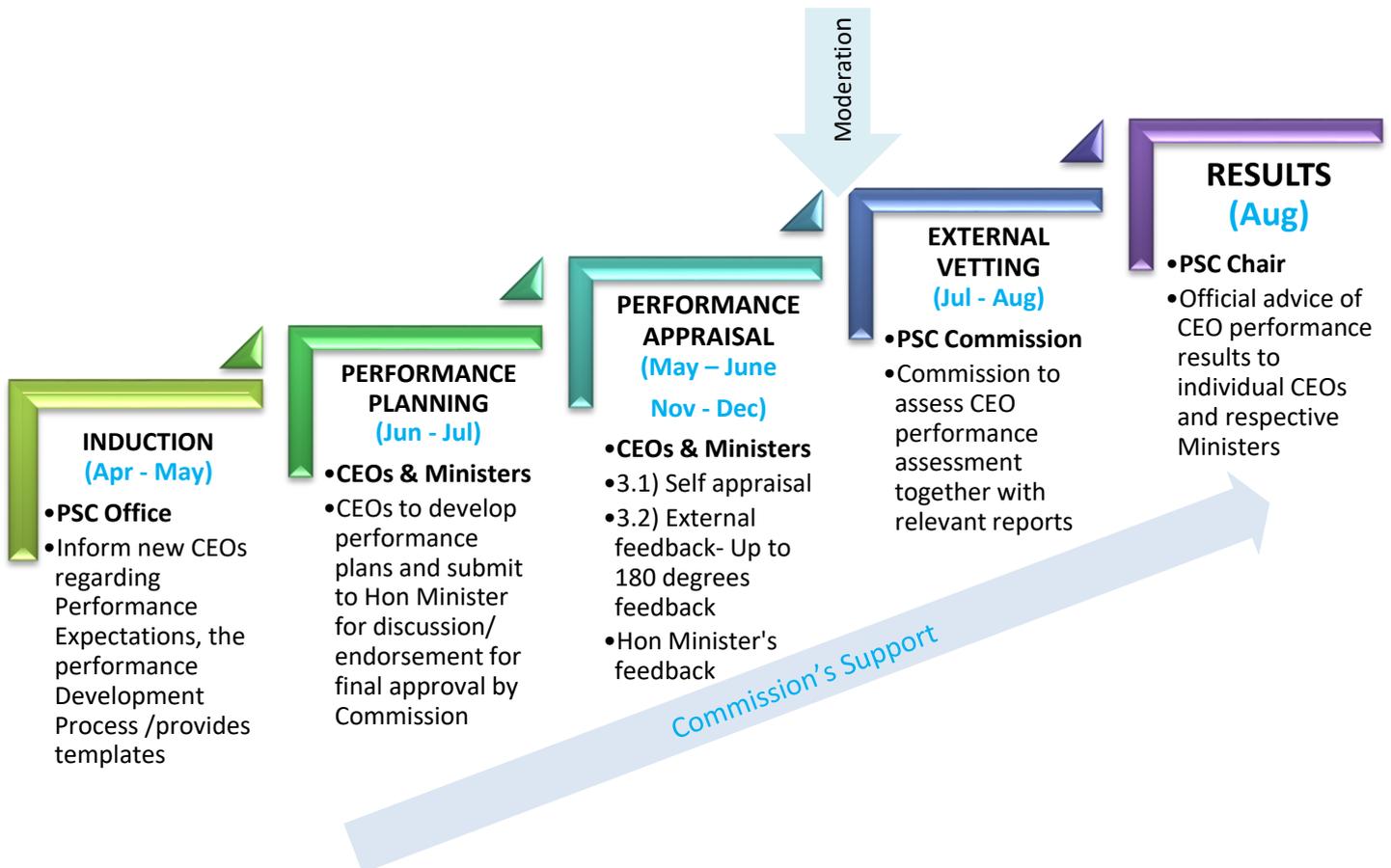
**Table 5: Responsibilities for Performance Review of CEOs**

Responsibility	
<b>CEO</b>	Pursuant to Schedule D of the CEO Contract, CEOs are required to undergo a performance review as part of their performance agreement. This includes providing their own assessment on performance against objectives on a periodic and annual basis, linked to the achievement of the Ministry's Annual Management Plan's outputs. If this has been completed, it will form part of the relevant Minister's consideration of performance. The CEO should ensure the necessary information is received by the relevant Minister in due course.
<b>Minister</b>	The performance review exercise is structured to enable the Hon. Minister's overall assessment of CEO performance in the above mentioned areas using documented evidence already held by the Ministry subject to finalization by the PSC. Specific to performance against objectives, this will either focus on achievement of the CEO's Performance Agreement and/or the Ministry's Annual Management Plan whilst recognizing any unplanned events in the review period, with the other aspects (2&3 above) contributing to a holistic assessment.
<b>Public Service Commissioners</b>	<p>Commissioners are responsible for the recruitment, employment, performance and reward of CEOs. Their role is to monitor and review their performance over specified timeframes.</p> <p>The role of the Public Service Commission is to firstly ensure procedural transparency through the provision of the performance review guidelines;</p> <ul style="list-style-type: none"> <li>○ to ensure that review outcomes are able to be substantiated;</li> <li>○ that the review process considers a holistic assessment of performance;</li> <li>○ that the responsible Minister's view is incorporated; and</li> <li>○ the review outcome considers implication to the individual CEO and expectations of the Ministry.</li> </ul> <p>Secondly, the Commission is to ensure that the contractual obligations of ensuring satisfactory performance as a prerequisite to payout of gratuity entitlement is determined and that the renewal process is achieved within the contractual timeframe.</p> <p>Thirdly, the Commission is also able to provide its own view on the CEO's performance in a public administration capacity (policy and operational) given its interaction with the CEO and the Ministry.</p>
<b>All three groups</b>	Coach, mentor, lead and address civil service staff performance

## CEO REVIEW APPRAISAL Process

This guide provides a process on the performance review of Chief Executive Officers outlined in Figure 10 and Table 5.

Figure 10: CEO Review Process



The CEO Review Appraisal Process follows the same appraisal process conducted for all other employees in the Public Service as outlined under 1.4 – Component 5 (Review Appraisal Process). This includes the establishment of a Moderation Team at the CEO Level consisting of a Central Agency representative, Private Sector representative or Statutory Board member and a Minister of Cabinet.

Moderation for CEO performance appraisals will be undertaken before they are sent to the Public Service Commission Chair and Commissioners.

## **ANNEXES**

### Annex 1: Mandatory RESULTS for Financial Management – sample

	<b>Behaviours that indicate less than Fully Effective performance:</b>	<b>Behaviours expected (of Managers, Section Heads, Supervisors, Programme Managers and Executives) at the Fully Effective level</b>	<b>Behaviours that exceed Fully Effective performance:</b>	<b>What are some key questions to ask about this capability?</b>
Financial knowhow	<ul style="list-style-type: none"> <li>&gt; Inconsistency in financial supervision</li> <li>&gt; Some non-compliance with operating budget</li> <li>&gt; Some non-compliance with development budget</li> <li>&gt; Some non-compliance with staff expenses</li> <li>&gt; Lack of measures to improve cost efficiencies</li> <li>&gt; Management reporting often late and not according to requirement</li> <li>&gt; Shortfalls in operating budget</li> <li>&gt; Some negative impact on shortfalls</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Full compliance with approved operating budget, development budget, staff expenses</li> <li>&gt; Measures in place to improve cost efficiencies</li> <li>&gt; Consistent and timely financial reporting</li> <li>&gt; Adherence to financial and procurement policies</li> <li>&gt; Strong financial monitoring</li> <li>&gt; Tools in place for monitoring expenses</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Leads and initiates cost savings initiative</li> <li>&gt; High rated compliance in all budgets and expenses</li> <li>&gt; Long term savings and proactive efficiency measures</li> <li>&gt; Contributes to national financial development</li> <li>&gt; Attracts increased development funding and resources beyond targets</li> </ul>	

### Annex 2: Mandatory RESULTS for HR Management

	<b>Behaviours that indicate less than Fully Effective performance:</b>	<b>Behaviours expected (of Managers, Section Heads, Supervisors, Programme Managers and Executives) at the Fully Effective level</b>	<b>Behaviours that exceed Fully Effective performance:</b>	<b>What are some key questions to ask about this capability?</b>
Management knowhow	<ul style="list-style-type: none"> <li>&gt; Lacks direction or is vague and indecisive when supervising staff</li> <li>&gt; Communicates poorly, causing uncertainty and re-work</li> <li>&gt; Fails to recognise and/or resolve issues with staff</li> <li>&gt; Is not approachable or available to staff</li> <li>&gt; Does not help staff develop</li> <li>&gt; Avoids addressing issues of sub-standard work or poor performance</li> <li>&gt; Is not vigilant on health and safety issues and takes short-cuts</li> <li>&gt; Lacks commitment to corporate initiatives including the performance development system</li> <li>&gt; Fails to manage other resources e.g. equipment or the budget efficiently</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Manages resources effectively and efficiently</li> <li>&gt; Ensures corporate requirements are met individually and as a team,</li> <li>&gt; Manages staff performance and ensures consistency.</li> <li>&gt; Conducts fair, consistent, timely performance planning and review meetings and encourages open communication to discuss performance.</li> <li>&gt; Actively schedules time to help staff develop and be the best they can</li> <li>&gt; Creates an environment which encourages the resolution of performance issues</li> </ul>	<ul style="list-style-type: none"> <li>&gt; Leads and inspires the team to consistently achieve outstanding results individually and as a team</li> <li>&gt; Models a flexible, effective management style that is obvious to others outside of the team</li> <li>&gt; Is a credible coach by modelling effective techniques and being open to learning themselves</li> <li>&gt; Receives consistently excellent feedback from staff on management qualities and behaviours</li> </ul>	

