

# The self-assessment report on performance appraisals in the Western Balkans



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# The self-assessment report on performance appraisals in the Western Balkans

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# 1. Introduction

Performance management “can be defined as a systematic process for improving organizational performance by developing performance of individuals and teams. It is a means of getting better results by understanding and managing performance within an agreed framework of planned goals, standards and competency requirements”<sup>1</sup>. Performance appraisal system is a formalized tool of the HRM that aims at elaboration of structured appraisal of an employee and is an important element of the performance management system.

The definitions above draw attention to the fact, that the ultimate objective of the performance appraisal system is improving organizational performance, even if more specific objectives of the performance appraisal are defined, like contributing to the development of employees, etc.

The objective of the Framework is to provide to public officials who are in charge of designing and implementing performance appraisals a simple tool that would help them assess the design and functioning of the system of performance appraisals and provide them with suggestions, which elements of the system could be further improved. This is a self-assessment tool, which means that the ultimate objective is not ticking as many boxes as possible, but to stimulate discussions on current solutions.

This report starts with a short description of the methodological framework, followed by an analysis of the self-assessment results. The analysis contains two parts – comparative analysis of Western Balkan administrations and the short analysis of each system. Finally, the conclusions drawn lead to the formulation of a number of recommendations and some examples of inspiring cases practices applied in the region that have been identified.

It is important to emphasize that the self-assessment exercise was not performed by independent external consultants, according to the strict methodology based on indicators. Thus, the presented comparative picture should, by now way, be used to draw conclusions about any kind of ranking between the Western Balkans administrations.

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<sup>1</sup> Armstrong M. (2006), A handbook of human resource management practice, Kogan Page, London and Philadelphia

# 2. Methodological approach

## Description of the Methodological Framework

The Self-Assessment Framework related to the system of performance appraisals is the continuation of previous ReSPA work on the topic of performance appraisals, and namely:

- ReSPA (2018), Individual Performance Appraisal of Employees in Central Public Administration in the Western Balkans - Baseline analysis.
- ReSPA (2020), Towards Effective Performance Appraisal in the Western Balkans. How to develop performance” that contains also a number of checklists.

The Framework is well aligned with the SIGMA (2017) Principles of Public Administration<sup>2</sup> and SIGMA (2019) Methodological Framework for the Principles of Public Administration<sup>3</sup>. At the same time, the Framework is more comprehensive and goes into more detail than SIGMA documents.

The Framework also takes into accounts latest developments and trends in performance appraisal, based on the review of relevant literature.

And finally, the Framework builds on the experience of the author both in the implementation of performance appraisals in the Polish civil service and his consultancy work with a number of countries.

The Framework is divided in three main areas:

- Preconditions and enablers;
- The process of conducting performance appraisals;
- Effectiveness and the use of results of performance appraisals.

The identification of these three areas ensures that the most important aspects are analyzed – the process and the results. In the Western Balkans, despite introduction of sound methodologies of performance appraisal in legal documents, important challenges persist as regards its implementation. This may suggest that not all preconditions are in place and that insufficient efforts are undertaken to make the performance appraisals work well in practice. Thus, the preconditions and enablers of effective performance system have also been analysed.

The questions included in the Framework relate not only to legislation and processes, but also to practical implementation of performance appraisals.

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<sup>2</sup> <http://www.sigmaweb.org/publications/Principles-of-Public-Administration-2017-edition-ENG.pdf>

<sup>3</sup> <http://www.sigmaweb.org/publications/Methodological-Framework-for-the-Principles-of-Public-Administration-May-2019.pdf>

## **Preconditions and enablers**

Successful implementation of performance appraisals requires not only sound legal provisions, but also the existence of a number of preconditions. For instance, the existence of a competency framework, good quality job descriptions and well-organized management by objectives in the organization are necessary for performance appraisals to reach their full potential and add value. Moreover, there are important enablers that, when in place, increase the chances of successful implementation of performance appraisals. They relate to necessary support and guidance provided to civil servants, managers, etc., as well as to the existence of functional IT tools that make the process more user friendly, intuitive, less time consuming and better integrated with HR processes.

## **Process of conducting performance appraisals**

This part of the Self-Assessment Framework focuses on the most important steps in the process of conducting performance appraisals, actors involved in this process, and the existence of safeguards for civil servants. It encompasses also the questions on how agile and flexible the system is, and whether performance appraisal could be easily conducted remotely.

## **Effectiveness of performance appraisal and the use of its results**

This section focuses on the results more than on the processes. It encompasses questions about the use of performance appraisals for professional development, distribution of awards and about adequate safeguards for civil servants, if performance appraisal is used as a basis for dismissals. It contains the questions not only about formal scope of civil servants eligible for performance appraisals, but also on the actual implementation of performance appraisals; potential inflation of performance appraisal grades; the use of remote performance appraisals in practice, etc. It touches also on the subject of linkage between individual and organizational achievements. This section does not contain questions about the links of performance appraisal results with salary setting and has only one question on linking it with awards. It is so, because experts are not unanimous whether creating direct links between appraisals and financial incentives is a proper solution and for sure it creates a lot of risks. It does not mean that such a link should not exist, but it means that it should not be recommended to all organisations and all performance appraisal systems. And finally, this part contains the questions about usefulness of the performance appraisal system and its user-friendliness.

## **Limitations of the Framework**

There is a number of limitations of this Self-Assessment Framework that need to be mentioned here.

### **Differences in the applied systems**

Different approaches to performance appraisal system are possible that reflect objectives, specificity of the legal system, and the design of the civil service, tradition and methodological choice. Thus, the checklist focuses on the most important issues that could be treated as a common denominator, however some questions in the Framework could be less relevant or less important for particular systems.

## **Objectives of performance appraisals**

There is an important discussion ongoing on objectives and the shape of performance appraisal systems. All authors and practitioners agree that the design of the performance appraisal system should be aligned with its objectives. Many experts are of the opinion that it is not optimal that performance appraisal fulfills different objectives at the same time. They claim that it should either focus on professional development role, or focus on evaluation role (with implications for salaries, dismissals, etc.). They remark that there is an important risk that a performance appraisal system trying to reach both objectives at the same time would become dysfunctional and would not work in practice. For example, Samuel A. Culbert and Lawrence Rout propose, as an alternative, “performance previews” that focus solely on providing feedback to employees<sup>4</sup>. Nevertheless, the usual legislative solution in the Western Balkans is that performance appraisal should serve both objectives, which creates some risk.

The research has proven that performance appraisals focusing on professional development and providing feedback are usually more accurate and reliable than performance appraisals that have the objective of evaluation of achievements for pay setting purposes, bonuses and transfers<sup>5</sup>.

## **Some important aspects of performance appraisal are not included in the Framework**

The objective of the Framework is to find a common denominator – a list of suggestions for improvement of the performance appraisal system that could be applied in most cases. The literature and practice suggest that certain features of performance appraisal systems are disputable and their application creates important risks and thus, are not recommended in all situations, in all organisations. This relates for example to creating direct links between performance appraisal results and salaries of employees, introducing maximal thresholds for performance appraisal grades or the introduction of 360-degree appraisals.

Another reason for non-inclusion of certain aspects is the applied self-assessment method - self assessment is planned to be performed by civil servants from civil service management bodies and relevant ministries, with the assistance of ReSPA experts. Self-assessment of the practice of appraisal interviews (an essential element of each appraisal), would rather require surveying or interviewing a large number of civil servants, which is not foreseen by the current methodology. Thus, the detailed set of questions on how performance interviews have been conducted is not included in the Framework.

## **Lack of representative sample of respondents**

While many questions could be answered during interviews with civil servants working for central CS coordination body or relevant ministry and rely on the data available for them, there is a number of questions that would be best answered with the help of staff surveys. This would however increase the workload related to self-assessment. So, it was decided to maintain some of these questions in the Framework, knowing that the received answers would not always be 100% accurate, due to the lack of a representative sample of respondents.

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<sup>4</sup> Culbert, Samuel & Rout, with. (2010). Get Rid of the Performance Review! How Companies Can Stop Intimidating, Start Managing and Focus on What Really Matters.

<sup>5</sup> Lipowska J. (2013), Appraisal Interview: Studies on Contemporary Guidelines, in: Human Resource Management, 5/2013, institute of Labor and Social Studies, Warsaw. Similar view is expressed by Van Slyke E. (2010), An Alternative to Performance Appraisal, Society for Human Resource Management



### **Covering only regular performance appraisal**

Apart from regular performance appraisals, there are also other forms of evaluating performance of employees. The example of it would be the first appraisal that is performed at the end of the trial period for newcomers. This appraisal serves other objectives than annual performance appraisal and thus the process should be designed in a different way. Appraisals after the probation period are not a part of this Framework, nevertheless many questions from the Framework would be also relevant for this kind of appraisal.

## **Participants of the exercise**

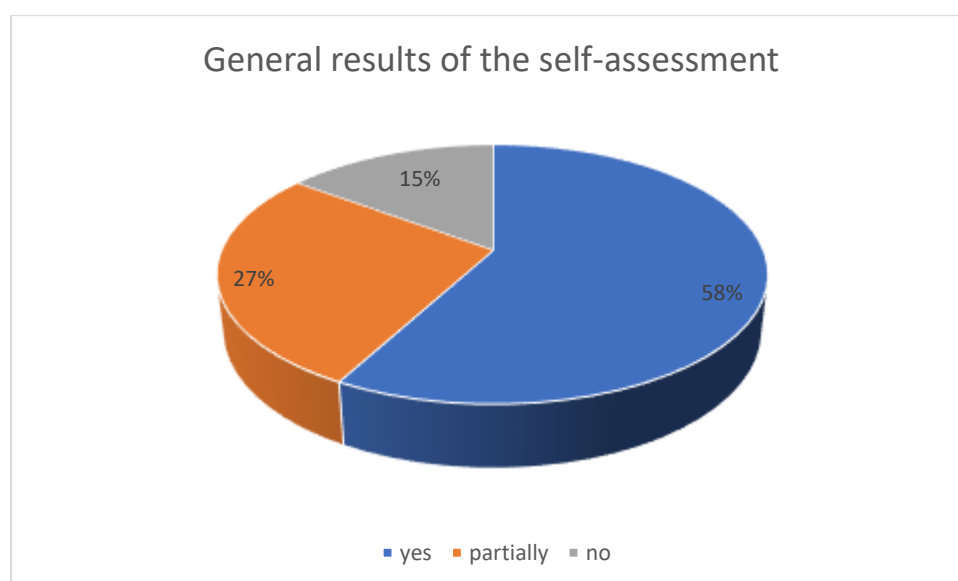
The exercise of self-assessment of performance appraisal systems in the Western Balkans was performed by working groups consisting of civil servants from the institutions in charge of managing civil service in: Albania, Bosnia and Herzegovina, Montenegro, North Macedonia, and Serbia.

This exercise was supported by ReSPA local experts who moderated the meetings of the working groups, took notes of the discussion, and prefilled some answers. However, it must be emphasized that, the self-assessment was performed predominantly by country officials supported by ReSPA experts.

# 3. Results of the self-assessment

## Comparative overview

Some questions in the Framework were not based on hard data (legislation, numbers), but were related to the practice of performance appraisals and allowed subjective answers. Thus, the answers and scores from the administrations by no way should be compared between each other, nor should the ranking of the administrations be established. The review of the answers made it clear that some respondents were more critical towards their own system than others. Different approaches to questions contained in the Framework are acceptable, as the main objective of the Framework is to provide inspiration for the administrations to continue improving their HRM tools, and not comparing the administrations. Therefore, the report does not contain any graphs that would compare the results across administrations that took part in the exercise.

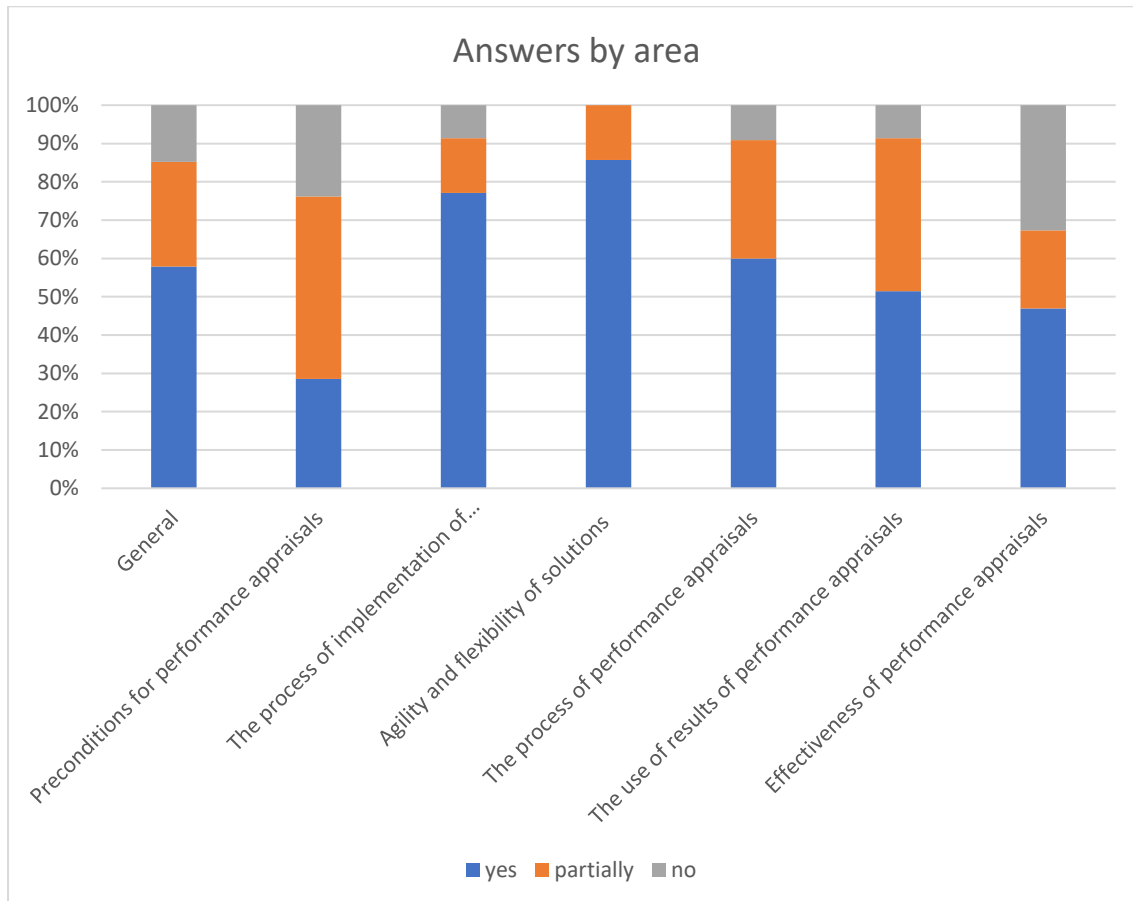


The above graph presents the general results of the self-assessment, which are rather positive. In vast majority of cases, the answer to questions was “yes”, which means that the specific element is in place and is applied. However, still in 42% cases the answer was “no” or “partially”, which means that the element is not in place, or is in place but is not applied correctly, or there are doubts about its application in practice. The results of this exercise confirm that the performance appraisal systems in place are usually well designed and are in line with most good practices. However, it shows that there is important room for improvement regarding certain elements.

According to the methodology, the analysis was broken down to the following areas:

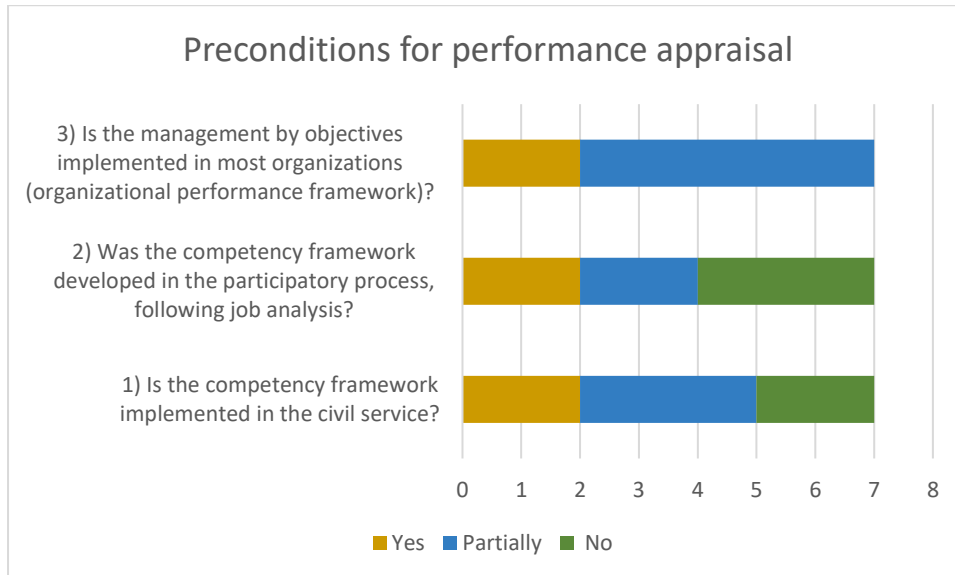
- 1) Preconditions for performance appraisals
- 2) The process of implementation of appraisals is supported (enablers)
- 3) Agility and flexibility of solutions
- 4) The process of performance appraisals
- 5) The use of performance appraisal results
- 6) Effectiveness of performance appraisals.

Each of these areas contains several questions about more specific elements.



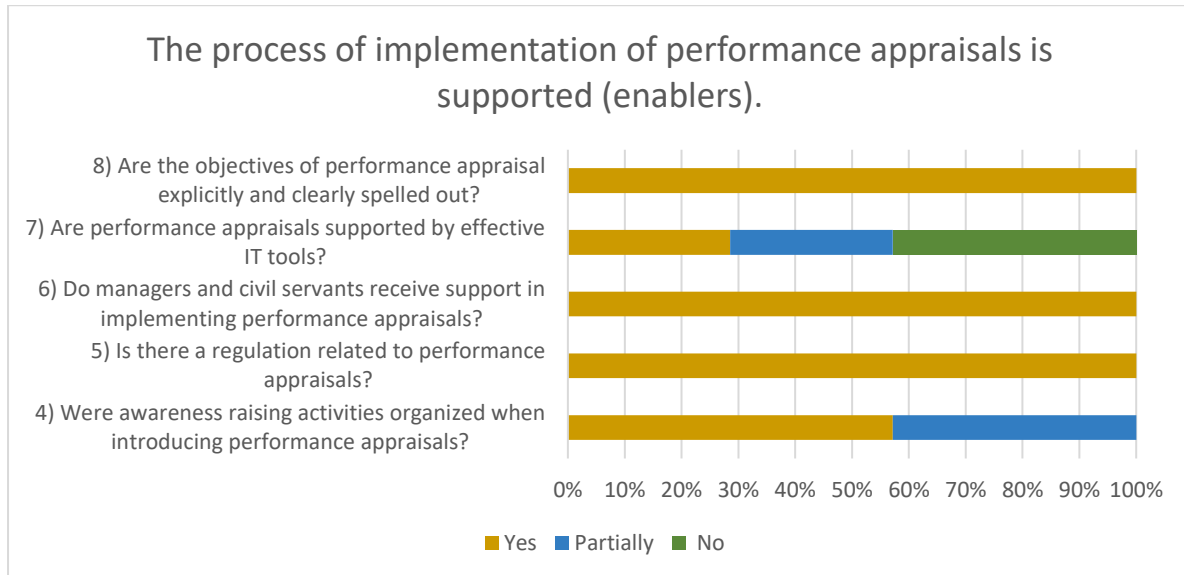
The analysis of different aspects of performance appraisal provides a more detailed picture of the situation. The analysis reveals that the process of performance appraisals, is – in general – well designed and implemented. The applied solutions ensure sufficient flexibility that takes into account organizational changes, but also the specificity of groups of positions. The analysis shows that civil service management bodies have invested a lot of effort to support the process of the implementation of performance appraisals, including capacity building, etc. Despite this, there is a potential to make better use of performance appraisal in other HR processes (like professional development). The effectiveness of performance appraisals is also limited. One of possible explanations why performance appraisals do not reach their full potential, while the processes are rather well designed and the implementation was supported, is that not all preconditions for the introduction of performance appraisals were in place.

## Preconditions for performance appraisals



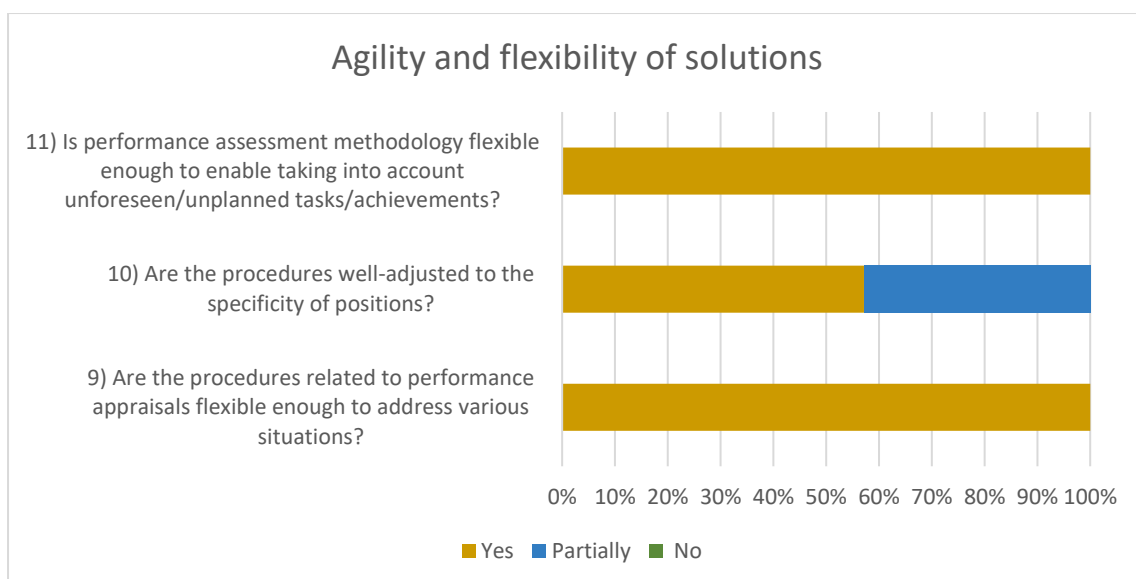
A more detailed analysis of the existence of preconditions for effective performance appraisals shows that they are rarely in place. This relates both to the existence of the performance framework in the organization and the existence of the competency framework that is duly applied and that was elaborated according to good practices (job analysis, consultations). Moreover, there are cases, when competency frameworks are in place, but they are used only for recruitments and not for performance appraisals. The question about the quality of job descriptions (although this is an important precondition) was not included in the initial self-assessment framework, but was raised during the Workshop. Participants expressed some doubts about the quality of job descriptions and the extent to which they are up-to-date. The limited extent to which the preconditions are in place may explain why, despite decent design of performance appraisals, they do not always bring expected added value in the HRM in public organisations and are not regarded as a useful HRM tool.

### Process of implementation of appraisals is supported (enablers)



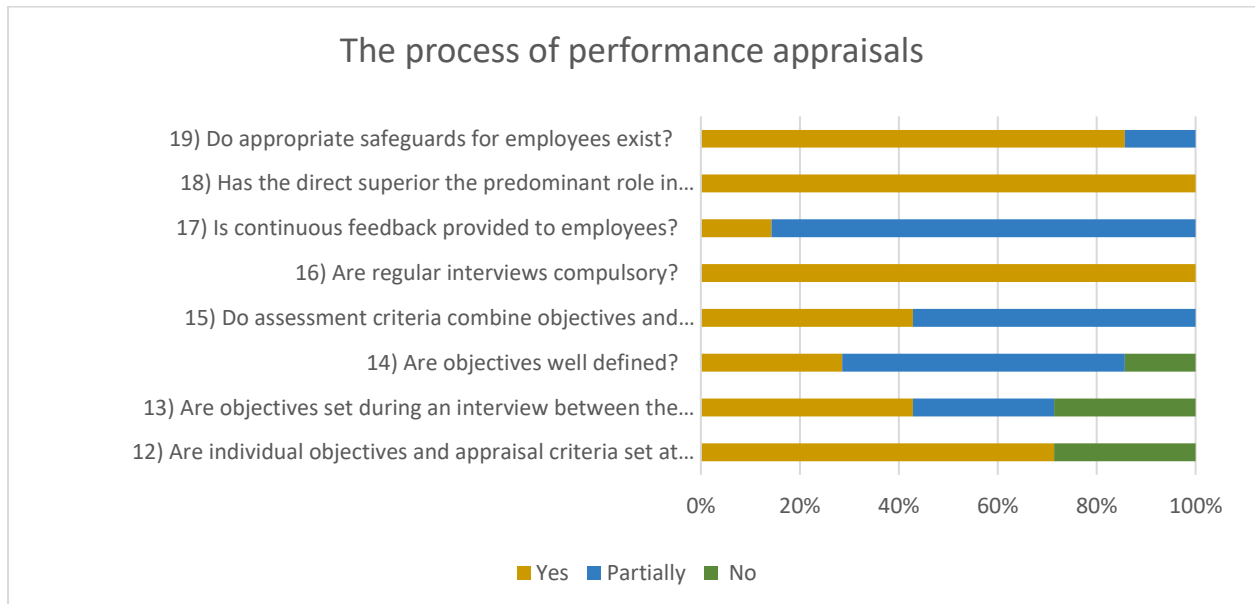
In general, the administrations have invested a lot in creating enablers to increase the chances of the implementation of performance appraisals. There is a solid legal basis in place (in all cases) and awareness raising and capacity building activities were usually undertaken both when the system was introduced, and also on regular basis to support its implementation. The weaker point are IT solutions to support the process of performance appraisal, which make the process less burdening and facilitates the use of its results in different HR areas. While many administrations have undertaken some steps to develop relevant IT solutions, in some cases they are not yet implemented, and thus the process is still paper-based.

### Agility and flexibility of solutions



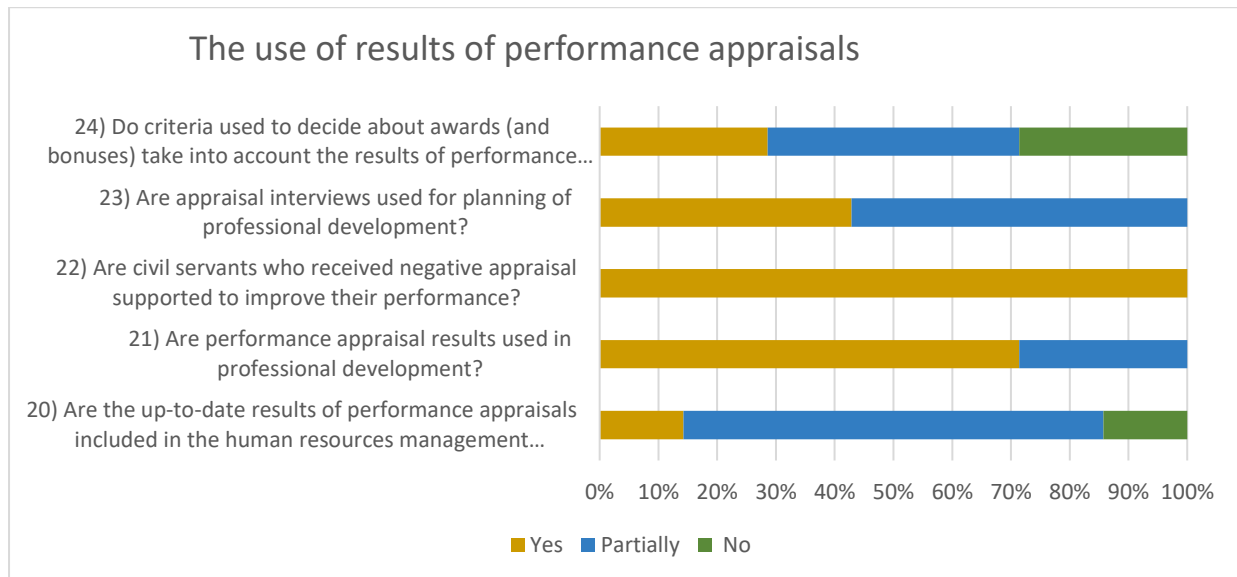
The analysis of answers confirms that the process of performance appraisals is well designed in terms of ensuring flexibility to react to unforeseen situations, organizational and personnel changes, etc. It is also flexible in terms of modifying objectives in an unstable environment and changing priorities. In most cases, it is also adjusted to the needs of different groups of civil servants, which means that at least the procedures and assessment criteria for senior civil servants are different from procedures for other civil servants.

### Process of performance appraisals



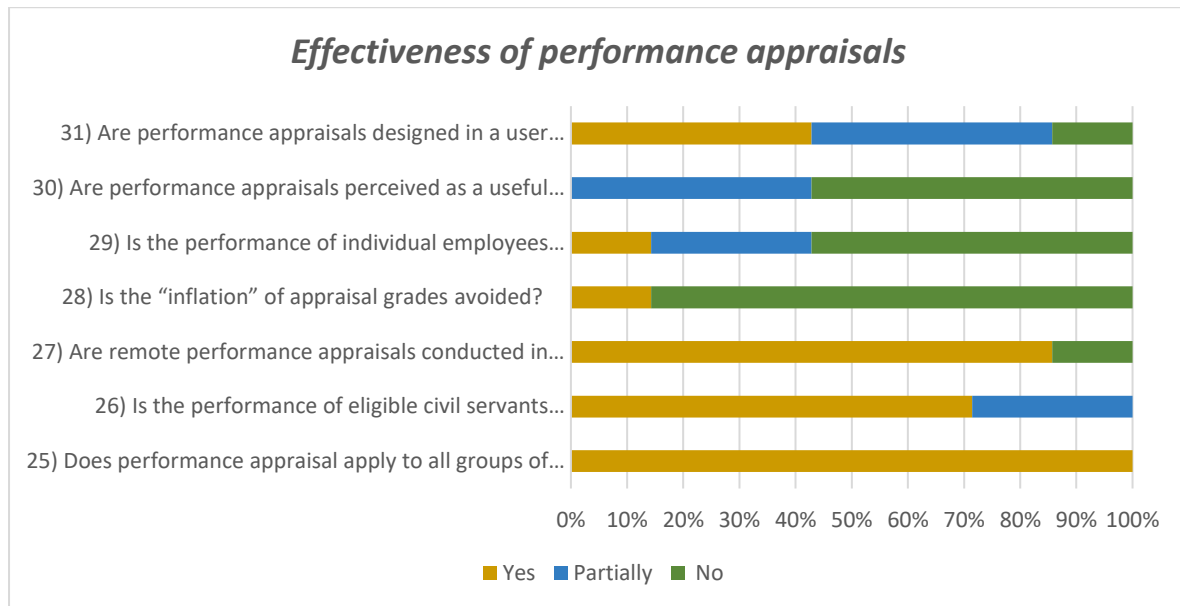
The process of performance appraisals is well regulated in the Western Balkans, however civil servants conducting self-assessment were not sure about the actual practice regarding certain elements. For example, there were doubts to which extent individual objectives are well defined or to which extent the continuous feedback is being provided to civil servants. There is room for improvement in designing the criteria of performance appraisals so that they combine competences and performance objectives, according to good practices. The existing processes ensure solid safeguards for civil servants to protect their rights during the process of performance appraisals. Moreover, during the Workshop, participants expressed doubts about the actual quality of appraisal interviews.

## Use of performance appraisal results



According to the results of the self-assessment, performance appraisal serves two main objectives – provision of feedback to employees and contributing to their professional development planning. In all cases, there is an obligation to support civil servants who are not performing well. The answers to the question on the links between awards and performance appraisal results need to be interpreted carefully, taking into account that in some cases, there are no financial awards distributed to civil servants; in that case the answer was “no”. The biggest challenge seems again the IT infrastructure that would enable to collect and analyse up-to-date performance appraisal results, which is necessary to increase the added value of performance appraisals in HRM.

