USING
PAS

A Guide for
Staff and Supervisors

United Nations
Office of Human Resources Management

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Introduction

PURPOSE OF THE GUIDE

USING PAS: A Guide for Staff and Supervisors is intended to complement the Administrative Instruction on the Performance Appraisal System (PAS) ST/AI/2002/3. The Guide is designed to assist staff members and their supervisors in implementing the PAS process by providing more detailed guidance about using PAS. It is important to stress that PAS is not an end in itself but rather an important element in the overall performance management process in which managers, supervisors and staff all have roles to play.

PAS Objectives

The Performance Appraisal System, PAS, is a key building block of the human resources reform programme. It is based upon International Civil Service Commission (ICSC) performance management principles for the United Nations common system, namely work planning, ongoing feedback, a mid-point review, and an end-of-cycle appraisal against agreed-upon objectives. It is linked to other human resources systems and processes including staff development, mobility, recruitment and placement.

PAS was designed to improve overall organizational performance by encouraging a high level of involvement and motivation, and increased staff participation in the planning and delivery of work by:

- Establishing up-front performance expectations through mutual understanding between the staff member and first reporting officer on what is to be accomplished;
- Linking individual work plans with those of the work unit and department or office;
- Setting performance standards using the United Nations competencies, which provide a shared language about what is needed and expected in the Organization and which help to define future development needs;
- Promoting accountability at all levels;
- Promoting communication and ongoing feedback between staff members and first reporting officers on the work programme, which forms the basis on which individual performance will be appraised;
- Encouraging teamwork by integrating individual work plans with the unit or office work plan;
- Promoting staff members' own professional development goals; and

- Assigning particular responsibility to staff with supervisory or managerial responsibilities to manage the performance and development of staff entrusted to them.

Benefits for Staff Members

By participating in PAS, staff members will:

- Gain greater clarity about goals and expectations for their work unit and their own work;
- Have increased opportunities to discuss and work with their first reporting officer on their ongoing development, including learning and career development;
- Gain a fuller picture of their performance through the use of the United Nations competencies (a combination of skills, attributes and behaviours that are directly related to successful performance on the job);
- Keep track of their accomplishments throughout their United Nations career; and
- Provide information to the Organization on their accomplishments and potential for their future assignments as well as to assist the Organization in assessing their development needs.

Benefits for Supervisors and Managers

For supervisors and managers, the PAS will:

- Provide an opportunity to clarify performance expectations, results expected, and competencies to be demonstrated by individual staff members;
- Provide a means to motivate staff members by clarifying how their individual performance contributes to overall work unit goals;
- Provide a means for discussing the competencies (the skills, behaviours and attitudes) that contribute to successful performance in the Organization;
- Provide a structured means to address performance gaps early on so that both the first reporting officer and the staff member are clear on what must be done to bring performance up to the agreed-upon standard; and
- Provide a documented means to support decisions about work assignments and career progression.

What's new

The PAS for 2002 will include the following elements:

- A more user friendly electronic form;

- The same cycle for all departments and offices, 1 April – 31 March;

- More flexible work planning applicable to all types of functions;

- Inclusion of competencies to give a fuller picture of performance;

- Inclusion of feedback from multiple perspectives, including the staff member's self-assessment, feedback from additional supervisors, and comments by the staff member on supervision received;

- Strengthened links to career development;

- Strengthened accountability measures, including requiring that all reporting officers complete PAS for all staff members under their supervision prior to assuming new duties or leaving the Organization;

- More timely rebuttal processes by expanding the rebuttal pool; and

- Maintaining the role of the Joint Monitoring Committee (JMC) and the Global Joint Monitoring Committee (GJMC) in light of their necessary role in monitoring and reviewing the implementation of PAS.

PAS in a Nutshell

PAS is an ongoing process that is aimed at focusing the work of all staff members on the goals of the United Nations, clarifying performance expectations at the beginning of the period in question, keeping performance on track through ongoing dialogue and a mid-point review, and evaluating performance at the end of the period. End-of-cycle evaluation in turn informs the planning for the next year, and for development in general.

The basis of PAS is dialogue. The e-PAS form provides a structure for, and a systematic record of, that dialogue.

Link to department or office work plan

To initiate the planning process, the head of department or office meets with the senior managers under his/her direct supervision and develops a one or two-year work plan based on overall Organizational goals that will be the foundation for work unit plans. While department, office and work unit planning may be done on a one or two-year basis, individual work plans are developed at the beginning of the new cycle each year.

In consultation with his/her manager(s), the first reporting officer develops a work unit plan based on the overall department or office plan and shares it with the staff member(s) in the unit to ensure that the work unit goals and the competencies needed to achieve the goals are understood.

It is important that the first reporting officer meet with the staff in their work unit, either as a group or individually, to ensure that the staff members understand the goals and work standards. In cases where the staff member reports to more than one supervisor, a first reporting officer should be designated who will oversee the PAS process, with additional supervisors providing input, as appropriate. (See How to—End-of-cycle Appraisal, Feedback from Additional Supervisor(s), for more information on this topic.)

Establishing Individual Performance Expectations/Work Plan

Every staff member should be able to answer the following questions:

- How does my work fit into the overall goals?
- What am I expected to achieve?
- How will I know that I have been 'fully successful'?

Having considered how to answer these three questions, the first reporting officer schedules meetings with the individual staff members to:

- Discuss the goals/performance expectations, how they are to be achieved and the results expected;
- Determine the competencies and skills to be used in achieving these; and
- Decide upon the continuous learning and career development goals that will provide individual professional growth in their current and future functions.

The staff member, having consulted with the first reporting officer, prepares an individual work plan, selects the agreed upon competencies required to carry out the work plan for the performance cycle, and completes the development plan for the first reporting officer's agreement. The work plan is quite distinct from a staff member's job description: it should focus on the goals or tasks to be accomplished in the cycle to come. (See How-to—Work Planning: Setting Goals/Performance Expectations for more information on this topic.)

Mid-point Review

The first reporting officer and the staff member communicate regularly throughout the performance period on progress made towards meeting the goals, achieving performance expectations, using and developing the competencies, and implementing the development plan. They may also discuss general work performance issues. To formalize this, a mid-point review is required so that both the reporting officer and the staff member review accomplishments to date, note what remains to be done and make the necessary adjustments, if any.

Written comments are required by the first reporting officer in the following cases:

- When goals/performance expectations, assignments or priorities have changed; or
- When performance needs improvement or when performance does not meet expectations. In such cases a performance improvement plan is initiated to make it clear what must be done to bridge performance gaps.