### Annex 3 - Core Behavioral competencies for ALL employees - sample

CORE BEHAVIOURAL COMPETENCIES - for all civil servants			
Competency	Examples of behaviours that indicate LESS THAN Fully Effective performance:	Examples of behaviours expected at the FULLY EFFECTIVE level: Benchmark	Examples of behaviours that EXCEED the Fully Effective level:
Change and Innovation	<ul style="list-style-type: none"> <li>➤ Tends to focus on the perceived negative consequences of the change rather than take a balanced view</li> <li>➤ Acts in passive-aggressive way by e.g. distancing himself/herself from the change</li> <li>➤ Acts in a way which undermines the organisation's values e.g. being negative about the organisation</li> </ul>	<ul style="list-style-type: none"> <li>➤ Stays informed and actively contributes to change initiatives</li> <li>➤ Looks for ways to demonstrate innovation and initiative in work area</li> <li>➤ Anticipates emerging issues and looks for ways to improve work practices.</li> <li>➤ Takes a big-picture view of change and models a positive, constructive approach to managing it</li> <li>➤ Focuses on benefits and ways of overcoming obstacles</li> </ul>	<ul style="list-style-type: none"> <li>➤ Continuously looks for ways to improve on established methods and increase organisational performance i.e. models continuous improvement in the workplace</li> <li>➤ Actively helps to create and shape solutions and willingly takes the lead in this process</li> <li>➤ Takes on the role as change champion and assists others where possible</li> </ul>
Interpersonal Skills	<ul style="list-style-type: none"> <li>➤ Declines or neglects to share information with others when appropriate to do so</li> <li>➤ Refuses or neglects to listen to the views of others, or declines to engage in discussion with them</li> <li>➤ Creates or fails to resolve conflict with others</li> <li>➤ Fails to engage positively with program stakeholders or host country representatives as required.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Actively shares information with appropriate people and checks for understanding where necessary</li> <li>➤ Presents clear, courteous and concise oral and written communications.</li> <li>➤ Engages positively and persuasively with program stakeholders as appropriate.</li> <li>➤ Develops rapport with people at all levels inside and outside the organisation to further the goals of the organisation.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Models the use of mature, effective strategies to present or confront complex issues in a dynamic, understandable and persuasive way and stands out in the team for this</li> <li>➤ Manages or diffuses conflict with difficult people, or in challenging relationships, or in varied cultural circumstances by using effective strategies</li> </ul>
Integrity / Accountability	<ul style="list-style-type: none"> <li>➤ Lacks commitment toward achieving organisation output</li> <li>➤ Continuously Discloses confidential information</li> <li>➤ Regularly demonstrates dishonesty and unreliability</li> <li>➤ Intentionally overlooks problems and ignores issues</li> <li>➤ Overshares responsibility and does not follow up on the progress</li> </ul>	<ul style="list-style-type: none"> <li>➤ Seeks to achieve results which are in the best interest of the organisation</li> <li>➤ Uses honesty and appropriate disclosure with customers, employees, and management.</li> <li>➤ Accepts responsibility and acknowledges problems or mistakes and commits to necessary corrective action.</li> <li>➤ Taking personal accountability for all aspects of their work and self-managing to improve their own and team performance</li> </ul>	<ul style="list-style-type: none"> <li>➤ Always exceeds commitment to others by delivering high quality work early;</li> <li>➤ Generate enthusiasm amongst team members for accomplishing shared goals that elevates the team and ensures the organization's success;</li> <li>➤ Presents oneself as a polished professional who exemplifies success and credibility and inspires others to be more professional</li> </ul>

Results Orientation	<ul style="list-style-type: none"> <li>➤ Responds negatively or cynically to ideas and suggestions from other team members</li> <li>➤ Undermines team members by e.g. being cynical, unhelpful or disruptive, or by not delivering on own commitments</li> <li>➤ Tends to react in ways which are defensive, abrasive or unhelpful</li> </ul>	<ul style="list-style-type: none"> <li>➤ Delivers high quality results on time.</li> <li>➤ Overcomes roadblocks/setbacks to deliver results.</li> <li>➤ Identifies problems early and takes appropriate action.</li> <li>➤ Thinks outside of the box to achieve the best results for an internal/external customer.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Produces outstanding results beyond what is expected</li> <li>➤ Demonstrates an excellent understanding of team dynamics and actively encourages participation, open-mindedness and respect for the contributions of others</li> <li>➤ Models a high degree of energy, commitment and enthusiasm within the team</li> <li>➤ Consistently models the theme of “many partners, one team”</li> </ul>
Teamwork and Collaboration -	<ul style="list-style-type: none"> <li>➤ Unable to build rapport with colleagues</li> <li>➤ Cannot successfully relate to others</li> <li>➤ Generates a sense of non-cooperation and non-compliance within the team</li> <li>➤ Unwillingness to participate in team effort</li> <li>➤ Addresses issues on an individualist approach whilst ignoring other peers feedback</li> <li>➤ Ineffective collaboration with colleagues</li> </ul>	<ul style="list-style-type: none"> <li>➤ Demonstrates ability to get along with others/is respectful of co-workers and promotes teamwork.</li> <li>➤ Takes the initiative to make things better and seeks out/accepts new or additional responsibilities readily.</li> <li>➤ Is open with other team members about his/her concerns</li> <li>➤ Actively shares information with appropriate people and checks for understanding where required.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Cooperates to meet team and organization goals even at the expense of personal preferences;</li> <li>➤ Resolves complex team issues by achieving common understanding on diverging interests</li> <li>➤ Always reinforces and gives credit to team members for their contributions;</li> <li>➤ Recognizes the need for flexibility and sensitivity in dealing with cross-cultural issues</li> </ul>
Customer Focus (internal and external)	<ul style="list-style-type: none"> <li>➤ Inactive and inefficient when dealing with customers</li> <li>➤ Fails to deliver on promise towards customer</li> <li>➤ Receives numerous complaints about service delivery</li> </ul>	<ul style="list-style-type: none"> <li>➤ Takes personal responsibility for ensuring any issues raised by customers are responded to promptly;</li> <li>➤ Accepts responsibility for mistakes, apologizes and makes suitable and timely amends.</li> <li>➤ Treats all clients with respect and cultural awareness</li> </ul>	<ul style="list-style-type: none"> <li>➤ Continuously works to remove barriers that get in the way of giving clients and stakeholders topnotch services;</li> <li>➤ Makes oneself or an alternate accessible and available to customers at all times;</li> <li>➤ Presents a positive manner with customers and at the same time communicates with and keeps customers up to date and informed;</li> <li>➤ Investigates and analyses clients’ behaviours to anticipate future needs and prepares accordingly thus improving quality service delivery and exceeding customer satisfaction expectations.</li> </ul>
Self Confidence and Assertiveness	<ul style="list-style-type: none"> <li>➤ Practices Unassertive communication across all level</li> <li>➤ Fails to demonstrate assertiveness to correct mistakes</li> <li>➤ React poorly and usually offended by others feedback</li> </ul>	<ul style="list-style-type: none"> <li>➤ Displays confidence in interacting with people at all levels of responsibility, and in all parts of the organization.</li> <li>➤ Deals constructively with failures and mistakes and addresses conflict directly to resolve issues in a timely fashion.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Knows where the line is between assertiveness and aggression and balances it out to deliver quality outputs;</li> <li>➤ Has faith in ones own ideas and capability to be successful with a willingness to take an independent position in the face of opposition;</li> <li>➤ Approaches challenging tasks with a ‘can do’ attitude.</li> </ul>