## Effectiveness of performance appraisals



While the legislation makes performance appraisals compulsory for all categories of civil servants, in some cases, its implementation in practice fails and not all eligible civil servants are assessed. In most cases, the COVID epidemics and remote work did not affect the practice of performance appraisals and the process continued as before. Many respondents were of the opinion that performance appraisal system is rather user friendly, however most of them had serious doubts whether it is perceived as a useful HRM tool. In all cases but one, the inflation of grades of performance appraisals was reported, which could – to some extent – explain the critics about the usefulness of performance appraisal as an HRM tool. Performance appraisals could be useful if they manage to differentiate between good and bad performers. In the situation, when almost all civil servants are qualified as good performers, it makes little sense to base HR decisions on performance results. The impression about limited usefulness of performance appraisals may be also the result of high expectations towards this tool. This topic would require further discussion and analysis. In most cases, performance appraisals of individual civil servants are not related or insufficiently related to the performance of the organization. This may be due to lacking or imperfect performance management schemes on organizational level. It seems that better linkage between individual appraisal, the performance of organizational units and the whole organization could result in limiting the “inflation” of grades of performance appraisals and increasing the general perception of performance appraisals as a useful HR tool.



## Country overview

### Albania

Albania has invested a lot in supporting the process of performance appraisals with capacity building activities. The existing solutions are perceived as flexible enough and the process is broadly in line with good international practices. However, not all preconditions for effective performance appraisals are in place. For example, the competency framework exists only for senior positions. Currently the performance on organizational level in Albania is not measured and the inflation of grades of individual performance appraisals is a challenge. Albania has implemented some solutions that could serve as inspiring cases, for example the E-performance IT system and HRM surveys that – among others – ask about the feedback on the performance appraisal system.

### Bosnia and Herzegovina

Performance appraisal schemes in BiH differ across the levels. The self-assessment was performed by BiH Institutions, Federation of BiH (FBiH) and Republika Srpska (RS). All levels lack certain preconditions for effective performance appraisals. For example, although on all three levels competency framework is in place, it is not used, or not fully used in the process of performance appraisals. All levels have invested in awareness raising and capacity building to support the process of performance appraisals, however only FBiH managed to develop IT solutions that facilitate this process. On all levels the process is flexible enough, however in RS and State Institutions the criteria for appraising senior civil servants are the same as for other civil servants, which is problematic. The process of performance appraisals is well regulated in practice, but the self-assessment results differ. State Institutions level respondents are more critical about the actual practice than their colleagues from FBiH and RS. The same is the case, for example, for using the results of performance appraisals to plan professional development. The perception of the effectiveness of the performance appraisal system also differs across the levels. FBiH and RS are less critical than the State Institutions, which may be also due to different approach in filling in the self-assessment form. In all cases, the inflation of grades is a fact and in all administrations performance appraisals are not perceived as a useful HR tool, but the opinions on the user-friendliness of the current system differ. In all levels, the significant decrease in the number of assessed civil servants during COVID epidemics was not observed.

### Montenegro

Montenegro's self-assessment was the most self-critical, comparing to other administrations, which does not mean that its system is less developed. Like in other administrations, the preconditions for effective performance appraisal are not fully in place – it relates mostly to the competency framework. Montenegro has invested a lot in awareness raising and capacity building to support the implementation of performance appraisals, however IT solutions to support the process are not in place. The PA system is regarded as flexible enough. Regarding the organization of the process of performance appraisals, the officials in Montenegro admit that some important issues like setting objectives at the start of the appraisal process in discussion between the superior and the employee are not regulated. They are recommended

by guidebooks, but in a legalistic culture these recommendations are not always followed. The same applies to preparing TNAs with the use of performance appraisal results. Performance appraisals are also not always taken into account when determining the bonuses. Montenegro faces some challenges in making performance appraisals effective. Like in other administrations, there exists a problem of “inflation” of appraisal grades that makes it more difficult to link individual performance to organizational performance. Moreover, during COVID epidemics, MNE observed a significant decline in the number of conducted appraisals.

### **North Macedonia**

North Macedonia has presented quite positive self-assessment of the performance appraisal system; in some cases, the respondents ticked the box “yes”, while admitting that some room for improvement may exist. It is the only of the analysed administrations that claims that all preconditions for effective performance appraisal are in place, including the competency framework and performance management on organizational level. North Macedonia has invested a lot in awareness raising and capacity building activities to support the implementation of performance appraisals. The only missing element is an effective IT system supporting performance appraisals, which was developed, but is not yet in use. According to received answers, the system is quite flexible, however the procedures are not sufficiently differentiated to meet the needs of different staff categories (for example for senior positions). The process of performance appraisals is well designed; however, it does not foresee setting objectives during an interview between the manager and an employee, which is a serious shortcoming. The results of performance appraisals are used in different HR areas/decisions. Despite, quite positive self-assessment of different elements of performance appraisal, the interviewees were critical about the perception of the performance appraisal as a useful HRM tool and they expressed an opinion that it is overcomplicated and not user friendly. The innovative feature of the system in North Macedonia is using 360-degree feedback in performance appraisals, this practice and its effectiveness should be further analysed. A very positive development is the ongoing work on the new IT system that would support performance appraisals.

### **Serbia**

The competency framework is in place in Serbia, which should increase the usefulness of performance appraisals. The specific feature of the Serbian system is that objectives are defined only at the level of sectors/departments/sections. There are no objectives at the level of the whole organization, nor on individual level. This is an interesting solution to avoid practical problems with cascading objectives and promoting team work, but is not fully in line with good management practices. It would be interesting to research more how it works in practice and whether it should be replaced with traditional cascading of objectives from the level of organization, through departments, units to individual positions. Serbia has also invested in awareness raising and capacity building capacities. The IT system supporting performance appraisals was developed, but is not yet operational. According to the self-assessment results, the Serbian system of performance appraisals is flexible enough and the process is well designed. Performance appraisal, according to regulations, should be used for professional development, however the practice may differ in different institutions. It is perceived as a rather useful tool, but there is some room for improvement regarding its design and it is perceived by some as burdensome. A strong point of the Serbian system is the use

of behavioral competences and it is remarkable that some institutions (Customs) managed to curb the inflation of appraisal grades, which is rarely the case in the region.

# 4. Identification of some inspiring cases and conclusions

While countries developed many good solutions related to performance appraisals, related to both the process of performance appraisals and support activities (guidebooks, trainings, etc.), three particular examples of inspiring cases were identified and discussed in detail during the workshop:

- 1) The example from Serbian Customs of the activities undertaken to curb inflation of performance grades;
- 2) The Albanian e-Performance system – a tool that makes the PA more user-friendly and makes it easier to use the results of performance appraisal in HR decisions;
- 3) North-Macedonian system of 360-degree feedback in performance appraisals.

The last case – 360-degree feedback – was presented by North Macedonia as an example of an inspiring case, however it must be emphasized that this solution, although interesting and useful in some systems, may not work well in all situations, in all countries.

The main conclusions from the self-assessment exercise are the following:

- 1) The main challenge in implementing performance appraisals is the linkage and harmonization with organizational objectives.
- 2) Two crucial areas related to performance appraisals are: objective setting and interviews.
- 3) While performance assessments` process, in most cases, is designed according to good practices, the areas where improvement is needed are:
  - a. Linking individual performance appraisals with organizational objectives and in general – improving performance management system in public bodies
  - b. Introducing competency frameworks and making better use of them in performance appraisals
  - c. Continuing efforts to support performance appraisal process with relevant IT solutions
  - d. Continue efforts to change the mindset of public managers and other civil servants to change their approach to performance management in general and performance appraisal in particular
  - e. Simplifying current solutions related to performance appraisals to make them less burdensome.

# 5. Recommendations

## **General recommendations to all administrations:**

- 1) To further improve the practice of performance appraisals, it is necessary not only to improve the existing individual assessment tools, but also improve the general system of performance management on organizational level, as it is an important precondition for performance appraisals.
- 2) Continue efforts to change organizational culture and raise awareness of managers and other civil servants about the benefits from using performance appraisals.

## **Albania**

- 1) Continue the development of the competency framework for positions other than senior positions to further use them in the performance appraisal process.

## **Bosnia and Herzegovina**

- 1) Better align the criteria of performance appraisals with the competency framework to ensure consistency.
- 2) RS and State Institutions level should invest in IT solutions that would support the process of preparation, conducting and monitoring of performance appraisals.
- 3) RS and State Institutions` level should improve the criteria of performance appraisals so that they – to a larger extent – take into account the specific features of different employment groups, in particular senior civil servants.

## **Montenegro**

- 1) Continue the development of the competency framework for positions other than senior positions to further use them in the performance appraisal process.
- 2) Invest in IT solutions that would support the process of preparation, conducting and monitoring of performance appraisals.
- 3) Improve the legislation so that it clearly prescribes some important elements of the performance appraisal process, like objective setting.

## **North Macedonia**

- 1) Continue efforts to implement IT solutions that would support the process of preparation, conducting and monitoring of performance appraisals.
- 2) Improve the procedures of performance appraisals so that they – to a larger extent – take into account the specific features of different employment groups, in particular senior civil servants and ensure that the objective setting is done in more participatory way.
- 3) Review the procedures to make them less burdensome in the application.
- 4) Analyze the practice and effectiveness of applied solutions related to 360-degree feedback and setting thresholds.

***Serbia***

- 1) Continue efforts to implement IT solutions that would support the process of preparation, conducting and monitoring of performance appraisals.
- 2) Analyse the practice and effectiveness of applied solutions related to objective setting only at departments/divisions level and depending on the results of this analysis – consider potential changes.
- 3) Review the procedures to make them less burdensome in the application.

# Annex 1:

## Performance Appraisal Self-Assessment Framework

This Framework is designed predominantly for public managers that have influence on applied solutions related to performance appraisal. This means first of all the civil service management agencies, relevant ministries, government schools and training centers. It should help them self-assess the system that is currently in place and give them inspiration about possible directions of improvement. Some questions could be also useful for other civil servants occupying managerial positions that apply performance appraisals in practice and HR staff that have a role in implementing performance appraisals in each organisation.

It is not a strict assessment with the attribution of points for different criteria (such as the methodological framework for assessment against SIGMA's Principles of Public Administration). The function of this Framework is rather to provide public bodies with a list of questions or points to check whether certain solutions that could improve the application of performance appraisals are in place. The objective of the self-assessment should not be to tick as many boxes as possible, but to stimulate discussions on making the system better, while minimizing risks. Some solutions suggested by the questions may not be fully relevant for all public organizations or civil service systems.

Having in mind all the limitations, the general rule is that the answer "yes" to a question is positive and means that the system is aligned with good practices to this regard. Answers "partially" or "no" mean that there could be potential for improvement (but it could also mean that this particular question is not fully relevant for a specific organization or civil service system). Very often, the answer "partially" should be selected if legal provisions are well designed, but there are doubts whether they are well implemented in practice. Some questions relate to the practice of performance appraisals. These questions are necessary to ensure that the Framework addresses the real state of affairs and is not limited only to legal issues. However, central civil service management bodies may not possess the data necessary to answer all questions. In such situations, it is suggested to provide a response based on your knowledge of the state of affairs in individual ministries and other organizations. It is a self-assessment tool and not a strict assessment methodology, thus some answers based on opinions and not hard data are allowed.

### Self-assessment framework template

<b>Area: Preconditions for performance appraisals</b>
<b>1. Is the competency framework implemented in the civil service?</b>
The existence of the competency framework means that the <u>set of competences</u> needed for successful performance of the organization was developed. These competencies are <u>well described</u> (usually including examples of positive and sometimes also negative behaviors). Moreover, it means that <u>job descriptions</u> exist, which <u>attribute relevant competences (and their level) to particular positions</u> . There could be one competency framework implemented in the civil service, or different competency frameworks in public

organizations. The focus of this question is on the existence of a competency framework and whether it contains the most important elements, but it is not a question about the quality of the formulation of competences. Answer “yes” should be selected, if all above mentioned elements are in place. Source: interview, reference to competency framework – if publicly available.

Yes	Partially	No
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**2. Was the competency framework developed in the participatory process, following job analysis?**

It is a good practice that the development of competency framework follows the process of thorough job analysis and engages civil servants from various institutions. If, on the contrary, the competence framework was developed by external actors and not tested/discussed properly before introduction, the answer should be “no”, as there is significant risk that it would not be fully relevant for the purpose of performance appraisals. If there is no competency framework in place, the answer should be “no”. Answer “yes” should be selected, if proper job analysis was implemented and different ministries were consulted while developing the framework. Source: interviews.

Yes	Partially	No
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**3. Is the management by objectives implemented in most organizations (organizational performance framework)?**

The organization should have a set of tangible objectives clearly defined. These objectives should be cascaded down through the level of departments to the level of units. This would make it much easier to identify concrete objectives for civil servants for the purpose of performance appraisal. This question relates rather to the level of organization. If the respondents think that most organisations in the civil service implement management by objectives, the answer should be “yes”. The quality of the formulation of the objectives is not being checked. Source: interview, link to objectives on different levels, if publicly available.

Yes	Partially	No
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**4. Do good quality job descriptions exist in the civil service?**

Good quality job descriptions are necessary for effective objective and target setting. They are also indispensable for competency-based performance appraisals. Good quality job descriptions mean the job descriptions that are prepared for all positions, are up to date and contain the main tasks performed on positions and thus could be used for identifying necessary competences, setting objectives and targets. Answer “yes” should be selected if respondents do not have significant doubts about any of the above-mentioned elements (coverage; up-to-date; quality of job descriptions).

Yes	Partially	No
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**Area: The process of implementation of performance appraisals is supported (enablers).**

**5. Were awareness raising activities organized when introducing performance appraisals?**

Introducing performance appraisals, like introducing other HR tools, requires a proper change management that encompasses among others: consulting/involving stakeholders, undertaking communication, awareness raising and capacity building activities. Without investing in the activities mentioned above, performance appraisal risks to become just another paper exercise. The actions mentioned above should be undertaken both at the central level (if one, central performance appraisal system exists), and in organisations – in such a situation answer “yes” would be relevant. If they were undertaken only on one level (central or organization) the answer should be “partially”. Source: interview

yes	partially	no
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**6. Is there a regulation related to performance appraisals?**

There could be a central regulation laying down procedural rules related to performance appraisal, criteria, etc. In many countries it would be a central regulation issued on the basis



of a civil service law (secondary legislation), however the effective system of performance appraisals is also possible, if such a regulation exists at the level of each organization (ministry, office, etc.) – internal acts. Answer “yes” should be selected, if the procedure of conducting performance appraisals is regulated either at central level or in most public organizations. Source: the regulation.

Yes	Partially	No
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**7. Do managers and civil servants receive support in implementing performance appraisals?**

Especially, when performance appraisals are a new tool in the organization, this process should be supported by: trainings for managers, guidebooks and other support materials, help desk (possibility to call and consult with HR professional), etc. The support for the process of performance appraisals should be provided on central level (if there is a central regulation on performance appraisals) and within each institution (by HR unit). Answer “yes” should be chosen, if some support activities are undertaken both at the central level and within institutions. At least two of the proposed three activities should be offered (trainings, guidebook/other support materials, and helpdesk). Source: interview.

Yes	Partially	No
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**8. Are performance appraisals supported by effective IT tools?**

The process of performance appraisals should be supported by adequate IT tools. They should make the process more user-friendly (limit the burden to introduce the same text many times; providing examples; offering drop-down menus); limit the work of HR units and making it easier to use the results of performance appraisals by integrating performance appraisal data with other HR data. They should also allow for conducting remotely performance appraisals, which is important especially in the times of COVID-19 pandemics. Answer “yes” is selected, when the interviewees agree that relevant IT solutions are in place in most organisations and they make the process more user friendly for civil servants, make it easier to store and analyse the results of performance appraisals and enable to easily prepare and sign all necessary documents online, as well as conducting performance interviews online. This question is not about just having data in the HRMIS, but about having functional IT solutions supporting the process of conducting performance appraisals. Source: interview.

Yes	Partially	No
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**9. Are the objectives of performance appraisal explicitly and clearly spelled out?**

The objectives of performance appraisal should be clearly spelled out both in the legislation, and in supporting materials. This is one of the conditions necessary to get the buy in from civil servants and their managers for the system. If this tool is implemented without informing what it is for, it would be difficult to expect from civil servants to actively participate with engagement. Answer “yes” should be selected, if the legislation or supporting materials clearly state the objectives of performance appraisal, without the need to look at many paragraphs/articles dispersed in the legal text. Source: interview, reference to regulations.

Yes	Partially	No
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**Area: Agility and flexibility of solutions**

**10. Are the procedures related to performance appraisals flexible enough to address various situations?**

Performance appraisal procedures should be flexible enough not to create additional burden in situations like: change of position by the employee (including mobility), change of superior, change of tasks, change of ministry/public office, taking longer leave, etc. The flexibility could be achieved in two ways: by creating flexible procedures and not regulating all details, or by creating detailed procedures that address various situations. Answer “yes” should be selected, if interviewees agree that the procedures are flexible in all situations mentioned above. Source: interview.

Yes	Partially	No
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<b>11. Are the procedures well-adjusted to the specificity of positions?</b>		
To increase the effectiveness of performance appraisal procedures, it should be considered to <u>adjust procedures to the needs of different groups of positions</u> . It relates to both procedures and criteria. As a minimum, <u>the procedures (and criteria) of assessment of senior positions should differ from other positions</u> . In certain situations, it may be advisable to differentiate procedures or criteria also for other groups of positions. Answer “Yes”, if at least the procedures and the set of criteria for senior positions are different. Source: interview, reference to regulations.		
Yes	Partially	No
<b>12. Is performance assessment methodology flexible enough to enable taking into account unforeseen/unplanned tasks/achievements?</b>		
Performance appraisals should allow <u>taking into account additional tasks which were not planned for the appraisal period</u> . Moreover, the system should allow to modify, add or delete certain objectives during the assessment period, if it is necessary. Some civil servants work in a volatile environment and it is almost impossible to plan accurately all assessment criteria and targets one year ahead. If performance appraisal regulations allow for fast, not too formalized modifications of the assessment criteria and objectives, the answer should be “yes”. Source: interview.		
Yes	Partially	No
<b>Area: The process of performance appraisals</b>		
<b>13. Are individual objectives and appraisal criteria set at the start of the appraisal period?</b>		
The basic rule for performance appraisals is that employees should have clarity about what is expected from them. Thus, <u>objectives and criteria for assessment should be set and communicated to them at the very start of the appraisal period</u> . If there is legal requirement in place and is well implemented, the answer should be “yes”. If there is legal obligation to do so, but there are doubts about the practice – the answer “partially” would be the most suitable. Source: not only looking at regulations, but discussing actual practice during interview.		
Yes	Partially	No
<b>14. Are objectives set during an interview between the superior and the employee?</b>		
A good practice is that the objectives are set in the process of <u>dialogue between the superior and his/her employee</u> . It increases the buy in of the employee and his/her engagement. There could be different solutions in place – employee proposes objectives, or superior does so. Answer “yes” should be selected, if there is a discussion between a superior and civil servant on the objectives. Source: interview, reference to regulations.		
Yes	Partially	No
<b>15. Are objectives well defined?</b>		
Objectives should be well defined. They should follow <u>SMART</u> criteria. SMART stands for: specific (concrete, clear), measurable (indicators, measures of success), achievable (within possessed resources, not over ambitious), relevant (ex. in line with higher level objectives) and time-bound (with concrete deadlines). They should be <u>well aligned with the objectives of the unit and well aligned with the tasks performed on the position</u> . <i>Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.</i> Source: interview.		
Yes	Partially	No
<b>16. Do assessment criteria combine objectives and competences?</b>		
Practitioners draw attention to the fact that assessing competences becomes the cornerstone of performance appraisals. Objectives and targets are also important and will continue to be so, but the role of competences will grow. <u>Assessing both objectives and competences</u> helps to ensure that the objectives are reached in line with organizational		

values, ethical norms, etc. Moreover, including competences creates a natural bridge linking results with the planning of professional development. Answer “yes” should be selected, if performance appraisal methodology combines objectives and competency-based criteria. Source: interview, reference to regulations.

Yes	Partially	No
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**17. Are regular interviews compulsory?**

The interviews should be compulsory, as performance appraisal is not only about the paper work. They should be an occasion for a frank discussion between the employee and his/her superior. The interview should be regular and they should happen at least once a year. Answer “yes” should be selected, if compulsory interviews are performed at least once a year. Source: interview, reference to regulations.

Yes	Partially	No
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**18. Is continuous feedback provided to employees?**

Usually, a formal process of performance appraisals encompasses longer period of 6 or 12 months. It is a good practice to encourage managers to provide more frequent (less formalized) feedback to their employees. It could be done by organizing mid-term interviews or by encouraging superiors to provide more frequent or continuous feedback to their employees. A good practice is that such feedback is less formalized and follows other rules than regular performance appraisal. It could take the form of weekly or monthly conversations. Answer “yes” should be selected, if meetings to provide feedback with civil servants are conducted at least twice a year. Source: interview.

Yes	Partially	No
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**19. Has the direct superior the predominant role in assessing the employee?**

Different persons could be engaged in performance appraisal (some organizations use 360-degree assessments). However, it is important that the predominant role is played by a direct superior. Answer “yes” should be selected, if the direct superior has the most important role in assessing his/her subordinates. Source: interview, reference to regulations.

Yes	Partially	No
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**20. Do appropriate safeguards for employees exist?**

In cases when performance appraisal could result in concrete HR decisions (bonuses, promotions, dismissals, redeployment), proper safeguards should be built in the process of performance appraisals. These encompass:

- Civil servants should have a right (explicitly regulated in the legislation) to appeal appraisal results in two instances (administrative appeal and in the court).
- The period of formal assessment should be long enough, especially after a first negative assessment (at least 6 months)
- The procedure clearly sets important deadlines related to setting objectives, organizing interview, preparing performance appraisal results, appeals, etc.
- The results of the formal performance appraisal cycle are recorded in written form.

Answer “yes”, if all points listed above are fulfilled. Source: interview, reference regulations.

Yes	Partially	No
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**Area: The use of results of performance appraisals**

**21. Are the up-to-date results of performance appraisals included in the human resources management information system (or HR system in a ministry, in decentralized systems)?**

The availability of up-to-date, reliable data is a precondition for effective use of performance appraisal results in HR decisions. Up-to-date means that they should be updated every day

or every few days. Answer “yes” should be selected, if up-to-date data is contained in the HRM registry and includes at least: the number of eligible civil servants, the number of assessed civil servants, the appraisal results (grades). Source: interview.

Yes	Partially	No
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**22. Are performance appraisal results used in professional development?**

The main, undisputable area, where performance appraisal results should be used is professional development of civil servants. The use of performance appraisals for other purposes, like salary setting, dismissals, redeployment is disputable among practitioners and scholars. Performance appraisals should be used in planning of training and development activities for civil servants. They could be also used for other forms of professional development, for example in considering promotions and other forms of mobility (horizontal). This question is not only about legislation, but also about real practice and applies a broad meaning of professional development, which goes beyond training and encompasses also mobility, promotions, etc. Answer “yes” should be selected, if performance appraisal results are taken into account at least in establishing individual programmes of professional development or training needs analysis. Source: interview and regulations.

Yes	Partially	No
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**23. Are civil servants who received negative appraisal supported to improve their performance?**

Often negative performance appraisal results could have a potential to end up with dismissal of underperforming civil servants. If this is the case, civil servant should be offered a necessary time to improve performance and should be supported by the organisation, for example:

- Dismissal should be possible only after recurrent negative performance appraisal result; the total period of performance appraisal (counted from the start of the appraisal period that ended up with the first negative note) should not be shorter than 12 months (for non-senior positions) and period between the dismissal and the first negative assessments should not be shorter than 6 months.
- After the first negative appraisal, it is a good practice to offer professional development opportunities to civil servants.

Answer “yes” should be selected, if both above mentioned criteria are met. Source: interview, analysis of regulations.

Yes	Partially	No
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**24. Are appraisal interviews used for planning of professional development?**

It is a good practice that interviews are also used to discuss professional development of civil servants, including potential mobility, planning of training, etc. The discussion on professional development should happen together with the discussion on performance assessment, during the same interview. Professional development interviews should result in producing some written statements about required training, or other professional development activities. This could take the form of individual professional development plans. Source: interview, reference to regulations.

**25. Do criteria used to decide about awards (and bonuses) take into account the results of performance appraisals?**

According to the literature and research direct linking of performance appraisal results with remuneration creates important risks. Nevertheless, especially in the civil service, managerial accountability requires that managers are able to justify their decisions, especially if they relate to the use of financial resources. This applies also to distribution of awards and bonuses. While establishing a direct link (for example: appraisal note “excellent” translates to x EUROS of bonus) between financial awards and performance appraisal results is not recommended, the results of performance appraisal should be taken into account in deciding about awards (both financial and non-financial). This could take the

form of – for example – excluding civil servants with low performance appraisal grades from participating in awards in a specific period. This question relates to both financial and non-financial awards. Answer “yes” should be selected, if performance appraisal results influence the decisions on distributing awards (financial and non-financial), however without any automatism. Source: interview, reference to regulations.

Yes	Partially	No
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**Area: Effectiveness of performance appraisals**

**26. Does performance appraisal apply to all groups of civil servants?**

Performance appraisals could be effective only if they are applied to a large group of civil servants. As a rule, performance appraisal should apply to all groups of civil servants. Certain exemptions are however not only possible, but also necessary, for example in the situation when the assessment period would be too short, or as regards temporary workers. However, as a rule no category of permanent civil servants should be excluded from performance appraisals. Answer “yes” should be selected, if performance appraisals are applied to all categories of civil servants. Source: interview and reference to regulations.

Yes	Partially	No
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**27. Is the performance of eligible civil servants assessed?**

Apart from the exemptions mentioned above, as a rule all eligible civil servants should undergo performance appraisal at least once a year. Eligible civil servants mean all civil servants that should undergo performance appraisal in a specific period, according to regulations. At least 70% of eligible civil servants should undergo performance appraisal to mark the answer “yes”. Source: interview, data.

Yes	Partially	No
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**28. Are remote performance appraisals conducted in practice?**

This question is to find out if (due to procedural problems or other reasons) performance appraisals were neglected during the period when many civil servants worked online. If the process of performance appraisals continued on similar level (+/- 10%) as before pandemics, the answer should be “yes”. If there was some decline (up to 30%), but the process continued – the answer should be – “partially”. If there was a significant decline in the number of performance appraisals (more than 30%), the answer should be “no”. Source: interviews; data if available.

Yes	Partially	No
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**29. Is the “inflation” of appraisal grades avoided?**

Many experts argue that appraisals having the unique objective of providing feedback to employees and facilitating their professional development, does not require any formal grading of civil servants. However, as performance appraisals have also other goals in WB administrations, grades are usually used. The practice, not only in WB administrations, shows that very often the share of highest appraisal results is too high and does not conform to the Gaussian curve. In such a situation, performance appraisals do not achieve their goals, which is differentiation between different levels of performance of employees. If at least 60% of civil servants get performance appraisals results beyond average/medium/etc., it means that there is inflation of grades. Answer “yes” should be selected, if no more than 40% of civil servants get performance grades above average/satisfactory. Sources: interview; data, if available.

Yes	Partially	No
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**30. Is the performance of individual employees aligned with the performance of an organisation?**

It is important to compare the achievements of the organization (for example the KPIs related to the performance of the Ministry) with the results of individual performance appraisals. A large discrepancy between the results may suggest that the performance appraisal system is ineffective, for example when many ministry-related KPIs are not met

and vast majority of civil servants get the highest results of performance appraisal. If the information about the performance of public organizations is not available, the answer should be “no”. *Comment: this question relates rather to an organizational level and getting meaningful answers would require to interview civil servants from a number of organisations. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.* Sources: interview; data related to individual performance appraisals and KPIs of the organization.

Yes	Partially	No
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**31. Are performance appraisals perceived as a useful HRM tool?**

It is a good practice that HR unit runs employee surveys, or asks for other forms of staff feedback. If HR units do not run staff surveys on performance appraisals or do not get any other feedback on the practice of performance appraisals, the answer should be “no”. *Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.* Source: Interview, survey results.

Yes	Partially	No
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**32. Are performance appraisals designed in a user-friendly way?**

Very often, civil servants complain that performance appraisals are too burdening for them – they require too many formalities and consume too much time. More detailed questions are:

- is the methodology simple and well explained?
- are the forms short and easy to fill in?
- do managers get prefilled forms before the appraisal starts?
- is an IT system used to support the process of performance appraisal (as an opposite to paper-based process)?

Interview is the main, crucial element of performance appraisals. So, in general formalities related to performance appraisal should not take more time than the interview itself?

*Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.* Source: Interviews, survey results.

Yes	Partially	No
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# Annex 2:

## Answers from the administrations

### Albania

<b>Area: Preconditions for performance appraisals</b>		
<b>1. Is the competency framework implemented in the civil service?</b>		
<p>The existence of the competency framework means that the <u>set of competences</u> needed for successful performance of the organization was developed. These competencies are <u>well described</u> (usually including examples of positive and sometimes also negative behaviors). Moreover, it means that <u>job descriptions</u> exist, which <u>attribute relevant competences (and their level) to particular positions</u>. There could be one competency framework implemented in the civil service, or different competency frameworks in public organizations. The focus of this question is on the existence of a competency framework and whether it contains the most important elements, but it is not a question about the quality of the formulation of competences. Answer “yes” should be selected, if all above mentioned elements are in place. Source: interview, reference to competency framework – if publicly available.</p>		
Yes	Partially X	No
<p>A Competency Framework is approved only for Senior Civil Servants, while for the other civil servants it is approved a set of skills and competences to be assessed. The CF for SCS is approved with DoCM n. 118 of 2014, as amended, while the instruction n. 6/2014 of DoPA provides the definition of skills and abilities included in the CF. In practice there is little, if at all, linkages between the PA procedure and the Competency Framework approved for Senior Civil Servants. On the other hand, there is a close linkage between the skills and abilities included in the job description with the PA procedure.</p> <p>During this year DoPA worked on a competency framework for particular executive positions in the civil service. This framework is not yet approved and it is expected to be used, at least during the first stage, for the recruitment procedure only.</p>		
<b>2. Was the competency framework developed in the participatory process, following job analysis?</b>		
<p>It is a good practice that the <u>development of competency framework follows the process of thorough job analysis and engages civil servants from various institutions</u>. If, on the contrary, the competence framework was developed by external actors and not tested/discussed properly before introduction, the answer should be “no”, as there is significant risk that it would not be fully relevant for the purpose of performance appraisals. If there is no competency framework in place, the answer should be “no”. Answer “yes” should be selected, if proper job analysis was implemented and different ministries were consulted while developing the framework. Source: interviews.</p>		
Yes	Partially X	No

The competence framework for Senior Civil Servants has been developed by an internal working group, with the assistance of SIGMA, during the drafting of bylaws in implementation of the law on civil servants.

**3. Is the management by objectives implemented in most organizations (organizational performance framework)?**

The organization should have a set of tangible objectives clearly defined. These objectives should be cascaded down through the level of departments to the level of units. This would make it much easier to identify concrete objectives for civil servants for the purpose of performance appraisal. This question relates rather to the level of organization. If the respondents think that most organisations in the civil service implement management by objectives, the answer should be “yes”. The quality of the formulation of the objectives is not being checked. Source: interview, link to objectives on different levels, if publicly available.

Yes	Partially X	No
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According to the methodology, the objectives of the institutions coincide with the objectives of the top manager, i.e. Senior Civil Servant of the institution. These are then cascaded down to mid-level managers. The objectives of the SCS are taken from the strategies covering the respective area of work. In practice all institutions have their objectives, although there is no general framework where these objectives are published.