The performance improvement plan should contain a clear description of the required improvement(s), a list of specific actions to be taken and a time frame for successful completion

The End-of-cycle Appraisal

A week or two before their appraisal meeting the first reporting officer reminds the staff member to review their PAS in preparation for their discussion.

Self-appraisal: In the self-appraisal, which is optional, staff members may include highlights of major accomplishments, as well as responsibilities undertaken such as serving as departmental focal point for women, focal point on gender issues, focal point for LAN Administration, chairperson or member of a PAS Joint Monitoring Committee or Rebuttal Panel, task force, or member of a working group.

Comments on supervision received: Staff members are also invited to comment briefly on the supervision received during the reporting cycle. For example, the staff member may mention the frequency of discussions on his/her work. This is optional.

Comments from additional supervisors: The staff member may request up to two additional supervisors to make brief comments on significant work assigned, if desired, in accordance with the provisions of ST/AI/2002/3. A significant work assignment represents a substantial time commitment (for example, a quarter or more of the staff member's workload during the reporting period), or a special assignment that required skills not normally needed for this position. These brief comments must be obtained prior to the deadline that the first reporting officer has set for completion of the staff member's part of the end-of-cycle appraisal section.

End-of-cycle appraisal by the first reporting officer: The first reporting officer reviews the PAS and sets individual meetings with the staff. During the individual discussions, the first reporting officer and staff member review the challenges and the accomplishments of the cycle. The conversation is based on:
- What was accomplished;
- How the competencies were demonstrated in carrying out the work plan;
- How continuous learning activities contributed to the staff member's ability to carry out the work plan; and
- How these activities contributed to his/her personal and career development.

Shortly after the meeting, the first reporting officer completes the end-of-cycle appraisal sections of the form including:

- Comments on the work plan, goals/performance expectations (comments required);

- Evaluation of core values and the competencies: (evaluation required)
  - Core values: integrity, professionalism, respect for diversity/gender;
  - Core competencies (those previously agreed upon in the work plan);
  - Managerial competencies (those previously agreed upon in the work plan and where applicable);
  - Job-related competencies (those previously agreed upon in the work plan);
  - Comments on how the core values, core competencies and managerial competencies (if applicable) were demonstrated during the cycle. (comment required when "Outstanding" or "Unsatisfactory" ratings are given);

- Comments on the development plan (Continuous Learning and Career Development);

- End-of-cycle overall comments (comments required); and

- End-of-cycle overall rating (required).

The second reporting officer reviews, comments and signs the completed appraisal form before it is returned to the staff member for final comments and signature.

The completed, signed form is available in the staff member's personal electronic PAS file. Staff members may attach an electronic copy of their PAS when submitting applications for vacancies.

Checklist of Deadlines and Responsibilities: April – March PAS Cycle

	Work Planning March/April	Ongoing & Mid-point Review September/October	End-of-cycle Appraisal March
Head of Department /Office	▪ Establish work plan for the department/office that will be the foundation for work unit plans ▪ Establish performance standards for the department/office ▪ Provide leadership to ensure that PAS is implemented, in spirit and letter, for overall compliance as well as fair implementation	▪ Provide leadership for all phases to ensure that PAS is fully implemented ▪ Promote communication between staff members and supervisors, and encouragement of ongoing feedback and teamwork	▪ Ensure consistent and fair performance appraisal throughout the department/office (providing guidance prior to end-of –cycle appraisals) ▪ Provide advice and recommendations to supervisory staff as required ▪ Report on PAS compliance including rating distribution by 30 June (three months after end of cycle)
MRC	▪ Assist the Head of Department/Office in ensuring consistency and fairness in all phases of the PAS process and in reaching the PAS goals in the annual performance management plan including: ▪ Establishing performance standards for the Department/office ▪ Developing a culture of continuous learning and improvement in the department/office ▪ Recognizing successful performance and addressing under-performance	▪ Model PAS implementation by fulfilling responsibilities as first and second reporting officers ▪ Provide guidance to promote communication between staff members and their first reporting officer	▪ Model PAS implementation by fulfilling responsibilities as first and second reporting officers ▪ Assist Head of Department/Office in ensuring consistent and fair performance appraisal throughout the department or office (providing guidance prior to end-of-cycle appraisals) ▪ Review staff development and career support needs
Second Reporting Officer	▪ Hold first reporting officers accountable for preparing work plans with fair and consistent performance expectations	▪ Discuss managing performance with first reporting officers	▪ Timely review of first reporting officer's implementation of PAS ▪ Sign off on individual PAS forms ▪ Ensure fair and consistent appraisals from supervisory staff reporting to him/her ▪ Grant or withhold salary increments
First Reporting Officer	▪ Initiate process by discussing work unit plan ▪ Ensure timely completion of individual plans ▪ Advise, support and coach the staff member on professional development	▪ Raise performance issues when they occur ▪ Provide ongoing feedback (appreciative and constructive) ▪ Ensure timely completion of mid-point review ▪ Develop a performance improvement plan in consultation with staff member in the case of performance gaps	▪ Initiate process by inviting staff member to review PAS for the year ▪ Support staff in collecting feedback from additional supervisor(s), if applicable ▪ Timely completion of end-of-cycle appraisal ▪ Recommend to grant or withhold salary increments
Staff Member	▪ Complete the work plan in a timely manner ▪ Select additional supervisors (if any) ▪ Participate actively in the scheduled discussions	▪ Raise performance issues when they occur ▪ Participate actively in the scheduled discussions	▪ Request feedback from additional supervisors, if applicable ▪ Provide timely self-assessment (optional) ▪ Participate actively in the scheduled discussions

HOW TO—Work Planning: Setting Goals/Performance Expectations

Framework for Work Planning

Individual work plans should cascade down from the objectives and work plans of the department or office as indicated in ST/AI/2002/3. First reporting officers should meet with their staff, individually or collectively, at the beginning of the performance period, to ensure that all staff members understand the work unit plan, as well as any guidance provided by the MRC.

Primary responsibility for the timely implementation of the PAS process rests with the first reporting officer. A new staff member who joins the work unit should prepare a work plan in consultation with the first reporting officer within the first month of taking up the new assignment.

The Individual Work Plan

Within this context, each staff member drafts an individual work plan (in consultation with the first reporting officer). The plan includes: the work plan (goals or other performance expectations), the competencies and the development plan (continuous learning and career development). The individual work plan establishes a framework for personal accountability for the staff member so that it is clear what is expected for the cycle.