Building individual capacity	<ul style="list-style-type: none"> <li>➤ Does not take responsibility for personal development, or for mistakes made or problems created.</li> <li>➤ Responds negatively or defensively to constructive or developmental feedback from others</li> <li>➤ Shows little interest in developing knowledge or skill</li> </ul>	<ul style="list-style-type: none"> <li>➤ Seeks to continue developing new skills to adapt to a changing environment and for personal/professional growth</li> </ul>	<ul style="list-style-type: none"> <li>➤ Provides informal coaching and mentoring to expand the knowledge and skill base of colleagues</li> <li>➤ Is an example to their colleagues by demonstrating ongoing personal growth</li> <li>➤ Is an acknowledged leader in their field and consistently looks for ways to keep growing skills and knowledge-base.</li> </ul>
Supports the Organizations Enabling Theme, Outputs and Outcomes	<ul style="list-style-type: none"> <li>➤ Shows lack of support and interest in the work of the organisation and team</li> <li>➤ Resists or make no attempt to promote unity and new initiatives</li> <li>➤ Does not contribute to work and social activities</li> </ul>	<ul style="list-style-type: none"> <li>➤ Inspires dedication to the organization's shared outputs and values through his/her own visible actions.</li> <li>➤ Shows enthusiasm for organizational initiatives, policies and procedures and helps others accept any changes and remain effective.</li> <li>➤ Embraces and adapts to changing work environment</li> </ul>	<ul style="list-style-type: none"> <li>➤ Champions the Organization's Enabling Theme, Outcomes and Outputs;</li> <li>➤ Ensures that everyone in the organization understands and identifies with the Organization's Strategic Direction through alignment of individual roles with the Enabling Theme, Outcomes and Outputs;</li> <li>➤ Recognizes and rewards employees whose actions support the organization's vision and values</li> </ul>
Judgment	<ul style="list-style-type: none"> <li>➤ Demonstrates insufficient knowledge or judgement when addressing problems leaving them partially resolved or unresolved</li> <li>➤ Fails to acknowledge or learn from mistakes</li> <li>➤ Fails to deal with issues in good time, or does not seek assistance to deal with the issue.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Approaches a task/problem in a sensible way; gives sound advice and seek assistance if necessary.</li> <li>➤ Addresses issues early before they escalate and gets them resolved efficiently with minimum fuss</li> </ul>	<ul style="list-style-type: none"> <li>➤ Consistently models outstanding problem solving skills and takes decisions which are well thought through and communicated;</li> <li>➤ Includes others in the decision making process as required in order to obtain good information, make the most appropriate decisions and ensures understanding and buy-in;</li> <li>➤ Formulates clear decision criteria, evaluates options by considering consequences and chooses an effective option in a timely and coherent manner.</li> </ul>
Promotion of equity and equality	<ul style="list-style-type: none"> <li>➤ Fails to treat people equally or fairly</li> <li>➤ Excludes, ignores or disrespects others and/or their viewpoints, needs, preferences, cultural values or work practices</li> <li>➤ Behaves or communicates (verbally or nonverbally) in an inappropriate, disrespectful or insensitive way with regards to gender or other differences</li> </ul>	<ul style="list-style-type: none"> <li>➤ Actively promotes equity (relating to distribution) and equality (relating to non-discrimination) in relation to gender, culture, disability and other differences.</li> <li>➤ Demonstrates an interest in, and seeks opportunities to learn about others, e.g. Pacific island cultures.</li> </ul>	<ul style="list-style-type: none"> <li>➤ Models a high level of respect for diverse viewpoints and approaches, is inclusive and seeks participation (as appropriate)</li> <li>➤ Models consistently inclusive language in oral and written communication</li> </ul>
Management/Supervision(where applicable)	<ul style="list-style-type: none"> <li>➤ Poor management of resources</li> <li>➤ Poor management of staff</li> <li>➤ Staff not well disciplined</li> </ul>	<ul style="list-style-type: none"> <li>➤ Manages resources effectively and efficiently, ensures effective and improved staff performance</li> </ul>	<ul style="list-style-type: none"> <li>➤ Displays a high level of management efficiency in terms of work organization, work results, staff inputs and staff morale</li> <li>➤ Perceived as an excellent manager by staff</li> </ul>
Leadership (where applicable)	<ul style="list-style-type: none"> <li>➤ Presents vague objectives with inconsistency in decision making</li> <li>➤ Cannot take constructive criticism and reacts negatively to any feedback</li> <li>➤ Lack of management skills and experience</li> </ul>	<ul style="list-style-type: none"> <li>➤ Develops and communicates vision and translates these into clear objectives.</li> <li>➤ Builds and sustains a motivated team</li> <li>➤ Leads by example</li> <li>➤ Inspires a shared commitment</li> <li>➤ Articulates a clear vision for the future</li> <li>➤ Considers the 'big picture' and longer term imperatives</li> <li>➤ Empowers others to take responsibility through a deep sense of commitment and ownership</li> </ul>	<ul style="list-style-type: none"> <li>➤ Translates and communicates the strategic direction including the vision, mission and values into effective strategies;</li> <li>➤ Proactively positions the organization to deal with emerging and long term trends, issues and opportunities.</li> <li>➤ Supports a variety of learning and training opportunities to enhance the performance of employees;</li> <li>➤ Provides inputs to help set and execute goals for the organization to work towards to continuously exceed expectations.</li> </ul>

## Annex 4: Professional Development Planning and Appraisal template (PMS form)

**TONGA PUBLIC SERVICE**  
(NGAUE FAKAPULE'ANGA TONGA)  
**PERFORMANCE PLANNING AND APPRAISAL FORM – BAND F to S**  
(Foomu ki hono fokotu'utu'u mo sivi'i 'o e tu'unga fakahoko fatongia – levolo F to S)

Name of Ministry (HINGOA 'O E POTUNGAUE)					
<b>SECTION 1: EMPLOYEE DETAILS</b> (KONGA 1: Fakaikiiki 'o e Taha-Ngaue)				PF Number (Fika 'o e Faile fakafo'ituitui)	
Employee Name & Post (Hingoa 'o e tokotaha ngaue)			Supervisor's Name & Post (Hingoa & Lakanga 'o e Taki ngaue)		
Date appointed/promoted to current post (Aho ne fakanoho/hiki hake ki he lakanga lolotonga)			Length of time you have supervised the employee (Vaha'a taimi kuo ke tokangaekina ai 'a e tokotaha ngaue)		
Evaluation Period (Vaha'a taimi sivi ngaue)			Department/Division (Va'a Ngaue)		
<b>SECTION 2: MINISTRY'S STRATEGIC DIRECTION (as per the Corporate Plan) – refer to CP Results Map</b> (KONGA 2: Ngaahi Fokotu'utu'u/Taumu'a Ngaue Fakalukufua 'a e Potungau (To'o Mei he Palani Fakata'u Tolu)					
<b>DIRECT CONTRIBUTION TO ORGANIZATIONAL OUTCOME – For CEOs and HOD's Only</b>					
<input type="checkbox"/>					
<b>DIRECT CONTRIBUTION TO ANNUAL MANAGEMENT PLAN (AMP)</b>					
Sub Output 1: <input type="checkbox"/>	Sub Output 2: <input type="checkbox"/>	Sub Output 3: <input type="checkbox"/>	Sub Output 4: <input type="checkbox"/>	Sub Output 5: <input type="checkbox"/>	Sub Output 6: <input type="checkbox"/>
<b>IN-DIRECT CONTRIBUTION TO ANNUAL MANAGEMENT PLAN (AMP):</b>					
Sub Output 1: <input type="checkbox"/>	Sub Output 2: <input type="checkbox"/>	Sub Output 3: <input type="checkbox"/>	Sub Output 4: <input type="checkbox"/>	Sub Output 5: <input type="checkbox"/>	Sub Output 6: <input type="checkbox"/>
<b>Note: Details of direct contribution are Annexed to this Form</b>					
<b>SECTION 3: KEY PERFORMANCE OUTPUTS</b> (KONGA 3: Ngaahi Tefito'i Ola mei he Fakahoko Ngaue) List your key outputs and performance indicators as prescribed in your Job Description (JD). (Ngaahi tefito'i taumu'a ngaue pea mo hono ngaahi tefito'i me'afua 'a ia 'oku hā 'i ho'o Tohi Fakamatala Ngaue.)					

**SECTION 3.1: Job Performance** Columns **A to B** must be filled in at the beginning of the assessment period and Columns **C&D** to be completed at the end of the assessment period. (Konga 3.1: Fakahoko Ngaue 'o e Ngaahi Fatongia) – (Ko e kolomu **A ki he B** kuo pau ke fakafonu ia 'i he kamata'anga 'o e vaha'a taimi sivi ngaue pea ko e kolomu **C&D** ke fakafonu ia 'i he ngata'anga 'o e vaha'a taimi sivi ngaue.)

A	B	C Rating/Fakamaaka (Fill at the end of the assessment period) (Fakafonu 'i he ngata'anga 'o e vaha'a taimi sivi ngaue)			D
Individual Outputs/Tasks (Ngaahi taumu'a ngaue / fatongia fakafa'ituitui)	Performance Indicator (Ngaahi me'afua 'o e fakahoko ngaue)	Employee (Fakamaaka 'ae tokotaha ngaue)	Supervisor (Fakamaaka 'ae Taki ngaue)	Joint (Fakamaaka felotoi)	Joint Remarks (Ngaahi tanaki makehe hili 'a e felotoi)
<b>DIRECT CONTRIBUTION</b>					
<input type="checkbox"/>	<input type="checkbox"/>				
<input type="checkbox"/>	<input type="checkbox"/>				
<input type="checkbox"/>	<input type="checkbox"/>				
<input type="checkbox"/>	<input type="checkbox"/>				
<b>IN-DIRECT CONTRIBUTION</b>					
1.	<input type="checkbox"/>				
2.	<input type="checkbox"/>				
3.	<input type="checkbox"/>				
4.	<input type="checkbox"/>				
5.	<input type="checkbox"/>				
6.	<input type="checkbox"/>				
7.	<input type="checkbox"/>				
<b>Total Average Score</b> (Avalisi Fakalukufua 'o e Maaka)					

<b>Performance Rating Description</b> (Fakaikiiki 'o e ngaahi maaka ki he fakahoko ngaue)				
<b>1</b> NOT ACHIEVED UNACCEPTABLE / NOT ACHIEVED – 'IKAI FAKAFIEMALIE / 'IKAI A'USIA	<b>2</b> NEEDS IMPROVEMENT / NOT ACHIEVED FIEMA'U E FAKALAKALAKA / 'IKAI A'USIA	<b>3</b> FULLY EFFECTIVE / MEETS PERFORMANCE EXPECTATIONS A'USIA KAKATO E TAUMU'A NGAUE	<b>4</b> EXCEEDS PERFORMANCE EXPECTATIONS / A'USIA KAKATO E TAUMU'A NGAUE PEA MAHULU ATU	<b>5</b> EXCEPTIONAL / OUTSTANDING NGAUE TU'UKIMU'A