**Area: The process of implementation of performance appraisals is supported (enablers).**

**4. Were awareness raising activities organized when introducing performance appraisals?**

Introducing performance appraisals, like introducing other HR tools, requires a proper change management that encompasses among others: consulting/involving stakeholders, undertaking communication, awareness raising and capacity building activities. Without investing in the activities mentioned above, performance appraisal risks to become just another paper exercise. The actions mentioned above should be undertaken both at the central level (if one, central performance appraisal system exists), and in organisations – in such a situation answer “yes” would be relevant. If they were undertaken only on one level (central or organization) the answer should be “partially”. Source: interview

Yes X	Partially	No
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When the system was introduced, several activities were organized by DoPA and ASPA. ASPA has a specific module on performance management that deals with performance appraisal procedure.

Also, when the bylaws were drafted, DoPa consulted the texts with the institutions and organized in parallel some round tables that did not only serve for discussing the drafts, but also to raise awareness on the process and involve as many stakeholders as possible in it.

**5. Is there a regulation related to performance appraisals?**

There could be a central regulation laying down procedural rules related to performance appraisal, criteria, etc. In many countries it would be a central regulation issued on the basis of a civil service law (secondary legislation), however the effective system of performance appraisals is also possible, if such a regulation exists at the level of each organization (ministry, office, etc.) – internal acts. Answer “yes” should be selected, if the procedure of conducting performance appraisals is regulated either at central level or in most public organizations. Source: the regulation.

Yes X	Partially	No
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The performance appraisal process is regulated in the law no. 152/2013, "On civil servants", as amended, while its detailed procedure is defined in DoCM no. 109, dated 2014, "On the performance appraisal of civil servants", as amended, where, among others, the officials involved in the process are determined, as well as the evaluation form. This legal framework is



applicable both to the central institutions part of the civil service and to the local self-government units.

By the end of 2019, was prepared the first draft of the performance appraisal manual for civil servants that is expected to guide the evaluators in their work. The manual also focuses on how to formulate SMART objectives and indicators. The document was consulted with the representatives of the line ministries and was approved by DoPA during 2020.

**6. Do managers and civil servants receive support in implementing performance appraisals?**

Especially, when performance appraisals are a new tool in the organization, this process should be supported by: trainings for managers, guidebooks and other support materials, help desk (possibility to call and consult with HR professional), etc. The support for the process of performance appraisals should be provided on central level (if there is a central regulation on performance appraisals) and within each institution (by HR unit). Answer “yes” should be chosen, if some support activities are undertaken both at the central level and within institutions. At least two of the proposed three activities should be offered (trainings, guidebook/other support materials, and helpdesk). Source: interview.

Yes X

Partially

No

According to the Law “On Civil Servant”, DoPA supports and provides consultation of public administration institutions on the implementation of this law. In this sense, DoPA acts as the central “help desk” for all institutions in matters related to understanding, philosophy and implementation of performance appraisal.

At institutional level, each HRM unit acts as a help desk for the managers in the institutions, as well as for the civil servants.

As mentioned above, ASPA continues to provide, since the introduction of the system, several training sessions on the performance appraisal process.

Moreover, in the framework of a TA project, several supporting materials (as booklet, handbook, brochure) were prepared for the civil servant and for HRM units on the human resource management processes, including the evaluation of performance.

**7. Are performance appraisals supported by effective IT tools?**

The process of performance appraisals should be supported by adequate IT tools. They should make the process more user-friendly (limit the burden to introduce the same text many times; providing examples; offering drop-down menus); limit the work of HR units and making it easier to use the results of performance appraisals by integrating performance appraisal data with other HR data. They should also allow for conducting remotely performance appraisals, which is important especially in the times of COVID-19 pandemics. Answer “yes” is selected, when the interviewees agree that relevant IT solutions are in place in most organisations and they make the process more user friendly for civil servants, make it easier to store and analyse the results of performance appraisals and enable to easily prepare and sign all necessary documents online, as well as conducting performance interviews online. This question is not about just having data in the HRMIS, but about having functional IT solutions supporting the process of conducting performance appraisals. Source: interview.

Yes X

Partially

No

DoPA has created the platform "Administrata.al", as the newest integrated platform of communication and joint reporting for all public administration, including local self-government units. It is an innovative approach to human resource management units and contains 12 functionalities that aim to improve the interaction between public institutions. One of the modules that the platform offers is related to performance evaluation.

*E-performance* means performing online most stages of the evaluation process, from setting the objectives to the evaluation of the objectives and evaluation of the abilities. For the interview part, the evaluator will have to print the form and discuss the results with the appraisee. As the

procedure requires “signatures” at the end of the process, the procedure will continue paper-based.

The expected benefits of this new system are:

- Unifies and harmonizes the way of designing the objectives, following the “cascade” method of their determination from the highest levels of the organizational hierarchy to the lowest units;
- Assists in obtaining real-time information on the progress of the performance appraisal process, through the generation of various reports;
- Facilitates the collection of training needs for civil servants.

For the successful implementation of this module in the platform, a series of supporting materials have been prepared, such as manuals and video tutorials and explanatory trainings have been developed for the units of HRM, which coordinate and manage this process in the respective institutions. E-performance is expected to be used in practice during the first half of 2022.

**Area: Agility and flexibility of solutions**

**8. Are the objectives of performance appraisal explicitly and clearly spelled out?**

The objectives of performance appraisal should be clearly spelled out both in the legislation, and in supporting materials. This is one of the conditions necessary to get the buy in from civil servants and their managers for the system. If this tool is implemented without informing what it is for, it would be difficult to expect from civil servants to actively participate with engagement. Answer “yes” should be selected, if the legislation or supporting materials clearly state the objectives of performance appraisal, without the need to look at many paragraphs/articles dispersed in the legal text. Source: interview, reference to regulations.

Yes X

Partially

No

The legislation clearly states the effects of performance appraisal and the consequences of different levels of mark for different procedures.

The decision of the Council of Ministers on performance appraisal clearly defines the objectives of appraisal performance. According to this decision, the process serves to make objective decisions regarding the probationary period, promotion, dismissal from the civil service, advancement in salary steps, as well as in determining the needs for training and professional development of the civil servant.

**9. Are the procedures related to performance appraisals flexible enough to address various situations?**

Performance appraisal procedures should be flexible enough not to create additional burden in situations like: change of position by the employee (including mobility), change of superior, change of tasks, change of ministry/public office, taking longer leave, etc. The flexibility could be achieved in two ways: by creating flexible procedures and not regulating all details, or by creating detailed procedures that address various situations. Answer “yes” should be selected, if interviewees agree that the procedures are flexible in all situations mentioned above. Source: interview.

Yes X

Partially

No

The procedures are flexible and specific provisions cover these transitory situations. So far, the implementers have not complained on the lack of provisions and flexibility influencing the procedure management.

**10. Are the procedures well-adjusted to the specificity of positions?**

To increase the effectiveness of performance appraisal procedures, it should be considered to adjust procedures to the needs of different groups of positions. It relates to both procedures and criteria. As a minimum, the procedures (and criteria) of assessment of senior positions should differ from other positions. In certain situations, it may be advisable to differentiate procedures or criteria also for other groups of positions. Answer “Yes”, if at least the procedures

and the set of criteria for senior positions are different. Source: interview, reference to regulations.

Yes X	Partially	No
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The performance appraisal procedure is regulated based on the category of the positions. There is a specific procedure in place for the Senior Civil Servants (TMC) and another regulation for the other mid-lower management position and for the executive staff. Even within the regulation for mid-lower management positions and executive staff, are clearly marked the distinctions related to skills and competences to be evaluated.

**11. Is performance assessment methodology flexible enough to enable taking into account unforeseen/unplanned tasks/achievements?**

Performance appraisals should allow taking into account additional tasks which were not planned for the appraisal period. Moreover, the system should allow to modify, add or delete certain objectives during the assessment period, if it is necessary. Some civil servants work in a volatile environment and it is almost impossible to plan accurately all assessment criteria and targets one year ahead. If performance appraisal regulations allow for fast, not too formalized modifications of the assessment criteria and objectives, the answer should be “yes”. Source: interview.

Yes X	Partially	No
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The procedure foresees all these situations and there is the possibility to change the objectives on the go, or to take into consideration other completed tasks, not foreseen in the original agreement. The regulation foresees at least one meeting in the middle of the 6-months evaluation period to discuss the achievements so far and the possibility to adapt the objectives to changing situations. It is also mentioned that the manager and the CS can meet as often as they consider necessary to adjust the objectives, or to discuss the achievements.

**Area: The process of performance appraisals**

**12. Are individual objectives and appraisal criteria set at the start of the appraisal period?**

The basic rule for performance appraisals is that employees should have clarity about what is expected from them. Thus, objectives and criteria for assessment should be set and communicated to them at the very start of the appraisal period. If there is legal requirement in place and is well implemented, the answer should be “yes”. If there is legal obligation to do so, but there are doubts about the practice – the answer “partially” would be the most suitable. Source: not only looking at regulations, but discussing actual practice during interview.

Yes X	Partially	No
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*According to the legislation in force*, the Reporting Officer, for each appraisal period (December and June) will meet with the civil servant under review to discuss and agree the main work objectives and the relevant professional conduct to enable the realization of the work plan, and contribute to the achievement of the institution's goals.

In practice, this procedure represents some challenges as not all the institutions implement the regulation in line with its “spirit” and aim and consider it somehow formal. With the introduction of the changes and with the assumed links with the organizational objectives, DoPA expects to revitalize this part of the procedure and transform the discussions between the managers and CS in meaningful ones.

**13. Are objectives set during an interview between the superior and the employee?**

A good practice is that the objectives are set in the process of dialogue between the superior and his/her employee. It increases the buy in of the employee and his/her engagement. There could be different solutions in place – employee proposes objectives, or superior does so. Answer “yes” should be selected, if there is a discussion between a superior and civil servant on the objectives. Source: interview, reference to regulations.

Yes X	Partially	No
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As mentioned above, the regulation foresees a discussion between the evaluator and the civil servant under review in order to set the individual objectives at the beginning of the appraisal period. This is called the planning phase, when the Reporting Officer, for each appraisal period (December and June) will meet with the civil servant under review to discuss and agree the main work objectives and the relevant professional conduct to enable the realization of the work plan.

**14. Are objectives well defined?**

Objectives should be well defined. They should follow SMART criteria. SMART stands for: specific (concrete, clear), measurable (indicators, measures of success), achievable (within possessed resources, not over ambitious), relevant (ex. in line with higher level objectives) and time-bound (with concrete deadlines). They should be well aligned with the objectives of the unit and well aligned with the tasks performed on the position. *Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.* Source: interview.

Yes	Partially X	No
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The regulation requires the objectives to be clear, well defined and achievable. The objectives should fit with the strategy of the department and be aligned with the priorities of the institution. However, as explained above it is difficult to assess the quality of the objectives when the procedure is considered somehow formalistic by the managers. Recently DoPA has prepared a manual for performance evaluation that proposes some changes related to this process. Among the proposed changes are those related to the definition of SMART objectives, which will address the above issue. This manual provides for the inclusion of indicators in the performance appraisal process, provides practical examples for setting SMART objectives and linking individual objectives with institutional ones according to the cascade method.

**15. Do assessment criteria combine objectives and competences?**

Practitioners draw attention to the fact that assessing competences becomes the cornerstone of performance appraisals. Objectives and targets are also important and will continue to be so, but the role of competences will grow. Assessing both objectives and competences helps to ensure that the objectives are reached in line with organizational values, ethical norms, etc. Moreover, including competences creates a natural bridge linking results with the planning of professional development. Answer “yes” should be selected, if performance appraisal methodology combines objectives and competency-based criteria. Source: interview, reference to regulations.

Yes	Partially X	No
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The regulation foresees the evaluation of objectives and competences for top managers and objectives and “professional behavior” for the other categories of civil servants. In this definition are included “accuracy of completed tasks, timelines, relationships with colleagues, team work, open to suggestions, management skills for managers”. These are not real competences, although in the appraisal form are included definitions of what is understood for each “professional behavior” under each mark.

**16. Are regular interviews compulsory?**

The interviews should be compulsory, as performance appraisal is not only about the paper work. They should be an occasion for a frank discussion between the employee and his/her superior. The interview should be regular and they should happen at least once a year. Answer “yes” should be selected, if compulsory interviews are performed at least once a year. Source: interview, reference to regulations.

Yes X	Partially	No
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The regulation foresees the interview between the evaluator and the civil servant at least twice per year (once for each evaluation period), with the recommendation to have at least one intermediary interview at the middle of the evaluation period.

**17. Is continuous feedback provided to employees?**

Usually, a formal process of performance appraisals encompasses longer period of 6 or 12 months. It is a good practice to encourage managers to provide more frequent (less formalized) feedback to their employees. It could be done by organizing mid-term interviews or by encouraging superiors to provide more frequent or continuous feedback to their employees. A good practice is that such feedback is less formalized and follows other rules than regular performance appraisal. It could take the form of weekly or monthly conversations. Answer “yes” should be selected, if meetings to provide feedback with civil servants are conducted at least twice a year. Source: interview.

Yes X	Partially	No
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The regulation foresees the possibility of the feedback during the mid-term review interview, or during the other eventual interviews with the appraisee. However, in practice the feedback is usually provided during the normal / daily management of the tasks and the enforcement of the supervisory function of the manager.

**18. Has the direct superior the predominant role in assessing the employee?**

Different persons could be engaged in performance appraisal (some organizations use 360-degree assessments). However, it is important that the predominant role is played by a direct superior. Answer “yes” should be selected, if the direct superior has the most important role in assessing his/her subordinates. Source: interview, reference to regulations.

Yes X	Partially X	No
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The direct superior has the predominant role in managing the performance and appraising the civil servant. According to the regulation he is called “reporting official” and he is tasked with preparing the provisional evaluation before the interview, running the interview and following up the performance dialogue during the evaluation period.

**19. Do appropriate safeguards for employees exist?**

In cases when performance appraisal could result in concrete HR decisions (bonuses, promotions, dismissals, redeployment), proper safeguards should be built in the process of performance appraisals. These encompass:

- Civil servants should have a right (explicitly regulated in the legislation) to appeal appraisal results in two instances (administrative appeal and in the court).
- The period of formal assessment should be long enough, especially after a first negative assessment (at least 6 months)
- The procedure clearly sets important deadlines related to setting objectives, organizing interview, preparing performance appraisal results, appeals, etc.
- The results of the formal performance appraisal cycle are recorded in written form.

Answer “yes”, if all points listed above are fulfilled. Source: interview, reference regulations.

Yes X	Partially	No
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The regulation foresees two appeal instances. The first appeal can be filled by the civil servant and directed to the manager of the “direct superior”, called “authorizing officer”. This is an internal administrative appeal. If the appraisee is not satisfied with the result of the administrative appeal, he can fill another appeal to the administrative court. This is an external appeal.

The evaluation form includes special sections where the civil servant can annotate his disagreement with the appraisal mark and his intention to appeal the evaluation. The decision of the authorizing officer is included in a particular section of the evaluation form.

**Area: The use of results of performance appraisals**

**20. Are the up-to-date results of performance appraisals included in the human resources management information system (or HR system in a ministry, in decentralized systems)?**

The availability of up-to-date, reliable data is a precondition for effective use of performance appraisal results in HR decisions. Up-to-date means that they should be updated every day or every few days. Answer “yes” should be selected, if up-to-date data is contained in the HRM registry and includes at least: the number of eligible civil servants, the number of assessed civil servants, the appraisal results (grades). Source: interview.

Yes X

Partially

No

According to the regulation, Chapter II, point 18, each HRM Unit in the institutions should insert all evaluation data in the central HRMIS within 15 days from the completion of the procedure. HRM units have to upload the job evaluation form for each civil servant of the institution and also fill in structured data related to: the evaluation period, the mark and the official who performed it. In this regard, the challenge remains the continuous and accurate updating of the system with relevant information to the process.

**21. Are performance appraisal results used in professional development?**

The main, undisputable area, where performance appraisal results should be used is professional development of civil servants. The use of performance appraisals for other purposes, like salary setting, dismissals, redeployment is disputable among practitioners and scholars. Performance appraisals should be used in planning of training and development activities for civil servants. They could be also used for other forms of professional development, for example in considering promotions and other forms of mobility (horizontal). This question is not only about legislation, but also about real practice and applies a broad meaning of professional development, which goes beyond training and encompasses also mobility, promotions, etc. Answer “yes” should be selected, if performance appraisal results are taken into account at least in establishing individual programmes of professional development or training needs analysis. Source: interview and regulations.

Yes

Partially X

No

According to the legislation, the results of PA are used for promotion of civil servants, given the almost closed career system of the Albanian civil service, and for professional development. A special section of the evaluation form is dedicated to development plan and specific training topics to be offered to the civil servant. Another result is related to promotion in salary steps. In practice, the results of the performance appraisal are very positive and confer to almost all appraised civil servants the possibility of promotion, if they apply to specific positions. The government has not activated the system of salary steps yet, a process which is related to the reform of the payroll system, which is being worked on. The development plan is formally completed but rarely it's turned into a development tool for the civil servants. The HRM units fail to prepare training programs out of evaluation results and ASPA used an “offer driven” model for the trainings, rather than a “demand driven” one. The institutions have, however, the possibility to ask ASPA the design and implementation of specific trainings derived from the PA

and some of them actually exercised this right. However, this issue will be addressed by performing the performance evaluation process through the *e-performance* module on the *administrata.al* platform. The module will facilitate the collection of training needs.

**22. Are civil servants who received negative appraisal supported to improve their performance?**

Often negative performance appraisal results could have a potential to end up with dismissal of underperforming civil servants. If this is the case, civil servant should be offered a necessary time to improve performance and should be supported by the organisation, for example:

- Dismissal should be possible only after recurrent negative performance appraisal result; the total period of performance appraisal (counted from the start of the appraisal period that ended up with the first negative note) should not be shorter than 12 months (for non-senior positions) and period between the dismissal and the first negative assessments should not be shorter than 6 months.
- After the first negative appraisal, it is a good practice to offer professional development opportunities to civil servants.

Answer “yes” should be selected, if both above mentioned criteria are met. Source: interview, analysis of regulations.

Yes X	Partially	No
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According to the legislation, civil servants can be dismissed after two consecutive negative assessments. The assessment period is 6 months; therefore, two consecutive assessments count 12 months. The civil servants have the right to be trained after a negative assessment. The training is provided by ASPA or other providers. However, this situation rarely verifies in practice because the percentage of civil servants evaluated consecutively with 2 negative marks is very low (during the years 2015-2020: 0.014%- 0.56).

**23. Are appraisal interviews used for planning of professional development?**

It is a good practice that interviews are also used to discuss professional development of civil servants, including potential mobility, planning of training, etc. The discussion on professional development should happen together with the discussion on performance assessment, during the same interview. Professional development interviews should result in producing some written statements about required training, or other professional development activities. This could take the form of individual professional development plans. Source: interview, reference to regulations.

Yes X	Partially	No
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The interview is used for elaborating a development plan. There is a special section of the appraisal form that is dedicated to the development plan and that can be filled by the direct superior, complemented by the civil servant and discussed during the interview.

**24. Do criteria used to decide about awards (and bonuses) take into account the results of performance appraisals?**

According to the literature and research direct linking of performance appraisal results with remuneration creates important risks. Nevertheless, especially in the civil service, managerial accountability requires that managers are able to justify their decisions, especially if they relate to the use of financial resources. This applies also to distribution of awards and bonuses. While establishing a direct link (for example: appraisal note “excellent” translates to x EUROS of bonus) between financial awards and performance appraisal results is not recommended, the

results of performance appraisal should be taken into account in deciding about awards (both financial and non-financial). This could take the form of – for example – excluding civil servants with low performance appraisal grades from participating in awards in a specific period. This question relates to both financial and non-financial awards. Answer “yes” should be selected, if performance appraisal results influence the decisions on distributing awards (financial and non-financial), however without any automatism. Source: interview, reference to regulations.

Yes	Partially	No X
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The legislation in Albania does not foresee the application of bonuses or awards linked to performance appraisal results. The only monetary application is related with the promotion in salary steps that is not in application currently.

**Area: Effectiveness of performance appraisals**

**25. Does performance appraisal apply to all groups of civil servants?**

Performance appraisals could be effective only if they are applied to a large group of civil servants. As a rule, performance appraisal should apply to all groups of civil servants. Certain exemptions are however not only possible, but also necessary, for example in the situation when the assessment period would be too short, or as regards temporary workers. However, as a rule no category of permanent civil servants should be excluded from performance appraisals. Answer “yes” should be selected, if performance appraisals are applied to all categories of civil servants. Source: interview and reference to regulations.

Yes X	Partially	No
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The performance appraisal procedure is applied to all civil servants, without exceptions.

**26. Is the performance of eligible civil servants assessed?**

Apart from the exemptions mentioned above, as a rule all eligible civil servants should undergo performance appraisal at least once a year. Eligible civil servants mean all civil servants that should undergo performance appraisal in a specific period, according to regulations. At least 70% of eligible civil servants should undergo performance appraisal to mark the answer “yes”. Source: interview, data.

Yes X	Partially	No
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According to the data administered by DoPA, the performance appraisal is applied for the majority of the eligible civil servants. Thus, for the second half of 2020 it is estimated that over 94% of eligible civil servants have been evaluated.

**27. Are remote performance appraisals conducted in practice?**

This question is to find out if (due to procedural problems or other reasons) performance appraisals were neglected during the period when many civil servants worked online. If the process of performance appraisals continued on similar level (+/- 10%) as before pandemics, the answer should be “yes”. If there was some decline (up to 30%), but the process continued – the answer should be – “partially”. If there was a significant decline in the number of performance appraisals (more than 30%), the answer should be “no”. Source: interviews; data if available.

Yes X	Partially	No
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According to the data collected by the Department of Public Administration, performance appraisals were conducted during the online work of the administration without many discrepancies from the previous periods.

**28. Is the “inflation” of appraisal grades avoided?**

Many experts argue that appraisals having the unique objective of providing feedback to employees and facilitating their professional development, does not require any formal grading of civil servants. However, as performance appraisals have also other goals in WB



administrations, grades are usually used. The practice, not only in WB administrations, shows that very often the share of highest appraisal results is too high and does not conform to the Gaussian curve. In such a situation, performance appraisals do not achieve their goals, which is differentiation between different levels of performance of employees. If at least 60% of civil servants get performance appraisals results beyond average/medium/etc., it means that there is inflation of grades. Answer “yes” should be selected, if no more than 40% of civil servants get performance grades above average/satisfactory. Sources: interview; data, if available.

Yes	Partially	No X
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According to data collected by DoPA, it turns out that at least 60% of employees get good or very good results from performance appraisal.

**29. Is the performance of individual employees aligned with the performance of an organisation?**

It is important to compare the achievements of the organization (for example the KPIs related to the performance of the Ministry) with the results of individual performance appraisals. A large discrepancy between the results may suggest that the performance appraisal system is ineffective, for example when many ministry-related KPIs are not met and vast majority of civil servants get the highest results of performance appraisal. If the information about the performance of public organizations is not available, the answer should be “no”. *Comment: this question relates rather to an organizational level and getting meaningful answers would require to interview civil servants from a number of organisations. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.* Sources: interview; data related to individual performance appraisals and KPIs of the organization.

Yes	Partially	No X
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Currently, public organizations don’t undergo a performance appraisal process. But, the Department of Development and Good Governance (DDGG) in the Office of the Prime Minister has started the work in order to implement an institutional performance appraisal model, based on the results achieved by each institution in implementing their strategies and action plans. This will be possible through the IPSIS system, which will break down the objectives from the institutional to the individual level, as well as linking the results of institutions with individual results in performance appraisal. However, the funds to support the development of the system are not available and there are no clear deadlines when it will be put into operation.

**30. Are performance appraisals perceived as a useful HRM tool?**

It is a good practice that HR unit runs employee surveys, or asks for other forms of staff feedback. If HR units do not run staff surveys on performance appraisals or do not get any other feedback on the practice of performance appraisals, the answer should be “no”. *Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.* Source: Interview, survey results.

Yes	Partially X	No
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There are no results of employee surveys run by the HRM units. However, DoPA run such surveys. By the end of 2019 DoPA run a survey related to HRM procedures and some questions were related to the performance appraisal procedure.

One of the conclusions of the survey elaborated during 2020 was “At all levels there was generally a positive opinion of the concept of performance appraisal (no-one interviewed believed that it should be abolished, indeed most people were rather shocked at that thought). All criticisms were to do with the process of appraisal – and the behavior of appraisers. Generally, staff are ambivalent or indifferent. Appraisal is considered neither motivating nor demotivating”.

**31. Are performance appraisals designed in a user-friendly way?**

Very often, civil servants complain that performance appraisals are too burdening for them – they require too many formalities and consume too much time. More detailed questions are:

- is the methodology simple and well explained?
- are the forms short and easy to fill in?
- do managers get prefilled forms before the appraisal starts?
- is an IT system used to support the process of performance appraisal (as an opposite to paper-based process)?

Interview is the main, crucial element of performance appraisals. So, in general formalities related to performance appraisal should not take more time than the interview itself? Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service. Source: Interviews, survey results.

Yes X

Partially

No

According to the results of the questionnaire that was made to analyze the current situation of the performance appraisal process, there were no problems with the format in most cases (so it can be considered user friendly).

## Bosnia and Herzegovina institutions

<b>Area: Preconditions for performance appraisals</b>		
<b>1. Is the competency framework implemented in the civil service?</b>		
<p>The existence of the competency framework means that the <u>set of competences</u> needed for successful performance of the organization was developed. These competencies are <u>well described</u> (usually including examples of positive and sometimes also negative behaviors). Moreover, it means that <u>job descriptions</u> exist, which <u>attribute relevant competences (and their level) to particular positions</u>. There could be one competency framework implemented in the civil service, or different competency frameworks in public organizations. The focus of this question is on the existence of a competency framework and whether it contains the most important elements, but it is not a question about the quality of the formulation of competences. Answer “yes” should be selected, if all above mentioned elements are in place. Source: interview, reference to competency framework – if publicly available.</p>		
Yes	Partially	No X
<p>Competency framework was developed for the BiH civil service; at the administrative level of BiH institutions it supports the recruitment and selection procedure in a way that competencies are checked during interviews in the selection procedure. However, the same competency framework is not used to support the PA procedure.  <a href="https://europa.ba/wp-content/uploads/2016/02/Manual-for-competency-framework-BCS.pdf">https://europa.ba/wp-content/uploads/2016/02/Manual-for-competency-framework-BCS.pdf</a>            Currently, this Competency framework does not support the PA practice. In addition to the level of achievement of the determined work objectives, PA is based on other criteria, which include Independence, work ethic, ability to create and initiate, relation with others in performing duties and tasks and communication skills, and readiness to adapt to changes.            Reference:            Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 59/11            Rulebook on Amendments of the Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 24/21.</p>		
<b>2. Was the competency framework developed in the participatory process, following job analysis?</b>		
<p>It is a good practice that the <u>development of competency framework follows the process of thorough job analysis and engages civil servants from various institutions</u>. If, on the contrary, the competence framework was developed by external actors and not tested/discussed properly before introduction, the answer should be “no”, as there is significant risk that it would not be fully relevant for the purpose of performance appraisals. If there is no competency framework in place, the answer should be “no”. Answer “yes” should be selected, if proper job analysis was implemented and different ministries were consulted while developing the framework. Source: interviews.</p>		
Yes	Partially	No X
<b>3. Is the management by objectives implemented in most organizations (organizational performance framework)?</b>		
<p>The organization should have a <u>set of tangible objectives clearly defined</u>. These objectives should be <u>cascaded down</u> through the level of departments to the level of units. This would make it much easier to identify concrete objectives for civil servants for the purpose of</p>		

performance appraisal. This question relates rather to the level of organization. If the respondents think that most organisations in the civil service implement management by objectives, the answer should be “yes”. The quality of the formulation of the objectives is not being checked. Source: interview, link to objectives on different levels, if publicly available.

Yes	Partially X	No
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BiH institutions are obliged to develop annual work programs including the planned annual results for the implementation of which the BiH institutions are responsible, and which represent the elaborated planned medium-term goals from the medium-term work plan, in accordance with: *The Decision on Annual Work Planning and Method of Monitoring and Reporting on Work in Institutions of Bosnia and Herzegovina*.

Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Article 14 (Determination of Work Objectives), paragraph 2, prescribes that: “Civil servant's work objectives are determined by agreement between a civil servant and an immediate supervisor and, as a rule result from objectives set at the level of the particular organizational unit and institution as a whole”

However, the Civil Service Agency as the central HRM institution at the administrative level of BiH institutions does not have an insight (nor is obliged by current regulation to oversee), whether the procedure of cascading these objectives down through the level of departments to the level of units to the individual work objectives.

Interviewees believe that this practice is followed in some part of organizations, but data are not available.

**Area: The process of implementation of performance appraisals is supported (enablers).**

**4. Were awareness raising activities organized when introducing performance appraisals?**

Introducing performance appraisals, like introducing other HR tools, requires a proper change management that encompasses among others: consulting/involving stakeholders, undertaking communication, awareness raising and capacity building activities. Without investing in the activities mentioned above, performance appraisal risks to become just another paper exercise. The actions mentioned above should be undertaken both at the central level (if one, central performance appraisal system exists), and in organisations – in such a situation answer “yes” would be relevant. If they were undertaken only on one level (central or organization) the answer should be “partially”. Source: interview

Yes	Partially X	No
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Performance appraisal system exists at the central level, Civil Service Agency organizes regular trainings regarding the PA procedure, and provides consultations to BiH institutions. However, Agency as the central HRM institution does not have the capacity to organize PA training in individual institutions.

**5. Is there a regulation related to performance appraisals?**

There could be a central regulation laying down procedural rules related to performance appraisal, criteria, etc. In many countries it would be a central regulation issued on the basis of a civil service law (secondary legislation), however the effective system of performance appraisals is also possible, if such a regulation exists at the level of each organization (ministry, office, etc.) – internal acts. Answer “yes” should be selected, if the procedure of conducting performance appraisals is regulated either at central level or in most public organizations. Source: the regulation.