> **FLEXIBILE WORK PLANNING: A KEY FEATURE OF PAS**
>
> The work planning process is intended to be flexible. Depending on the nature of the work, the staff member may draft a plan including goals, key related actions and success criteria. Alternatively, the staff member may provide a statement of major outputs and performance expectations, which cover major projects, major tasks or ongoing activities. Broad goals that capture rapidly changing mandates and unforeseen requests, or other forms of planning may be listed.
>
> The form of the work plan is less important than the fact that the staff member and first reporting officer have discussed and agreed upon the performance expectations.

The first reporting officer is responsible for initiating the work plan discussion with each staff member under his or her responsibility. The staff member should send the draft work plan to the first reporting officer so that they may discuss it. During the discussion, the staff member and first reporting officer should agree up

front on goals/performance expectations, key related actions and success criteria that the staff member is expected to fulfill during the performance period and on the quality and/or quantity of work that is expected.

The first reporting officer must ensure that the staff member's work plan is linked to the work unit plan and is appropriate to the staff member's level and position. The first reporting officer should also ensure that the work plan is sufficiently challenging, yet realistic and achievable. Together they should discuss the goals, performance expectations, success criteria including time frames or deadlines to be observed and the competencies to be demonstrated so that the staff member knows how success will be determined.

Setting Goals/Performance Expectations

Every staff member needs to know clearly:
- how his/her contribution fits into the overall organizational goals;
- what exactly he/she is expected to achieve; and
- what constitutes fully successful performance (in other words, the criteria by which his/her performance will be judged).

Committing to a goal/performance expectation has motivational value and establishes personal accountability. This commitment directs the staff member towards the goal/performance expectation and helps him/her to focus on a desired result. It also guides him/her in making choices along the way to increase the chances of attaining the goal. Goals and performance expectations differ depending on the nature of work and the staff member's level of responsibility.

A goal is an output that the staff member is expected to achieve. A performance expectation indicates what is required to carry out routine functions that contribute to the work unit's ability to meet its goals. The most useful performance expectations are those that are defined in concrete terms. One effective approach to thinking about goals and performance expectations is ensuring that they are 'SMART': specific, measurable, achievable, realistic and time-bound (time-bound may refer to deadlines, but equally may be a turnaround or response time for ongoing activities).

Staff members will set different goals and/or performance expectations when writing their work plans, but most fall under three main categories.

Outputs
These are outputs necessary to show progress for on-going activities:
- Example (for a desk officer) *Provide timely, accurate and succinct briefing notes and talking points related to developments in __(country, region, mission);*

- Example (for a secretary): *To ensure all incoming correspondence is properly logged, directed and then followed-up so that client requests are answered promptly; or*
- Example (for a clerical assistant): *Carries out a range of clerical/administrative time dependent tasks which are important to the achievement of the work-related goals of others in the work unit such as: . . . .*

Problem-Solving Goals

These are based on an analysis of current problems and focus on what needs to be improved.

- Example (for an administrative officer*) To establish a system of prioritizing requests for __ to make best use of resources available.*
- Example (for a procurement officer): *To streamline the time between issuing the request for proposal (RFP) and the contracting of the vendor so that client department requests are expedited.*
- Example (for a computer systems assistant): *To review data (sometimes in bulk) and identify what is relevant and accurate, discard what is not and record it in an accessible manner.*

Innovative Goals

These seek to redesign current work or create a plan for new work. Rather than seeking to fix a problem, they look at what is already well done but can be improved, or what new ideas can be introduced.

- Example (for a desk officer): *To develop innovative ways to implement the new mandate on XYZ, including . . . .*
- Example (for an administrative officer) *To create an intranet website to better disseminate information; To improve internal work group communications by using Lotus Notes calendar information, scheduling and workflow.*
- Example: (for an economic affairs officer): *To develop new external networks through regular meetings and informal contacts to ensure that awareness is maintained in the XYZ substantive area.*
- Example (for a public information officer): *Creates innovative opportunities for the media to understand the United Nations by . . . .*

Selecting Competencies for the Reporting Period

As part of the overall reform programme, and as a key element in his human resources strategy, the Secretary-General introduced a model of core values and core and managerial competencies in SGB/1999/15 (See the annex). The booklet, *United Nations Competencies for the Future*, which was distributed to all staff members, provides definitions. (The information in the booklet is also available electronically through the form and/or on the United Nations intranet.)

To reflect the full range of skills, attributes and behaviours that are essential for all staff, the United Nations core values and core and managerial competencies are included in the revised PAS. These provide a shared language for discussions on performance, the means by which the goals set in the work plan are achieved. In addition, job-related competencies for the reporting period may be determined by the first reporting officer and staff member.

> *" It is my hope that the competencies will provide us with a shared language for talking, in concrete terms, about high performance and managerial excellence."*
>
> The Secretary-General, SGB/1999/15

Although all staff are responsible for demonstrating the core competencies each reporting cycle, the first reporting officer and staff member may choose to focus on a few key competencies that would be most relevant for carrying out the work plan during the reporting cycle. The work planning phase of PAS provides an opportunity for the staff member and first reporting officer to build a shared understanding of what the values and competencies mean for the staff member's position.

- **Core values** are the shared principles that underpin the work of the Organization and guide the actions and behaviours of United Nations staff members in carrying out their individual work: integrity, professionalism and respect for diversity/gender. All United Nations staff members are expected to behave in accordance with the core values and will be appraised on their compliance with the values.

- **Core competencies** are the skills, attributes and behaviours, which are considered important for all staff of the Organization, regardless of their level. The eight core competencies are: communication, teamwork, planning and organizing, accountability, creativity, client orientation, commitment to continuous learning, and technological awareness. The first reporting officer and staff member discuss and agree on which core competencies are most relevant for this position in this cycle.

- **Managerial competencies** are the skills, attributes and behaviours that are considered essential for staff with managerial or supervisory responsibilities. The six managerial competencies are: managing performance, vision, leadership, building trust, judgement/decision-making, and empowering others. Managing performance must be included among the managerial competencies selected for all staff who supervise others (i.e., first and second reporting officers).

When selecting the most relevant competencies for the performance cycle, it is useful to think of them as performance standards, or as success criteria, for

achieving the work plan. For example, does successful achievement of the staff member's work plan require collaboration with others? Would that collaboration contribute to the work of other members of the team? Then teamwork is an essential competency in this case. Supervisors can take this opportunity to clearly link competencies to the work plan for this performance cycle.

- **Job-related competencies** which contribute towards demonstrating the core value, "professionalism", may be specified so that both the staff member and first reporting officer are clear that these skills form part of the performance appraisal for the cycle. Examples of job-related competencies include: financial management, project management, web-design, proposal writing, emergency management, etc. The e-PAS form provides for job-related competencies. This is an optional feature of the revised PAS. The competencies must be directly related to the work plan of the staff member and must be indicated on the form during the work planning stage.