**SECTION 3.2: Behavioral Attributes/Competencies (as per Performance Development Framework)**  
(Konga 3.2: Ngaahi 'Ulungaanga Fakafa'ituitui/Malohinga Fakangaue - 'a ia 'oku hā 'i ho'o Tohi Fakamatala Ngaue)  
Columns **A&B** must be filled in at the beginning of the assessment period and Columns **C&D** to be completed at the end of the assessment period. (Ko e kolomu **A moe B** ke fakafonu ia i he kamata'anga 'o e vaha'a taimi sivi ngaue pea ko e kolomu **C moe D** ke fakafonu ia 'i he ngata'anga 'o e vaha'a taimi sivi ngaue)

A	B	C Rating/Fakamaaka (Fill at the end of the assessment period)			D

		(Fakafonu 'i he ngata'anga 'o e vaha'a taimi sivi ngaue)			
<b>Behavioral Competencies (Ulungaanga)</b>	<b>Standards (Tukungatotonu)</b>	<b>Employee (Fakamaaka 'ae tokotaha ngaue)</b>	<b>Supervisor (Fakamaaka 'ae Taki ngaue)</b>	<b>Joint (Fakamaaka felotoi)</b>	<b>Joint Remarks (Ngaahi tanaki makehe hili 'a e felotoi)</b>
1. Change and Innovation	<ul style="list-style-type: none"> <li>o Stays informed and actively contributes to change initiatives</li> <li>o Looks for ways to demonstrate innovation and initiative in work area</li> <li>o Anticipates emerging issues and looks for ways to improve work practices.</li> <li>o Takes a big-picture view of change and models a positive, constructive approach to managing it</li> <li>o Focuses on benefits and ways of overcoming obstacles</li> </ul>				
2. Interpersonal Skills / Teamwork / Collaboration	<ul style="list-style-type: none"> <li>o Actively shares information with appropriate people and checks for understanding where necessary</li> <li>o Presents clear, courteous and concise oral and written communications.</li> <li>o Engages positively and persuasively with program stakeholders as appropriate.</li> <li>o Develops rapport with people at all levels inside and outside the organisation to further the goals of the organisation.</li> <li>o Takes the initiative to make things better and seeks out/accepts new or additional responsibilities readily.</li> <li>o Is open with other team members about his/her concerns</li> </ul>				
3. Integrity / Accountability / Results Orientation	<ul style="list-style-type: none"> <li>o Seeks to achieve high quality results which are in the best interest of the organisation</li> <li>o Uses honesty and appropriate disclosure with customers, employees, and management.</li> <li>o Accepts responsibility and acknowledges problems or mistakes and commits to necessary corrective action to deliver results.</li> <li>o Taking personal accountability for all aspects of their work and self-managing to improve their own and team performance</li> <li>o Thinks outside of the box to achieve the best results for an internal/external customer.</li> </ul>				

4. Customer Focus (internal and external)	<ul style="list-style-type: none"> <li>○ Takes personal responsibility for ensuring any issues raised by customers are responded to promptly;</li> <li>○ Accepts responsibility for mistakes, apologizes and makes suitable and timely amends.</li> <li>○ Treats all clients with respect and cultural awareness</li> </ul>				
5. Judgement	<ul style="list-style-type: none"> <li>○ Approaches a task/problem in a sensible way; gives sound advice and seek assistance if necessary.</li> <li>○ Addresses issues early before they escalate and gets them resolved efficiently with minimum fuss</li> </ul>				
6. Self Confidence and Assertiveness	<ul style="list-style-type: none"> <li>○ Displays confidence in interacting with people at all levels of responsibility, and in all parts of the organization.</li> <li>○ Deals constructively with failures and mistakes and addresses conflict directly to resolve issues in a timely fashion.</li> </ul>				
7. Supports the Organizations Enabling Theme, Outputs and Outcomes	<ul style="list-style-type: none"> <li>○ Inspires dedication to the organization's shared outputs and values through his/her own visible actions.</li> <li>○ Shows enthusiasm for organizational initiatives, policies and procedures and helps others accept any changes and remain effective.</li> <li>○ Embraces and adapts to changing work environment</li> </ul>				
8. Promotion of equity and equality	<ul style="list-style-type: none"> <li>○ Actively promotes equity (relating to distribution) and equality (relating to non-discrimination) in relation to gender, culture, disability and other differences.</li> </ul>				
9. Management / Supervision (for managers only)	<ul style="list-style-type: none"> <li>○ Manages resources effectively and efficiently, ensures effective and improved staff performance</li> </ul>				
10. Leadership (for managers only)	<ul style="list-style-type: none"> <li>○ Develops and communicates vision and translates these into clear objectives</li> <li>○ Builds and sustains a motivated team</li> <li>○ Leads by example</li> <li>○ Inspires a shared commitment</li> <li>○ Empowers others to take responsibility through a deep sense of commitment and ownership</li> </ul>				
<b>Total Average Score</b> ( <i>Avalisi Fakalukufua 'o e Maaka</i> )					
<b>Ratings/Points</b>					

<b>(Fakaikiiki 'o e ngaahi maaka)</b>				
<b>1</b> NOT ACHIEVED UNACCEPTABLE BEHAVIOUR – 'IKAI FAKAFIEMALIE E TUKUNGA FAKA- ULUNGAANGA	<b>2</b> NEEDS IMPROVEMENT / INCONSISTENT BEHAVIOUR FIEMA'U E FAKALAKALAKA FAKA- ULUNGAANGA	<b>3</b> FULLY EFFECTIVE / A'USIA KAKATO E TUKUNGA FAKA- ULUNGAANGA	<b>4</b> EXCEEDS PERFORMANCE EXPECTATIONS / A'USIA KAKATO E NGAAHI ULUNGAANGA FAKA- NGAUE PEA MAHULU ATU	<b>5</b> EXCEPTIONAL / OUTSTANDING ULUNGAANGA TU'UKIMU'A
<b>Signature: After agreeing on A&amp;B</b> <i>(Fakamo'oni: Hili 'a e felotoi 'i he konga A mo e B)</i>				
<p>.....</p> <p><b>Signed by Employee</b> <i>(Fakamo'oni 'a e Taha - ngaue)</i></p>		<p>.....</p> <p><b>Signed by Supervisor</b> <i>(Fakamo'oni 'a e Taki- ngaue)</i></p>		
<p>.....</p> <p><b>Date</b> <i>('Aho)</i></p>		<p>.....</p> <p><b>Date</b> <i>('Aho)</i></p>		
<b>SECTION 3.3: Overall Performance</b> <i>(Konga 3.3: Ola Fakalukufua 'o e Fakahoko Ngaue)</i>				
	<b>a</b> Total Average Joint Points from 3.1 <i>(Faka'avalisi fakakatoa 'o e Fakamaaka mei he konga 3.1)</i>			
	<b>b</b> Total Average Joint Points from 3.2 <i>(Faka'avalisi fakakatoa 'o e Fakamaaka mei he konga 3.2)</i>			
	<b>c</b> Total Overall Performance score (a + b)/2 <i>(Fakamaaka Fakalukufua (a+b)/2)</i>			
<b>SECTION 4: TRAINING AND DEVELOPMENT REQUIREMENTS</b> <i>(KONGA 4 : Ngaahi fiema'u ki he ako Ngaue mo e fakalalakala ngaue fakafu'ituitui)</i> During the performance assessment, the following areas or issues were identified as requiring attention for development. <i>(Lolotonga 'a e taimi sivi ngaue, ko e ngaahi tafa'aki eni na'e fakatokanga'i 'oku fiema'u ha fakalelei/fakalalakala ai)</i>				
<b>Issues/Areas for development</b> <i>(Ngaahi tafa'aki 'oku fiema'u ke fakahoko ai ha fakalalakala fakafu'ituitui)</i>	<b>The following action(s) will be taken in respect of each issues/areas</b> <i>(Ko e ngaahi ngaue 'e fakahoko 'o felave'i mo e ngaahi tafa'aki takitaha)</i>	<b>Time Frame</b> <i>(Loloa 'o e taimi)</i>		
1.				