Yes X	Partially	No
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Reference: Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 59/11 Rulebook on Amendments of the Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 24/21.		
<b>6. Do managers and civil servants receive support in implementing performance appraisals?</b>		
Especially, when performance appraisals are a new tool in the organization, this process should be supported by: <u>trainings for managers, guidebooks and other support materials, help desk</u> (possibility to call and consult with HR professional), etc. The support for the process of performance appraisals should be provided on <u>central level</u> (if there is a central regulation on performance appraisals) and <u>within each institution</u> (by HR unit). Answer “yes” should be chosen, if some support activities are undertaken both at the central level and within institutions. At least two of the proposed three activities should be offered (trainings, guidebook/other support materials, and helpdesk). Source: interview.		
Yes X	Partially	No
The support for the process of performance appraisals is provided on central level (trainings for managers, guidebooks and other support materials, help desk). Each institution has an appointed contact person who is responsible to, among other duties, provide support in the institution throughout the PA process.		
<b>7. Are performance appraisals supported by effective IT tools?</b>		
The process of performance appraisals should be supported by <u>adequate IT tools</u> . They should <u>make the process more user-friendly</u> (limit the burden to introduce the same text many times; providing examples; offering drop-down menus); <u>limit the work of HR units</u> and making it easier to use the results of performance appraisals by <u>integrating performance appraisal data with other HR data</u> . They should also allow for conducting remotely performance appraisals, which is important especially in the times of COVID-19 pandemics. Answer “yes” is selected, when the interviewees agree that relevant IT solutions are in place in most organisations and they make the process more user friendly for civil servants, make it easier to store and analyse the results of performance appraisals and enable to easily prepare and sign all necessary documents online, as well as conducting performance interviews online. This question is not about just having data in the HRMIS, but about having functional IT solutions supporting the process of conducting performance appraisals. Source: interview.		
Yes	Partially	No X
<b>Area: Agility and flexibility of solutions</b>		
<b>8. Are the objectives of performance appraisal explicitly and clearly spelled out?</b>		
<u>The objectives of performance appraisal should be clearly spelled out both in the legislation, and in supporting materials.</u> This is one of the conditions necessary to get the buy in from civil servants and their managers for the system. If this tool is implemented without informing what it is for, it would be difficult to expect from civil servants to actively participate with engagement. Answer “yes” should be selected, if the legislation or supporting materials clearly state the objectives of performance appraisal, without the need to look at many paragraphs/articles dispersed in the legal text. Source: interview, reference to regulations.		
Yes X	Partially	No

<p>Legislation clearly spells out the purpose of evaluation (Article 2), and how to determine work objectives (Article 14). To this regard the objectives of performance appraisal are clear, but specific objectives are set specifically in each institution.</p> <p>Reference: Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 59/11 Rulebook on Amendments of the Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 24/21.</p>		
<p><b>9. Are the procedures related to performance appraisals flexible enough to address various situations?</b></p>		
<p>Performance appraisal <u>procedures should be flexible enough not to create additional burden</u> in situations like: change of position by the employee (including mobility), change of superior, change of tasks, change of ministry/public office, taking longer leave, etc. The flexibility could be achieved in two ways: by creating flexible procedures and not regulating all details, or by creating detailed procedures that address various situations. Answer “yes” should be selected, if interviewees agree that the procedures are flexible in all situations mentioned above. Source: interview.</p>		
Yes X	Partially	No
<p>Rulebook and the Amendments of the Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina regulate procedures that address various situations.</p>		
<p><b>10. Are the procedures well-adjusted to the specificity of positions?</b></p>		
<p>To increase the effectiveness of performance appraisal procedures, it should be considered to <u>adjust procedures to the needs of different groups of positions</u>. It relates to both procedures and criteria. As a minimum, <u>the procedures (and criteria) of assessment of senior positions should differ from other positions</u>. In certain situations, it may be advisable to differentiate procedures or criteria also for other groups of positions. Answer “Yes”, if at least the procedures and the set of criteria for senior positions are different. Source: interview, reference to regulations.</p>		
Yes	Partially X	No
<p>The procedures of assessment of senior positions are different from other positions (Article 29) Evaluation of Managerial Civil Servants, but criteria are not.</p> <p>Reference: Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 59/11 Rulebook on Amendments of the Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 24/21.</p>		
<p><b>11. Is performance assessment methodology flexible enough to enable taking into account unforeseen/unplanned tasks/achievements?</b></p>		
<p>Performance appraisals should allow <u>taking into account additional tasks which were not planned for the appraisal period</u>. Moreover, the system should allow to modify, add or delete certain objectives during the assessment period, if it is necessary. Some civil servants work in a volatile environment and it is almost impossible to plan accurately all assessment criteria and targets one year ahead. If performance appraisal regulations allow for fast, not too formalized modifications of the assessment criteria and objectives, the answer should be “yes”. Source: interview.</p>		

Yes X	Partially	No
Article 15 of the Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina regulates modifications in work objectives.		
<b>Area: The process of performance appraisals</b>		
<b>12. Are individual objectives and appraisal criteria set at the start of the appraisal period?</b>		
The basic rule for performance appraisals is that employees should have clarity about what is expected from them. Thus, <u>objectives and criteria for assessment should be set and communicated to them at the very start of the appraisal period</u> . If there is legal requirement in place and is well implemented, the answer should be “yes”. If there is legal obligation to do so, but there are doubts about the practice – the answer “partially” would be the most suitable. Source: not only looking at regulations, but discussing actual practice during interview.		
Yes X	Partially	No
It is the opinion of the interviewees that the regulation of setting objectives and communicated at the start of the appraisal period is followed in actual practice.		
<b>13. Are objectives set during an interview between the superior and the employee?</b>		
A good practice is that the objectives are set in the process of <u>dialogue between the superior and his/her employee</u> . It increases the buy in of the employee and his/her engagement. There could be different solutions in place – employee proposes objectives, or superior does so. Answer “yes” should be selected, if there is a discussion between a superior and civil servant on the objectives. Source: interview, reference to regulations.		
Yes	Partially X	No
In accordance to Article 14 (Determination of Work Objectives), determining work objectives of a civil servant are set within the competence of a person who is directly supervised by a civil servant (immediate supervisor). The work objectives for the next period shall be determined, as a rule, in the course of the evaluation discussion for the previous evaluation period, not later than 30 days after the start of the evaluation period. Civil service agency has no insight into actual practice of setting work objectives. Summary report on PA those individual institutions are obliged to submit to the agency do not include individual work objectives. Reference: Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 59/11 Rulebook on Amendments of the Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 24/21.		
<b>14. Are objectives well defined?</b>		
Objectives should be well defined. They should follow <u>SMART</u> criteria. SMART stands for: specific (concrete, clear), measurable (indicators, measures of success), achievable (within possessed resources, not over ambitious), relevant (ex. in line with higher level objectives) and time-bound (with concrete deadlines). They should be <u>well aligned with the objectives of the unit and well aligned with the tasks performed on the position</u> . <i>Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.</i> Source: interview.		
Yes	Partially X	No

<p>In accordance to the Article 13 of the Rulebook, work objectives, as a rule, derive from the description and purpose of the work poste and must be achievable, and, possibly measurable with the set realistic deadlines.</p> <p>It is the opinion of interviewees that setting SMART objective is a common practice in some institutions, but as noted in the previous answer, civil service agency has no insight into actual practice of setting work objectives and summary reports on PA those individual institutions are obliged to submit to the agency do not include individual work objectives.</p>		
<b>15. Do assessment criteria combine objectives and competences?</b>		
<p>Practitioners draw attention to the fact that assessing competences becomes the cornerstone of performance appraisals. Objectives and targets are also important and will continue to be so, but the role of competences will grow. <u>Assessing both objectives and competences</u> helps to ensure that the objectives are reached in line with organizational values, ethical norms, etc. Moreover, including competences creates a natural bridge linking results with the planning of professional development. Answer “yes” should be selected, if performance appraisal methodology combines objectives and competency-based criteria. Source: interview, reference to regulations.</p>		
Yes	Partially X	No
<p>In accordance to the Rulebook, Article 5, evaluation criteria include level of achieved and determined work objectives of a civil servant, independence, work ethic, ability to create and initiate, relation with others in performing duties and tasks and communication skills, readiness to adapt to changes and one additional criterion.</p> <p>Reference: Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 59/11 Rulebook on Amendments of the Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 24/21.</p>		
<b>16. Are regular interviews compulsory?</b>		
<p><u>The interviews should be compulsory</u>, as performance appraisal is not only about the paper work. They should be an occasion for a frank discussion between the employee and his/her superior. The interview should be regular and they should happen <u>at least once a year</u>. Answer “yes” should be selected, if compulsory interviews are performed at least once a year. Source: interview, reference to regulations.</p>		
Yes X	Partially	No
<p>In accordance to the Article 24 of the Rulebook (Interview with Civil Servant), interview with the civil servant is conducted in an open dialogue between him/her and his/her supervisor who evaluates his/her work. Compulsory interviews should be performed at least once a year. Civil service agency has no insight into actual practice but interviewees believe that this practice is common in some institutions.</p> <p>Reference: Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 59/11 Rulebook on Amendments of the Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 24/21.</p>		
<b>17. Is continuous feedback provided to employees?</b>		
<p>Usually, a formal process of performance appraisals encompasses longer period of 6 or 12 months. It is a good practice to encourage managers to provide more frequent (less formalized) feedback to their employees. It could be done by organizing <u>mid-term interviews</u> or by</p>		



encouraging superiors to provide more frequent or continuous feedback to their employees. A good practice is that such feedback is less formalized and follows other rules than regular performance appraisal. It could take the form of weekly or monthly conversations. Answer “yes” should be selected, if meetings to provide feedback with civil servants are conducted at least twice a year. Source: interview.

Yes	Partially X	No
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In accordance to the Article 16 (Duties of immediate supervisor during the Evaluation Period), the immediate supervisor is obliged to continuously monitor the work of the civil servant and collect data on how much the civil servant is efficient in the work, taking into account the nature of the job, the working conditions and the level of civil servant experience, and document the work of the civil servant in the evaluation period by writing and commenting on relevant examples and evidence of how the civil servant worked.  
Civil service agency has no insight into actual practice but interviewees believe that this practice is common in some institutions.

**18. Has the direct superior the predominant role in assessing the employee?**

Different persons could be engaged in performance appraisal (some organizations use 360-degree assessments). However, it is important that the predominant role is played by a direct superior. Answer “yes” should be selected, if the direct superior has the most important role in assessing his/her subordinates. Source: interview, reference to regulations.

Yes X	Partially	No
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In accordance to the Article 16 (Duties of immediate supervisor during the Evaluation Period), the immediate supervisor is obliged to continuously monitor the work of the civil servant and collect data on how much the civil servant is efficient in the work, taking into account the nature of the job, the working conditions and the level of civil servant experience, and document the work of the civil servant in the evaluation period by writing and commenting on relevant examples and evidence of how the civil servant worked.  
Interviewees believe that this is common practice in institutions.

Reference:

Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 59/11

Rulebook on Amendments of the Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 24/21.

**19. Do appropriate safeguards for employees exist?**

In cases when performance appraisal could result in concrete HR decisions (bonuses, promotions, dismissals, redeployment), proper safeguards should be built in the process of performance appraisals. These encompass:

- Civil servants should have a right (explicitly regulated in the legislation) to appeal appraisal results in two instances (administrative appeal and in the court). **Yes**
- **The period of formal assessment should be long enough, especially after a first negative assessment (at least 6 months) Period is not prescribed**
- The procedure clearly sets important deadlines related to setting objectives, organizing interview, preparing performance appraisal results, appeals, etc. **Yes**
- The results of the formal performance appraisal cycle are recorded in written form. **Yes**

Answer “yes”, if all points listed above are fulfilled. Source: interview, reference regulations.

Yes	Partially X	No
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Article 30 (Handing in Evaluation Report)

(1) The evaluation to which the consent is given in accordance with Article 26 of this Book of Rules, i.e. the grade given under the Article 27 of this Book of Rules, as well as the grade in accordance with Article 29 of this Book of Rules, shall become final.

(2) The unit makes a final evaluation in two copies and communicates it to the civil servant with the signature, and one copy is filed in the personal file and the other in the archive. A civil servant does not retain a copy of the rating for him, but has unimpeded access to it in accordance with Article 30 paragraph 7, item a) of the Law.

(3) A civil servant may, in accordance with Article 30, paragraph 7, item b) and 63 of the Law, request review of the regularity of the evaluation procedure, even in cases when he is not evaluated, by the Civil Service Appeal Board within eight days from the date of the announcement of the final evaluation or within eight days of the expiry of the period during which the evaluation was to be made.

(4) Pursuant to Article 63, paragraph 10, item d) of the Law, failure to make performance evaluation, including the provision of the necessary conditions for timely evaluation, shall be considered a breach punishable under the Law and fined. Violation proceedings are initiated within the scope of inspection supervision, as enacted by the Law.

Reference:

Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 59/11

Rulebook on Amendments of the Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 24/21

Law on Civil Service in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 12/2002, 19/2002, 8/2003, 35/2003, 4/2004, 17/2004, 26/2004, 37/2004, 48/2005, 2/2006, 50/2008, 43/2009, 8/2010, 40/2012 and 93/2017).

**Area: The use of results of performance appraisals**

**20. Are the up-to-date results of performance appraisals included in the human resources management information system (or HR system in a ministry, in decentralized systems)?**

The availability of up-to-date, reliable data is a precondition for effective use of performance appraisal results in HR decisions. Up-to-date means that they should be updated every day or every few days. Answer "yes" should be selected, if up-to-date data is contained in the HRM registry and includes at least: the number of eligible civil servants, the number of assessed civil servants, the appraisal results (grades). Source: interview. Evidences exist but not in the HRM registry.

Yes

Partially X

No

**21. Are performance appraisal results used in professional development?**

The main, undisputable area, where performance appraisal results should be used is professional development of civil servants. The use of performance appraisals for other purposes, like salary setting, dismissals, redeployment is disputable among practitioners and scholars. Performance appraisals should be used in planning of training and development activities for civil servants. They could be also used for other forms of professional development, for example in considering promotions and other forms of mobility (horizontal). This question is not only about legislation, but also about real practice and applies a broad meaning of professional development, which goes beyond training and encompasses also mobility, promotions, etc. Answer "yes" should be selected, if performance appraisal results are taken into account at least in establishing individual programmes of professional development or training needs analysis. Source: interview and regulations.

Yes X	Partially	No
<p>Section 4 of the PA form includes recommendations for professional development. Agency collects recommendations from individual PA forms (via contact persons in institutions) and takes those into account for the TNA for horizontal training programs.</p> <p>Reference: Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 59/11 Rulebook on Amendments of the Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina, Official Gazette of BiH, No. 24/21.</p>		
<p><b>22. Are civil servants who received negative appraisal supported to improve their performance?</b></p>		
<p>Often negative performance appraisal results could have a potential to end up with dismissal of underperforming civil servants. If this is the case, civil servant should be offered a necessary time to improve performance and should be supported by the organisation, for example:</p> <ul style="list-style-type: none"> <li>- Dismissal should be possible only after recurrent negative performance appraisal result; the total period of performance appraisal (counted from the start of the appraisal period that ended up with the first negative note) should not be shorter than 12 months (for non-senior positions) and period between the dismissal and the first negative assessments should not be shorter than 6 months.</li> <li>- After the first negative appraisal, it is a good practice to offer professional development opportunities to civil servants.</li> </ul> <p>Answer “yes” should be selected, if both above mentioned criteria are met. Source: interview, analysis of regulations. Article 30, Law on Civil Service in the Institutions of Bosnia and Herzegovina.</p>		
Yes X	Partially	No
<p><b>23. Are appraisal interviews used for planning of professional development?</b></p>		
<p>It is a good practice that interviews are also used to discuss professional development of civil servants, including potential mobility, planning of training, etc. The <u>discussion on professional development should happen together with the discussion on performance assessment, during the same interview</u>. Professional development interviews should result in producing some <u>written statements about required training, or other professional development activities</u>. This could take the form of individual professional development plans. Source: interview, reference to regulations.</p>		
Yes	Partially X	No
<p>In accordance to the Article 2 (Purpose of Evaluation) of the Rulebook, PA procedure shall be conducted in order to incite the quality and professional performance of duties and tasks and to motivate civil servants to constantly improve their expert knowledge and skills and advance in their service, as well as to pay recognition to the civil servant and award him.</p> <p>Section 4 of the PA form includes recommendations for professional development. Agency has no insight into individual written statements about required training, or other professional development activities.</p>		
<p><b>24. Do criteria used to decide about awards (and bonuses) take into account the results of performance appraisals?</b></p>		
<p>According to the literature and research direct linking of performance appraisal results with remuneration creates important risks. Nevertheless, especially in the civil service, managerial accountability requires that managers are able to justify their decisions, especially if they relate to the use of financial resources. This applies also to distribution of awards and bonuses. While</p>		

<p>establishing a direct link (for example: appraisal note “excellent” translates to x EUROS of bonus) between financial awards and performance appraisal results is not recommended, <u>the results of performance appraisal should be taken into account in deciding about awards (both financial and non-financial)</u>. This could take the form of – for example – excluding civil servants with low performance appraisal grades from participating in awards in a specific period. This question relates to both financial and non-financial awards. Answer “yes” should be selected, if performance appraisal results influence the decisions on distributing awards (financial and non-financial), however without any automatism. Source: interview, reference to regulations.</p>		
Yes X	Partially	No
<p>Reference: Methodology on Changes and Amendments to the Methodology for Distribution of Employees Within the Salary Grade, Official Gazette of BiH, No. 76/20.</p>		
<p><b>Area: Effectiveness of performance appraisals</b></p>		
<p><b>25. Does performance appraisal apply to all groups of civil servants?</b></p>		
<p>Performance appraisals could be effective only if they are applied to a large group of civil servants. As a rule, performance appraisal should apply to all groups of civil servants. Certain exemptions are however not only possible, but also necessary, for example in the situation when the assessment period would be too short, or as regards temporary workers. However, as a rule <u>no category of permanent civil servants should be excluded from performance appraisals</u>. Answer “yes” should be selected, if performance appraisals are applied to all categories of civil servants. Source: interview and reference to regulations.</p>		
Yes X	Partially	No
<p>Article 1 (Scope of Application), Rulebook on the Manner of Evaluation of the Work of Civil Servants in the Institutions of Bosnia and Herzegovina.</p>		
<p><b>26. Is the performance of eligible civil servants assessed?</b></p>		
<p>Apart from the exemptions mentioned above, as a rule all <u>eligible civil servants should undergo performance appraisal at least once a year</u>. Eligible civil servants mean all civil servants that should undergo performance appraisal in a specific period, according to regulations. At least 70% of eligible civil servants should undergo performance appraisal to mark the answer “yes”. Source: interview, data.</p>		
Yes	Partially X	No
<p>Based on the submitted summary reports, the percentage is less than 70%, some institutions conducted the evaluation but did not submit the report (according to the available information, about 50% of civil servants were evaluated).</p>		
<p><b>27. Are remote performance appraisals conducted in practice?</b></p>		
<p>This question is to find out if (due to procedural problems or other reasons) performance appraisals were neglected during the period when many civil servants worked online. If the process of performance appraisals continued on similar level (+/- 10%) as before pandemics, the answer should be “yes”. If there was some decline (up to 30%), but the process continued – the answer should be – “partially”. If there was a significant decline in the number of performance appraisals (more than 30%), the answer should be “no”. Source: interviews; data if available.</p>		
Yes X	Partially	No

Based on available data, there was no significant decline in the number of performance appraisals during the period when many civil servants worked online.		
<b>28. Is the “inflation” of appraisal grades avoided?</b>		
Many experts argue that appraisals having the unique objective of providing feedback to employees and facilitating their professional development, does not require any formal grading of civil servants. However, as performance appraisals have also other goals in WB administrations, grades are usually used. The practice, not only in WB administrations, shows that very often the share of highest appraisal results is too high and does not conform to the Gaussian curve. In such a situation, performance appraisals do not achieve their goals, which is differentiation between different levels of performance of employees. If at least 60% of civil servants get performance appraisals results beyond average/medium/etc., it means that there is inflation of grades. Answer “yes” should be selected, if no more than 40% of civil servants get performance grades above average/satisfactory. Sources: interview; data, if available.		
Yes	Partially	No X
Based on available data (about 80% of institutions submitted summary reports) about 70% of civil servants were appraised "particularly successful" in the period January-June 2020 and 75% in the period June-December 2020.		
<b>29. Is the performance of individual employees aligned with the performance of an organisation?</b>		
It is important to <u>compare the achievements of the organization</u> (for example the KPIs related to the performance of the Ministry) <u>with the results of individual performance appraisals</u> . A large discrepancy between the results may suggest that the performance appraisal system is ineffective, for example when many ministry-related KPIs are not met and vast majority of civil servants get the highest results of performance appraisal. If the information about the performance of public organizations is not available, the answer should be “no”. <i>Comment: this question relates rather to an organizational level and getting meaningful answers would require to interview civil servants from a number of organisations. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.</i> Sources: interview; data related to individual performance appraisals and KPIs of the organization.		
Yes	Partially X	No
Agency does not have an insight; there is no data available on to individual performance appraisals and KPIs of the organization.		
<b>30. Are performance appraisals perceived as a useful HRM tool?</b>		
It is a good practice that HR unit runs employee surveys, or asks for other forms of staff feedback. If HR units do not run staff surveys on performance appraisals or do not get any other feedback on the practice of performance appraisals, the answer should be “no”. <i>Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.</i> Source: Interview, survey results.		
Yes	Partially	No X
Neither HR units nor the Agency (lack of capacity) run staff surveys on performance appraisals or other feedback on the practice of performance appraisals.		
<b>31. Are performance appraisals designed in a user-friendly way?</b>		
Very often, civil servants complain that performance appraisals are too burdening for them – they require too many formalities and consume too much time. More detailed questions are:		

- is the methodology simple and well explained? **Yes**
- are the forms short and easy to fill in? **Yes**
- do managers get prefilled forms before the appraisal starts? **No**
- is an IT system used to support the process of performance appraisal (as an opposite to paper-based process)? **No**

Interview is the main, crucial element of performance appraisals. So, in general formalities related to performance appraisal should not take more time than the interview itself? *Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.* Source: Interviews, survey results.

Yes	Partially X	No
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## Bosnia and Herzegovina - Federation of BiH

<b>Area: Preconditions for performance appraisals</b>		
<b>1. Is the competency framework implemented in the civil service?</b>		
<p>The existence of the competency framework means that the <u>set of competences</u> needed for successful performance of the organization was developed. These competencies are <u>well described</u> (usually including examples of positive and sometimes also negative behaviors). Moreover, it means that <u>job descriptions</u> exist, which <u>attribute relevant competences (and their level) to particular positions</u>. There could be one competency framework implemented in the civil service, or different competency frameworks in public organizations. The focus of this question is on the existence of a competency framework and whether it contains the most important elements, but it is not a question about the quality of the formulation of competences. Answer “yes” should be selected, if all above mentioned elements are in place. Source: interview, reference to competency framework – if publicly available.</p>		
Yes	Partially X	No
<p>Competency framework was developed for the BiH civil service: <a href="https://europa.ba/wp-content/uploads/2016/02/Manual-for-competency-framework-BCS.pdf">https://europa.ba/wp-content/uploads/2016/02/Manual-for-competency-framework-BCS.pdf</a></p> <p>The administrative level of Federation of BiH adopted the Rulebook on Evaluation of the Work of Civil Servants in Civil Service Bodies in the Federation of Bosnia and Herzegovina, Official Gazette of the Federation of BiH in 2020. Compared to the previous practice of PA, the new Rulebook introduces behavioral competencies as the new criteria in the assessment process. Behavioral competencies included in the Rulebook are to some extent different then the competencies in the Competency framework developed for the BiH civil service, but contain its most important elements.</p> <p>The Rulebook recognizes six key competencies for senior civil servants, and four key competencies for other civil servants. Key competencies are designed to be applicable to all civil service positions. In that sense, all employees are expected to demonstrate all key competencies for the realization of tasks. The assessment of behavioral competencies is determined on a scale of 1-4.</p> <p>Reference:</p> <ul style="list-style-type: none"> <li>• Rulebook on Evaluation of the Work of Civil Servants in Civil Service Bodies in the Federation of Bosnia and Herzegovina, Official Gazette of the Federation of BiH, 30/2020</li> <li>• Guide for application of the New Rulebook on performance appraisal of civil servants in civil service bodies in the Federation of Bosnia and Herzegovina</li> </ul>		
<b>2. Was the competency framework developed in the participatory process, following job analysis?</b>		
<p>It is a good practice that the <u>development of competency framework follows the process of thorough job analysis and engages civil servants from various institutions</u>. If, on the contrary, the competence framework was developed by external actors and not tested/discussed properly before introduction, the answer should be “no”, as there is significant risk that it would not be fully relevant for the purpose of performance appraisals. If there is no competency framework in place, the answer should be “no”. Answer “yes” should be selected, if proper job analysis was implemented and different ministries were consulted while developing the framework. Source: interviews.</p>		
Yes	Partially	No X

<p><b>3. Is the management by objectives implemented in most organizations (organizational performance framework)?</b></p>		
<p>The organization should have a <u>set of tangible objectives clearly defined</u>. These objectives should be <u>cascaded down</u> through the level of departments to the level of units. This would make it much easier to identify concrete objectives for civil servants for the purpose of performance appraisal. This question relates rather to the level of organization. If the respondents think that most organisations in the civil service implement management by objectives, the answer should be “yes”. The quality of the formulation of the objectives is not being checked. Source: interview, link to objectives on different levels, if publicly available.</p>		
Yes	Partially X	No
<p>In accordance with the Regulation on Three-year and Annual Work Planning, Monitoring and Reporting in the Federation of Bosnia and Herzegovina, Article 12, (Development and adoption of the annual work plan), administrative bodies in BiH Federation are required to develop annual work plans with activities / projects that will be undertaken on an annual basis in order to be realized programs (measures), from the three-year work plan, and achieved the priorities and strategic goals from relevant strategic documents and competencies of administrative bodies determined in three-year work plan.</p> <p>In accordance with the Article 7, paragraph 2 of the Rulebook on Evaluation of the Work of Civil Servants in Civil Service Bodies in the Federation of Bosnia and Herzegovina, work goals are determined on the basis of the annual work plan of the civil service body in which the civil servant works.</p> <p>Interviewees believe that this practice is followed in some part of organizations, but data are not available.</p> <p>Reference: Regulation on Three-year and Annual Work Planning, Monitoring and Reporting in the Federation of Bosnia and Herzegovina, Official Gazette of the Federation of BiH 74/19 and 2/21.</p>		
<p><b>Area: The process of implementation of performance appraisals is supported (enablers).</b></p>		
<p><b>4. Were awareness raising activities organized when introducing performance appraisals?</b></p>		
<p>Introducing performance appraisals, like introducing other HR tools, requires a proper change management that encompasses among others: consulting/involving stakeholders, undertaking communication, awareness raising and capacity building activities. Without investing in the activities mentioned above, performance appraisal risks to become just another paper exercise. The actions mentioned above should be undertaken both at the central level (if one, central performance appraisal system exists), and in organisations – in such a situation answer “yes” would be relevant. If they were undertaken only on one level (central or organization) the answer should be “partially”. Source: interview</p>		
Yes	Partially X	No
<p>A selected group of stakeholders was involved during the process of developing the Rulebook on Evaluation of the Work of Civil Servants in Civil Service Bodies in the Federation of Bosnia and Herzegovina. Capacity building activities were organized in the form of training but the Agency does not the capacity to include all civil service bodies in the awareness raising and capacity building activities.</p>		
<p><b>5. Is there a regulation related to performance appraisals?</b></p>		
<p>There could be a <u>central regulation</u> laying down procedural rules related to performance appraisal, criteria, etc. In many countries it would be a central regulation issued on the basis of</p>		



a civil service law (secondary legislation), however the effective system of performance appraisals is also possible, if such a regulation exists at the level of each organization (ministry, office, etc.) – internal acts. Answer “yes” should be selected, if the procedure of conducting performance appraisals is regulated either at central level or in most public organizations. Source: the regulation.

Yes X	Partially	No
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Reference:  
Rulebook on Evaluation of the Work of Civil Servants in Civil Service Bodies in the Federation of Bosnia and Herzegovina, Official Gazette of the Federation of BiH, 30/2020.

**6. Do managers and civil servants receive support in implementing performance appraisals?**

Especially, when performance appraisals are a new tool in the organization, this process should be supported by: trainings for managers, guidebooks and other support materials, help desk (possibility to call and consult with HR professional), etc. The support for the process of performance appraisals should be provided on central level (if there is a central regulation on performance appraisals) and within each institution (by HR unit). Answer “yes” should be chosen, if some support activities are undertaken both at the central level and within institutions. At least two of the proposed three activities should be offered (trainings, guidebook/other support materials, and helpdesk). Source: interview.

Yes X	Partially	No
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Federation BiH Civil Service Agency organizes regular trainings for managers to support the process of performance appraisals on central level (there is a central regulation on performance appraisals) and provides in-house consultations meetings for civil service bodies in FBiH.

**7. Are performance appraisals supported by effective IT tools?**

The process of performance appraisals should be supported by adequate IT tools. They should make the process more user-friendly (limit the burden to introduce the same text many times; providing examples; offering drop-down menus); limit the work of HR units and making it easier to use the results of performance appraisals by integrating performance appraisal data with other HR data. They should also allow for conducting remotely performance appraisals, which is important especially in the times of COVID-19 pandemics. Answer “yes” is selected, when the interviewees agree that relevant IT solutions are in place in most organisations and they make the process more user friendly for civil servants, make it easier to store and analyse the results of performance appraisals and enable to easily prepare and sign all necessary documents online, as well as conducting performance interviews online. This question is not about just having data in the HRMIS, but about having functional IT solutions supporting the process of conducting performance appraisals. Source: interview.

Yes X	Partially	No
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HRMIS has been adapted to the new forms of the Evaluation Ordinance. Through HRMIS, 87% of FBiH civil service bodies submitted summary evaluation reports this year. Agency has just introduced codes for all civil service bodies which will enable them to, starting from this year, to prepare and sign all necessary documents online, as well as conducting performance interviews online.

<b>Area: Agility and flexibility of solutions</b>		
<b>8. Are the objectives of performance appraisal explicitly and clearly spelled out?</b>		
<p>The objectives of performance appraisal should be clearly spelled out both in the legislation, and in supporting materials. This is one of the conditions necessary to get the buy in from civil servants and their managers for the system. If this tool is implemented without informing what it is for, it would be difficult to expect from civil servants to actively participate with engagement. Answer “yes” should be selected, if the legislation or supporting materials clearly state the objectives of performance appraisal, without the need to look at many paragraphs/articles dispersed in the legal text. Source: interview, Reference to regulations.</p>		
Yes X	Partially	No
<p>Legislation clearly spells out the purpose of evaluation (Article 3, Purpose of Evaluation), and how to determine work objectives (Article 7). To this regard the objectives of performance appraisal are clear, but specific objectives are set specifically in each institution. Reference: Rulebook on Evaluation of the Work of Civil Servants in Civil Service Bodies in the Federation of Bosnia and Herzegovina, Official Gazette of the Federation of BiH, 30/2020</p>		
<b>9. Are the procedures related to performance appraisals flexible enough to address various situations?</b>		
<p>Performance appraisal procedures should be flexible enough not to create additional burden in situations like: change of position by the employee (including mobility), change of superior, change of tasks, change of ministry/public office, taking longer leave, etc. The flexibility could be achieved in two ways: by creating flexible procedures and not regulating all details, or by creating detailed procedures that address various situations. Answer “yes” should be selected, if interviewees agree that the procedures are flexible in all situations mentioned above. Source: interview.</p>		
Yes X	Partially	No
<b>10. Are the procedures well-adjusted to the specificity of positions?</b>		
<p>To increase the effectiveness of performance appraisal procedures, it should be considered to adjust procedures to the needs of different groups of positions. It relates to both procedures and criteria. As a minimum, the procedures (and criteria) of assessment of senior positions should differ from other positions. In certain situations, it may be advisable to differentiate procedures or criteria also for other groups of positions. Answer “Yes”, if at least the procedures and the set of criteria for senior positions are different. Source: interview, Reference to regulations.</p>		
Yes X	Partially	No
<p>Reference: Rulebook on Evaluation of the Work of Civil Servants in Civil Service Bodies in the Federation of Bosnia and Herzegovina, Article 6, Paragraph 1 (Behavioral competencies for senior civil servants and heads of internal organizational units); Article 9, Paragraph 6 (The evaluation of the work of senior civil servants and heads of internal organizational units is performed on the prescribed form 1).</p>		

<b>11. Is performance assessment methodology flexible enough to enable taking into account unforeseen/unplanned tasks/achievements?</b>		
Performance appraisals should allow <u>taking into account additional tasks which were not planned for the appraisal period</u> . Moreover, the system should allow to modify, add or delete certain objectives during the assessment period, if it is necessary. Some civil servants work in a volatile environment and it is almost impossible to plan accurately all assessment criteria and targets one year ahead. If performance appraisal regulations allow for fast, not too formalized modifications of the assessment criteria and objectives, the answer should be “yes”. Source: interview.		
Yes X	Partially	No
Reference: Rulebook on Evaluation of the Work of Civil Servants in Civil Service Bodies in the Federation of Bosnia and Herzegovina, Article 12 (Description of grades).		
<b>Area: The process of performance appraisals</b>		
<b>12. Are individual objectives and appraisal criteria set at the start of the appraisal period?</b>		
The basic rule for performance appraisals is that employees should have clarity about what is expected from them. Thus, <u>objectives and criteria for assessment should be set and communicated to them at the very start of the appraisal period</u> . If there is legal requirement in place and is well implemented, the answer should be “yes”. If there is legal obligation to do so, but there are doubts about the practice – the answer “partially” would be the most suitable. Source: not only looking at regulations, but discussing actual practice during interview.		
Yes X	Partially	No
Reference: Rulebook on Evaluation of the Work of Civil Servants in Civil Service Bodies in the Federation of Bosnia and Herzegovina, Chapter 3 Evaluation Process, Article 7 (Work goals).		
<b>13. Are objectives set during an interview between the superior and the employee?</b>		
A good practice is that the objectives are set in the process of <u>dialogue between the superior and his/her employee</u> . It increases the buy in of the employee and his/her engagement. There could be different solutions in place – employee proposes objectives, or superior does so. Answer “yes” should be selected, if there is a discussion between a superior and civil servant on the objectives. Source: interview, Reference to regulations.		
Yes X	Partially	No
Reference: Rulebook on Evaluation of the Work of Civil Servants in Civil Service Bodies in the Federation of Bosnia and Herzegovina, Chapter 3 Evaluation Process, Article 8 (Getting acquainted with work tasks and goals and monitoring the work of a civil servant).		
<b>14. Are objectives well defined?</b>		
Objectives should be well defined. They should follow <u>SMART</u> criteria. SMART stands for: specific (concrete, clear), measurable (indicators, measures of success), achievable (within possessed resources, not over ambitious), relevant (ex. in line with higher level objectives) and time-bound (with concrete deadlines). They should be <u>well aligned with the objectives of the unit and well aligned with the tasks performed on the position</u> . <i>Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.</i> Source: interview.		