Additional supervisor(s)

Staff members may request feedback from up to two additional supervisors for whom they have worked for significant amounts of time or for significant assignments. In such cases, the arrangements must be agreed upon between the staff member and first reporting officer at the work planning stage or at the beginning of the additional assignment if it occurs later in the performance cycle. The staff member should ask the additional supervisor(s) at the beginning of the assignment to agree to provide feedback for the end of cycle appraisal.

While including the feedback of additional supervisors is optional, first reporting officers may also wish to encourage that a staff member seek this additional feedback. Particularly when the assignments supervised by other officers is significantly different, or requires different competencies, from the staff member's typical functions, it is in the staff member's interest to include such feedback as the PAS record is used for career development.

THE DEVELOPMENT PLAN

The development plan consists of continuous learning and career development. The first reporting officers and the staff member should consider what learning should be undertaken to help the staff member to achieve the goals/performance expectations indicated in the work plan and also to help them develop for the future.

Continuous Learning

A commitment to continuous learning, a core competency, is supported by requiring staff members to undertake at least one professional development

activity during the cycle so that they keep abreast of new developments in their current functions and also actively build their skills, increase their knowledge and strengthen their competencies. First reporting officers play a critical role in the development of their staff and may use the opportunity of performance management discussions to identify developmental needs with their staff and agree on ways of addressing them, whether through formal courses, on-the-job training or coaching.

The development goal(s) selected may focus on skills or knowledge that the staff member may need in current or possible future functions with the United Nations. Supervisors can use this opportunity to suggest that the staff member develop specific competencies that are immediately related to successful completion of the work plan. In *Selecting Competencies for the Reporting Period*, an example of how 'teamwork' may be crucial success criteria for a work plan is given. If this is an area in which the staff member needs improvement for carrying out goals of the work plan, the supervisor may also request that this be the focus of professional development for the staff member.

Learning activities are broadly defined and may include learning gained on special assignments, continuing education, on-the-job training or coaching, seminars, conferences or individual study.

The United Nations Staff Development Programme provides a wide range of development and learning opportunities for staff at all levels and may be accessed directly from the e-PAS form.

Finally, staff members must do their part to develop and maintain their skills and competencies by taking advantage of the development opportunities offered by the Organization and by being proactive in taking on new challenges and seeking ways to contribute to the Organization, as well as to their own growth and development.

Career Development

Building a career in the current environment requires developing new competencies, building relationships, seeing a broader picture, staying current in skills and knowledge, taking risks, demonstrating flexibility, making plans and communicating a proactive and forward-looking attitude, among others.
Each staff member has primary responsibility for his/her own development. The first reporting officer has the responsibility to advise, support and coach the staff member in this process and to help the staff member achieve his/her personal best.

Staff members may talk about their career aspirations, expertise, other competencies and skills that could contribute to the work of the Organization but that may not be used in or relevant to their current assignment.

Staff members may refer to the *United Nations Career Support Guide* for supplemental help in the process of career development. The *Guide* discusses the new world of work as a basis for understanding the implications for the United Nations and is intended as a workbook and a reference manual to be read and consulted when needed. The *Guide* draws on experiences of staff within the United Nations and those of organizations throughout the world. It does not prescribe particular career paths, but rather supports staff to tailor their career development by matching their unique combination of skills with those of the Organization.

In having a frank, supportive discussion with staff members about their career aspirations, first reporting officers can guide staff members in selecting appropriate development goals to move staff members toward their career goals. The first reporting officer is encouraged to create opportunities for staff members to test and develop new skills and knowledge by offering challenging responsibilities and assignments.

For first reporting officers, the discussion on career aspirations provides an opportunity to:

- Understand how each staff member sees his/her skills and competencies, what he/she has to offer the Organization;
- Learn about the competencies that the staff member may have but may not be using in their current role that may benefit the work unit and the Organization;
- Encourage and coach the staff member to build on their strengths and further develop their skills and competencies;
- Support staff members in their efforts towards achieving important professional goals;
- Direct the staff member to some of the support programmes the Organization has developed for this purpose, for example, the Career Development Workshops, the Career Planning and Staff Development for Managers Workshop, the General Service Development Programme, the Conflict Resolution Programme, and the Supervisory Skills Training Programme;
- Create a framework in which to offer feedback on performance issues that relate to the current position; and
- Develop his/her own managerial competencies and communication skills.

Some first reporting officers are concerned that discussing a staff member's career aspirations is tantamount to a promise to promote them. It is important to help

staff members to be realistic about their career path, but also to advise them on what is needed for career development in the United Nations, and to refer them to sources of information such as the *United Nations Career Support Guide.*

Finalizing the Plan

To indicate that the plan is completed and agreed to, the staff member and the first reporting officer acknowledge this by clicking to attach their names and the date to the form.

HOW TO—ONGOING DIALOGUE & MID-POINT REVIEW

ON-GOING PERFORMANCE DISCUSSIONS

Both first reporting officers and staff members are encouraged to take the initiative to have on-going performance discussions throughout the performance period. The mid-point review provides a formal opportunity to ensure that such discussions occur at least once mid-way through the reporting cycle. Open communication on performance helps both the first reporting officers and the staff members to assess how work is progressing. For staff members, having a sense of progress is motivating, since knowing the work is going well promotes a sense of accomplishment. Ongoing dialogue is also a means of holding staff accountable for agreed performance expectations.

MID-POINT REVIEW DISCUSSION

Although the first reporting officer is expected to give feedback to the staff member continuously throughout the performance period, the mid-point in the performance cycle is a good time to take a step back from the day-to-day work and review progress against the work plan and other performance expectations. The mid-point review offers an opportunity for the first reporting officer and staff member to meet together to discuss what has been accomplished, how the competencies are being developed and how the development plan is progressing. While the responsibility for timely execution of the PAS process lies with the first reporting officer, the staff member may also take the initiative and request a meeting. For this stage as for the others, a proactive approach is the most beneficial for all concerned.

Revisions to the Work Plan

At the mid-point review, the work plan may be revised if there have been significant changes in the nature of the functions carried out by the staff member or if such revision is required to pursue the revised goals of the work unit. Comments are required only in cases where there are changes in assignments or priorities or where remedial action is proposed to close performance gaps.