2.		
----	--	--

**SECTION 5: COMMENTS AND RECOMMENDATIONS** *(KONGA 5: Ngaahi Tanaki mo e Fokotu'u)*

**5.1 Individual Comments** - Outline the actions taken by your supervisor that help you perform during the assessment period. What could they have done to be more supportive? **(Konga 5.1: Tanaki mei he Taha ngaue)** - *(Fakamatata ki ha ngaahi ngaue 'a ho'o taki ngaue na'e tokoni kiho'o fakahoko fatongia lolotonga 'a e taimi sivi ngaue. Ko e ha ha ngaahi ngaue na'a ne mei fakahoko ke toe tokoni'i aki koe mo ho'o ngaue oku fakahoko)*

.....  
**Signature**  
*(Fakamo'oni 'a e taha ngaue)*

.....  
**Date**  
*('Aho)*

**5.2 Supervisor's Comments** - Consider the person's performance over the assessment period. What are some of the highlights achieved? What difficulties did they encounter? What could the person have done to improve their performance? **(Konga 5.2: Ngaahi tanaki mei he Taki Ngaue)** - *(Fakakaukau ange ki he tu'unga fakahoko fatongia 'a e taha nague 'lolotonga 'a e taimi sivi ngaue. Koe ha ha ngaahi lavame'a 'oku totonu ke fakatokanga'i? Ko e ha ha ngaahi faingata'a fakangaue na'a ne fehangahangai mo ia? Ko e ha nai ha ngaue na'e mei fakahoko he taha ngaue ke toe fakalelei'i aki 'ene fakahoko fatongia?)*

.....  
**Signature**  
*(Fakamo'oni 'a e Taki Ngaue)*

.....  
**Date**  
*('Aho)*

**5.3 CEO's Comments** - Consider the person's performance over the assessment period. What are some of the highlights achieved? What difficulties did they encounter? What could the person have done to improve their performance? **(Konga 5.3: Ngaahi tanaki mei he 'Ofisa Pule Ngaue)** - *(Fakakaukau ange ki he fakahoko fatongia 'a e taha ngaue lolotonga 'a e taimi sivi'i 'o e ngaue. Ko e ha ha ngaahi lavame'a 'oku totonu ke fakatokanga'i? Ko e ha ha ngaahi faingata'a fakangaue na'a ne fehangahanaai mo ia? Ko e ha nai ha ngaue na'e mei fakahoko 'e he taha ngaue ke toe fakalelei'i aki 'ene fakahoko fatongia?)*

.....  
**Signature**  
*(Fakamo'oni 'a e 'Ofisa Pule Ngaue)*

.....  
**Date**  
*('Aho)*

### Annex 5: Core BEHAVIOURAL competencies for CEOs (in addition to Annex 3)

Core competencies (Behavioral ) set out in CEO contracts				
Competency	Examples of behaviours that indicate LESS THAN Fully Effective performance:	Examples of behaviours expected at the FULLY EFFECTIVE level:	Examples of behaviours that EXCEED the Fully Effective level:	What are some key questions to ask about this capability?
<p><b>1. Leadership and Integrity</b></p> <ul style="list-style-type: none"> <li>▪ <i>Leads, inspires, motivates and develops people</i></li> <li>▪ <i>Embodies and models public service values</i></li> <li>▪ <i>Engages in self-development</i></li> </ul>	<ul style="list-style-type: none"> <li>- Does not build concerns around the organisations vision and strategies</li> <li>- Does not keep managers and staff informed of long-term strategies so that operational goals are aligned with Divisions and individuals</li> <li>- Shows little passion and drive to move the organisation in the desired or necessary direction</li> <li>- Does not empower or inspire managers and staff to take ownership</li> <li>- Is not proactive and visionary on long-term issues, problems or opportunities</li> <li>- Avoids addressing issues of substandard work or poor performance with the manages or staff in question</li> <li>- Does little to motivate managers to incorporate vision, strategic planning, and elements of quality management in the full range of the organisation’s activities.</li> <li>- Does not adequately translate organisational goals into team goals</li> <li>- Actions are inconsistent with words (does not model appropriate behaviours and does not follow through)</li> </ul>	<ul style="list-style-type: none"> <li>- Actively seeks to optimise the value of diversity in the workplace</li> <li>- Is accountable for decision making</li> <li>- Challenges and is prepared to be challenged constructively</li> <li>- Delegates authority and responsibility</li> <li>- Demonstrates a commitment to their own personal development by seeking new learning activities and opportunities, engaging in critical reflection and looking to others at all levels for feedback</li> <li>- Demonstrates honesty, integrity, probity, public service professionalism and expertise</li> <li>- Inspires a sense of purpose and direction</li> <li>- Inspires trust and respect from staff and peers</li> <li>- Intervenes effectively to tackle poor performance or inappropriate behaviour</li> <li>- Involves and empowers people</li> <li>- Praises achievements and celebrates success</li> <li>- Provide appropriate mentoring and guidance to develop employees</li> <li>- Tackles difficult decisions and takes measured risks</li> </ul>	<ul style="list-style-type: none"> <li>- Goes out of way to lead, inspire, motivate and develop Staff to achieve determined objectives</li> <li>- Thorough understanding of the values, principles and standards of ethical behaviour within the Public Service and model, apply and uphold them at all times</li> <li>- Shows exceeding knowledge and deep sense of commitment to personal development both for self and others</li> <li>- Demonstrates a dynamic, inspirational leadership style – role model for engaging and enthusing teams about excellence</li> <li>- Take difficult decisions and measured risk with high sense of responsibility and preparation.</li> </ul>	<p><b>Do I:</b></p> <ul style="list-style-type: none"> <li>- accept reasonable exposure to risk or uncertainty;</li> <li>- delegate interesting or challenging work;</li> <li>- embrace new management methods;</li> <li>- function as a role model, adopting an authoritative and not authoritarian approach;</li> <li>- have a flexible management style;</li> <li>- maintain an awareness of factors (both personal and work related) impacting on my staff and respond to these in a caring manner;</li> <li>- participate in own or others learning activities;</li> <li>- seek to empower my staff;</li> <li>- share credit for ideas and successes or take responsibility for errors;</li> <li>- Welcome views which oppose or challenge mine?</li> </ul>

<p><b>2. Strategic Thinking</b></p> <ul style="list-style-type: none"> <li>▪ Provides and articulates vision and strategic direction</li> <li>▪ Shapes strategic thinking, planning and partnering</li> <li>▪ Generates and reviews policy and gives sound advice</li> </ul>	<ul style="list-style-type: none"> <li>- Lacks understanding of the organizational goals, priorities and strategies and how they relate to stakeholders;</li> <li>- Rarely solicits input or help from subordinates resulting in a lack of understanding throughout the organization on the alignment of individual roles with the vision, mission and strategic direction;</li> <li>- Fails to develop workable programs or services which are reflective of government's directions and stakeholders' needs;</li> <li>- Unable to develop or implement strategies to advance organization priorities.</li> </ul>	<ul style="list-style-type: none"> <li>- Demonstrated ability to provide and communicate strategic direction</li> <li>- Demonstrated capacity to shape strategic thinking, strategic planning and strategic partnering</li> <li>- Demonstrated understand of broader organizational and inter organizational goals and the ability to factor these into policy development</li> <li>- Proficiency in developing, implementing and reviewing policy and giving sound policy advice.</li> </ul>	<ul style="list-style-type: none"> <li>- Acts decisively in influencing and implementing strategies which contribute to achieving a best practice public sector.</li> <li>- Clearly enunciates and demonstrates commitment to future direction, with accompanying rationale for pursuing it</li> <li>- Develops, communicates and builds commitment to achieving an inspiring, relevant and understandable organisational vision</li> <li>- Ensures staff at all levels have an understanding of key organisational strategies and can see how their work contributes to higher level objectives <ul style="list-style-type: none"> <li>▪ Expresses ideas clearly, coherently, fluently, and articulately, both orally and in writing</li> <li>▪ Involves people in decision making</li> </ul> </li> </ul>	<p><b>Do I:</b></p> <ul style="list-style-type: none"> <li>- share my own view with others about the desirable future state of the organisation?</li> <li>- establish systems and frameworks which enable staff to make a genuine contribution?</li> <li>- articulate a vision and inspire others to achieve it?</li> <li>- set a clear sense of direction which staff can understand?</li> <li>- lead by example?</li> <li>- value and promote diversity and use it to enrich decision-making processes?</li> <li>- ensure that staff understand and are committed to the vision and strategic objectives, and their role in delivering it</li> <li>- balance detail with the broader perspective;</li> <li>- balance intellectual debate and action;</li> <li>- consider wider organisation interests;</li> <li>- initiate and encourage open communication;</li> <li>- manage risks pro-actively;</li> <li>- seek and take differing views on board at the outset?</li> </ul>
<p><b>3. Innovation and Continuous Improvement</b></p>	<ul style="list-style-type: none"> <li>- Cannot find alternative solutions to resolve problematic situations that arise;</li> <li>- Lack of foresight to ensure long-term sustainability of implemented projects/activities;</li> <li>- Fails to create or develop new improvements to organizational processes/procedures;</li> </ul>	<ul style="list-style-type: none"> <li>- Demonstrated capability to drive effective change management processes</li> <li>- Demonstrated commitment to continuous improvement and encouragement of innovation and new directions</li> <li>- Proficiency in application of performance measures and benchmarks and setting of performance management goals.</li> </ul>	<ul style="list-style-type: none"> <li>- Successfully co-ordinates and implements changes in management processes</li> <li>- Welcomes changes and encourages innovation in new directions (Adaptable to change)</li> <li>- Proactive in assessing performance and setting of benchmarks to achieve management goals.</li> </ul>	<p><b>Do I:</b></p> <ul style="list-style-type: none"> <li>- Recognize opportunities to implement new ideas;</li> <li>- Seek ongoing improvements to the organization;</li> <li>- Demonstrate commitment at all levels?</li> </ul>