Yes	Partially X	No
<p>FBiH Civil Service Agency continuously organizes trainings for managers including among other, practical exercises in setting SMART objectives. Objectives should be aligned with the objectives of the unit in accordance with the Regulation on Three-year and Annual Work Planning, Monitoring and Reporting in the Federation of Bosnia and Herzegovina. However, there is still a general attitude in some number of civil service bodies that SMART objectives cannot be set for civil servants' positions.</p>		
<p><b>15. Do assessment criteria combine objectives and competences?</b></p>		
<p>Practitioners draw attention to the fact that assessing competences becomes the cornerstone of performance appraisals. Objectives and targets are also important and will continue to be so, but the role of competences will grow. <u>Assessing both objectives and competences</u> helps to ensure that the objectives are reached in line with organizational values, ethical norms, etc. Moreover, including competences creates a natural bridge linking results with the planning of professional development. Answer "yes" should be selected, if performance appraisal methodology combines objectives and competency-based criteria. Source: interview, Reference to regulations.</p>		
Yes X	Partially	No
<p>Reference: Rulebook on Evaluation of the Work of Civil Servants in Civil Service Bodies in the Federation of Bosnia and Herzegovina, Article 6 (Behavioral competencies).</p>		
<p><b>16. Are regular interviews compulsory?</b></p>		
<p><u>The interviews should be compulsory</u>, as performance appraisal is not only about the paper work. They should be an occasion for a frank discussion between the employee and his/her superior. The interview should be regular and they should happen <u>at least once a year</u>. Answer "yes" should be selected, if compulsory interviews are performed at least once a year. Source: interview, Reference to regulations.</p>		
Yes X	Partially	No
<p>Reference: Rulebook on Evaluation of the Work of Civil Servants in Civil Service Bodies in the Federation of Bosnia and Herzegovina, Article 9 (Grade scale and proposal of work grades), paragraph 4 and 5. Article 11 (Deciding on performance appraisal grade) Although compulsory at least once a year, performance appraisal interviews are not always conducted in practice. Agency does not have the information on percentage of performance appraisal grades discussed during the PA interview or otherwise.</p>		
<p><b>17. Is continuous feedback provided to employees?</b></p>		
<p>Usually, a formal process of performance appraisals encompasses longer period of 6 or 12 months. It is a good practice to encourage managers to provide more frequent (less formalized) feedback to their employees. It could be done by organizing <u>mid-term interviews</u> or by encouraging superiors to provide more frequent or continuous feedback to their employees. A good practice is that such feedback is less formalized and follows other rules than regular performance appraisal. It could take the form of <u>weekly or monthly conversations</u>. Answer "yes" should be selected, if meetings to provide feedback with civil servants are conducted at least twice a year. Source: interview.</p>		
Yes	Partially X	No

Regulated by the Rulebook (Article 8, Paragraph 2) but not regularly conducted in practice.		
<b>18. Has the direct superior the predominant role in assessing the employee?</b>		
Different persons could be engaged in performance appraisal (some organizations use 360-degree assessments). However, it is important that the <u>predominant role is played by a direct superior</u> . Answer “yes” should be selected, if the direct superior has the most important role in assessing his/her subordinates. Source: interview, Reference to regulations.		
Yes X	Partially	No
Reference: Rulebook on Evaluation of the Work of Civil Servants in Civil Service Bodies in the Federation of Bosnia and Herzegovina, Chapter 3 Evaluation Process.		
<b>19. Do appropriate safeguards for employees exist?</b>		
In cases when performance appraisal could result in concrete HR decisions (bonuses, promotions, dismissals, redeployment), <u>proper safeguards should be built in the process of performance appraisals</u> . These encompass:		
<ul style="list-style-type: none"> <li>- Civil servants should have a right (explicitly regulated in the legislation) to appeal appraisal results in two instances (administrative appeal and in the court).</li> <li>- The period of formal assessment should be long enough, especially after a first negative assessment (at least 6 months)</li> <li>- The procedure clearly sets important deadlines related to setting objectives, organizing interview, preparing performance appraisal results, appeals, etc.</li> <li>- The results of the formal performance appraisal cycle are recorded in written form.</li> </ul>		
Answer “yes”, if all points listed above are fulfilled. Source: interview, reference regulations.		
Yes X	Partially	No
Reference: Rulebook on Evaluation of the Work of Civil Servants in Civil Service Bodies in the Federation of Bosnia and Herzegovina:		
<ul style="list-style-type: none"> <li>• Explicitly regulated right to appeal appraisal results (the Board of the State Appeals Service of FBiH), Article 11 of the Rulebook.</li> <li>• The period of formal assessment should be long enough, especially after a first negative assessment (at least 6 months), not specifically regulated</li> <li>• The procedure clearly sets important deadlines related to setting objectives, organizing interview, preparing performance appraisal results, appeals, etc, Article 7 of the Rulebook.</li> <li>• The results of the formal performance appraisal cycle are recorded in written form, Article 9 of the Rulebook.</li> </ul>		
<b>Area: The use of results of performance appraisals</b>		
<b>20. Are the up-to-date results of performance appraisals included in the human resources management information system (or HR system in a ministry, in decentralized systems)?</b>		
The availability of up-to-date, reliable data is a precondition for effective use of performance appraisal results in HR decisions. Up-to-date means that they should be updated every day or every few days. Answer “yes” should be selected, if up-to-date data is contained in the HRM registry and includes at least: the number of eligible civil servants, the number of assessed civil servants, the appraisal results (grades). Source: interview.		

Yes	Partially X	no
<b>21. Are performance appraisal results used in professional development?</b>		
<p>The main, undisputable area, where performance appraisal results should be used is professional development of civil servants. The use of performance appraisals for other purposes, like salary setting, dismissals, redeployment is disputable among practitioners and scholars. Performance appraisals should be used in planning of training and development activities for civil servants. They could be also used for other forms of professional development, for example in considering promotions and other forms of mobility (horizontal). This question is not only about legislation, but also about real practice and applies a broad meaning of professional development, which goes beyond training and encompasses also mobility, promotions, etc. Answer “yes” should be selected, if performance appraisal results are taken into account at least in <u>establishing individual programmes of professional development or training needs analysis</u>. Source: interview and regulations.</p>		
Yes X	Partially	No
Article 3 of the Rulebook (Purpose of Appraisal).		
<b>22. Are civil servants who received negative appraisal supported to improve their performance?</b>		
<p>Often negative performance appraisal results could have a potential to end up with dismissal of underperforming civil servants. If this is the case, civil servant should be offered a necessary time to improve performance and should be supported by the organisation, for example:</p> <ul style="list-style-type: none"> <li>- Dismissal should be possible only after recurrent negative performance appraisal result; the total period of performance appraisal (counted from the start of the appraisal period that ended up with the first negative note) should not be shorter than 12 months (for non-senior positions) and period between the dismissal and the first negative assessments should not be shorter than 6 months.</li> <li>- After the first negative appraisal, it is a good practice to offer professional development opportunities to civil servants.</li> </ul> <p>Answer “yes” should be selected, if both above mentioned criteria are met. Source: interview, analysis of regulations.</p>		
Yes X	Partially	No
Rulebook Article 12 (Description of grades), Article 15 (Professional development).		
<b>23. Are appraisal interviews used for planning of professional development?</b>		
<p>It is a good practice that interviews are also used to discuss professional development of civil servants, including potential mobility, planning of training, etc. The <u>discussion on professional development should happen together with the discussion on performance assessment, during the same interview</u>. Professional development interviews should result in producing some <u>written statements about required training, or other professional development activities</u>. This could take the form of individual professional development plans. Source: interview, reference to regulations.</p>		
Yes X	Partially	No
<p>Appraisal form 1 (for evaluating the work of senior civil servants and heads of internal organizational units), section d (professional development) Appraisal form 1.1 (for evaluating the work of other civil servants), section h (professional development).</p>		

<b>24. Do criteria used to decide about awards (and bonuses) take into account the results of performance appraisals?</b>		
<p>According to the literature and research direct linking of performance appraisal results with remuneration creates important risks. Nevertheless, especially in the civil service, managerial accountability requires that managers are able to justify their decisions, especially if they relate to the use of financial resources. This applies also to distribution of awards and bonuses. While establishing a direct link (for example: appraisal note “excellent” translates to x EUROS of bonus) between financial awards and performance appraisal results is not recommended, <u>the results of performance appraisal should be taken into account in deciding about awards (both financial and non-financial)</u>. This could take the form of – for example – excluding civil servants with low performance appraisal grades from participating in awards in a specific period. This question relates to both financial and non-financial awards. Answer “yes” should be selected, if performance appraisal results influence the decisions on distributing awards (financial and non-financial), however without any automatism. Source: interview, reference to regulations.</p>		
Yes	Partially	No X
<p>Financial awards based on results of performance appraisal were abolished by the Law on Salaries and Remunerations in the Authorities of the Federation of BiH (2010).</p>		
<b>Area: Effectiveness of performance appraisals</b>		
<b>25. Does performance appraisal apply to all groups of civil servants?</b>		
<p>Performance appraisals could be effective only if they are applied to a large group of civil servants. As a rule, performance appraisal should apply to all groups of civil servants. Certain exemptions are however not only possible, but also necessary, for example in the situation when the assessment period would be too short, or as regards temporary workers. However, as a rule <u>no category of permanent civil servants should be excluded from performance appraisals</u>. Answer “yes” should be selected, if performance appraisals are applied to all categories of civil servants. Source: interview and reference to regulations.</p>		
Yes X	Partially	No
<p>Reference:</p> <ul style="list-style-type: none"> <li>• Law on Civil Service in the Federation of Bosnia and Herzegovina, Article 6 (Civil service jobs)</li> <li>• Rulebook on Evaluation of the Work of Civil Servants in Civil Service Bodies in the Federation of Bosnia and Herzegovina.</li> </ul>		
<b>26. Is the performance of eligible civil servants assessed?</b>		
<p>Apart from the exemptions mentioned above, as a rule all <u>eligible civil servants should undergo performance appraisal at least once a year</u>. Eligible civil servants mean all civil servants that should undergo performance appraisal in a specific period, according to regulations. At least 70% of eligible civil servants should undergo performance appraisal to mark the answer “yes”. Source: interview, data.</p>		
Yes X	Partially	No
<p>During this year 87% of civil service bodies conducted performance appraisal for all of their eligible civil servants and submitted summary reports to the Agency.</p>		
<b>27. Are remote performance appraisals conducted in practice?</b>		
<p>This question is to find out if (due to procedural problems or other reasons) performance appraisals were neglected during the period when many civil servants worked online. If the</p>		

process of performance appraisals continued on similar level (+/- 10%) as before pandemics, the answer should be “yes”. If there was some decline (up to 30%), but the process continued – the answer should be – “partially”. If there was a significant decline in the number of performance appraisals (more than 30%), the answer should be “no”. Source: interviews; data if available.

Yes X	Partially	No
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There was no significant decline in the number of performance appraisals during the period when many civil servants worked online. Ref. to the previous answer (87% of civil service bodies conducted performance appraisal for all of their eligible civil servants for the previous year).

**28. Is the “inflation” of appraisal grades avoided?**

Many experts argue that appraisals having the unique objective of providing feedback to employees and facilitating their professional development, does not require any formal grading of civil servants. However, as performance appraisals have also other goals in WB administrations, grades are usually used. The practice, not only in WB administrations, shows that very often the share of highest appraisal results is too high and does not conform to the Gaussian curve. In such a situation, performance appraisals do not achieve their goals, which is differentiation between different levels of performance of employees. If at least 60% of civil servants get performance appraisals results beyond average/medium/etc., it means that there is inflation of grades. Answer “yes” should be selected, if no more than 40% of civil servants get performance grades above average/satisfactory. Sources: interview; data, if available.

Yes	Partially	No X
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In this year, 64% of civil servants were graded as extremely successful, 31% successful, 1.7% satisfactory and unsatisfactory 0.1%.

**29. Is the performance of individual employees aligned with the performance of an organisation?**

It is important to compare the achievements of the organization (for example the KPIs related to the performance of the Ministry) with the results of individual performance appraisals. A large discrepancy between the results may suggest that the performance appraisal system is ineffective, for example when many ministry-related KPIs are not met and vast majority of civil servants get the highest results of performance appraisal. If the information about the performance of public organizations is not available, the answer should be “no”. *Comment: this question relates rather to an organizational level and getting meaningful answers would require to interview civil servants from a number of organisations. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.* Sources: interview; data related to individual performance appraisals and KPIs of the organization.

Yes	Partially	No X
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Article 7 of the Rulebook on Evaluation of the Work of Civil Servants in Civil Service Bodies in the Federation of Bosnia and Herzegovina prescribes that individual work goals should be determined based on the annual work program of the civil service in which the civil servant works. However, information about the performance of public organizations is not available. The opinion of interviewees about the usual practice in the civil service is that the KPIs related to the performance of the civil service bodies are not related with the results of individual performance appraisals.

**30. Are performance appraisals perceived as a useful HRM tool?**

It is a good practice that HR unit runs employee surveys, or asks for other forms of staff feedback. If HR units do not run staff surveys on performance appraisals or do not get any other feedback on the practice of performance appraisals, the answer should be “no”. *Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.* Source: Interview, survey results.

Yes	Partially	No X
Neither HR units nor the Agency (lack of capacity) run staff surveys on performance appraisals or other feedback on the practice of performance appraisals.		

**31. Are performance appraisals designed in a user-friendly way?**

Very often, civil servants complain that performance appraisals are too burdening for them – they require too many formalities and consume too much time. More detailed questions are:

- is the methodology simple and well explained?
- are the forms short and easy to fill in?
- do managers get prefilled forms before the appraisal starts?
- is an IT system used to support the process of performance appraisal (as an opposite to paper-based process)?

Interview is the main, crucial element of performance appraisals. So, in general formalities related to performance appraisal should not take more time than the interview itself? *Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.* Source: Interviews, survey results.

Yes X	Partially	No
<ul style="list-style-type: none"> <li>- is the methodology simple and well explained? <b>(yes)</b></li> <li>- are the forms short and easy to fill in? <b>(not short but simple to fill in)</b></li> <li>- do managers get prefilled forms before the appraisal starts? <b>(Generally, no)</b></li> <li>- is an IT system used to support the process of performance appraisal (as an opposite to paper-based process)? <b>(as of recently yes)</b></li> </ul>		

## Bosnia and Herzegovina - Republika Srpska

<b>Area: Preconditions for performance appraisals</b>		
<b>1. Is the competency framework implemented in the civil service?</b>		
<p>The existence of the competency framework means that the <u>set of competences</u> needed for successful performance of the organization was developed. These competencies are <u>well described</u> (usually including examples of positive and sometimes also negative behaviors). Moreover, it means that <u>job descriptions</u> exist, which <u>attribute relevant competences (and their level) to particular positions</u>. There could be one competency framework implemented in the civil service, or different competency frameworks in public organizations. The focus of this question is on the existence of a competency framework and whether it contains the most important elements, but it is not a question about the quality of the formulation of competences. Answer “yes” should be selected, if all above mentioned elements are in place. Source: interview, reference to competency framework – if publicly available.</p>		
Yes	Partially	No X
<p>Competency framework is developed for the BiH civil service: <a href="https://europa.ba/wp-content/uploads/2016/02/Manual-for-competency-framework-BCS.pdf">https://europa.ba/wp-content/uploads/2016/02/Manual-for-competency-framework-BCS.pdf</a></p> <p>Competency framework is currently not being implemented in the civil service of the Republic of Srpska. A new Law on Civil Servants is being drafted which will improve HRM procedures and use of competency framework will be introduced.</p> <p>Currently, this Competency framework does not support the PA practice. PA criteria defined in the Article 6 of the Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees are achieved results in the performance of work tasks and achieved set work goals, quality of work, efficiency in work, independence in work, creative ability and initiatives, communication skills, readiness to adapt to changes and other abilities required by the job.</p>		
<b>2. Was the competency framework developed in the participatory process, following job analysis?</b>		
<p>It is a good practice that the <u>development of competency framework follows the process of thorough job analysis and engages civil servants from various institutions</u>. If, on the contrary, the competence framework was developed by external actors and not tested/discussed properly before introduction, the answer should be “no”, as there is significant risk that it would not be fully relevant for the purpose of performance appraisals. If there is no competency framework in place, the answer should be “no”. Answer “yes” should be selected, if proper job analysis was implemented and different ministries were consulted while developing the framework. Source: interviews.</p>		
Yes	Partially	No X
<b>3. Is the management by objectives implemented in most organizations (organizational performance framework)?</b>		
<p>The organization should have a <u>set of tangible objectives clearly defined</u>. These objectives should be <u>cascaded down</u> through the level of departments to the level of units. This would make it much easier to identify concrete objectives for civil servants for the purpose of performance appraisal. This question relates rather to the level of organization. If the respondents think that most organisations in the civil service implement management by objectives, the answer should be “yes”. The quality of the formulation of the objectives is not being checked. Source: interview, link to objectives on different levels, if publicly available.</p>		

Yes	Partially X	No
<p>In accordance to the Law on Strategic Planning and Development Management in Republika Srpska, Article 16 (Implementation documents in Republika Srpska), and implementation documents in the Republika Srpska are, among others, annual work plans of republican administrative bodies.</p> <p>In accordance with the Article 15 of the Rulebook, <i>"a civil servant shall be given at least three and at most five work goals for every assessment period. Work goals shall be based on the description of position, the goals established by organizational units and administrative bodies, generally; and shall be reachable, measurable and achievable in regard to their deadlines. Should the priorities of Republic administrative bodies or organizational units change, or circumstances that make their feasibility impossible emerge, the established work goals may be changed."</i></p> <p>Respondents think that some organizations in the civil service implement management by objectives. There is no data available of objectives in the individual administrative bodies.</p> <p>Reference: Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees (Official Gazette of the Republic of Srpska, No. 43/09 and 87/11) Law on Strategic Planning and Development Management in Republika Srpska, Official Gazette of the Republic of Srpska, 63/21).</p>		
<p><b>Area: The process of implementation of performance appraisals is supported (enablers).</b></p>		
<p><b>4. Were awareness raising activities organized when introducing performance appraisals?</b></p>		
<p>Introducing performance appraisals, like introducing other HR tools, requires a proper change management that encompasses among others: consulting/involving stakeholders, undertaking communication, awareness raising and capacity building activities. Without investing in the activities mentioned above, performance appraisal risks to become just another paper exercise. The actions mentioned above should be undertaken both at the central level (if one, central performance appraisal system exists), and in organisations – in such a situation answer “yes” would be relevant. If they were undertaken only on one level (central or organization) the answer should be “partially”. Source: interview</p>		
Yes X	Partially	No
<p>When introducing new methodology for performance appraisals a series of trainings and presentations, as well as a manual, have been introduced and implemented.</p>		
<p><b>5. Is there a regulation related to performance appraisals?</b></p>		
<p>There could be a <u>central regulation</u> laying down procedural rules related to performance appraisal, criteria, etc. In many countries it would be a central regulation issued on the basis of a civil service law (secondary legislation), however the effective system of performance appraisals is also possible, if such a regulation exists at the level of each organization (ministry, office, etc.) – internal acts. Answer “yes” should be selected, if the procedure of conducting performance appraisals is regulated either at central level or in most public organizations. Source: the regulation.</p>		
Yes X	Partially	No
<p>Reference: The Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees (Official Gazette of the Republic of Srpska, No. 43/09 and 87/11).</p>		

<b>6. Do managers and civil servants receive support in implementing performance appraisals?</b>		
Especially, when performance appraisals are a new tool in the organization, this process should be supported by: <u>trainings for managers, guidebooks and other support materials, help desk (possibility to call and consult with HR professional), etc.</u> The support for the process of performance appraisals should be provided on <u>central level</u> (if there is a central regulation on performance appraisals) and <u>within each institution</u> (by HR unit). Answer “yes” should be chosen, if some support activities are undertaken both at the central level and within institutions. At least two of the proposed three activities should be offered (trainings, guidebook/other support materials, and helpdesk). Source: interview.		
Yes X	Partially	No
When introducing new methodology for performance appraisals a series of trainings and presentations, as well as a manual, have been implemented.		
<b>7. Are performance appraisals supported by effective IT tools?</b>		
The process of performance appraisals should be supported by <u>adequate IT tools</u> . They should <u>make the process more user-friendly</u> (limit the burden to introduce the same text many times; providing examples; offering drop-down menus); <u>limit the work of HR units</u> and making it easier to use the results of performance appraisals by <u>integrating performance appraisal data with other HR data</u> . They should also allow for conducting remotely performance appraisals, which is important especially in the times of COVID-19 pandemics. Answer “yes” is selected, when the interviewees agree that relevant IT solutions are in place in most organisations and they make the process more user friendly for civil servants, make it easier to store and analyse the results of performance appraisals and enable to easily prepare and sign all necessary documents online, as well as conducting performance interviews online. This question is not about just having data in the HRMIS, but about having functional IT solutions supporting the process of conducting performance appraisals. Source: interview.		
Yes	Partially	No X
<b>Area: Agility and flexibility of solutions</b>		
<b>8. Are the objectives of performance appraisal explicitly and clearly spelled out?</b>		
The objectives of performance appraisal should be clearly spelled out both in the <u>legislation, and in supporting materials</u> . This is one of the conditions necessary to get the buy in from civil servants and their managers for the system. If this tool is implemented without informing what it is for, it would be difficult to expect from civil servants to actively participate with engagement. Answer “yes” should be selected, if the legislation or supporting materials clearly state the objectives of performance appraisal, without the need to look at many paragraphs/articles dispersed in the legal text. Source: interview, reference to regulations.		
Yes X	Partially	No
Legislation clearly spells out the purpose of evaluation (Article 2), and how to determine work objectives (Article 15). To this regard the objectives of performance appraisal are clear, but specific objectives are set specifically in each institution. Reference: The Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees (Official Gazette of the Republic of Srpska, No. 43/09 and 87/11).		

<b>9. Are the procedures related to performance appraisals flexible enough to address various situations?</b>		
Performance appraisal procedures should be flexible enough not to create additional burden in situations like: change of position by the employee (including mobility), change of superior, change of tasks, change of ministry/public office, taking longer leave, etc. The flexibility could be achieved in two ways: by creating flexible procedures and not regulating all details, or by creating detailed procedures that address various situations. Answer “yes” should be selected, if interviewees agree that the procedures are flexible in all situations mentioned above. Source: interview.		
Yes X	Partially	No
Article 15 of the Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees (Official Gazette of the Republic of Srpska, No. 43/09 and 87/11) prescribe that “ <i>Should the priorities of Republic administrative bodies or organizational units change, or circumstances that make their feasibility impossible emerge, the established work goals may be changed.</i> ”		
<b>10. Are the procedures well-adjusted to the specificity of positions?</b>		
To increase the effectiveness of performance appraisal procedures, it should be considered to <u>adjust procedures to the needs of different groups of positions</u> . It relates to both procedures and criteria. As a minimum, <u>the procedures (and criteria) of assessment of senior positions should differ from other positions</u> . In certain situations, it may be advisable to differentiate procedures or criteria also for other groups of positions. Answer “Yes”, if at least the procedures and the set of criteria for senior positions are different. Source: interview, reference to regulations.		
Yes	Partially X	No
The procedures of assessment of senior positions are different from other positions (Article 16 of the Rulebook), but criteria for evaluation is not.		
<b>11. Is performance assessment methodology flexible enough to enable taking into account unforeseen/unplanned tasks/achievements?</b>		
Performance appraisals should allow <u>taking into account additional tasks which were not planned for the appraisal period</u> . Moreover, the system should allow to modify, add or delete certain objectives during the assessment period, if it is necessary. Some civil servants work in a volatile environment and it is almost impossible to plan accurately all assessment criteria and targets one year ahead. If performance appraisal regulations allow for fast, not too formalized modifications of the assessment criteria and objectives, the answer should be “yes”. Source: interview.		
Yes X	Partially	No
Article 15 of the Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees prescribes that “ <i>Should the priorities of Republic administrative bodies or organizational units change, or circumstances that make their feasibility impossible emerge, the established work goals may be changed.</i> ”		
<b>Area: The process of performance appraisals</b>		
<b>12. Are individual objectives and appraisal criteria set at the start of the appraisal period?</b>		
The basic rule for performance appraisals is that employees should have clarity about what is expected from them. Thus, objectives and criteria for assessment should be set and		

communicated to them at the very start of the appraisal period. If there is legal requirement in place and is well implemented, the answer should be “yes”. If there is legal obligation to do so, but there are doubts about the practice – the answer “partially” would be the most suitable. Source: not only looking at regulations, but discussing actual practice during interview.

Yes X

Partially

No

In accordance with the Article 5 of the Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees " During the performance assessment procedure, a civil servant shall not be only assessed for the previous time period but given his/her work goals for the following time period, not exceeding 30th July, i.e. 31st January." Respondents' opinion is that this legal requirement is well implemented in practice.

### 13. Are objectives set during an interview between the superior and the employee?

A good practice is that the objectives are set in the process of dialogue between the superior and his/her employee. It increases the buy in of the employee and his/her engagement. There could be different solutions in place – employee proposes objectives, or superior does so. Answer “yes” should be selected, if there is a discussion between a superior and civil servant on the objectives. Source: interview, reference to regulations.

Yes X

Partially

No

In accordance with the Article 18a of the Rulebook,

(1) During the performance assessment procedure, the grader shall monitor the civil servant's work constantly, give him/her directions for improvement and write down some important examples of the civil servant's work, taking into consideration the nature of post, work conditions and experience of civil servant.

(2) Upon the end of assessment period, the grader shall converse with a civil servant about his/her performance.

(3) Upon the end of conversation, a civil servant shall state his/her comments, which the grader shall write down into an assessment form along with the reasons of potential disagreement with the assessment, and sign the form.

(4) The grader shall sign a form to be sent to the controller immediately in order to give his/her consent.

(5) Should the controller approve the assessment, he/she shall sign the form and submit it to the organizational unit responsible for human resources policy within five days from the date of form receipt.

(6) Should the immediate superior and the civil servant disagree on the assessment, the controller shall try to settle the dispute of the civil servant and the grader within five days from the date of form receipt.

(7) Should the controller not be able to settle the dispute of civil servant and grader, to consider the assessment given in the form as objective and the civil servant's comments as justifiable, and to find the rules of assessment procedure respected, he/she shall decide on the final assessment proposal and submit it to the organizational unit responsible for human resources policy."

Respondents' opinion is that this legal requirement is well implemented in practice and there is a discussion between a superior and civil servant on the objectives.

Reference:

The Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees (Official Gazette of the Republic of Srpska, No. 43/09 and 87/11).

<b>14. Are objectives well defined?</b>		
<p>Objectives should be well defined. They should follow <u>SMART</u> criteria. SMART stands for: specific (concrete, clear), measurable (indicators, measures of success), achievable (within possessed resources, not over ambitious), relevant (ex. in line with higher level objectives) and time-bound (with concrete deadlines). They should be <u>well aligned with the objectives of the unit and well aligned with the tasks performed on the position.</u> <i>Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.</i> Source: interview.</p>		
Yes	Partially X	No
<p>In accordance to the Article 7 of the Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees “Results achieved by performing tasks related to the position and goals set forth shall state and demonstrate the scope, content, structure, quality and quantity values, and standards of civil servants` performing and accomplishing defined working goals successfully.” In accordance to the Article 15: “(1) In the procedure and deadlines established in the Article 5, paragraph 5 of this Rulebook, a civil servant shall be given at least three and at most five work goals for every assessment period. (2) Work goals shall be based on the description of position, the goals established by organizational units and administrative bodies, generally; and shall be reachable, measurable and achievable in regard to their deadlines. (3) Should the priorities of Republic administrative bodies or organizational units change, or circumstances that make their feasibility impossible emerge, the established work goals may be changed.” It is the opinion of interviewees that setting SMART objective is a common practice in some institutions.</p>		
<b>15. Do assessment criteria combine objectives and competences?</b>		
<p>Practitioners draw attention to the fact that assessing competences becomes the cornerstone of performance appraisals. Objectives and targets are also important and will continue to be so, but the role of competences will grow. <u>Assessing both objectives and competences</u> helps to ensure that the objectives are reached in line with organizational values, ethical norms, etc. Moreover, including competences creates a natural bridge linking results with the planning of professional development. Answer “yes” should be selected, if performance appraisal methodology combines objectives and competency-based criteria. Source: interview, reference to regulations.</p>		
Yes	Partially X	No
<p>Although there are no formal competencies, some competencies are defined and assessed during the assessment procedure. Those are defined in the Article 6 of the Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees (Official Gazette of the Republic of Srpska, No. 43/09 and 87/11) – “Article 6 The subject matter and criteria of performance assessment of civil servants shall be as follows: a) results achieved by performing tasks related to the position and goals accomplished, b) quality performance, c) efficient performance, d) independent performance,</p>		

- e) creativity and initiative,
- f) communication skills,
- g) readiness to adapt to changes, and
- h) other competences required by the position.

**Article 18**

"(1) The civil servant`s performance assessment shall be defined as:

- a) performance assessment of results achieved by performing tasks related to the position and goals accomplished, and
- b) performance assessment in terms of other assessment criteria, pursuant to Article 6 of this Rulebook.

(2) The assessment referred to in the paragraph 1, point a) of this Article shall be determined by grading each goal achieved by a civil servant from 1 to 4 and calculating the average grade for all work goals.

(3) The assessment referred to in the paragraph 1, point b) of this Article shall be determined by grading each individual criterion met by a civil servant from 1 to 4 against all other criteria given in the Article 6 of this Rulebook separately, and calculating the average grade against all other criteria together.

(4) The final grade shall be the result of the sum of average grades referred to in the paragraph 1, points a), b) of this Article divided by two.

Reference:

The Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees (Official Gazette of the Republic of Srpska, No. 43/09 and 87/11).

**16. Are regular interviews compulsory?**

The interviews should be compulsory, as performance appraisal is not only about the paper work. They should be an occasion for a frank discussion between the employee and his/her superior. The interview should be regular and they should happen at least once a year. Answer "yes" should be selected, if compulsory interviews are performed at least once a year. Source: interview, reference to regulations.

Yes X	Partially	No
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The Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees – Article 18a:

(2) Upon the end of assessment period, the grader shall converse with a civil servant about his/her performance.

Respondents' opinion is that this legal requirement is well implemented in practice.

Reference:

The Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees (Official Gazette of the Republic of Srpska, No. 43/09 and 87/11).