The Performance Improvement Plan

As soon as a performance shortcoming is identified, the first reporting officer should discuss the shortcoming with the staff member and take steps to rectify the

situation, such as the development of a performance improvement plan, in consultation with the staff member. The performance improvement plan presents the first reporting officer and the staff member with an opportunity to clarify the specific improvements desired, the actions to be taken to achieve those improvements, and the coaching or other help the staff member might need to improve performance. Clear time frames for successful completion should also be agreed upon and included in the plan.

Completion of Mid-point review

Just as in the work-planning stage, both the staff member and the first reporting officer acknowledge that the discussion and the mid-point review have been completed on the PAS form by clicking to attach their names and the date to the form.

HOW TO—END-OF-CYCLE APPRAISAL

The end-of-cycle appraisal is the culmination of the PAS process for the cycle. If the work plan and mid-point review have been done well, if discussions to review work in progress have taken place, if the expected competencies have been agreed and a development plan undertaken, the end-of-cycle appraisal will flow naturally out of this established dialogue.

STAFF MEMBER PREPARATION

Prior to the end-of-cycle appraisal meeting between the first reporting officer and the staff member, it is a good idea for the staff member to review what was accomplished in the work plan, how the competencies were demonstrated in carrying out the work plan, and the learning undertaken during the reporting period.

Self-Appraisal (Optional)

To reflect the full range of the staff member's performance during the year, the staff member may include an optional, brief self-appraisal. The self-appraisal should highlight the major accomplishments of the reporting cycle. The self-appraisal is not intended to be a rewritten job description or work plan. Ideas for what to include in self-appraisal comments are:

- List only the most significant accomplishments achieved during the appraisal period
- Include additional work activities that demonstrate skills and competencies, contributions to the work of the Organization, such as serving as the departmental focal point for women, focal point on gender issues, LAN focal point, participation on a task force or working group, serving on the JMC or Rebuttal Panel for PAS, etc.

The following is an example of a self-appraisal comment:
Developed a computer-based XYZ software system to expedite the creation of the annual Yearbook (time savings of ½ month); Secretary of the departmental information technology task force; drafted the final report of the Steering Committee; Member of the Joint Appeals Board.

Whether the staff member has written a self-appraisal or not, he/she should review the work plan and refresh his/her memory of challenges and accomplishments that occurred during the reporting cycle in order to be well-prepared for the end-of-cycle appraisal meeting.

Comment on Supervision Received (Optional)

The staff member may, if he or she wishes, also comment on the supervision received during the reporting cycle. This is an opportunity for the staff member to provide formal feedback to his/her first reporting officer on how he/she has supported the staff member's performance throughout the year.

As an example the following might be a comment on supervision received:
> *In addition to the work planning and mid-point review discussions, my supervisor and I met monthly during the year to discuss work in progress and make necessary adjustments.*

Feedback from Additional Supervisor(s) (Optional)

Staff members may request feedback from up to two additional supervisors for whom they have worked for significant amounts of time or for significant assignments. In such cases, the arrangements must be agreed upon between the staff member and first reporting officer at the work planning stage or at the beginning of the additional assignment. The additional supervisor(s) must agree at the beginning of the assignment to provide a brief comment on work performed at the end of the performance cycle. The comments of the additional supervisor(s) allow for a broader view of all work of the staff member. The additional supervisor(s) name should be entered in the Staff Member Information on the first page of the e-PAS form by the staff member.

Before the end-of-cycle appraisal discussion and the submission of the form to the first reporting officer for his/her final comments and appraisal, the staff member requests and collects the brief feedback comments from the additional supervisor(s). The first reporting officer should support the staff member's efforts to receive this feedback. It is suggested that the staff member request the comments at least a week before the end-of-cycle appraisal meeting with the first reporting officer.

While the comments by additional supervisors are intended to be brief, it may be useful to follow a format that reflects the principles of PAS: a summary of the performance expectations for the assignment, and concrete comments about the results achieved.

FIRST REPORTING OFFICER PREPARATION

To prepare for the appraisal discussion, first reporting officers review the staff member's work plan (including values, competencies and development plan) as well as the staff member's self appraisal and comments from additional supervisors.

THE END-OF-CYCLE APPRAISAL

The first reporting officer and the staff member meet at the end of the performance cycle to discuss the staff member's overall performance and the competencies demonstrated in achieving the work plan.

Assessing Work Plan Achievements (Goals/performance expectations)

The first reporting officer and staff member review and discuss the work plan, along with any changes or comments from the mid-point review, to assess achievements throughout the year. This includes the extent to which the staff member has achieved the goals/performance expectations as agreed, taking into account any unforeseen developments during the reporting period that may have affected performance. Goals may be treated as a group or individually.

The importance of setting clear goals/performance expectations in the individual work plan becomes evident at this time. This is when the value of concrete goals defined in 'SMART' terms (specific, measurable, achievable realistic and time-bound) is most clearly seen. They make it much easier to evaluate the performance outcomes against performance expectations.

Assessing Values and Competencies

All staff will be evaluated on how they have demonstrated the Core Values, the Core and Managerial Competencies selected for the reporting cycle and any Job-related Competencies that were included during the work-planning stage at the beginning of the performance period.

Each value and competency should be considered independently; in other words, the same individual may be proficient in one area, and need to develop in another. At the beginning of the performance period, the first reporting officer in discussion with the staff member determined the competencies that would be relevant for the performance period. Examples of indicators for the values, core and managerial competencies appear in the annex.

Each value or competency should be evaluated as being: "outstanding", "fully competent", "developing", or "unsatisfactory". Comments are required if selecting "outstanding" or "unsatisfactory". The descriptors for the core values and competencies given in the annex informs staff members of the indicators and may also help first reporting officers in formulating their comments.

Development Plan (Continuous Learning and Career Development)

The first reporting officer and staff member review the development plan, which includes the learning activities undertaken and completed during this reporting period. Every staff member is expected to have completed at least one learning activity. The first reporting officer comments on what was accomplished during the reporting cycle.

OVERALL APPRAISAL

The final overall rating for the staff member's performance during the performance period should be determined according to the rating descriptions for assessing overall performance given below. The first reporting officer needs to consider both the achievement of the goals as described in the work plan and the demonstration of the relevant competencies.

Before discussing the end-of-cycle appraisal with the staff member, the first reporting officer should discuss the appraisals of all staff members who report to him/her with the second reporting officer. This will help to ensure consistency and fairness across the work unit.

The PAS rating system is not intended to impose a mandatory bell curve. There is not a predetermined rating distribution. Nevertheless, experience with many similar organizations indicates that when staff members are honestly and appropriately appraised, the vast majority are found to have fully met expectations, while the number of staff who have consistently exceeded expectations or who have not adequately met expectations would naturally be small.