<p><b>4. Management Acumen</b></p> <ul style="list-style-type: none"> <li>▪ <i>Manages resources strategically</i></li> <li>▪ <i>Delivers agreed results</i></li> <li>▪ <i>Builds organisational capacity</i></li> </ul>	<ul style="list-style-type: none"> <li>- Fails to secure learning opportunities to develop self and expand organizational intellectual capital;</li> <li>- Does not possess a keen awareness of the government operational environment to properly execute and deliver desired results;</li> <li>- Fails to leverage organization's resources to achieve strategic needs;</li> <li>- Fails to identify &amp; differentiate critical and non-critical activities to ensure appropriate adjustment of priorities.</li> </ul>	<ul style="list-style-type: none"> <li>- Demonstrated capacity to manage resources strategically and with probity</li> <li>- Demonstrated ability to identify and build the capacity necessary to achieve organizational goals and respond to environmental change</li> <li>- Proven ability to deploy financial, physical and human resources to deliver outputs</li> <li>- Demonstrated capacity to progress complex tasks, manage performance and continuously improve work practices to achieve results within time and budget constraints</li> </ul>	<ul style="list-style-type: none"> <li>- Is willing to accept change, think and act flexibly and adapt approaches to reflect changed circumstances</li> <li>- Demonstrates the capacity to anticipate and manage organisational change to achieve alignment between the business and the broader environment</li> <li>- Deploys the appropriate financial, physical and human resources required, and understands their capabilities and restrictions to address strategic needs</li> <li>- Directs the efforts of others towards the completion of plans and achievement of determined objectives</li> <li>- Implements corporate decisions with commitment and energy</li> <li>- Monitors and reviews progress and performance rigorously</li> <li>- Recognises the necessity to balance available resources against changing and competing demands, within the context of corporate plans and objectives</li> <li>- Translates broad corporate direction into planning and organisation in own area of responsibility and communicate this to staff</li> </ul>	<p><b>Do I:</b></p> <ul style="list-style-type: none"> <li>- balance the commitment to deliver with the impact on the team or self;</li> <li>- consider the impact of change;</li> <li>- ensure staff have appropriate resources and systems</li> <li>- set appropriate priorities having regard to available resources?</li> </ul>
<p><b>5. Community and Service Focus</b></p> <ul style="list-style-type: none"> <li>▪ <i>Builds and maintains key relationships</i></li> <li>▪ <i>Facilitates a responsive customer focus</i></li> <li>▪ <i>Collaborates for effective outcomes</i></li> </ul>	<ul style="list-style-type: none"> <li>- Fails to become the interface between internal operations and external stakeholders resulting in lack of proper strategies;</li> <li>- Fails to act appropriately or accurately to ensure key relationships with existing or potential customers are maintained;</li> <li>- Acts in isolation when making decisions that will affect key stakeholders;</li> <li>- Deviates from a customer service-oriented focus resulting in ineffective strategies which fail to complement the desired outcomes for external stakeholders.</li> </ul>	<p>5. Community and Service Focus</p> <ul style="list-style-type: none"> <li>- Demonstrated capacity to engage stakeholders and build and maintain key relationships</li> <li>- Demonstrated understanding of client needs and an ability to maintain and improve client service</li> <li>- Demonstrated ability to collaborate internally and externally to meet client needs.</li> </ul>	<ul style="list-style-type: none"> <li>- Achieves coherent outcomes</li> <li>- Demonstrates interpersonal versatility and manages sensitive interpersonal situations with diplomacy and tact</li> <li>- Develops and sustains positive and productive working relationships with internal and external clients</li> <li>- Effectively and ethically manages and develops customer relationships and perceptions to achieve mutual goals</li> <li>- Identifies and anticipates customer needs and delivers products and services to meet or exceed customer expectations</li> <li>- Identifies customers and builds a workforce to reflect the customer base</li> <li>- Identifies opportunities to improve delivery through partnership</li> </ul>	<p><b>Do I:</b></p> <ul style="list-style-type: none"> <li>- consider my customer base when developing services;</li> <li>- focus on key result areas to suit corporate rather than personal aims;</li> <li>- understand and communicate to others who customers are;</li> <li>- understand the needs of a diverse stakeholder group?</li> </ul>

			<ul style="list-style-type: none"> <li>- Strives to continuously improve individual and organisational performance and customer service</li> <li>- Supports staff to provide efficient customer service</li> </ul>	
<b>6. Environmental and Organizational Astuteness</b> <ul style="list-style-type: none"> <li>▪ <i>Creates an effective workplace</i></li> <li>▪ <i>Achieves balanced judgement in complex environments</i></li> <li>▪ <i>Demonstrate environmental and organisational insight</i></li> <li>▪ <i>Communicates effectively</i></li> </ul>	<ul style="list-style-type: none"> <li>- Does not commit to building a sense of common purpose across the organization;</li> <li>- Compromises the organizations interests in favour of own interests;</li> <li>- Neglects to build a conducive working environment which results in compromising the health, safety and value of employees;</li> <li>- Blatantly disregards government processes and frameworks in favour of their own which compromises the integrity of the Organization;</li> <li>- Makes rash decisions without considering external and internal organizational implications;</li> <li>- Inability to persuade and influence others on organizational values and goals.</li> </ul>	<b>6. Environmental and Organizational Astuteness</b> <ul style="list-style-type: none"> <li>- Explains, persuades, convinces and influences others effectively</li> <li>- Communicates on behalf of, and represent the department effectively</li> <li>- Displays political sensitivity and awareness</li> <li>- Identifies or generates solutions, evaluates options and exercises judgement to determine the most appropriate course of action</li> <li>- Provides a working environment which maximises the potential of people in respect to their health, safety, and the value of equity and diversity</li> <li>- Understands and works within Government processes and operational frameworks</li> <li>- Understands the impact of the external environment and internal organisational decision-making</li> <li>- Understands, values and incorporates different perspectives</li> </ul>	<ul style="list-style-type: none"> <li>- Develop an attitude that subordinates feel approachable</li> <li>- Efficient communication and representation of the department</li> <li>- Ability to exercise good judgement, generate suitable solutions for issues</li> <li>- Exercise political sensitivity and awareness</li> <li>- Take measures to ensure the work environment is safe and hazard free for all staff</li> <li>- Take measure to ensure that staff are valued and have equal employment opportunities taking into account their gender, social status, religion and ethnicity</li> <li>- Demonstrates an exceeding knowledge of government processes, operational framework and their external and internal implication</li> <li>- Demonstrates ability to accept and understand the different values and perspectives</li> </ul>	<b>Do I:</b> <ul style="list-style-type: none"> <li>- behave in a manner which is approachable and inclusive;</li> <li>- demonstrate commitment to equity and diversity and engage my staff in regular discussions;</li> <li>- encourage staff to take ownership of occupational health and safety while ensuring that work;</li> <li>- systems and practices do not compromise safety;</li> <li>- model desired behaviours;</li> <li>- understand and demonstrate the principles and practice of ethical behaviour?</li> </ul>
<b>7. Governance and stewardship</b> <ul style="list-style-type: none"> <li>▪ <i>Provides a corporate governance structure in keeping with principles and standard set out by the Public Service</i></li> <li>▪ <i>Demonstrates ethical behaviour</i></li> <li>▪ <i>Ensures that staff activities are subject to guidelines consistent with governance structures</i></li> </ul>	<ul style="list-style-type: none"> <li>- No proper or clear form of communication with the stakeholders;</li> <li>- Unable to set, enforce and exemplify the principles, standards and values of the Public Service;</li> <li>- Fails to promote transparency in accordance with government policies;</li> <li>- Lacks initiative and fails to demonstrate commitment to public service excellence.</li> </ul>	<ul style="list-style-type: none"> <li>- Displays a high level of initiative, effort, and commitment to public service</li> <li>- Encourages opinion and honesty in dealings with third parties</li> <li>- Ensures transparency of activities and relationships with stakeholders</li> <li>- Clarifies and publicise public service values, ensuring that staff understand the intent and is committed to their delivery</li> <li>- Ensures that review processes are in place which enable delivery of services to be constantly monitored against local and regional standards and principles of Corporate Governance</li> <li>- Identifies problems and ensures that effective plans for resolution are put in place</li> </ul>	<ul style="list-style-type: none"> <li>- Obtain outputs that reflects a high level of initiative and commitment towards public service improvement</li> <li>- Transparency and accountability in dealings with third parties and stakeholders</li> <li>- Consistent follow ups of review processes in place and assess its effectiveness with regards to the Corporate Plan</li> <li>- Effectively review and identify gaps and problems that may impact organisational procedures and results by applying necessary resolution</li> <li>- Enforce that the authority are allocated accordingly with regards to relevant designation across the organisation.</li> </ul>	<b>Do I:</b> <ul style="list-style-type: none"> <li>- establish and monitor policies directed to ensuring that the agency complies with the law and confirms with the highest standards of financial and ethical behaviour?</li> <li>- inspire better / more comprehensive performance management processes and measures with key managers?</li> <li>- actively promote a formal code of conduct, defining</li> </ul>

		<ul style="list-style-type: none"> <li>- Follows up to ensure that changes and agreed improvements are made</li> <li>- Establish clearly defined delegations of authority across the organisation</li> <li>- Ensures the satisfactory arrangements are in place for auditing the organisations financial affairs</li> </ul>	<p>Enforce a coherent and efficient arrangement for auditing and financial procedure of the organisation.</p>	<p>the standards of personal behaviour expected of all employees?</p> <ul style="list-style-type: none"> <li>- manage the agency's resources effectively?</li> <li>- ensure that the Senior Executive Team is provided with appropriate advice on all financial matters including fraud and risk management?</li> <li>- ensure that staff are not influenced by prejudice, bias or conflicts of interest?</li> </ul>
<p><b>8. Sectoral ...</b></p>	<p>Unclear and irrelevant outputs developed with no direct linkage to appropriate sectoral plans</p>	<p>Demonstrated output linked to organisational portfolio (e.g. Health or Education)</p>	<p>Clear Concise and fully achievable outputs developed clearly linking to appropriate sectoral plans</p>	<p>Do I:</p> <ul style="list-style-type: none"> <li>- understand what is required of the organization in order to meet the sectoral plan needs</li> <li>- have the resources to progress organization priorities in accordance with sectoral plan needs</li> </ul>

## Annex 6: Mandatory RESULTS for CEOS

This is a sample performance agreement template schedule B in CEOs contracts. It can be made more specific based on Key competencies related to CEO portfolio as outlined in Section 2 Major Accountabilities of CEOs Position Description.