**17. Is continuous feedback provided to employees?**

Usually, a formal process of performance appraisals encompasses longer period of 6 or 12 months. It is a good practice to encourage managers to provide more frequent (less formalized) feedback to their employees. It could be done by organizing mid-term interviews or by encouraging superiors to provide more frequent or continuous feedback to their employees. A good practice is that such feedback is less formalized and follows other rules than regular performance appraisal. It could take the form of weekly or monthly conversations. Answer "yes" should be selected, if meetings to provide feedback with civil servants are conducted at least twice a year. Source: interview.

Yes	Partially X	No
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The Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees - Article 18a:

(1) During the performance assessment procedure, the grader shall monitor the civil servant's work constantly, give him/her directions for improvement and write down some important examples of the civil servant's work, taking into consideration the nature of post, work conditions and experience of civil servant.

(2) Upon the end of assessment period, the grader shall converse with a civil servant about his/her performance.

(3) Upon the end of conversation, a civil servant shall state his/her comments, which the grader shall write down into an assessment form along with the reasons of potential disagreement with the assessment, and sign the form.

It is not compulsory to have meetings to provide feedback with civil servants at least twice a year.

Although monitoring the civil servant's work constantly is compulsory, there is no evidence available of the conducted meetings to provide feedback.

**18. Has the direct superior the predominant role in assessing the employee?**

Different persons could be engaged in performance appraisal (some organizations use 360-degree assessments). However, it is important that the predominant role is played by a direct superior. Answer "yes" should be selected, if the direct superior has the most important role in assessing his/her subordinates. Source: interview, reference to regulations.

Yes X	Partially	No
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The Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees – Article 16

(1) The performance assessment of Heads of Republic administrative bodies and organizations responsible to the Government of the Republic of Srpska (hereinafter: the Government) shall be conducted by the Commission appointed by the Government.

(2) The Commission referred to in paragraph 1 of this Article shall consist of three members who hold the same position as the Head to be assessed.

(3) Performance assessment of the Assistant Minister, the Secretary to the Ministry, and the Head of the administrative bodies and organisations within the Ministry shall be conducted by the Minister.

(4) Performance assessment of other civil servants shall be conducted by their immediate supervisor or the Head of authority.

(5) An individual immediate superior to the grader (hereinafter: the controller) shall control the performance assessment procedure, deal with disputes of the grader and the civil servant, and put his/her control signature on an assessment form."

**19. Do appropriate safeguards for employees exist?**

In cases when performance appraisal could result in concrete HR decisions (bonuses, promotions, dismissals, redeployment), proper safeguards should be built in the process of performance appraisals. These encompass:

- Civil servants should have a right (explicitly regulated in the legislation) to appeal appraisal results in two instances (administrative appeal and in the court).
- The period of formal assessment should be long enough, especially after a first negative assessment (at least 6 months)
- The procedure clearly sets important deadlines related to setting objectives, organizing interview, preparing performance appraisal results, appeals, etc.
- The results of the formal performance appraisal cycle are recorded in written form.

Answer "yes", if all points listed above are fulfilled. Source: interview, reference regulations.

Yes X	Partially	No
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The Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees:

Article 18a

(3) Upon the end of conversation, a civil servant shall state his/her comments, which the grader shall write down into an assessment form along with the reasons of potential disagreement with the assessment, and sign the form.

(4) The grader shall sign a form to be sent to the controller immediately in order to give his/her consent.

(5) Should the controller approve the assessment, he/she shall sign the form and submit it to the organizational unit responsible for human resources policy within five days from the date of form receipt.

(6) Should the immediate superior and the civil servant disagree on the assessment, the controller shall try to settle the dispute of the civil servant and the grader within five days from the date of form receipt.

(7) Should the controller not be able to settle the dispute of civil servant and grader, to consider the assessment given in the form as objective and the civil servant's comments as justifiable, and to find the rules of assessment procedure respected, he/she shall decide on the final assessment proposal and submit it to the organizational unit responsible for human resources policy.

Article 19

(1) Should periodical assessment of a civil servant be failing, the civil servant shall be given some written instructions by his/her immediate supervisor for eliminating the causes of failing assessment as well as a deadline to achieve satisfactory working standards and results.

(2) The deadline to achieve satisfactory working standards and results referred to in paragraph 1 of this Article shall not exceed the deadline for periodical assessment.

Article 20

(1) The Commission referred to in Article 16, paragraph 2 of this Rulebook shall decide in a decision on the performance assessment of Heads of Republic administrative bodies and organizations responsible to the Government.

(2) The Head of authority shall decide on the performance assessment of a civil servant in a decision.

(3) An appeal may be filed against the decision on performance assessment of a civil servant in front of the Civil Service Appeal Committee within 15 days from the date of decision receipt.

Article 21

(1) Should two successive performance assessments of a civil servant be failing, the Head of authority shall issue a decision on termination of employment contract, i.e. the Government shall issue a decision on termination of employment contract of civil servants from the managing level.

(2) Prior to issuing the decision referred to in paragraph 1 of this Article, the Head of authority shall obtain the Civil Service Agency's opinion on this Rulebook implementation, thus creating conditions to initiate a procedure to issue a decision on the termination of employment contract, i.e. a decision on the termination of employment contract of a managing-level civil servant.

(3) An appeal may be filed against the decision on termination of employment contract to the Civil Service Appeal Committee within 15 days from the date of decision receipt.

(4) An appeal shall not be filed against the Government's decision on termination of employment contract of a managing-level civil servant, but an administrative dispute may be initiated in front of the competent court.

<p>Article 22 The civil servant`s performance assessment shall be conducted using the prescribed Form for Assessing the Performance of Civil Servants and Employees, given in the Annex of this Rulebook as its integral part (Form No. 1)."</p>		
<p><b>Area: The use of results of performance appraisals</b></p>		
<p><b>20. Are the up-to-date results of performance appraisals included in the human resources management information system (or HR system in a ministry, in decentralized systems)?</b></p>		
<p>The availability of up-to-date, reliable data is a precondition for effective use of performance appraisal results in HR decisions. Up-to-date means that they should be updated every day or every few days. Answer "yes" should be selected, if up-to-date data is contained in the HRM registry and includes at least: the number of eligible civil servants, the number of assessed civil servants, the appraisal results (grades). Source: interview.</p>		
Yes	Partially X	No
<p>Law on Civil Servants prescribes the following regarding the Central Human Resources Register which is kept by the CSA RS: Article 103 (1) The Central Human Resources Register shall keep the following details on civil servants: g) Annual performance assessment," The number of eligible civil servants <b>Yes</b> The number of assessed civil servants <b>Yes</b> The appraisal results (grades) <b>Only cumulative</b></p>		
<p><b>21. Are performance appraisal results used in professional development?</b></p>		
<p>The main, undisputable area, where performance appraisal results should be used is professional development of civil servants. The use of performance appraisals for other purposes, like salary setting, dismissals, redeployment is disputable among practitioners and scholars. Performance appraisals should be used in planning of training and development activities for civil servants. They could be also used for other forms of professional development, for example in considering promotions and other forms of mobility (horizontal). This question is not only about legislation, but also about real practice and applies a broad meaning of professional development, which goes beyond training and encompasses also mobility, promotions, etc. Answer "yes" should be selected, if performance appraisal results are taken into account at least in <u>establishing individual programmes of professional development or training needs analysis</u>. Source: interview and regulations.</p>		
Yes X	Partially	No
<p>One part of the PA form is dedicated to trainings: "IX – Proposal of trainings that a civil servant or employee should have in the next appraisal period"</p>		
<p><b>22. Are civil servants who received negative appraisal supported to improve their performance?</b></p>		
<p>Often negative performance appraisal results could have a potential to end up with dismissal of underperforming civil servants. If this is the case, civil servant should be offered a necessary time to improve performance and should be supported by the organisation, for example:</p> <ul style="list-style-type: none"> <li>- Dismissal should be possible only after recurrent negative performance appraisal result; the total period of performance appraisal (counted from the start of the appraisal period that ended up with the first negative note) should not be shorter than 12 months (for</li> </ul>		

non-senior positions) and period between the dismissal and the first negative assessments should not be shorter than 6 months.

- After the first negative appraisal, it is a good practice to offer professional development opportunities to civil servants.

Answer “yes” should be selected, if both above mentioned criteria are met. Source: interview, analysis of regulations.

Yes X

Partially

No

The Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees:

Article 19

(1) Should periodical assessment of a civil servant be failing, the civil servant shall be given some written instructions by his/her immediate supervisor for eliminating the causes of failing assessment as well as a deadline to achieve satisfactory working standards and results.

(2) The deadline to achieve satisfactory working standards and results referred to in paragraph 1 of this Article shall not exceed the deadline for periodical assessment.

Article 21

(1) Should two successive performance assessments of a civil servant be failing, the Head of authority shall issue a decision on termination of employment contract, i.e. the Government shall issue a decision on termination of employment contract of civil servants from the managing level.

### 23. Are appraisal interviews used for planning of professional development?

It is a good practice that interviews are also used to discuss professional development of civil servants, including potential mobility, planning of training, etc. The discussion on professional development should happen together with the discussion on performance assessment, during the same interview. Professional development interviews should result in producing some written statements about required training, or other professional development activities. This could take the form of individual professional development plans. Source: interview, reference to regulations.

Yes X

Partially

No

One part of the PA form is dedicated to trainings: “IX – Proposal of trainings that a civil servant or employee should have in the next appraisal period”

Reference:

The Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees (Official Gazette of the Republic of Srpska, No. 43/09 and 87/11).

### 24. Do criteria used to decide about awards (and bonuses) take into account the results of performance appraisals?

According to the literature and research direct linking of performance appraisal results with remuneration creates important risks. Nevertheless, especially in the civil service, managerial accountability requires that managers are able to justify their decisions, especially if they relate to the use of financial resources. This applies also to distribution of awards and bonuses. While establishing a direct link (for example: appraisal note “excellent” translates to x EUROS of bonus) between financial awards and performance appraisal results is not recommended, the results of performance appraisal should be taken into account in deciding about awards (both financial and non-financial). This could take the form of – for example – excluding civil servants with low performance appraisal grades from participating in awards in a specific period. This

<p>question relates to both financial and non-financial awards. Answer “yes” should be selected, if performance appraisal results influence the decisions on distributing awards (financial and non-financial), however without any automatism. Source: interview, reference to regulations.</p>		
Yes	Partially X	No
<p>The purpose of evaluating the work of civil servants and employees is, inter alia, creating conditions for proper decision-making on promotion (Article 55, paragraph 1. of the Civil Service Law). Promotion is the process by which a civil servant can qualify for a transfer to a higher title within the job, a higher job category and a transition to a higher salary class (Article 31 of the Rulebook). In addition to the existence of a vacancy and a workplace experience required for advancement, the cumulative condition is also the evaluation of work (Article 32. of the Rulebook).</p> <p>Reference: Law on Civil Servants (Official Gazette of the Republic of Srpska, No 118/2008, 117/2011, 37/2012 and 57/2016) The Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees (Official Gazette of the Republic of Srpska, No. 43/09 and 87/11).</p>		
<b>Area: Effectiveness of performance appraisals</b>		
<b>25. Does performance appraisal apply to all groups of civil servants?</b>		
<p>Performance appraisals could be effective only if they are applied to a large group of civil servants. As a rule, performance appraisal should apply to all groups of civil servants. Certain exemptions are however not only possible, but also necessary, for example in the situation when the assessment period would be too short, or as regards temporary workers. However, as a rule <u>no category of permanent civil servants should be excluded from performance appraisals</u>. Answer “yes” should be selected, if performance appraisals are applied to all categories of civil servants. Source: interview and reference to regulations.</p>		
Yes X	Partially	No
<p>Law on Civil Servants prescribes the following: “Article 1 (1) The present Law shall regulate the employment and legal status of civil servants employed with Republic Administrative Authorities of the Republic of Srpska (hereinafter: Republic Administrative Authorities); rights and obligations; positions of state employees; recruiting and filling of vacant positions; performance assessment and promotion; professional training and advancement in the service as well as the state examination; trainees and volunteers in Republic Administrative Authorities; disciplinary and material liability; termination of employment; protection of rights in relation with the employment; human resources plan; keeping of the central registry; other rights in relation with the employment and status and competences of the Administration Appeal Committee (hereinafter: the Committee).”</p> <p>Reference: Law on Civil Servants (Official Gazette of the Republic of Srpska, No 118/2008, 117/2011, 37/2012 and 57/2016).</p>		
<b>26. Is the performance of eligible civil servants assessed?</b>		
<p>Apart from the exemptions mentioned above, as a rule all <u>eligible civil servants should undergo performance appraisal at least once a year</u>. Eligible civil servants mean all civil servants that should undergo performance appraisal in a specific period, according to regulations. At least</p>		

70% of eligible civil servants should undergo performance appraisal to mark the answer “yes”. Source: interview, data.		
Yes X	Partially	No
Between 85-95 % each PA period as it can be seen from the reports prepared by CSA RS and adopted by the Government. Source: <a href="http://adu.vladars.net/cyrl/?page=73">http://adu.vladars.net/cyrl/?page=73</a>		
<b>27. Are remote performance appraisals conducted in practice?</b>		
This question is to find out if (due to procedural problems or other reasons) performance appraisals were neglected during the period when many civil servants worked online. If the process of performance appraisals continued on similar level (+/- 10%) as before pandemics, the answer should be “yes”. If there was some decline (up to 30%), but the process continued – the answer should be – “partially”. If there was a significant decline in the number of performance appraisals (more than 30%), the answer should be “no”. Source: interviews; data if available.		
Yes X	Partially	No
Based on available data, there was no significant decline in the number of performance appraisals during the period when many civil servants worked online. Source: <a href="http://adu.vladars.net/cyrl/?page=73">http://adu.vladars.net/cyrl/?page=73</a>		
<b>28. Is the “inflation” of appraisal grades avoided?</b>		
Many experts argue that appraisals having the unique objective of providing feedback to employees and facilitating their professional development, does not require any formal grading of civil servants. However, as performance appraisals have also other goals in WB administrations, grades are usually used. The practice, not only in WB administrations, shows that very often the share of highest appraisal results is too high and does not conform to the Gaussian curve. In such a situation, performance appraisals do not achieve their goals, which is differentiation between different levels of performance of employees. If at least 60% of civil servants get performance appraisals results beyond average/medium/etc., it means that there is inflation of grades. Answer “yes” should be selected, if no more than 40% of civil servants get performance grades above average/satisfactory. Sources: interview; data, if available.		
Yes	Partially	No X
Around 98 % of PA grades are in the two highest grades as it can be seen from the reports prepared by CSA RS and adopted by the Government. Source: <a href="http://adu.vladars.net/cyrl/?page=73">http://adu.vladars.net/cyrl/?page=73</a>		
<b>29. Is the performance of individual employees aligned with the performance of an organisation?</b>		
It is important to <u>compare the achievements of the organization</u> (for example the KPIs related to the performance of the Ministry) <u>with the results of individual performance appraisals</u> . A large discrepancy between the results may suggest that the performance appraisal system is ineffective, for example when many ministry-related KPIs are not met and vast majority of civil servants get the highest results of performance appraisal. If the information about the performance of public organizations is not available, the answer should be “no”. <i>Comment: this question relates rather to an organizational level and getting meaningful answers would require to interview civil servants from a number of organisations. The selected answer should depend</i>		

<p>on the opinion of interviewees about the usual practice in the civil service. Sources: interview; data related to individual performance appraisals and KPIs of the organization.</p>		
Yes	Partially X	No
<p>The Rulebook on Procedure of Performance Assessment and Promotion of Civil Servants and Employees - Article 15:          "(1) In the procedure and deadlines established in the Article 5, paragraph 5 of this Rulebook, a civil servant shall be given at least three and at most five work goals for every assessment period.          (2) Work goals shall be based on the description of position, the goals established by organizational units and administrative bodies, generally; and shall be reachable, measurable and achievable in regard to their deadlines.          (3) Should the priorities of Republic administrative bodies or organizational units change, or circumstances that make their feasibility impossible emerge, the established work goals may be changed."          The opinion of interviewees is that there is still not sufficient civil service bodies to implement this practice. There is no data available on to individual performance appraisals and KPIs of the organization.</p>		
<p><b>30. Are performance appraisals perceived as a useful HRM tool?</b></p>		
<p>It is a good practice that HR unit runs employee surveys, or asks for other forms of staff feedback. If HR units do not run staff surveys on performance appraisals or do not get any other feedback on the practice of performance appraisals, the answer should be "no".  <i>Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service. Source: Interview, survey results.</i></p>		
Yes	Partially	No X
<p>Neither HR units nor the Agency (lack of capacity) run staff surveys on performance appraisals or other feedback on the practice of performance appraisals.</p>		
<p><b>31. Are performance appraisals designed in a user-friendly way?</b></p>		
<p>Very often, civil servants complain that performance appraisals are too burdening for them – they require too many formalities and consume too much time. More detailed questions are:</p> <ul style="list-style-type: none"> <li>- is the methodology simple and well explained?</li> <li>- are the forms short and easy to fill in?</li> <li>- do managers get prefilled forms before the appraisal starts?</li> <li>- is an IT system used to support the process of performance appraisal (as an opposite to paper-based process)?</li> </ul> <p>Interview is the main, crucial element of performance appraisals. So, in general formalities related to performance appraisal should not take more time than the interview itself? <i>Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service. Source: Interviews, survey results.</i></p>		
Yes	Partially X	No
<p>The methodology is simple and in line with best practices. The burden for HR units is with frequency of appraisals and a lot of decisions to be written. The new Law on Civil Servants, which is being drafted, shall reduce the burden – PA shall be performed annually (instead of every 6 months, decisions shall be written only for the highest and lowest grades, etc.)</p>		

- is the methodology simple and well explained? **Yes**
- are the forms short and easy to fill in? **Yes**
- do managers get prefilled forms before the appraisal starts? **No**
- is an IT system used to support the process of performance appraisal (as an opposite to paper-based process) **No**



## Montenegro

<b>Area: Preconditions for performance appraisals</b>		
<b>1. Is the competency framework implemented in the civil service?</b>		
<p>The existence of the competency framework means that the <u>set of competences</u> needed for successful performance of the organization was developed. These competencies are <u>well described</u> (usually including examples of positive and sometimes also negative behaviors). Moreover, it means that <u>job descriptions</u> exist, which <u>attribute relevant competences (and their level) to particular positions</u>. There could be one competency framework implemented in the civil service, or different competency frameworks in public organizations. The focus of this question is on the existence of a competency framework and whether it contains the most important elements, but it is not a question about the quality of the formulation of competences. Answer “yes” should be selected, if all above mentioned elements are in place. Source: interview, reference to competency framework – if publicly available.</p>		
Yes	Partially X	No
<p>Montenegro has developed competency framework only for the senior civil service, but the general competency framework applicable to all categories of civil service is missing. The competency framework for senior civil servants is applied during recruitment and appraisal since mid-2018. Data submitted to the Ministry of Public Administration, Digital Society and Media by state bodies show that the implementation of the evaluation procedure of the heads of bodies is insufficient, while the number of persons from the category of senior management who was evaluated is slightly declining. In 2018 and 2019, less than 60 per cent of heads of administration authorities (the highest senior civil service category) has been evaluated, while the number of evaluated senior managers ranges between 83 and 87 per cent over the two respective years.</p>		
<b>2. Was the competency framework developed in the participatory process, following job analysis?</b>		
<p>It is a good practice that the <u>development of competency framework follows the process of thorough job analysis and engages civil servants from various institutions</u>. If, on the contrary, the competence framework was developed by external actors and not tested/discussed properly before introduction, the answer should be “no”, as there is significant risk that it would not be fully relevant for the purpose of performance appraisals. If there is no competency framework in place, the answer should be “no”. Answer “yes” should be selected, if proper job analysis was implemented and different ministries were consulted while developing the framework. Source: interviews.</p>		
Yes	Partially X	No
<p>There was a working group established to prepare the Decree on performance appraisal, while the competency framework for senior civil servants was presented within the range of workshops. The answer is partially, since there is no general competency framework.</p>		
<b>3. Is the management by objectives implemented in most organizations (organizational performance framework)?</b>		
<p>The organization should have a <u>set of tangible objectives clearly defined</u>. These objectives should be <u>cascaded down</u> through the level of departments to the level of units. This would</p>		

<p>make it much easier to identify concrete objectives for civil servants for the purpose of performance appraisal. This question relates rather to the level of organization. If the respondents think that most organisations in the civil service implement management by objectives, the answer should be “yes”. The quality of the formulation of the objectives is not being checked. Source: interview, link to objectives on different levels, if publicly available.</p>		
Yes X	Partially	No
<p>The annual work programme with objectives and indicators are prepared. The Law on state administration (Article 22) prescribes that state administration bodies should adopt an annual work program which must be harmonized with the work program of the Government, strategies and programs, as well as with the Law on Budget. It should also contain data on objectives, performance indicators, activities required for the implementation of objectives and persons responsible for the implementation.</p>		
<p><b>Area: The process of implementation of performance appraisals is supported (enablers).</b></p>		
<p><b>4. Were awareness raising activities organized when introducing performance appraisals?</b></p>		
<p>Introducing performance appraisals, like introducing other HR tools, requires a proper change management that encompasses among others: consulting/involving stakeholders, undertaking communication, awareness raising and capacity building activities. Without investing in the activities mentioned above, performance appraisal risks to become just another paper exercise. The actions mentioned above should be undertaken both at the central level (if one, central performance appraisal system exists), and in organisations – in such a situation answer “yes” would be relevant. If they were undertaken only on one level (central or organization) the answer should be “partially”. Source: interview</p>		
Yes	Partially X	No
<p>Capacity building activities are in place and they are conducted by the Human Resource Management Authority (HRMA), but not systematically within the organizations. Trainings organized by HRMA go beyond the formal requirements and include good practices in the field.</p>		
<p><b>5. Is there a regulation related to performance appraisals?</b></p>		
<p>There could be a <u>central regulation</u> laying down procedural rules related to performance appraisal, criteria, etc. In many countries it would be a central regulation issued on the basis of a civil service law (secondary legislation), however the effective system of performance appraisals is also possible, if such a regulation exists at the level of each organization (ministry, office, etc.) – internal acts. Answer “yes” should be selected, if the procedure of conducting performance appraisals is regulated either at central level or in most public organizations. Source: the regulation.</p>		
Yes X	Partially	No
<p>There is a Decree on performance appraisal of civil servants, while the Law on civil servants and state employees lays down the key rules for performance appraisal.</p>		
<p><b>6. Do managers and civil servants receive support in implementing performance appraisals?</b></p>		
<p>Especially, when performance appraisals are a new tool in the organization, this process should be supported by: <u>trainings for managers, guidebooks and other support materials, help desk</u> (possibility to call and consult with HR professional), etc. The support for the process of performance appraisals should be provided on <u>central level</u> (if there is a central regulation on performance appraisals) and <u>within each institution</u> (by HR unit). Answer “yes” should be</p>		

<p>chosen, if some support activities are undertaken both at the central level and within institutions. At least two of the proposed three activities should be offered (trainings, guidebook/other support materials, and helpdesk). Source: interview.</p>		
Yes X	Partially	No
<p>To be filled in by local experts, based on the meetings with working group members. There are trainings for managers as well as guidebook on performance appraisal. Also, the templates for performance appraisal are provided by human resource management units.</p>		
<p><b>7. Are performance appraisals supported by effective IT tools?</b></p>		
<p>The process of performance appraisals should be supported by <u>adequate IT tools</u>. They should <u>make the process more user-friendly</u> (limit the burden to introduce the same text many times; providing examples; offering drop-down menus); <u>limit the work of HR units</u> and making it easier to use the results of performance appraisals by <u>integrating performance appraisal data with other HR data</u>. They should also allow for conducting remotely performance appraisals, which is important especially in the times of COVID-19 pandemics. Answer “yes” is selected, when the interviewees agree that relevant IT solutions are in place in most organisations and they make the process more user friendly for civil servants, make it easier to store and analyse the results of performance appraisals and enable to easily prepare and sign all necessary documents online, as well as conducting performance interviews online. This question is not about just having data in the HRMIS, but about having functional IT solutions supporting the process of conducting performance appraisals. Source: interview.</p>		
Yes	Partially	No X
<p>Currently, no specific IT solutions are in place to support performance appraisal, although there are such plans within the ongoing planning of public administration reform.</p>		
<p><b>Area: Agility and flexibility of solutions</b></p>		
<p><b>8. Are the objectives of performance appraisal explicitly and clearly spelled out?</b></p>		
<p>The objectives of performance appraisal should be clearly spelled out both in the legislation, and in supporting materials. This is one of the conditions necessary to get the buy in from civil servants and their managers for the system. If this tool is implemented without informing what it is for, it would be difficult to expect from civil servants to actively participate with engagement. Answer “yes” should be selected, if the legislation or supporting materials clearly state the objectives of performance appraisal, without the need to look at many paragraphs/articles dispersed in the legal text. Source: interview, reference to regulations.</p>		
yes	partially	no
<p>The Rulebook on performance appraisal of civil servants was published in mid-September 2021. It states the objective of performance appraisal: “to obtain an objective, valid and comparable overview of success at work, abilities and expertise and as such to provide the basis for proper decision-making on the mobility of civil servants (promotion and as a final measure, termination of employment), but it also serves as a human resource management tool in the general context of vocational training and development.” Also, the Law on civil servants and state employees’ states that performance appraisal is conducted with an aim of tracking the performance and proper decision making on the career paths.</p>		
<p><b>9. Are the procedures related to performance appraisals flexible enough to address various situations?</b></p>		
<p>Performance appraisal <u>procedures should be flexible enough not to create additional burden</u> in situations like: change of position by the employee (including mobility), change of superior,</p>		

change of tasks, change of ministry/public office, taking longer leave, etc. The flexibility could be achieved in two ways: by creating flexible procedures and not regulating all details, or by creating detailed procedures that address various situations. Answer “yes” should be selected, if interviewees agree that the procedures are flexible in all situations mentioned above. Source: interview.

Yes X	Partially	No
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The Law on civil servants and state employees and accompanying decrees have regulated situations of mobility, change of superior, change of ministry. If civil servants have not worked for a period longer than six months, she or he will not go through performance appraisal. However, interviewees stress that situations if there is no direct superior have not been foreseen (for example if the position of director general is vacant, who conducts performance appraisal of the head of department). In practice, these situations are solved in a manner that head of the administration body conducts performance appraisal, but they are not sure whether the court would uphold such practice.

**10. Are the procedures well-adjusted to the specificity of positions?**

To increase the effectiveness of performance appraisal procedures, it should be considered to adjust procedures to the needs of different groups of positions. It relates to both procedures and criteria. As a minimum, the procedures (and criteria) of assessment of senior positions should differ from other positions. In certain situations, it may be advisable to differentiate procedures or criteria also for other groups of positions. Answer “Yes”, if at least the procedures and the set of criteria for senior positions are different. Source: interview, reference to regulations.

Yes X	Partially	No
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Law on civil servants prescribes distinct procedure for performance appraisal of senior civil service: the general criteria for performance appraisal of all civil servants are the same (timelines, work results, ability to deliver tasks, the overall workload and skills demonstrated). However, the decree on performance appraisal differentiates on benchmarks used to assess different categories of civil service: for senior civil servants, specific benchmarks derived from competency framework are specified, such as result-oriented performance, meeting of objectives, focus on motivation and development of employees, change management, leadership, cooperation, communication, innovation. For lower categories, the benchmarks are focused on planning skills and ability to meet deadlines and deliver required tasks, innovation and creativity, oral and written expression, team work and communication skills. Also, senior civil servants should be assessed twice a year.

**11. Is performance assessment methodology flexible enough to enable taking into account unforeseen/unplanned tasks/achievements?**

Performance appraisals should allow taking into account additional tasks which were not planned for the appraisal period. Moreover, the system should allow to modify, add or delete certain objectives during the assessment period, if it is necessary. Some civil servants work in a volatile environment and it is almost impossible to plan accurately all assessment criteria and targets one year ahead. If performance appraisal regulations allow for fast, not too formalized modifications of the assessment criteria and objectives, the answer should be “yes”. Source: interview.

Yes X	Partially	No
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<p>The civil service law prescribes that work assignments could be revised, and the Decree on performance appraisal also foresees continuous monitoring of work. Superiors should give civil servants instructions for further work and warn of irregularities. Yet, within the Montenegrin legal framework, there is no obligation to define objectives at the start of the appraisal period, which can also be defined as a necessary level of flexibility.</p>		
<p><b>Area: The process of performance appraisals</b></p>		
<p><b>12. Are individual objectives and appraisal criteria set at the start of the appraisal period?</b></p>		
<p>The basic rule for performance appraisals is that employees should have clarity about what is expected from them. Thus, <u>objectives and criteria for assessment should be set and communicated to them at the very start of the appraisal period</u>. If there is legal requirement in place and is well implemented, the answer should be “yes”. If there is legal obligation to do so, but there are doubts about the practice – the answer “partially” would be the most suitable. Source: not only looking at regulations, but discussing actual practice during interview.</p>		
Yes	Partially	No X
<p>No obligation to define individual objectives at the start of the appraisal period has been prescribed. The Law and the Decree define criteria for performance appraisal (previously described), but no objectives are determined at the start of the appraisal period.</p>		
<p><b>13. Are objectives set during an interview between the superior and the employee?</b></p>		
<p>A good practice is that the objectives are set in the process of <u>dialogue between the superior and his/her employee</u>. It increases the buy in of the employee and his/her engagement. There could be different solutions in place – employee proposes objectives, or superior does so. Answer “yes” should be selected, if there is a discussion between a superior and civil servant on the objectives. Source: interview, reference to regulations.</p>		
Yes	Partially	No X
<p>Setting of objectives is not regulated, only at the level of organization. The recently prepared guidebook on performance appraisal recommends that the objectives are defined at the start, in participatory manner.</p>		
<p><b>14. Are objectives well defined?</b></p>		
<p>Objectives should be well defined. They should follow <u>SMART</u> criteria. SMART stands for: specific (concrete, clear), measurable (indicators, measures of success), achievable (within possessed resources, not over ambitious), relevant (ex. in line with higher level objectives) and time-bound (with concrete deadlines). They should be <u>well aligned with the objectives of the unit and well aligned with the tasks performed on the position</u>. <i>Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.</i> Source: interview.</p>		
Yes	Partially	No X
<p>Setting of objectives is not regulated, and thus it was not taken up in practice despite the supporting materials suggesting setting of objectives at the start of the procedure.</p>		
<p><b>15. Do assessment criteria combine objectives and competences?</b></p>		
<p>Practitioners draw attention to the fact that assessing competences becomes the cornerstone of performance appraisals. Objectives and targets are also important and will continue to be so, but the role of competences will grow. <u>Assessing both objectives and competences helps</u></p>		

to ensure that the objectives are reached in line with organizational values, ethical norms, etc. Moreover, including competences creates a natural bridge linking results with the planning of professional development. Answer “yes” should be selected, if performance appraisal methodology combines objectives and competency-based criteria. Source: interview, reference to regulations.

Yes	Partially X	No
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The criteria and benchmarks for performance appraisal implicitly make distinction between work results and competencies (e.g. team work, leadership). Nonetheless, the competency framework for all civil service levels is not in place. Also, the official note on performance appraisal, which comes at the end of the appraisal period, is designed as a course of conversation, and a view of superior on what is missing in competencies and performance of a civil servant to serve as a recommendation for professional development. Therefore, there is a flexibility to encompass both competencies and objectives, but they are not sufficiently defined.

**16. Are regular interviews compulsory?**

The interviews should be compulsory, as performance appraisal is not only about the paper work. They should be an occasion for a frank discussion between the employee and his/her superior. The interview should be regular and they should happen at least once a year. Answer “yes” should be selected, if compulsory interviews are performed at least once a year. Source: interview, reference to regulations.

Yes X	Partially	No
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According to the Decree on performance appraisal of civil servants, before making an official note on performance appraisal, the director superior should conduct a conversation. Therefore, once a year it is envisaged to have a performance conversation.