Overall Ratings

It is expected that the performance of most staff will be found to be fully successful, that is to say that they have met the performance expectations agreed in the work plan, that their performance meets the high standards of the Organization. The appropriate rating for these staff members is:

Fully successful performance
- This assessment describes performance that fully meets all the goals or performance expectations of the work plan.
- This represents the fully acceptable level of performance for the position and is the standard or norm for the position.
- The majority of staff will earn this rating, which represents successful performance in carrying out the goals and tasks of the Organization.

This rating establishes full satisfaction with the work performed and shall be so viewed when staff members having received this rating are considered for renewal of a fixed-term appointment or selection for a post at the same or a higher level, without prejudice to the principle that such decisions remain within the discretionary authority of the Secretary-General.

In addition to this rating, PAS offers two ratings that distinguish those staff members whose performance during the reporting period **exceeds** the expectations agreed in the work plan, and is beyond the expectations for a staff member at that level or in that position. These ratings should reward performance that is unusually high:

Frequently exceeds performance expectations
- A rating of frequently exceeds performance expectations means that performance frequently exceeded what was expected for the position.
- Performance at this level should be regarded as unusual.
- This rating reflects high levels of quality, quantity or timeliness of work.
- Generally, performance will be higher for some goals than others.
- First reporting officers need to provide clear supporting examples to explain why this rating is appropriate, and comment on how the staff member's actions and the results of those actions contributed to a greater degree than expected to achieving work unit and/or departmental or office goals.

Consistently exceeds performance expectations
- By definition, only a few people, items, actions, designs, and the like can be considered exceptional in any endeavour.
- A rating of consistently exceeds performance expectations is characterized not only by achieving the goals for the position, but by going *well beyond* those normally expected for the job.
- The staff member may also have accepted a special assignment or additional responsibilities well outside of the specific purview of the position.
- Performance at this level contributes to significant outcomes that advance the work of the unit and department or office as a whole.
- Performance results in this category are recognized within the work group and unit as exceptional and clearly exceed the goals for the position in all respects.
- This rating, because it reflects exceptional performance, *must be especially well supported by statements of the specific actions and the results of those actions in terms of their contributions to organizational goals.*

Where staff members do not fully meet the performance expectations, one of the following two ratings should be given:

Partially meets performance expectations
- This rating describes performance that meets some goals but that still does not meet enough of the success criteria of the work plan.
- Additional higher quality or more timely outcomes are needed.
- For staff given this rating, the first reporting officer must ensure a more detailed and comprehensive work plan for the upcoming year.
- The plan should include a specific and appropriate performance improvement plan for training and development, more frequent reviews and closer assessment of progress made in areas identified as needing improvement.
- *First reporting officers should provide specific examples of where the staff member's performance needs improvement, as well as instances of clear improvement.*
- At the end of the performance year, if performance still needs improvement, examples should be cited in the comments sections of the end-of-cycle appraisal.
- If performance problems continue, the first reporting officer should propose corrective actions after appropriate consultation.

Does not meet performance expectations
- This assessment means performance has not met the performance expectations articulated in the work plan for the performance period.
- Indications of such performance include:
  - Quality of the work reflects serious shortcomings, or the quantity produced falls well short of the goals that have been established;
  - The results are inadequate after consideration of any relevant circumstances beyond the staff member's control;

- ➢ Failure to complete significant assignments properly or to meet deadlines, which results in a serious negative consequence in meeting the work unit's goals;
- ➢ A continued lack of achievement of goals in spite of documented reviews with the first reporting officer;
- ➢ Performance affects the work of others to the point of being detrimental to achieving the work unit's goals; and/or
- ➢ Serious reservations are evident as to the staff member's overall ability to contribute towards achieving unit goals.

- ▪ In such cases, a proactive approach should be taken by first reporting officers, who must document the performance issues and work with the staff member. The first reporting officer discusses performance issues with the staff member and develops a performance improvement plan to encourage the staff member to take the needed steps for performance improvement. Continued performance issues should result in appropriate sanctions.

These two ratings indicate the existence of shortcomings, or a gap in performance between the goals/expectations set forth in the work plan and the staff member's performance. These shortcomings may call for a specific performance improvement plan.

A rating of "partially meets performance expectations" may justify the withholding of a within-grade increment, particularly if the same rating is given for a second consecutive year.

A rating of "does not meet performance expectations" may lead to a number of administrative actions, such as:

- ▪ The withholding a within-grade increment
- ▪ The non-renewal of a fixed-term contract
- ▪ Termination for unsatisfactory service.

In all cases, appraisal ratings must be explained by comments, including illustrations or examples as needed. For ratings other than "fully successful performance," first reporting officers' comments must include specific examples of the work performed or not performed that justify the rating.

After the performance discussion with the staff member, the first reporting officer completes the end-of-cycle appraisal section of the e-PAS form. (Guidance on completing this section is provided in *PAS in a Nutshell* above.)

> **First reporting officer comments:**
>
> - **The first reporting officer's comments should specifically demonstrate how the staff member has carried out his /her work and the accomplishments of the reporting period.**
>
> - **Overall comments are required for all ratings. They are particularly important when assigning high and low ratings.**
>
> - **Comments should be consistent with the assigned rating.**

Comments and Attachments

The first reporting officer finalizes the PAS by clicking to sign off on the e-PAS form. This sign-off indicates that the end-of-cycle discussion with the staff member has taken place and that all required parts of the appraisal have been completed. No further changes may be made after this step.

The second reporting officer reviews the staff member's e-PAS form and comments, if he/she desires. Then, the second reporting officer clicks to sign-off.

The staff member clicks to sign off on the e-PAS form to indicate that he/she has received the completed PAS for the cycle. The staff member may add comments if he/she wishes.

The first reporting officer then prints out the e-PAS form to sign and collect the signatures of the second reporting officer and the staff member. (Once electronic signatures become the norm, this step will not be necessary.) The staff member's signature acknowledges that the appraisal has been received.

If the staff member receives comments from the first or second reporting officer in the end-of-cycle overall appraisal section of the form that he/she perceives to be inconsistent with the rating assigned, the matter may be brought to the attention of the Head of Department/Office for resolution and, if necessary thereafter, to the attention of the Office of Human Resources Management.

The original printed copy is submitted to the Executive Office for inclusion in the staff member's official record file and a copy is given to the staff member as a paper record. e-PAS records are also stored in the PAS database and are viewable to the staff member, the first and second reporting officers. Staff members may submit their e-PAS as electronic attachments to applications for vacancies in the United Nations.