Key Result Area	Objectives	Key Performance Indicators	Performance Measures/Targets
<b>POLICY</b> <b>1. Leadership, Policy Advice and Implementation</b>	1. Ensure that the operation of the Ministry is aligned to and consistent with the Government's national strategies and outcome objectives.	<ul style="list-style-type: none"> <li>Corporate Plan (CP) aligned to TSDf</li> <li>Budget outcomes linked directly to relevant TNSDF objectives</li> </ul>	<ul style="list-style-type: none"> <li>CP completed by due date</li> <li>Minimum 80% of Ministry CP 2015/16 objectives met</li> </ul>
	2. Establish and agree communication arrangements with the Minister.	<ul style="list-style-type: none"> <li>Regular meetings (scheduled and ad-hoc) in place and maintained</li> <li>Minister advised where consultation and coordination with other Ministries required.</li> <li>Briefings provided or arranged for all Ministerial meetings.</li> </ul>	<ul style="list-style-type: none"> <li>Effective working relationship in place and conducive to Ministry performance</li> <li>Minister well briefed on all policy matters</li> </ul>
	3. Provide high quality, timely and consistent policy advice and operational performance reports to the Minister & Commission.	<ul style="list-style-type: none"> <li>Clear understanding of Government's policies and objectives, ensuring coordination with other Ministries if required</li> <li>Provide regular progress against objectives</li> </ul>	<ul style="list-style-type: none"> <li>Ministry policy papers and Cabinet Submissions evidences compliance and consultation</li> <li>Quarterly written reports to the Minister and the Commission</li> </ul>
	4. Demonstrate an effective approach to whole of government policy coordination, monitor policy implementation and evaluate outcomes on a regular basis.	<ul style="list-style-type: none"> <li>Initiate coordination with other Ministries to achieve alignment of policy, processes and outcomes for whole of government objectives</li> <li>Policy impact regularly reviewed and remedial action taken</li> </ul>	<ul style="list-style-type: none"> <li>Policy effectiveness assessed against Ministry / Government objectives and performance outcomes at least 6 monthly</li> </ul>
<b>FINANCE</b> <b>2. Financial Management and Systems Control</b>	1. Ensure that effective financial management systems and controls are in place and observed.	<ul style="list-style-type: none"> <li>Systems and controls to ensure observance of Treasury Instructions pertaining to management of financial resources are in place.</li> <li>Responsible officers aware of financial management responsibilities.</li> </ul>	<ul style="list-style-type: none"> <li>All statutory reporting processes required under the Public Finance management Act are completed on time.</li> <li>Effective financial audit compliance achieved.</li> </ul>
	2. Ensure that expenditure & revenue remains within budget parameters.	<ul style="list-style-type: none"> <li>Monitor revenue collection levels on a monthly basis, initiating remedial action as required.</li> <li>Expenditure management complies with approved allocation, initiating remedial action as required.</li> </ul>	<ul style="list-style-type: none"> <li>Compliance with budget guidelines / parameters</li> <li>Revenue maximised through improved revenue compliance</li> <li>Expenditure within budget</li> </ul>
	3. Maximize the use of government resources and avoid wastage at all times.	<ul style="list-style-type: none"> <li>Annual review of all programs and activities to ensure continuing relevance.</li> <li>Use of Government assets (vehicles, computer equipment, etc.) by all Ministry staff observes Government policy.</li> </ul>	<ul style="list-style-type: none"> <li>Continual improvement evidenced in budget and operational performance</li> <li>Nil breaches / damage to government assets through negligence</li> </ul>
<b>PEOPLE</b> <b>3. Human Resource Planning, Management, and Development.</b>	1. Ensure that appropriate human resource management policies and processes, that will increase organizational and individual capability, are in place and are effective.	<ul style="list-style-type: none"> <li>All Ministry staff aware of Public Service Act and all relevant policy obligations, ensuring understanding and observance.</li> <li>Organizational structure and Staffing positions aligned to Ministry's mandate.</li> </ul>	<ul style="list-style-type: none"> <li>Suspected policy breaches addressed promptly and thoroughly observing due process.</li> <li>Staffing gaps addressed through efficiencies – critical technical / middle management positions increased incrementally / annually</li> </ul>

		<ul style="list-style-type: none"> <li>• Effective implementation of the Performance Management System including revision of Staff Job Descriptions.</li> </ul>	<ul style="list-style-type: none"> <li>• Staff performance assessed 6 &amp; 12 monthly – addressing nonperformance and recognizing good performance</li> </ul>
	2. Ensure that employees are provided with reasonable opportunities for personal and professional development.	<ul style="list-style-type: none"> <li>• Individual Staff Development Plan in place and jointly implemented between the employee and supervisor within available resources.</li> </ul>	<ul style="list-style-type: none"> <li>• Individual Staff Development Plans achieved as committed.</li> </ul>
<b>CUSTOMER</b> <b>4. Service Delivery</b>	1. Enhance public awareness and maintain understanding of the Ministry's policies, programs and services.	<ul style="list-style-type: none"> <li>• Develop, implement and maintain a proactive communication strategy aimed at ensuring that the general community develops an understanding of the Ministry's role and services provided.</li> </ul>	<ul style="list-style-type: none"> <li>• Customer complaints managed promptly and effectively</li> </ul>
	2. Improve the accessibility and standards of services on a continual basis.	<ul style="list-style-type: none"> <li>• Develop and maintain effective working relationships with all internal and external customers.</li> <li>• Design and implement policy and process enhancements to deliver Ministry services more effectively and efficiently.</li> </ul>	<ul style="list-style-type: none"> <li>• Ministries Service Standards published and monitored.</li> <li>• 95% of services delivered within defined standards.</li> <li>• Number of process improvements implemented per annum.</li> </ul>
	3. Demonstrate capacity to drive effective change management within the Ministry.	<ul style="list-style-type: none"> <li>• Regularly review progress of achieving objectives and take appropriate remedial action as required.</li> </ul>	<ul style="list-style-type: none"> <li>• Policy and process changes managed effectively without adverse impact to operation.</li> <li>• Whole of Government changes delivered successfully.</li> </ul>

## Annex 7: CEO Performance and Development Plan Template

# CEO Performance and Development Plan Template

Part 1 – Planning for Performance RESULTS

Part 2 – Development Planning

Part 3 – Year end review of the job (results)

Part 4 – Year end review of behaviours

Part 5 – Performance Summary

Part 6 – Comments and Sign Off

Name:

Position:

Ministry/Agency:

Signed:	Endorsed by Supervisor (Hon Minister/Chair of Commission	Approved by Hon Minister where applicable – if there is a Chairperson
[Insert name] Date:	[Supervisor's name] [Supervisor's title] Date:	[name] Date:
Comments:	Comments:	Comments:

### Part 1 – Planning for Performance results

A. Key TECHNICAL RESULTS	Planned Performance Outputs (Can add to rows)	Performance Standard (measures or KPI in the job description)	Data source / timeframe	Weighting (1 – 100%)
<b>POLICY</b> 1. Leadership, Policy Advice and Implementation				
<b>FINANCE</b> 2. Financial Management and Systems Control				
<b>PEOPLE</b> 3. Human Resource Planning, Management, & Development				

CUSTOMER 4. Service Delivery				
---------------------------------	--	--	--	--

**Core BEHAVIOURAL Competencies for CEOs (as in their contract Position Description)**

B. Key BEHAVIOURAL Competencies	Planned Performance Outputs (Can add to rows)	Performance Standard (measures or KPI in the job description)	Data source / timeframe	Weighting (1 – 100%)
1. Leadership and Integrity				
2. Strategic Thinking				
2. Innovation and Continuous Improvement				
3. Management Acumen				
4. Community and Service Focus				
5. Environmental and Organizational Astuteness				
6. Governance and stewardship				

**Part 2: Development Planning**

Development output	Proposed actions	Timeframe	Impact on performance outputs

## PART 3 - YEAR-END REVIEW OF THE JOB (RESULTS)

Consider all programme plans, project plans etc. and link back to applicable KRA's. Provide one rating per KRA.

**This section measures performance against the Key Result competencies in the job description, and the programme, project, business plans etc relating to each output**

<b>Exceeds</b>	Clearly exceeded the Fully Effective performance expectations for this behavior. This rating must be supported with performance examples that demonstrate that employee has added value beyond the level expected of a Fully Effective employee.
<b>Fully Effective</b>	Performed at a competent and experienced level. On balance, met the agreed performance requirements for the key behavior as described.
<b>Needs Improvement</b>	Some requirements for this key result area were not fulfilled. Aspects of the staff member's performance fell short of expectations. Further improvement is needed. Needs assistance to perform at full competence.
<b>Unacceptable</b>	Little or no progress towards meeting expectations for this behavior. Urgent action is required. This is currently being addressed or will be addressed in the immediate future.
<b>On Track</b>	Tracking towards full competence as expected. Note: This rating is for someone new to their role only.