**17. Is continuous feedback provided to employees?**

Usually, a formal process of performance appraisals encompasses longer period of 6 or 12 months. It is a good practice to encourage managers to provide more frequent (less formalized) feedback to their employees. It could be done by organizing mid-term interviews or by encouraging superiors to provide more frequent or continuous feedback to their employees. A good practice is that such feedback is less formalized and follows other rules than regular performance appraisal. It could take the form of weekly or monthly conversations. Answer “yes” should be selected, if meetings to provide feedback with civil servants are conducted at least twice a year. Source: interview.

Yes	Partially X	No
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Formally, there is no obligation to ensure frequent provision of feedback, although the Decree on performance appraisal prescribes the continuous monitoring of performance. Also, interviewees have the impression that the feedback is being provided, for example, following the submission of work reports etc.

**18. Has the direct superior the predominant role in assessing the employee?**

Different persons could be engaged in performance appraisal (some organizations use 360-degree assessments). However, it is important that the predominant role is played by a direct superior. Answer “yes” should be selected, if the direct superior has the most important role in assessing his/her subordinates. Source: interview, reference to regulations.

Yes X	Partially	No
<p>According to the law and the Decree, direct superior has predominant role in tracking the performance and proposing the final assessment.</p>		
<p><b>19. Do appropriate safeguards for employees exist?</b></p>		
<p>In cases when performance appraisal could result in concrete HR decisions (bonuses, promotions, dismissals, redeployment), <u>proper safeguards should be built in the process of performance appraisals</u>. These encompass:</p> <ul style="list-style-type: none"> <li>- Civil servants should have a right (explicitly regulated in the legislation) to appeal appraisal results in two instances (administrative appeal and in the court).</li> <li>- The period of formal assessment should be long enough, especially after a first negative assessment (at least 6 months)</li> <li>- The procedure clearly sets important deadlines related to setting objectives, organizing interview, preparing performance appraisal results, appeals, etc.</li> <li>- The results of the formal performance appraisal cycle are recorded in written form.</li> </ul> <p>Answer “yes”, if all points listed above are fulfilled. Source: interview, reference regulations.</p>		
Yes X	Partially	No
<p>There is a possibility of appeal to the Appeals Commission, and subsequently, for filing a suit in front of the Administrative Court. The appraisal period is 6 months for senior civil servants, and 12 months for other categories. Key deadlines are set in regulations, while there is also an obligation to make an official note, in a written form, at the end of the appraisal period.</p>		
<p><b>Area: The use of results of performance appraisals</b></p>		
<p><b>20. Are the up-to-date results of performance appraisals included in the human resources management information system (or HR system in a ministry, in decentralized systems)?</b></p>		
<p>The availability of up-to-date, reliable data is a precondition for effective use of performance appraisal results in HR decisions. Up-to-date means that they should be updated every day or every few days. Answer “yes” should be selected, if up-to-date data is contained in the HRM registry and includes at least: the number of eligible civil servants, the number of assessed civil servants, the appraisal results (grades). Source: interview.</p>		
Yes	Partially X	No
<p>The data on performance appraisals completed during 2020 are available within the HRM registry. Nonetheless, since the individual organizations are responsible for provision of reliable data, the interviewees were not completely sure whether the data submitted are complete (encompassing all the civil servants eligible for performance appraisal).</p>		
<p><b>21. Are performance appraisal results used in professional development?</b></p>		
<p>The main, undisputable area, where performance appraisal results should be used is professional development of civil servants. The use of performance appraisals for other purposes, like salary setting, dismissals, redeployment is disputable among practitioners and scholars. Performance appraisals should be used in planning of training and development activities for civil servants. They could be also used for other forms of professional development, for example in considering promotions and other forms of mobility (horizontal). This question is not only about legislation, but also about real practice and applies a broad meaning of professional development, which goes beyond training and encompasses also mobility, promotions, etc. Answer “yes” should be selected, if performance appraisal results are</p>		

<p>taken into account at least in <u>establishing individual programmes of professional development or training needs analysis</u>. Source: interview and regulations.</p>		
Yes	Partially X	No
<p>The performance appraisal is not regulated in a manner which would necessarily include its results into the training needs analysis. That might be done at the level of individual organizations, but is not regulated systematically. Methodology for conducting training needs analysis, developed by HRMA, suggests to include results of performance appraisals into the planning of professional development activities, as well as recently developed guidebook on performance appraisal.</p>		
<p><b>22. Are civil servants who received negative appraisal supported to improve their performance?</b></p>		
<p>Often negative performance appraisal results could have a potential to end up with dismissal of underperforming civil servants. If this is the case, civil servant should be offered a necessary time to improve performance and should be supported by the organisation, for example:</p> <ul style="list-style-type: none"> <li>- Dismissal should be possible only after recurrent negative performance appraisal result; the total period of performance appraisal (counted from the start of the appraisal period that ended up with the first negative note) should not be shorter than 12 months (for non-senior positions) and period between the dismissal and the first negative assessments should not be shorter than 6 months.</li> <li>- After the first negative appraisal, it is a good practice to offer professional development opportunities to civil servants.</li> </ul> <p>Answer “yes” should be selected, if both above mentioned criteria are met. Source: interview, analysis of regulations.</p>		
Yes X	Partially	No
<p>Dismissal is possible only after recurrent negative performance appraisal result, while there is an obligation for individual professional development plan to be developed for a civil servant who received negative performance appraisal result.</p>		
<p><b>23. Are appraisal interviews used for planning of professional development?</b></p>		
<p>It is a good practice that interviews are also used to discuss professional development of civil servants, including potential mobility, planning of training, etc. The <u>discussion on professional development should happen together with the discussion on performance assessment, during the same interview</u>. Professional development interviews should result in producing some <u>written statements about required training, or other professional development activities</u>. This could take the form of individual professional development plans. Source: interview, reference to regulations.</p>		
Yes	Partially X	No
<p>The sample of the official note / a written record of the result at the end of the performance appraisal period, is defined in a manner to contain also recommendations for professional development. The sample itself contains the remark for direct superior to provide recommendations for professional development, while the efforts are being made that HRM information system facilitates the direct superior in selecting among the trainings offered through a drop-down menu.</p>		
<p><b>24. Do criteria used to decide about awards (and bonuses) take into account the results of performance appraisals?</b></p>		



<p>According to the literature and research direct linking of performance appraisal results with remuneration creates important risks. Nevertheless, especially in the civil service, managerial accountability requires that managers are able to justify their decisions, especially if they relate to the use of financial resources. This applies also to distribution of awards and bonuses. While establishing a direct link (for example: appraisal note “excellent” translates to x EUROS of bonus) between financial awards and performance appraisal results is not recommended, <u>the results of performance appraisal should be taken into account in deciding about awards (both financial and non-financial)</u>. This could take the form of – for example – excluding civil servants with low performance appraisal grades from participating in awards in a specific period. This question relates to both financial and non-financial awards. Answer “yes” should be selected, if performance appraisal results influence the decisions on distributing awards (financial and non-financial), however without any automatism. Source: interview, reference to regulations.</p>		
Yes	Partially X	No
<p>The civil service law and the Law on salaries of public sector employees envisage that during promotion and distribution of bonuses the performance appraisal result should be taken into account. However, the interviewees think that distribution of bonuses (the so-called variable part of salary) is not sufficiently tied to the performance appraisal results. Although this part of salary should be allocated to employees with extraordinary results, no clear benchmarks and criteria for such results are elaborated.</p>		
<p><b>Area: Effectiveness of performance appraisals</b></p>		
<p><b>25. Does performance appraisal apply to all groups of civil servants?</b></p>		
<p>Performance appraisals could be effective only if they are applied to a large group of civil servants. As a rule, performance appraisal should apply to all groups of civil servants. Certain exemptions are however not only possible, but also necessary, for example in the situation when the assessment period would be too short, or as regards temporary workers. However, as a rule <u>no category of permanent civil servants should be excluded from performance appraisals</u>. Answer “yes” should be selected, if performance appraisals are applied to all categories of civil servants. Source: interview and reference to regulations.</p>		
Yes X	Partially	No
<p>Performance appraisal applies to all groups of civil servants.</p>		
<p><b>26. Is the performance of eligible civil servants assessed?</b></p>		
<p>Apart from the exemptions mentioned above, as a rule all <u>eligible civil servants should undergo performance appraisal at least once a year</u>. Eligible civil servants mean all civil servants that should undergo performance appraisal in a specific period, according to regulations. At least 70% of eligible civil servants should undergo performance appraisal to mark the answer “yes”. Source: interview, data.</p>		
Yes	Partially X	No
<p>During 2018, 2019, and 2020, the share of civil servants who have undergone performance appraisal was 67%, 63% and 41% respectively. These percentages, however, take into account the overall number of employees, according to the HRM registry. The number of eligible candidates might be lower, since the civil service law stipulates those employees who are absent for a period longer than six months, no matter of the reason for absence, will not undergo performance appraisal. Source: Ministry of Public Administration, Digital Society and Media, <i>Monitoring Report on Civil Service at Central and Local Levels</i>, September 2021</p>		

<b>27. Are remote performance appraisals conducted in practice?</b>		
<p>This question is to find out if (due to procedural problems or other reasons) performance appraisals were neglected during the period when many civil servants worked online. If the process of performance appraisals continued on similar level (+/- 10%) as before pandemics, the answer should be “yes”. If there was some decline (up to 30%), but the process continued – the answer should be – “partially”. If there was a significant decline in the number of performance appraisals (more than 30%), the answer should be “no”. Source: interviews; data if available.</p>		
Yes	Partially	No X
<p>According to the recently prepared report by HRMA, the number of performance appraisals significantly declined during pandemic: from 8670 in 2019 to 4636 in 2020. Source: Ministry of Public Administration, Digital Society and Media, <i>Monitoring Report on Civil Service at Central and Local Levels</i>, September 2021</p>		
<b>28. Is the “inflation” of appraisal grades avoided?</b>		
<p>Many experts argue that appraisals having the unique objective of providing feedback to employees and facilitating their professional development, does not require any formal grading of civil servants. However, as performance appraisals have also other goals in WB administrations, grades are usually used. The practice, not only in WB administrations, shows that very often the share of highest appraisal results is too high and does not conform to the Gaussian curve. In such a situation, performance appraisals do not achieve their goals, which is differentiation between different levels of performance of employees. If at least 60% of civil servants get performance appraisals results beyond average/medium/etc., it means that there is inflation of grades. Answer “yes” should be selected, if no more than 40% of civil servants get performance grades above average/satisfactory. Sources: interview; data, if available.</p>		
Yes	Partially	No X
<p>For 2019, according to the data available in HRM registry, 4619 employees were evaluated with the grade "outstanding", i.e. 53%, while 47% received average performance result, while only 10 employees received the "unsatisfactory" result. HRM registry contains 2020 data for only 54% of bodies. Based on the available data, 3648 employees were rated as "outstanding", i.e. 79%, 984 employees, or 21%, were evaluated as "good", while only 4 employees received a grade of "unsatisfactory" performance. Source: Ministry of Public Administration, Digital Society and Media, <i>Monitoring Report on Civil Service at Central and Local Levels</i>, September 2021.</p>		
<b>29. Is the performance of individual employees aligned with the performance of an organisation?</b>		

It is important to compare the achievements of the organization (for example the KPIs related to the performance of the Ministry) with the results of individual performance appraisals. A large discrepancy between the results may suggest that the performance appraisal system is ineffective, for example when many ministry-related KPIs are not met and vast majority of civil servants get the highest results of performance appraisal. If the information about the performance of public organizations is not available, the answer should be “no”. *Comment: this question relates rather to an organizational level and getting meaningful answers would require to interview civil servants from a number of organisations. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.* Sources: interview; data related to individual performance appraisals and KPIs of the organization.

Yes	Partially	No X
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In general, due to the inflation of outstanding individual performance appraisal results, there is an impression that performance of individual employees is not aligned with the performance of an organization.

**30. Are performance appraisals perceived as a useful HRM tool?**

It is a good practice that HR unit runs employee surveys, or asks for other forms of staff feedback. If HR units do not run staff surveys on performance appraisals or do not get any other feedback on the practice of performance appraisals, the answer should be “no”. *Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.* Source: Interview, survey results.

Yes	Partially X	No
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Interviewees think that the perception of performance appraisal differs among organizations: employees within institutions with established HRM units are expected to have better perception of performance appraisal as useful tool. The pilot employees’ satisfaction surveys have been conducted within four public bodies (Ministry of Public Administration, Digital Society and Media, HRMA, Municipality of Kolašin, and Administration of Parliament of Montenegro). The questions encompassed perception of performance appraisal procedures, but the results are still being analyzed. Their aim is to be used internally, within the four organizations.

**31. Are performance appraisals designed in a user-friendly way?**

Very often, civil servants complain that performance appraisals are too burdening for them – they require too many formalities and consume too much time. More detailed questions are:

- is the methodology simple and well explained?
- are the forms short and easy to fill in?
- do managers get prefilled forms before the appraisal starts?
- is an IT system used to support the process of performance appraisal (as an opposite to paper-based process)?

Interview is the main, crucial element of performance appraisals. So, in general formalities related to performance appraisal should not take more time than the interview itself? *Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.* Source: Interviews, survey results.

Yes X	Partially	No
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Interviewees think that the procedure is quite simple and not burdensome. It is planned for drop down menu in HRM registry to assist direct superior to choose among professional development opportunities. Currently, the registry has modalities which assist the procedure, such as the key criteria in the performance appraisal sample, and the calculation of the final performance appraisal result.

## North Macedonia

<b>Area: Preconditions for performance appraisals</b>		
<b>1. Is the competency framework implemented in the civil service?</b>		
<p>The existence of the competency framework means that the <u>set of competences</u> needed for successful performance of the organization was developed. These competencies are <u>well described</u> (usually including examples of positive and sometimes also negative behaviors). Moreover, it means that <u>job descriptions</u> exist, which <u>attribute relevant competences (and their level) to particular positions</u>. There could be one competency framework implemented in the civil service, or different competency frameworks in public organizations. The focus of this question is on the existence of a competency framework and whether it contains the most important elements, but it is not a question about the quality of the formulation of competences. Answer “yes” should be selected, if all above mentioned elements are in place. Source: interview, reference to competency framework – if publicly available.</p>		
Yes X	Partially	No
<p>Competency Framework is regulated by Secondary legislation: Book of Rules for General Competency Framework, that was enacted by the Minister of MIOA, (Official gazette 142/2014) as stipulated in the Law on Administrative Servants- Article 21(2) (Official gazette 27/2014). Another tool that is used is The Manual developed in collaboration with the NGO Centre for Change Management, through the project Support to PAR, supported by British Embassy. In the Practice Competency framework is connected to Performance appraisal, but there is data that not all institutions from the public sector are implementing the procedure regulated by Legislation.</p> <p>What is concerning is that the Current Draft of the Law on Administrative servants (Article 52) is leaving 360 degrees in PA, stipulating that PA assessment is performed solely by Immediate Superior. And although according to the current system the Weight of grading in PA from other assessors is 35% compared to 65% for the Immediate superior, still the new solution is not good, as these 35% acted as a form of corrector and guarantee for improved objectivity in the assessment.</p> <p>One of the concerns was anonymity of the assessors. This is solvable, as proved by the recent Pilot Project of e-PA in Ministry of Finance.</p>		
<b>2. Was the competency framework developed in the participatory process, following job analysis?</b>		
<p>It is a good practice that the <u>development of competency framework follows the process of thorough job analysis and engages civil servants from various institutions</u>. If, on the contrary, the competence framework was developed by external actors and not tested/discussed properly before introduction, the answer should be “no”, as there is significant risk that it would not be fully relevant for the purpose of performance appraisals. If there is no competency framework in place, the answer should be “no”. Answer “yes” should be selected, if proper job analysis was implemented and different ministries were consulted while developing the framework. Source: interviews.</p>		
Yes X	Partially	No

The Process was participatory and thus the answer is Yes, there is a connection between the job description and Competency framework. In the Performance assessment both are assessed -the Competencies and the job (Work).

However, the connection between the job description and Competency framework is not too strong and there is room for improvement.

**3. Is the management by objectives implemented in most organizations (organizational performance framework)?**

The organization should have a set of tangible objectives clearly defined. These objectives should be cascaded down through the level of departments to the level of units. This would make it much easier to identify concrete objectives for civil servants for the purpose of performance appraisal. This question relates rather to the level of organization. If the respondents think that most organisations in the civil service implement management by objectives, the answer should be “yes”. The quality of the formulation of the objectives is not being checked. Source: interview, link to objectives on different levels, if publicly available.

Yes X

Partially

No

All Strategic documents of the institutions and other horizontal legislation are taken into consideration when the Work objectives and tasks are defined.

Form for assessment starts with Objectives, there is Obligation in the Par Strategy to set annual objectives, so the public administration does it.

**Area: The process of implementation of performance appraisals is supported (enablers).**

**4. Were awareness raising activities organized when introducing performance appraisals?**

Introducing performance appraisals, like introducing other HR tools, requires a proper change management that encompasses among others: consulting/involving stakeholders, undertaking communication, awareness raising and capacity building activities. Without investing in the activities mentioned above, performance appraisal risks to become just another paper exercise. The actions mentioned above should be undertaken both at the central level (if one, central performance appraisal system exists), and in organisations – in such a situation answer “yes” would be relevant. If they were undertaken only on one level (central or organization) the answer should be “partially”. Source: interview

Yes X

Partially

No

In 2005 when PA was introduced in Administration for a first time, there were a lot of Awareness raising activities for making PA Process understood. There was support from the Stakeholders and there was big expert support. The training was targeting the Heads of HR Units within the institutions and they were obliged to continue training the staff within their institutions.

However, there were not public campaigns.

But with the New LAS, the awareness raising activities started in 2014, immediately after enactment of the Law, although the LAS entered in Force one year later (February 2015) and there was continuation of training during 2015 and she was involved in the process as Advisor and trainer. The advice was provided continuously to all institutions.

**5. Is there a regulation related to performance appraisals?**

There could be a central regulation laying down procedural rules related to performance appraisal, criteria, etc. In many countries it would be a central regulation issued on the basis of a civil service law (secondary legislation), however the effective system of performance appraisals is also possible, if such a regulation exists at the level of each organization (ministry, office, etc.) – internal acts. Answer “yes” should be selected, if the procedure of conducting

<p>performance appraisals is regulated either at central level or in most public organizations. Source: the regulation.</p>		
Yes X	Partially	No
<p>The Law on Administrative Servants in its Chapter X is defining the System for Performance appraisal for administrative servants. The System in the sense of this Law means defining the work objectives and tasks, the individual Plan for development and the procedure for performing PA. All of these are stipulated in this Chapter of the Law Is.</p>		
<p><b>6. Do managers and civil servants receive support in implementing performance appraisals?</b></p>		
<p>Especially, when performance appraisals are a new tool in the organization, this process should be supported by: <u>trainings for managers, guidebooks and other support materials, help desk</u> (possibility to call and consult with HR professional), etc. The support for the process of performance appraisals should be provided on <u>central level</u> (if there is a central regulation on performance appraisals) and <u>within each institution</u> (by HR unit). Answer “yes” should be chosen, if some support activities are undertaken both at the central level and within institutions. At least two of the proposed three activities should be offered (trainings, guidebook/other support materials, and helpdesk). Source: interview.</p>		
Yes X	Partially	No
<p>There is complete support available such Manuals, reminders. They are on the HR network run by MISA. There is continuity and the political changes does not interrupt the process. The Book of Rules is so detailed it is like a manual. Also, the web site of MISA has all forms in word format and there are continuous trainings. In MISA there is Sector for support of Institutions which serves as a help desk for all institutions. So, any unclear issues related to Procedure or any dilemmas with interpretation of the regulations or implementation they can seek support from MISA. As an example, she provided that Institutions which have less than 2 administrative servants, such as kindergartens usually asking for support in performing PA.</p>		
<p><b>7. Are performance appraisals supported by effective IT tools?</b></p>		
<p>The process of performance appraisals should be supported by <u>adequate IT tools</u>. They should <u>make the process more user-friendly</u> (limit the burden to introduce the same text many times; providing examples; offering drop-down menus); <u>limit the work of HR units</u> and making it easier to use the results of performance appraisals by <u>integrating performance appraisal data with other HR data</u>. They should also allow for conducting remotely performance appraisals, which is important especially in the times of COVID-19 pandemics. Answer “yes” is selected, when the interviewees agree that relevant IT solutions are in place in most organisations and they make the process more user friendly for civil servants, make it easier to store and analyse the results of performance appraisals and enable to easily prepare and sign all necessary documents online, as well as conducting performance interviews online. This question is not about just having data in the HRMIS, but about having functional IT solutions supporting the process of conducting performance appraisals. Source: interview.</p>		
Yes	Partially X	No

Part of the procedure is done by email, for instance Communication with external assessors. With the start of Covid 19 pandemic, part of the process was done online. In 2016 it was developed HRM Information System in MISA and thy system provides good its solutions for PA, but in order to become operational there is a need of amending the legislation (for instance the use of plastic boxes for collecting PA forms, which is part of regulations) However New LAS is in final stage of drafting and this will be solved. Currently there is upgrade of the HRM Information System in MISA, which will make the complete procedure digital.

**Area: Agility and flexibility of solutions**

**8. Are the objectives of performance appraisal explicitly and clearly spelled out?**

The objectives of performance appraisal should be clearly spelled out both in the legislation, and in supporting materials. This is one of the conditions necessary to get the buy in from civil servants and their managers for the system. If this tool is implemented without informing what it is for, it would be difficult to expect from civil servants to actively participate with engagement. Answer “yes” should be selected, if the legislation or supporting materials clearly state the objectives of performance appraisal, without the need to look at many paragraphs/articles dispersed in the legal text. Source: interview, reference to regulations.

Yes X	Partially	No
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The Objectives of the PA are taken from the Job description and there is obligation for relating the Objectives of the institutions with the Individual objectives, as stipulated in Article 62(a) from LAS. They are very clear.

**9. Are the procedures related to performance appraisals flexible enough to address various situations?**

Performance appraisal procedures should be flexible enough not to create additional burden in situations like: change of position by the employee (including mobility), change of superior, change of tasks, change of ministry/public office, taking longer leave, etc. The flexibility could be achieved in two ways: by creating flexible procedures and not regulating all details, or by creating detailed procedures that address various situations. Answer “yes” should be selected, if interviewees agree that the procedures are flexible in all situations mentioned above. Source: interview.

Yes X	Partially	No
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The Law on Administrative Servants recognize the need for flexibility and in article 63 stipulates how to proceed in certain situations, such as new employment, prolonged absence from work/sick leave, mobility, changing of working place, but not in detail. The Book of Rules on the procedure for performing midterm interview, the form and the content of the Report on the Midterm Interview, closer criteria for the process of assessment of administrative servants, closer criteria for the process of assessment of administrative servants in the institutions which have less than 20 administrative servants , the form and the content of the Forms for assessment, the form and the content of the Report with Ranking list of Annual Performance assessments and content of the Reports and the means of assessment of the administrative servants in different circumstances, (Official gazette 27/14, 199/14, 48/15, 154/15, 5/16, 142/16 и 11/18), hereinafter Book of Rules (Article 10, stipulates the procedure for PA in case of mobility and provides a form that is used for the Reports.) Different situations are reflected in the forms that are used in PA and that are part of the Book of Rules.



<p>The new draft Law on Administrative Servants regulates this in Law (unlike now when the Regulation is set in The Book of Rules) These are reflected in practice. For instance, Last year in November the State secretary left the MISA, but he left the Report for Assessment in the period until he was still in MISA. The new State Secretary took this report in consideration while making annual report The Flexibility in the sense of above-mentioned situation exists. The issue where there is no flexibility is concerning Who can be Assessor, such is a case in the following situation: When the assessment is supposed to be done by two State Advisors and there is only one employed in the Institution.</p>		
<p><b>10. Are the procedures well-adjusted to the specificity of positions?</b></p>		
<p>To increase the effectiveness of performance appraisal procedures, it should be considered to <u>adjust procedures to the needs of different groups of positions</u>. It relates to both procedures and criteria. As a minimum, <u>the procedures (and criteria) of assessment of senior positions should differ from other positions</u>. In certain situations, it may be advisable to differentiate procedures or criteria also for other groups of positions. Answer “Yes”, if at least the procedures and the set of criteria for senior positions are different. Source: interview, reference to regulations.</p>		
Yes	Partially X	No
<p>The LAS does not have provisions that are clearly stating this. The Book of Rules although does not differentiate the procedure and criteria for different categories of employees, it provides different forms for different category of administrative servant (B, C, D) There is room for improvement, as the different procedures are provided for different categories of administrative servants, not per different working positions (jobs)</p>		
<p><b>11. Is performance assessment methodology flexible enough to enable taking into account unforeseen/unplanned tasks/achievements?</b></p>		
<p>Performance appraisals should allow <u>taking into account additional tasks which were not planned for the appraisal period</u>. Moreover, the system should allow to modify, add or delete certain objectives during the assessment period, if it is necessary. Some civil servants work in a volatile environment and it is almost impossible to plan accurately all assessment criteria and targets one year ahead. If performance appraisal regulations allow for fast, not too formalized modifications of the assessment criteria and objectives, the answer should be “yes”. Source: interview.</p>		
Yes X	Partially	No
<p>In reality the changes in the job descriptions are not happening fast. There are procedures which take time, as they involved Functional analysis of the institution that wants to make changes, then there are approvals from MISA and basically it takes time for change. The Amendments of the Book of Rules from 2018 are regulating such situation e.g first time introducing that the additional tasks that are not part of the job description, should be taken in consideration and assessed as well. The PA methodology is flexible enough and it is applicable in situations like, horizontal mobility, sick leave, absence from work and first employment.</p>		
<p><b>Area: The process of performance appraisals</b></p>		
<p><b>12. Are individual objectives and appraisal criteria set at the start of the appraisal period?</b></p>		
<p>The basic rule for performance appraisals is that employees should have clarity about what is expected from them. Thus, objectives and criteria for assessment should be set and</p>		

<p><u>communicated to them at the very start of the appraisal period.</u> If there is legal requirement in place and is well implemented, the answer should be “yes”. If there is legal obligation to do so, but there are doubts about the practice – the answer “partially” would be the most suitable. Source: not only looking at regulations, but discussing actual practice during interview.</p>		
Yes X	Partially	No
<p>The LAS in Article 62(3) stipulates that the Objectives are set in December at the end the appraisal procedure for the next year. The same Article stipulates that the Objectives should be stated clearly, time bound and measurable. Although the objectives are set in the beginning of the year, as they are actually set in December the previous year, what is missing is an interview at the beginning of the year between the Supervisor and subordinate to mutually discuss and agree these Objectives. As the first interview is happening in May (by 31st).</p>		
<p><b>13. Are objectives set during an interview between the superior and the employee?</b></p>		
<p>A good practice is that the objectives are set in the process of <u>dialogue between the superior and his/her employee.</u> It increases the buy in of the employee and his/her engagement. There could be different solutions in place – employee proposes objectives, or superior does so. Answer “yes” should be selected, if there is a discussion between a superior and civil servant on the objectives. Source: interview, reference to regulations.</p>		
Yes	Partially X	No
<p>The LAS in Article 62 stipulates that the Objectives are set in December at the end the appraisal procedure for the next year. The same Article stipulates that the Objectives should be stated clearly, time bound and measurable and that should be set by the Immediate superior in collaboration with the administrative servant whose performance is assessed. There is no interview for setting objectives at the beginning of the year. Only interview that is obligatory is the midterm interview done by 31st of May, when the previously defined objectives are checked and confirmed. With the amendments of the Book of Rules from 2018 the additional tasks that are assigned to the administrative servants becoming part of the assessment together with the objectives from the job description.</p>		
<p><b>14. Are objectives well defined?</b></p>		
<p>Objectives should be well defined. They should follow <u>SMART</u> criteria. SMART stands for: specific (concrete, clear), measurable (indicators, measures of success), achievable (within possessed resources, not over ambitious), relevant (ex. in line with higher level objectives) and time-bound (with concrete deadlines). They should be <u>well aligned with the objectives of the unit and well aligned with the tasks performed on the position.</u> <i>Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.</i> Source: interview.</p>		
Yes X	Partially	No
<p>The LAS (Article 62) stipulates that Objectives should be stated clearly, time bound and measurable and they should be based on the Systematization Act of The Institution and in accordance with Institution’s Strategy and /or Annual work plan. This is also case in practice. Although there might be room for improvement as Objectives could be more specific for some job positions.</p>		

<b>15. Do assessment criteria combine objectives and competences?</b>		
Practitioners draw attention to the fact that assessing competences becomes the cornerstone of performance appraisals. Objectives and targets are also important and will continue to be so, but the role of competences will grow. <u>Assessing both objectives and competences</u> helps to ensure that the objectives are reached in line with organizational values, ethical norms, etc. Moreover, including competences creates a natural bridge linking results with the planning of professional development. Answer “yes” should be selected, if performance appraisal methodology combines objectives and competency-based criteria. Source: interview, reference to regulations.		
Yes X	Partially	No
Absolutely that is the case. The assessment criteria combine and look at both, objectives and competences. As for regulation the Book of Rules provides details and forms.		
<b>16. Are regular interviews compulsory?</b>		
<u>The interviews should be compulsory</u> , as performance appraisal is not only about the paper work. They should be an occasion for a frank discussion between the employee and his/her superior. The interview should be regular and they should happen <u>at least once a year</u> . Answer “yes” should be selected, if compulsory interviews are performed at least once a year. Source: interview, reference to regulations.		
Yes X	Partially	No
LAS stipulates that the Interview is compulsory (Article 64) – as Interim appraisal, which is done for the first half of the calendar year (latest by 31st of May) as a part of continuous monitoring of PA. The procedure is further elaborated in the Book of Rules (article 3) and there is also provided a form of the Report for the Interim Interview.		
<b>17. Is continuous feedback provided to employees?</b>		
Usually, a formal process of performance appraisals encompasses longer period of 6 or 12 months. It is a good practice to encourage managers to provide more frequent (less formalized) feedback to their employees. It could be done by organizing <u>mid-term interviews</u> or by encouraging superiors to provide more frequent or continuous feedback to their employees. A good practice is that such feedback is less formalized and follows other rules than regular performance appraisal. It could take the form of <u>weekly or monthly conversations</u> . Answer “yes” should be selected, if meetings to provide feedback with civil servants are conducted at least twice a year. Source: interview.		
Yes	Partially X	No
The LAS stipulates that the monitoring is done continuously during the whole year, and there is Mid-term Interview (article 64) and details in the Book of Rules. In practice this is done by the Midterm interview and training and mentoring are provided if the superior assesses that the assessed employee is not performing well and needs support in a form of mentoring or training but, this varies and depends from the Manager and there is another issue in practice. There are unfilled positions of Managers and then the direct superior to those employees is the State Secretary.		
<b>18. Has the direct superior the predominant role in assessing the employee?</b>		
Different persons could be engaged in performance appraisal (some organizations use 360-degree assessments). However, it is important that the <u>predominant role is played by a direct</u>		

<p><u>superior</u>. Answer “yes” should be selected, if the direct superior has the most important role in assessing his/her subordinates. Source: interview, reference to regulations.</p>		
Yes X	Partially	No
<p>According to LAS Article 65, the Immediate Superior is doing the Appraisal and His Assessment makes 65% of the Assessment Weighting. The Rest is coming from the other assessors (2 peers, two subordinates and two external assessors). The details of the procedure are provided in the Book of Rules. Irrespective of predominant role of the superior, the role of others is also very important.</p>		
<p><b>19. Do appropriate safeguards for employees exist?</b></p>		
<p>In cases when performance appraisal could result in concrete HR decisions (bonuses, promotions, dismissals, redeployment), <u>proper safeguards should be built in the process of performance appraisals</u>. These encompass:</p> <ul style="list-style-type: none"> <li>- Civil servants should have a right (explicitly regulated in the legislation) to appeal appraisal results in two instances (administrative appeal and in the court).</li> <li>- The period of formal assessment should be long enough, especially after a first negative assessment (at least 6 months)</li> <li>- The procedure clearly sets important deadlines related to setting objectives, organizing interview, preparing performance appraisal results, appeals, etc.</li> <li>- The results of the formal performance appraisal cycle are recorded in written form.</li> </ul> <p>Answer “yes”, if all points listed above are fulfilled. Source: interview, reference regulations.</p>		
Yes X	Partially	No
<p>LAS in (Article 65 (21) ) stipulate the right to Appeal in Administrative procedure as first instance, by submitting Appeal to the Agency for Administration.  LAS provides the period after First negative assessment in the Mid-term interview to be long enough for opportunity for improvement for the final assessment.  The LAS stipulates strict time frame for different parts of the procedure, collecting assessments from different assessors, writing reports. The Results are provided in written form, whose form and content is provided in Book of Rules.  LAS in Article 19(16) also stipulates the Right to Court Procedure in front of the Basic Court if the decision made by AA on the appeal is not satisfactory.</p>		
<p><b>Area: The use of results of performance appraisals</b></p>		
<p><b>20. Are the up-to-date results of performance appraisals included in the human resources management information system (or HR system in a ministry, in decentralized systems)?</b></p>		
<p>The availability of up-to-date, reliable data is a precondition for effective use of performance appraisal results in HR decisions. Up-to-date means that they should be updated every day or every few days. Answer “yes” should be selected, if up-to-date data is contained in the HRM registry and includes at least: the number of eligible civil servants, the number of assessed civil servants, the appraisal results (grades). Source: interview.</p>		
Yes	Partially X	No
<p>MISA is making a Register of annual appraisal grades for all administrative servants and is obliged by 1st of April to Submit Report to the Government for the Last year Assessment results- LAS- Article 65 (19).</p>		

The answer is Partially as these data are not a basis for promotions and analytical assessment, and Promotions and as there is central register and the system is developed but is not yet operational.