If necessary, any additional, required documents may be attached to the e-PAS form by the Executive Office (e.g., rebuttal documentation, if applicable).

Note to the File for Staff Elected to Representation Roles

Staff members elected to representation roles that carry a full release do not need to complete a PAS for the period concerned. Such staff members may request a Note to the File from the Executive Officer or the Head of the Department/Office stating that the person is detached for a specified period of time, to avoid a gap in their PAS history. Staff members with a partial release are required to complete a PAS for their regular duties.

Summary of Staff Member, First and Second Reporting Officer Responsibilities

Successful implementation of the PAS is dependent upon the staff member, the first reporting officer and the second reporting officer carrying out their roles and responsibilities as summarized below:

The staff member's responsibilities:
- Seeking to understand larger organizational goals;
- Soliciting clarification on goals/performance expectations;
- Preparing the draft work plan and development plan for discussion with first reporting officer;
- Sharing work-related information with the supervisor and the team;
- Working towards agreement on goals/performance expectations;
- Contributing to work unit success; and
- Preparing for end-of-cycle discussion.

The first reporting officer's responsibilities:
- Establishing and communicating the direction for the work unit;
- Establishing and discussing clear and challenging goals/performance expectations with staff members in their individual work plans;
- Initiating and maintaining open communication regarding work issues and coaching for improved performance as needed;
- Providing regular performance feedback to the unit as a team and to individual staff members; and
- After the end-of-cycle discussion with the staff member, providing end-of-cycle appraisal and comments. (The written comments should be consistent with the overall rating assigned.)
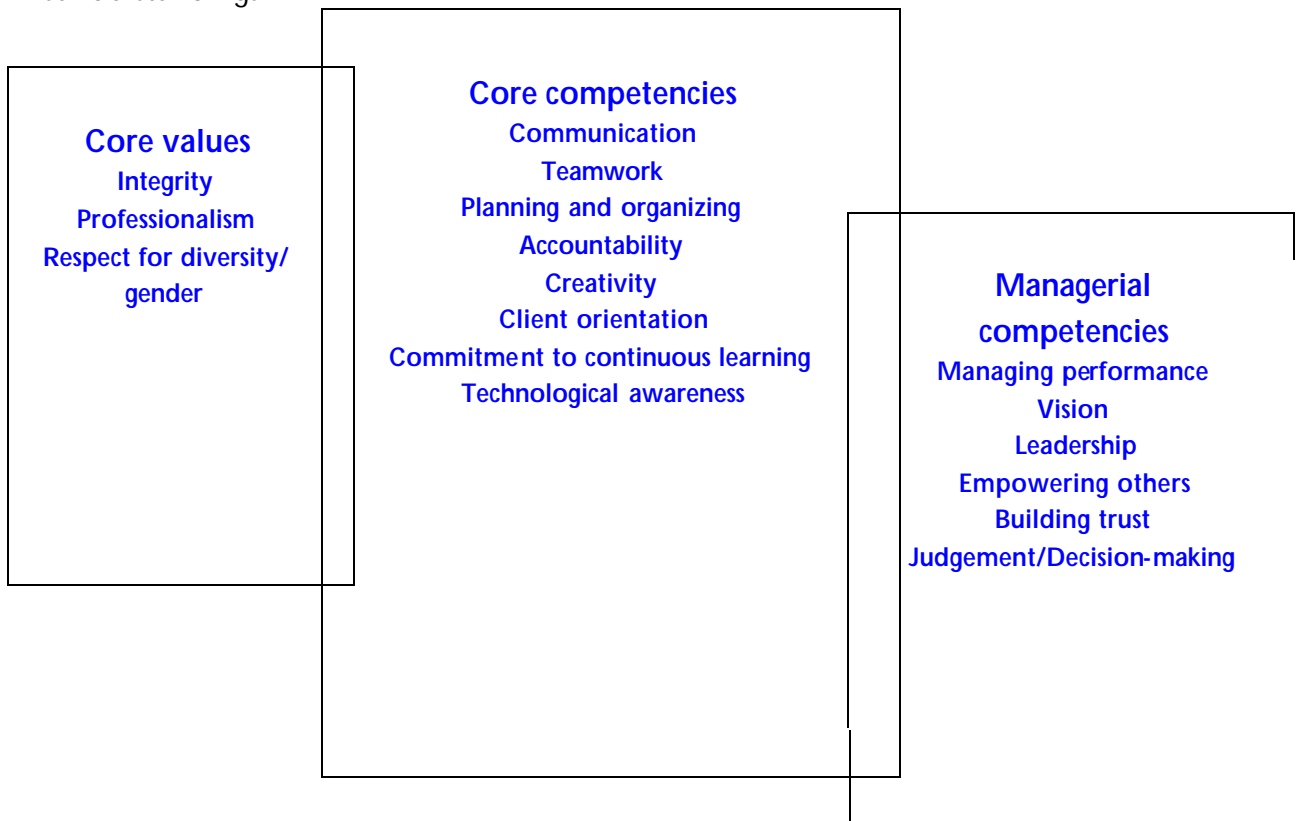
The second reporting officer's responsibilities:

- Providing input on the performance management process throughout the cycle, including timeliness and thoroughness of work planning, feedback and end-of-cycle appraisal;
- Providing ongoing feedback, including in the PAS of the first reporting officer an appraisal of his/her management of staff performance;
- Holding the first reporting officer accountable for appraising staff in accordance with PAS guidelines.
- Reviewing the PAS of staff who report to the first reporting officer and providing comments, if so desired; and
- Evaluating the first reporting officer on managing performance including compliance with the PAS process and procedures.

ANNEX—Core Values, Core Competencies and Managerial Competencies Descriptions

The drop down menu for each competency on the e-PAS form includes the following descriptions of core values, core and managerial competencies. The list is not intended to be exhaustive but to give examples. There may be other indicators that apply more specifically to a particular level, position or function.

As the competencies are relatively new to the Organization, first reporting officers may find it useful to discuss the competency indicators with staff members during the work planning stage to clarify how these competencies apply to the performance of each staff member. The more clarity that a first reporting officer can achieve about the goals/performance expectations at the work planning stage, the more likely the staff member will be able to perform to meet those expectations. Investment of time for discussion at this point will make the appraisal process easier, and reduce the potential for surprises or misunderstandings.