Ratings  
→

CEO ASSESSMENT					SUPERVISOR'S ASSESSMENT					AGREED RATING				
Exceeds	Fully Effective	Needs Improvement	Unacceptable	On Track	Exceeds	Fully Effective	Needs Improvement	Unacceptable	On track	Exceeds	Fully Effective	Needs Improvement	Unacceptable	On track

Key Result Areas & related tasks (from the Job Description and other plans)	CEO's notes in support of rating scored for each KRA	Supervisor's comment	Summary comment made during review mtg	Indicate competency level with a √ and supporting comment. Attach additional comments, supporting documents.
<b>Key Result Area 1</b> Weighting 1-100%				<div style="border: 1px solid black; width: 100%; height: 15px; margin-bottom: 5px;"></div> Comments/examples to support the above rating:
<b>Key Result Area 2</b> Weighting 1-100%				<div style="border: 1px solid black; width: 100%; height: 15px; margin-bottom: 5px;"></div> Comments/examples to support the above rating:
<b>Key Result Area 3</b> Weighting 1-100%				<div style="border: 1px solid black; width: 100%; height: 15px; margin-bottom: 5px;"></div> Comments/examples to support the above rating:
<b>Key Result Area 4</b> Weighting 1-100%				<div style="border: 1px solid black; width: 100%; height: 15px; margin-bottom: 5px;"></div> Comments/examples to support the above rating:
<b>Key Result Area 5</b> Weighting 1-100%				<div style="border: 1px solid black; width: 100%; height: 15px; margin-bottom: 5px;"></div> Comments/examples to support the above rating:
<b>Key Result Area 6</b> Weighting 1-100%				<div style="border: 1px solid black; width: 100%; height: 15px; margin-bottom: 5px;"></div> Comments/examples to support the above rating:

## PART 4 - YEAR-END REVIEW OF BEHAVIOURS

**This section measures performance against the Behaviours**

<b>Exceeds</b>	Clearly exceeded the Fully Effective performance expectations for this behaviour. This rating must be supported with performance examples that demonstrate that employee has added value beyond the level expected of a Fully Effective employee.
<b>Fully Effective</b>	Performed at a competent and experienced level. On balance, met the agreed performance requirements for the key behaviour as described.
<b>Needs Improvement</b>	Some expectations for this behaviour were not fulfilled. Further work needed.
<b>Unacceptable</b>	Little or no progress towards meeting expectations for this behaviour. Urgent action is required. This is currently being addressed or will be addressed in the immediate future.
<b>On Track</b>	Tracking towards full competence as expected. Note: This rating is for someone new to their role only.

CEO ASSESSMENT					SUPERVISOR'S ASSESSMENT					AGREED RATING				
Exceeds	Fully Effective	Needs Improvement	Unacceptable	On Track	Exceeds	Fully Effective	Needs Improvement	Unacceptable	On track	Exceeds	Fully Effective	Needs Improvement	Unacceptable	On track

Key Behaviours	Staff member's notes in support of rating scored	Manager's comment	Summary comment made during review mtg	Indicate competency level with a $\surd$ and supporting comment. Attach additional comments, supporting documents.																				
Interpersonal Skills				<table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 12.5%;"></td><td style="width: 12.5%;"></td> </tr> </table> <p>Comments/examples to support the above rating:</p>																				
Teamwork				<table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 12.5%;"></td><td style="width: 12.5%;"></td> </tr> </table> <p>Comments/examples to support the above rating:</p>																				
Judgment				<table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 12.5%;"></td><td style="width: 12.5%;"></td> </tr> </table> <p>Comments/examples to support the above rating:</p>																				
Building Individual Capacity				<table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 12.5%;"></td><td style="width: 12.5%;"></td> </tr> </table> <p>Comments/examples to support the above rating:</p>																				
Supervision/Management				<table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 12.5%;"></td><td style="width: 12.5%;"></td> </tr> </table> <p>Comments/examples to support the above rating:</p>																				
Leadership				<table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 12.5%;"></td><td style="width: 12.5%;"></td> </tr> </table> <p>Comments/examples to support the above rating:</p>																				

# PART 5 - PERFORMANCE SUMMARY

This form will go to the PSC Commission

Summary Rating for the RESULTS	Weighting 1-100%	Exceeds	Fully Effective	Needs Improvement	Unacceptable	On Track
Key result area 1						
Key result area 2						
Key result area 3						
Key result area 4						
Key result area 5						
Key result area 6						

Overall comments/examples to support the rating below:

Please tick one of the boxes below to summarise performance for Delivering Results

<p><b>Outstanding Recommendation</b></p> <p>Performance was clearly well above the job requirements in all aspects. Consistently scored Exceeds ratings for most key result areas. An exceptional employee whose excellence is obvious to all.</p>	<p><b>Exceeds</b></p> <p>Performance was noticeably above the required job level. In addition to meeting all Key Result Areas, at least half the Key Result Areas were rated as Exceeds.</p>	<p><b>Fully Effective</b></p> <p>Met all Key Result Areas. Jobholder met the level expected of a competent employee in this job.</p>	<p><b>Needs Improvement</b></p> <p>On balance, did not fully achieve agreed Key Result Areas. Aspects of the employee's work need attention. Needs more training or more time in order to increase their level of competency.</p>	<p><b>Not Achieved</b></p> <p>Inadequate progress made towards meeting agreed Key Result Areas. Did not meet job requirements. Urgent improvement is required. This is currently being addressed or will be addressed in the immediate future.</p>	<p><b>On track</b></p> <p>Meets expectations for someone new to the role.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Summary Rating for the Behaviors	Exceeds	Fully Effective	Needs Improvement	Unacceptable	On Track
Planned change and Innovation					
Interpersonal Skills					
Teamwork					
Promotion of Equity and Equality					
Judgment					
Building Individual Capacity					
Supervision/Management					
Leadership					

Overall comments/examples to support the rating below:

Please tick one of the boxes below to summarise performance for the behaviours

<p><b>Outstanding Recommendation</b></p> <p>Performance was well above the job requirements in all aspects. An exceptional employee whose excellence is obvious to all. Consistently at Exceeds in the majority of the behaviours.</p>	<p><b>Exceeds</b></p> <p>Performance was noticeably above the job requirements. In addition to being Fully Effective in all behaviours, at least half the behaviours were rated at Exceeds.</p>	<p><b>Fully Effective</b></p> <p>On balance, met the expectations for the behaviours. No more than one Needs Improvement. Performed at a competent and experienced level.</p>	<p><b>Needs Improvement</b></p> <p>Aspects of the employee's work need attention. Performance fell short of the required expectation in some areas. This is reflected by one or more Needs Improvement ratings across the behaviours.</p>	<p><b>Unacceptable</b></p> <p>Significant skill gaps in a number of areas, indicated by Unacceptable ratings across some/ all of the behaviours. Urgent improvement is required. This is currently being addressed or will be addressed in the immediate future.</p>	<p><b>On track</b></p> <p>Meets expectations for someone new to the role.</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**PART 6 - COMMENTS and SIGN-OFF**

Comment on overall performance for the year, and any aspects of the Review, as desired.

Summary Achievement Level for Delivering Results *(copy from PART 7)*

Summary Achievement Level for Behaviors *(copy from PART 7)*

**Team/Organization Contributions that have not been recognized elsewhere in this review**

**Minister's Comments:**

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**CEO's Comments:**

I note the points raised in this Performance Review and sign this form to indicate my understanding and agreement with this review. *(If there are some areas requiring further discussion, please do not sign until these have been discussed and resolved. Refer to the appeal process if necessary.)*

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**PSC Commission Comments:**

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

*Once the forms have been completed and signed off, they are to be returned to the PSC.. To ensure organisational consistency, all Summary Ratings will be validated by the Commission before any decisions are made on salary or other matters.*

## Annex 7: Performance Improvement Plan (PIP) Template

Name:

Division:

Ministry:

PIP timeframe:

<b>SECTION 1: PERFORMANCE IMPROVEMENT PLAN</b>			
<b>Instructions: The Performance Improvement Plan (PIP) should be used when an employee receives a rating of 2 or below on their Performance Planning and Appraisal Form.</b>			
<b>Summary of performance or behavior(s) to be changed:</b>	<b>Describe expected changes to be made by employee to improve performance or behaviors: <i>(including situations and/or conditions)</i></b>	<b>List development/learning activities and/or resources including supervisors actions (where appropriate), to assist employee with improving performance:</b>	<b>Additional notes of discussions whilst PIP is in progress.</b>
<b>SECTION 2: RESULTS / REVIEW</b>			
<b>Instructions: To be completed by the supervisor at the end of the PIP timeframe</b>			
<input type="checkbox"/>	Employee has satisfactorily improved behavior/performance as per Section 1.		
<input type="checkbox"/>	Employee has <b>not</b> satisfactorily improved behavior/performance as per Section 1.		
Comments (Supervisor)			
Comments (Employee)			
<b>SECTION 3: SIGNATURES</b>			
<b>Instructions: The PIP agreement has been discussed between the supervisor and the employee with common understanding reached on the performance and/or behavior that needs to be improved within the timeframe specified.</b>			
Supervisor Signature:		Date:	
Employee Signature:		Date:	
<b>Instructions: Follow up Review – The completed PIP has been reviewed and discussed. A signature indicates review has occurred although not necessarily with the agreement with the results and recommendations</b>			
Supervisor Signature:		Date:	
Employee Signature:		Date:	