Core values
Integrity
Professionalism
Respect for diversity/ gender

Core competencies
Communication
Teamwork
Planning and organizing
Accountability
Creativity
Client orientation
Commitment to continuous learning
Technological awareness

Managerial competencies
Managing performance
Vision
Leadership
Empowering others
Building trust
Judgement/Decision-making

CORE VALUES

Integrity

- Upholds the principles of the United Nations Charter.
- Demonstrates the values of the United Nations, including impartiality, fairness, honesty and truthfulness, in daily activities and behaviours.
- Acts without consideration of personal gain.
- Resists undue political pressure in decision-making.
- Does not abuse power or authority.
- Stands by decisions that are in the Organization's interest even if they are unpopular.
- Takes prompt action in cases of unprofessional or unethical behaviour.

Professionalism

- Shows pride in work and in achievements.
- Demonstrates professional competence and mastery of subject matter.
- Is conscientious and efficient in meeting commitments, observing deadlines and achieving results.
- Is motivated by professional rather than personal concerns.
- Shows persistence when faced with difficult problems or challenges.
- Remains calm in stressful situations.

Respect for Diversity/Gender

- Works effectively with people from all backgrounds.
- Treats all people with dignity and respect.
- Treats men and women equally.
- Shows respect for, and understanding of, diverse points of view and demonstrates this understanding in daily work and decision-making.
- Examines own biases and behaviours to avoid stereotypical responses.
- Does not discriminate against any individual or group.
- Includes a gender perspective in substantive work.

CORE COMPETENCIES

Communication

- Speaks and writes clearly and effectively.
- Listens to others, correctly interprets messages from others and responds appropriately.
- Asks questions to clarify, and exhibits interest in having two-way communication.
- Tailors language, tone, style, and format to match the audience.
- Demonstrates openness in sharing information and keeping people informed.

Teamwork

- Works collaboratively with colleagues to achieve organizational goals.
- Solicits input by genuinely valuing others' ideas and expertise; is willing to learn from others.
- Places team agenda before personal agenda.
- Builds consensus for task purpose and direction with team members.
- Supports and acts in accordance with final group decisions, even when such decisions may not entirely reflect own position.
- Shares credit for team accomplishments and accepts joint responsibility for team shortcomings.

Planning and Organizing

- Develops clear goals that are consistent with agreed strategies.
- Identifies priority activities and assignments; adjusts priorities as required.
- Allocates appropriate amount of time and resources for completing work.
- Foresees risks and allows for contingencies when planning.
- Monitors and adjusts plans and actions as necessary.
- Uses time efficiently.

Accountability

- Takes ownership for all responsibilities and honours commitments.
- Delivers outputs for which one has responsibility within prescribed time, cost and quality standards.
- Operates in compliance with organizational regulations and rules.
- Supports subordinates, provides oversight and takes responsibility for delegated assignments.
- Takes personal responsibility for his/her own shortcomings and those of the work unit, where applicable.

Client Orientation

- Considers all those to whom services are provided to be "clients" and seeks to see things from clients' point of view.
- Establishes and maintains productive partnerships with clients by gaining their trust and respect.
- Identifies clients' needs and matches them to appropriate solutions.
- Monitors ongoing developments inside and outside the clients' environment to keep informed and anticipate problems.
- Keeps a client informed of progress or setbacks in projects.
- Meets timeline for delivery of product or services to client.

Creativity

- Actively seeks to improve programmes or services.
- Offers new and different options to solve problems or meet client needs.
- Promotes and persuades others to consider new ideas.
- Takes calculated risks on new and unusual ideas; thinks "outside the box".
- Takes an interest in new ideas and new ways of doing things.
- Is not bound by current thinking or traditional approaches.

Technological Awareness

- Keeps abreast of available technology.
- Understands applicability and limitations of technology to the work of the Office.
- Actively seeks to apply technology to appropriate tasks.
- Shows willingness to learn new technology.

Commitment to Continuous Learning

- Keeps abreast of new developments in own occupation/profession.
- Actively seeks to develop oneself professionally and personally.
- Contributes to the learning of colleagues and subordinates.
- Shows willingness to learn from others.
- Seeks feedback to learn and improve.

MANAGERIAL COMPETENCIES

Managing Performance

- Delegates the appropriate responsibility, accountability and decision-making authority.
- Makes sure that roles, responsibilities and reporting lines are clear to each staff member.
- Accurately judges the amount of time and resources needed to accomplish a task and matches task to skills.
- Monitors progress against milestones and deadlines.
- Regularly discusses performance and provides feedback and coaching to staff.
- Encourages risk-taking and supports staff when they make mistakes.
- Actively supports the development and career aspirations of staff.
- Appraises performance fairly.

Vision

- Identifies strategic issues, opportunities and risks.
- Clearly communicates links between the Organization's strategy and the work unit's goals.
- Generates and communicates broad and compelling organizational direction inspiring others to pursue that same direction.
- Conveys enthusiasm about future possibilities.

Leadership

- Serves as a role model that other people want to follow.
- Empowers others to translate vision into results.
- Is proactive in developing strategies to accomplish objectives.
- Establishes and maintains relationships with a broad range of people to understand needs and gain support.
- Anticipates and resolves conflicts by pursuing mutually agreeable solutions.
- Drives for change and improvement, does not accept the status quo.
- Shows the courage to take unpopular stands.

Empowering Others

- Delegates responsibility, clarifies expectations and gives staff autonomy in important areas of their work.
- Encourages others to set challenging goals.
- Holds others accountable for achieving results related to their area of responsibility.
- Genuinely values all staff members' input and expertise.

- Shows appreciation and rewards achievement and effort.
- Involves others when making decisions that affect them.

Building Trust

- Provides an environment in which others can talk and act without fear or repercussion.
- Manages in a deliberate and predictable way.
- Operates with transparency, has no hidden agenda.
- Places confidence in colleagues, staff members and clients.
- Gives proper credit to others.
- Follows through on agreed upon actions.
- Treats sensitive or confidential information appropriately.

Judgement/Decision-making

- Identifies the key issues in a complex situation, and comes to the heart of the problem quickly.
- Gathers relevant information before making a decision.
- Considers positive and negative impact on others and on the Organization.
- Proposes a course of action or makes a recommendation based on all available information.
- Checks assumptions against facts.
- Determines that the actions proposed will satisfy the expressed and underlying needs for the decision.
- Makes tough decisions when necessary.

JOB-RELATED COMPETENCIES

Inclusion of specific job-related competencies is an optional feature of the revised PAS form and may be included during the work planning stage.

These should be defined and mutually agreed upon by the first reporting officer and staff member. They may include knowledge of official languages for job-related purposes, project management, specific computer skills or other skills of a technical nature, drafting skills such as drafting reports of the Secretary-General, editing skills, etc.