**21. Are performance appraisal results used in professional development?**

The main, undisputable area, where performance appraisal results should be used is professional development of civil servants. The use of performance appraisals for other purposes, like salary setting, dismissals, redeployment is disputable among practitioners and scholars. Performance appraisals should be used in planning of training and development activities for civil servants. They could be also used for other forms of professional development, for example in considering promotions and other forms of mobility (horizontal). This question is not only about legislation, but also about real practice and applies a broad meaning of professional development, which goes beyond training and encompasses also mobility, promotions, etc. Answer “yes” should be selected, if performance appraisal results are taken into account at least in establishing individual programmes of professional development or training needs analysis. Source: interview and regulations.

Yes X	Partially	No
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In order for someone to apply for a higher position, a precondition is that the previous assessment period has to be assessed with a grade 4 or 5 (two highest grades)- Article 48(5) from LAS.

The PA is also used for administrative servants to list the trainings that they want to attend in the next period. And those are taken into consideration when MISA makes Annual Plans for Trainings in collaboration with Academy for Training of Civil Servants.

**22. Are civil servants who received negative appraisal supported to improve their performance?**

Often negative performance appraisal results could have a potential to end up with dismissal of underperforming civil servants. If this is the case, civil servant should be offered a necessary time to improve performance and should be supported by the organisation, for example:

- Dismissal should be possible only after recurrent negative performance appraisal result; the total period of performance appraisal (counted from the start of the appraisal period that ended up with the first negative note) should not be shorter than 12 months (for non-senior positions) and period between the dismissal and the first negative assessments should not be shorter than 6 months.
- After the first negative appraisal, it is a good practice to offer professional development opportunities to civil servants.

Answer “yes” should be selected, if both above mentioned criteria are met. Source: interview, analysis of regulations.

Yes X	Partially	No
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When an administrative servant is assessed negatively on the midterm interview then the immediate Superior/assessor starts a procedure for improvement of the performance which may include training, mentoring, and other support LAS Article 64(6).

That is what happens in practice in such cases and the superior decides what type of support will be best. If he decides that mentoring is best choice then he will assign a mentor to support the employee or alternatively he will decide what trainings the employee should attend to support his/her performance.

<p>They are making plan for improvement of performance and provide support as per plan in order to avoid fine for negative assessment. If within 3 year the employee is assessed negatively twice, this is a legal base for dismissal.</p>		
<p><b>23. Are appraisal interviews used for planning of professional development?</b></p>		
<p>It is a good practice that interviews are also used to discuss professional development of civil servants, including potential mobility, planning of training, etc. The <u>discussion on professional development should happen together with the discussion on performance assessment, during the same interview</u>. Professional development interviews should result in producing some <u>written statements about required training, or other professional development activities</u>. This could take the form of individual professional development plans. Source: interview, reference to regulations.</p>		
Yes	Partially X	No
<p>The PA is also used for administrative servants to list the trainings that they want to attend in the next period. However, those are always related to the current positions. The Midterm interview is a corrector. If there is an issue with poor performance the superior makes plan for improvement and decide how it will be done, by assigning mentor or by sending the employee for certain trainings which will develop his missing/poor skills. There is room for improvement by thinking a little bit ahead what would be good for the future trainings and positions.</p>		
<p><b>24. Do criteria used to decide about awards (and bonuses) take into account the results of performance appraisals?</b></p>		
<p>According to the literature and research direct linking of performance appraisal results with remuneration creates important risks. Nevertheless, especially in the civil service, managerial accountability requires that managers are able to justify their decisions, especially if they relate to the use of financial resources. This applies also to distribution of awards and bonuses. While establishing a direct link (for example: appraisal note “excellent” translates to x EUROS of bonus) between financial awards and performance appraisal results is not recommended, <u>the results of performance appraisal should be taken into account in deciding about awards (both financial and non-financial)</u>. This could take the form of – for example – excluding civil servants with low performance appraisal grades from participating in awards in a specific period. This question relates to both financial and non-financial awards. Answer “yes” should be selected, if performance appraisal results influence the decisions on distributing awards (financial and non-financial), however without any automatism. Source: interview, reference to regulations.</p>		
Yes X	Partially	No
<p>There is a provision for the employees assessed with a highest grade to receive monetary reward in an amount of one salary as a reward for successful performance. (Article 94-a from LAS). This is limited to maximum 5 percent of the employees of the Institution.</p>		
<p><b>Area: Effectiveness of performance appraisals</b></p>		
<p><b>25. Does performance appraisal apply to all groups of civil servants?</b></p>		

<p>Performance appraisals could be effective only if they are applied to a large group of civil servants. As a rule, performance appraisal should apply to all groups of civil servants. Certain exemptions are however not only possible, but also necessary, for example in the situation when the assessment period would be too short, or as regards temporary workers. However, as a rule <u>no category of permanent civil servants should be excluded from performance appraisals</u>. Answer “yes” should be selected, if performance appraisals are applied to all categories of civil servants. Source: interview and reference to regulations.</p>		
Yes X	Partially	No
<p>Performance Appraisal apply to all administrative servants, except the State Secretaries and the Cabinet Servants. LAS -Article 65(1) As for PA for other institutions in the Public Sector, the Law on employees in Public Sector in Article 27 provides that all institutions should enact a Book of Rules for PA. As service providers are very different by their nature of work and universal PA forms are not applicable, MISA provides guidelines and advice when asked.</p>		
<p><b>26. Is the performance of eligible civil servants assessed?</b></p>		
<p>Apart from the exemptions mentioned above, as a rule all <u>eligible civil servants should undergo performance appraisal at least once a year</u>. Eligible civil servants mean all civil servants that should undergo performance appraisal in a specific period, according to regulations. At least 70% of eligible civil servants should undergo performance appraisal to mark the answer “yes”. Source: interview, data.</p>		
Yes X	Partially	No
<p>All Administrative servants are subject to annual PA, except the ones who have been absent from work from more than 6 months or recently employed. All the institutions are obliged to send the results of the Assessment to MISA and MISA holds the Register (data base of all assessments).</p>		
<p><b>27. Are remote performance appraisals conducted in practice?</b></p>		
<p>This question is to find out if (due to procedural problems or other reasons) performance appraisals were neglected during the period when many civil servants worked online. If the process of performance appraisals continued on similar level (+/- 10%) as before pandemics, the answer should be “yes”. If there was some decline (up to 30%), but the process continued – the answer should be – “partially”. If there was a significant decline in the number of performance appraisals (more than 30%), the answer should be “no”. Source: interviews; data if available.</p>		
Yes X	Partially	No
<p>The Guidelines based on interpretations of the regulations by the Legislative secretariat is to make efforts to perform PA in person by creating conditions and respecting Health Protocols. However, during the Covid Pandemic remote appraisal were completed. Various Online and other meeting tools were used, such as zoom, teams, telephone, viber, WhatsApp Even before the Covid pandemic, the assessments from the external assessors were undertaken remotely.</p>		
<p><b>28. Is the “inflation” of appraisal grades avoided?</b></p>		
<p>Many experts argue that appraisals having the unique objective of providing feedback to employees and facilitating their professional development, does not require any formal grading of civil servants. However, as performance appraisals have also other goals in WB</p>		

administrations, grades are usually used. The practice, not only in WB administrations, shows that very often the share of highest appraisal results is too high and does not conform to the Gaussian curve. In such a situation, performance appraisals do not achieve their goals, which is differentiation between different levels of performance of employees. If at least 60% of civil servants get performance appraisals results beyond average/medium/etc., it means that there is inflation of grades. Answer “yes” should be selected, if no more than 40% of civil servants get performance grades above average/satisfactory. Sources: interview; data, if available.

Yes X	Partially	No
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It is difficult to prove this, as it is of subjective nature. However, if there are too many high grades this could be indicator.

It is also possible to assess its objectivity as the organisational objectives are linked to personal objectives. For example, if the Institution did not manage to achieve its objective it would be very unlikely that the employees achieved their personal objectives completely and have justifiable high grading

One of the reasons for having artificially inflated grades is the precondition for applying for advancement is that in the previous assessment period the grading mark should be 4 or 5 (two highest grading marks).

In 2005 there were a lot of problems, when there was lack of common understanding of the purpose of PA and the assessment grades were arbitrarily. But as the time was passing and especially after 360-degree assessment was introduced this was improved.

**29. Is the performance of individual employees aligned with the performance of an organisation?**

It is important to compare the achievements of the organization (for example the KPIs related to the performance of the Ministry) with the results of individual performance appraisals. A large discrepancy between the results may suggest that the performance appraisal system is ineffective, for example when many ministry-related KPIs are not met and vast majority of civil servants get the highest results of performance appraisal. If the information about the performance of public organizations is not available, the answer should be “no”. *Comment: this question relates rather to an organizational level and getting meaningful answers would require to interview civil servants from a number of organisations. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.* Sources: interview; data related to individual performance appraisals and KPIs of the organization.

Yes X	Partially	No
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Law on Administrative servants in Article 62(1) defines the individual objectives relating them to Institutional (strategic) objectives and Annual work programme of the Institution.

There is relation between organizational objectives and personal objectives.

**30. Are performance appraisals perceived as a useful HRM tool?**

It is a good practice that HR unit runs employee surveys, or asks for other forms of staff feedback. If HR units do not run staff surveys on performance appraisals or do not get any other feedback on the practice of performance appraisals, the answer should be “no”. *Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.* Source: Interview, survey results.

Yes	Partially	No X
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The Performance appraisal is not perceived as a useful tool among the majority of administrative servants, as the benefits of it are not understood. MISA is making efforts through training to change this perception and the results are different in different institutions and this can be seen from the Reports that are submitted to MISA. For example, if all employees have the same grading something is not right.

**31. Are performance appraisals designed in a user-friendly way?**

Very often, civil servants complain that performance appraisals are too burdening for them – they require too many formalities and consume too much time. More detailed questions are:

- is the methodology simple and well explained?
- are the forms short and easy to fill in?
- do managers get prefilled forms before the appraisal starts?
- is an IT system used to support the process of performance appraisal (as an opposite to paper-based process)?

Interview is the main, crucial element of performance appraisals. So, in general formalities related to performance appraisal should not take more time than the interview itself? *Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.* Source: Interviews, survey results.

Yes

Partially

No X

The way how the PA process is organised it is very complexed and complicated. There are too many forms that are used in PA, sometimes it is necessary to bring in administrative servants from regional branches to do assessment, which takes time and resources. It is complicated, too formalistic, such as use of plastic boxes for physically leaving the assessment forms in them.

## Serbia

<b>Area: Preconditions for performance appraisals</b>		
<b>1. Is the competency framework implemented in the civil service?</b>		
<p>The existence of the competency framework means that the <u>set of competences</u> needed for successful performance of the organization was developed. These competencies are <u>well described</u> (usually including examples of positive and sometimes also negative behaviors). Moreover, it means that <u>job descriptions</u> exist, which <u>attribute relevant competences (and their level) to particular positions</u>. There could be one competency framework implemented in the civil service, or different competency frameworks in public organizations. The focus of this question is on the existence of a competency framework and whether it contains the most important elements, but it is not a question about the quality of the formulation of competences. Answer “yes” should be selected, if all above mentioned elements are in place. Source: interview, reference to competency framework – if publicly available.</p>		
Yes X	Partially	No
<p>Competence framework (general and specific functional competences and behavioral competences) is integrated into all HR functions including performance assessment. The part related to behavioral competencies is integrated into assessment, while the functional part is assessed by objectives of the organizational units. The functional ones are included in professional development and are analyzed by HRMS and NAPA. Negative statements or description of competences do not exist in Serbian system. Some special bodies have developed their own functional competences due to their specificity (like Customs Administration).</p>		
<b>2. Was the competency framework developed in the participatory process, following job analysis?</b>		
<p>It is a good practice that the <u>development of competency framework follows the process of thorough job analysis and engages civil servants from various institutions</u>. If, on the contrary, the competence framework was developed by external actors and not tested/discussed properly before introduction, the answer should be “no”, as there is significant risk that it would not be fully relevant for the purpose of performance appraisals. If there is no competency framework in place, the answer should be “no”. Answer “yes” should be selected, if proper job analysis was implemented and different ministries were consulted while developing the framework. Source: interviews.</p>		
Yes X	Partially	No
<p>Two approaches were applied. In determining behavioral competencies, the values of public administration were defined, while functional competencies were derived from work families and these competencies relate to knowledge and skills. Formal Working Group for development of competency framework has been established and a consultation process with all SA bodies lasted almost a year.</p>		
<b>3. Is the management by objectives implemented in most organizations (organizational performance framework)?</b>		
<p>The organization should have a <u>set of tangible objectives clearly defined</u>. These objectives should be <u>cascaded down</u> through the level of departments to the level of units. This would make it much easier to identify concrete objectives for civil servants for the purpose of performance appraisal. This question relates rather to the level of organization. If the respondents think that most organisations in the civil service implement management by objectives, the answer should be “yes”. The quality of the formulation of the objectives is</p>		

not being checked. Source: interview, link to objectives on different levels, if publicly available.		
Yes	Partially X	No
PA is based on mid/level hierarchy objectives (Sector, Department, Section and Group). Objectives on the level of SA body or individual level is not formally required. Each manager should formally communicate OU objectives with their employees.		
<b>Area: The process of implementation of performance appraisals is supported (enablers).</b>		
<b>4. Were awareness raising activities organized when introducing performance appraisals?</b>		
Introducing performance appraisals, like introducing other HR tools, requires a proper change management that encompasses among others: consulting/involving stakeholders, undertaking communication, awareness raising and capacity building activities. Without investing in the activities mentioned above, performance appraisal risks to become just another paper exercise. The actions mentioned above should be undertaken both at the central level (if one, central performance appraisal system exists), and in organisations – in such a situation answer “yes” would be relevant. If they were undertaken only on one level (central or organization) the answer should be “partially”. Source: interview		
Yes X	Partially	No
NAPA and HRMS have jointly organized trainings and briefings when introducing PA, while some of the authorities (individually) wrote instructions for their employees. HRMS made manuals for PA and video clips. About 600 and more civil servants were trained at the beginning of the process.		
<b>5. Is there a regulation related to performance appraisals?</b>		
There could be a <u>central regulation</u> laying down procedural rules related to performance appraisal, criteria, etc. In many countries it would be a central regulation issued on the basis of a civil service law (secondary legislation), however the effective system of performance appraisals is also possible, if such a regulation exists at the level of each organization (ministry, office, etc.) – internal acts. Answer “yes” should be selected, if the procedure of conducting performance appraisals is regulated either at central level or in most public organizations. Source: the regulation.		
Yes X	Partially	No
PA is regulated with the Civil Service Law and the Performance Appraisal Decree that applies to all state administration bodies.		
<b>6. Do managers and civil servants receive support in implementing performance appraisals?</b>		
Especially, when performance appraisals are a new tool in the organization, this process should be supported by: <u>trainings for managers, guidebooks and other support materials, help desk</u> (possibility to call and consult with HR professional), etc. The support for the process of performance appraisals should be provided on <u>central level</u> (if there is a central regulation on performance appraisals) and <u>within each institution</u> (by HR unit). Answer “yes” should be chosen, if some support activities are undertaken both at the central level and within institutions. At least two of the proposed three activities should be offered (trainings, guidebook/other support materials, and helpdesk). Source: interview.		
Yes X	Partially	No

All relevant documents are available and can be found on the HRMS website. They are currently developing Guidelines for improvement of the PA process. Managers and civil servants receive support through trainings and instructions on how to act during the assessment. HR units in different SA bodies provide support during the implementation of PA process - first HR unit informs all employees on PA, then they make instructions, information at the beginning and during the evaluation process.

**7. Are performance appraisals supported by effective IT tools?**

The process of performance appraisals should be supported by adequate IT tools. They should make the process more user-friendly (limit the burden to introduce the same text many times; providing examples; offering drop-down menus); limit the work of HR units and making it easier to use the results of performance appraisals by integrating performance appraisal data with other HR data. They should also allow for conducting remotely performance appraisals, which is important especially in the times of COVID-19 pandemics. Answer “yes” is selected, when the interviewees agree that relevant IT solutions are in place in most organisations and they make the process more user friendly for civil servants, make it easier to store and analyse the results of performance appraisals and enable to easily prepare and sign all necessary documents online, as well as conducting performance interviews online. This question is not about just having data in the HRMIS, but about having functional IT solutions supporting the process of conducting performance appraisals. Source: interview.

Yes	Partially X	No
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At this point, until the HRMS IS works they are using pdf forms for PA which are send to each manager via email. The IS will be operational at the beginning of the next year. Forms are automated - calculation of grades is incorporated within the forms and there is no need for manual calculation.

**Area: Agility and flexibility of solutions**

**8. Are the objectives of performance appraisal explicitly and clearly spelled out?**

The objectives of performance appraisal should be clearly spelled out both in the legislation, and in supporting materials. This is one of the conditions necessary to get the buy in from civil servants and their managers for the system. If this tool is implemented without informing what it is for, it would be difficult to expect from civil servants to actively participate with engagement. Answer “yes” should be selected, if the legislation or supporting materials clearly state the objectives of performance appraisal, without the need to look at many paragraphs/articles dispersed in the legal text. Source: interview, reference to regulations.

Yes X	Partially	No
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PA objectives are clearly spelled out in the Civil Service Law. In line with the Article 82, the goal of PA is to ensure the achievement of all organizational goals of the state body, to achieve work behavior and expected values in work in accordance with competencies, motivation, learning and development of civil servants. The results of the PA are used in determining the needs and planning of professional development, eliminating shortcomings and making decisions on promotion and assignment, ie transfer, determination of salaries and other incomes and termination of employment.

**9. Are the procedures related to performance appraisals flexible enough to address various situations?**

Performance appraisal procedures should be flexible enough not to create additional burden in situations like: change of position by the employee (including mobility), change of superior, change of tasks, change of ministry/public office, taking longer leave, etc. The flexibility could be achieved in two ways: by creating flexible procedures and not regulating all details, or by creating detailed procedures that address various situations. Answer “yes”

should be selected, if interviewees agree that the procedures are flexible in all situations mentioned above. Source: interview.

Yes X	Partially	No
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The Serbian legislation aims to define as much details as possible. Various situations related to employee mobility are covered by the Decree.

**10. Are the procedures well-adjusted to the specificity of positions?**

To increase the effectiveness of performance appraisal procedures, it should be considered to adjust procedures to the needs of different groups of positions. It relates to both procedures and criteria. As a minimum, the procedures (and criteria) of assessment of senior positions should differ from other positions. In certain situations, it may be advisable to differentiate procedures or criteria also for other groups of positions. Answer “Yes”, if at least the procedures and the set of criteria for senior positions are different. Source: interview, reference to regulations.

Yes X	Partially	No
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There are different templates for different types of positions - for managerial positions (assistant minister/director), for heads of internal organizational units (manager of Department/Section/Group), for non-managerial positions (regular civil servants) and independent executors (not tied to any OU) and others. For managerial positions, it should be considered to increase number of objectives (currently 3-5 objectives should be determined).

**11. Is performance assessment methodology flexible enough to enable taking into account unforeseen/unplanned tasks/achievements?**

Performance appraisals should allow taking into account additional tasks which were not planned for the appraisal period. Moreover, the system should allow to modify, add or delete certain objectives during the assessment period, if it is necessary. Some civil servants work in a volatile environment and it is almost impossible to plan accurately all assessment criteria and targets one year ahead. If performance appraisal regulations allow for fast, not too formalized modifications of the assessment criteria and objectives, the answer should be “yes”. Source: interview.

Yes X	Partially	No
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According to the Decree determined annual goals/objectives (OU level) may change if the priorities of the state body or organizational unit change, if circumstances arise due to which the annual goals cannot be achieved and if there is a change in the Internal Organization and Systematization of Jobs in the state administration body.

**Area: The process of performance appraisals**

**12. Are individual objectives and appraisal criteria set at the start of the appraisal period?**

The basic rule for performance appraisals is that employees should have clarity about what is expected from them. Thus, objectives and criteria for assessment should be set and communicated to them at the very start of the appraisal period. If there is legal requirement in place and is well implemented, the answer should be “yes”. If there is legal obligation to do so, but there are doubts about the practice – the answer “partially” would be the most suitable. Source: not only looking at regulations, but discussing actual practice during interview.

Yes	Partially	No X
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This question does not fit to Serbian system, because system rely on organizational unit objectives and there is no formal request to identify individual objectives. When OU goals

are defined, then each manager must present them to their employees. Formally, there are no individual goals, but they explore possibilities to ensure that OU goals are cascaded further on to the individual level through so called expectations. All OU goals must be defined by mid-January each year.

**13. Are objectives set during an interview between the superior and the employee?**

A good practice is that the objectives are set in the process of dialogue between the superior and his/her employee. It increases the buy in of the employee and his/her engagement. There could be different solutions in place – employee proposes objectives, or superior does so. Answer “yes” should be selected, if there is a discussion between a superior and civil servant on the objectives. Source: interview, reference to regulations.

Yes	Partially	No X
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This question does not fit to Serbian system, because there are no individual objectives. According to the Decree annual goals are determined by agreement between the heads of organizational units; goals should be in line with planning documents and other documents related to the work of the state body (strategies, action plans, annual work plan, program budget, etc.), to be achievable and measurable and to have realistic deadlines. Determined annual goals shall be entered in a special act/document signed by the person determining the annual goals and the head of the organizational unit for which the annual goals are set.

**14. Are objectives well defined?**

Objectives should be well defined. They should follow SMART criteria. SMART stands for: specific (concrete, clear), measurable (indicators, measures of success), achievable (within possessed resources, not over ambitious), relevant (ex. in line with higher level objectives) and time-bound (with concrete deadlines). They should be well aligned with the objectives of the unit and well aligned with the tasks performed on the position. *Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.* Source: interview.

Yes X	Partially	No
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According to the Decree annual goals are determined by agreement between the heads of organizational units; they should be aligned with planning documents and other documents related to the work of the state body, as well as achievable and measurable and time bounded. Everyone receives instructions about SMART and how much is this implemented should be issue for the research. It seems that the goals are well set, although there is still area for improvement.

**15. Do assessment criteria combine objectives and competences?**

Practitioners draw attention to the fact that assessing competences becomes the cornerstone of performance appraisals. Objectives and targets are also important and will continue to be so, but the role of competences will grow. Assessing both objectives and competences helps to ensure that the objectives are reached in line with organizational values, ethical norms, etc. Moreover, including competences creates a natural bridge linking results with the planning of professional development. Answer “yes” should be selected, if performance appraisal methodology combines objectives and competency-based criteria. Source: interview, reference to regulations.

Yes X	Partially	No
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Criteria for the performance of civil servants are: 1) behavioral competencies; 2) work results.

Behavioral competencies are a set of work behaviors necessary for the effective performance of all tasks in a state body. Behavioral competencies for all positions in state bodies, as well as indicators of their manifestation are determined in accordance with the Decree on Competences. The results of the work represent the degree of achievement of the established annual goals. It should be considering the number of behavioral competencies that are assessed, due to the speed and the assessment process itself.

**16. Are regular interviews compulsory?**

The interviews should be compulsory, as performance appraisal is not only about the paper work. They should be an occasion for a frank discussion between the employee and his/her superior. The interview should be regular and they should happen at least once a year. Answer “yes” should be selected, if compulsory interviews are performed at least once a year. Source: interview, reference to regulations.

Yes X	Partially	No
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At the end of the year, the final interview is obligatory, when the employees come into contact with their grades for the first time. Conduction of obligatory final interview is proved by a signed evaluation report.

**17. Is continuous feedback provided to employees?**

Usually, a formal process of performance appraisals encompasses longer period of 6 or 12 months. It is a good practice to encourage managers to provide more frequent (less formalized) feedback to their employees. It could be done by organizing mid-term interviews or by encouraging superiors to provide more frequent or continuous feedback to their employees. A good practice is that such feedback is less formalized and follows other rules than regular performance appraisal. It could take the form of weekly or monthly conversations. Answer “yes” should be selected, if meetings to provide feedback with civil servants are conducted at least twice a year. Source: interview.

Yes	Partially X	No
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The manager has no formal obligation, but the instruction sent through the training is that the manager should provide continuous feedback to employees. In general, practice shows that there is no specified time for regular interviews. Nevertheless, many managers keep records, especially when things are not going in the right direction. Finally, there is no continuous feedback, formally this is not an obligation, but there are informal conversations regarding performance achieved so far.

**18. Has the direct superior the predominant role in assessing the employee?**

Different persons could be engaged in performance appraisal (some organizations use 360-degree assessments). However, it is important that the predominant role is played by a direct superior. Answer “yes” should be selected, if the direct superior has the most important role in assessing his/her subordinates. Source: interview, reference to regulations.

Yes X	Partially	No
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In Serbian system it is an exclusive role, there is no other choice. Direct superior can control and change the grade. Direct superior has a dominant role, but the final grade should be approved by the decision maker (senior management level).

**19. Do appropriate safeguards for employees exist?**

In cases when performance appraisal could result in concrete HR decisions (bonuses, promotions, dismissals, redeployment), proper safeguards should be built in the process of performance appraisals. These encompass:

- Civil servants should have a right (explicitly regulated in the legislation) to appeal appraisal results in two instances (administrative appeal and in the court).

- The period of formal assessment should be long enough, especially after a first negative assessment (at least 6 months)
  - The procedure clearly sets important deadlines related to setting objectives, organizing interview, preparing performance appraisal results, appeals, etc.
  - The results of the formal performance appraisal cycle are recorded in written form.
- Answer “yes”, if all points listed above are fulfilled. Source: interview, reference regulations.

Yes X	Partially	No
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There is a possibility of appeal and to initiate an administrative dispute. In order for someone to be evaluated, they need to work for at least six months, clear deadlines have been set within regulation, the results of formal PA are done in writing.

**Area: The use of results of performance appraisals**

**20. Are the up-to-date results of performance appraisals included in the human resources management information system (or HR system in a ministry, in decentralized systems)?**

The availability of up-to-date, reliable data is a precondition for effective use of performance appraisal results in HR decisions. Up-to-date means that they should be updated every day or every few days. Answer “yes” should be selected, if up-to-date data is contained in the HRM registry and includes at least: the number of eligible civil servants, the number of assessed civil servants, the appraisal results (grades). Source: interview.

Yes	Partially	No X
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HRM information system is currently being developed and will be fully operational from next year; the existing system is outdated and not in use.

**21. Are performance appraisal results used in professional development?**

The main, undisputable area, where performance appraisal results should be used is professional development of civil servants. The use of performance appraisals for other purposes, like salary setting, dismissals, redeployment is disputable among practitioners and scholars. Performance appraisals should be used in planning of training and development activities for civil servants. They could be also used for other forms of professional development, for example in considering promotions and other forms of mobility (horizontal). This question is not only about legislation, but also about real practice and applies a broad meaning of professional development, which goes beyond training and encompasses also mobility, promotions, etc. Answer “yes” should be selected, if performance appraisal results are taken into account at least in establishing individual programmes of professional development or training needs analysis. Source: interview and regulations.

Yes X	Partially	No
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In general, it is foreseen to be used. A special part of PA template dedicated to professional development is an integral part of the formal evaluation form. Within last research made by HRMS, one or more trainings were identified in less than 40% of state administration bodies. This practice varies across institutions. It might be emphasized that SA bodies which have frequent changes of regulations (like Customs Administration) pay much more attention to specific trainings needs than others.

**22. Are civil servants who received negative appraisal supported to improve their performance?**

Often negative performance appraisal results could have a potential to end up with dismissal of underperforming civil servants. If this is the case, civil servant should be offered a necessary time to improve performance and should be supported by the organisation, for example:



- Dismissal should be possible only after recurrent negative performance appraisal result; the total period of performance appraisal (counted from the start of the appraisal period that ended up with the first negative note) should not be shorter than 12 months (for non-senior positions) and period between the dismissal and the first negative assessments should not be shorter than 6 months.
- After the first negative appraisal, it is a good practice to offer professional development opportunities to civil servants.

Answer “yes” should be selected, if both above mentioned criteria are met. Source: interview, analysis of regulations.

Yes X

Partially

No

According to the Decree, if it is identified that one employee lacks competencies for effective performance, the immediate supervisor is obliged to provide written notice on deficiencies and, in cooperation with the HR unit, determine the work improvement plan and the period for work improvement, which cannot be shorter than three months.

### 23. Are appraisal interviews used for planning of professional development?

It is a good practice that interviews are also used to discuss professional development of civil servants, including potential mobility, planning of training, etc. The discussion on professional development should happen together with the discussion on performance assessment, during the same interview. Professional development interviews should result in producing some written statements about required training, or other professional development activities. This could take the form of individual professional development plans. Source: interview, reference to regulations.

Yes

Partially X

No

The Decree foresees the content of the final interview which include harmonization of the long-term development goals and agreement on measures and activities aimed at training and development of the civil servant. In real practice, in most of the cases this issue is not mentioned during the final interview.

### 24. Do criteria used to decide about awards (and bonuses) take into account the results of performance appraisals?

According to the literature and research direct linking of performance appraisal results with remuneration creates important risks. Nevertheless, especially in the civil service, managerial accountability requires that managers are able to justify their decisions, especially if they relate to the use of financial resources. This applies also to distribution of awards and bonuses. While establishing a direct link (for example: appraisal note “excellent” translates to x EUROS of bonus) between financial awards and performance appraisal results is not recommended, the results of performance appraisal should be taken into account in deciding about awards (both financial and non-financial). This could take the form of – for example – excluding civil servants with low performance appraisal grades from participating in awards in a specific period. This question relates to both financial and non-financial awards. Answer “yes” should be selected, if performance appraisal results influence the decisions on distributing awards (financial and non-financial), however without any automatism. Source: interview, reference to regulations.

Yes

Partially X

No

Financial rewarding system is regulated within Civil Servants Pay Law (link with PA), while other non-financial rewarding system is not formally regulated.

<b>Area: Effectiveness of performance appraisals</b>		
<b>25. Does performance appraisal apply to all groups of civil servants?</b>		
Performance appraisals could be effective only if they are applied to a large group of civil servants. As a rule, performance appraisal should apply to all groups of civil servants. Certain exemptions are however not only possible, but also necessary, for example in the situation when the assessment period would be too short, or as regards temporary workers. However, as a rule <u>no category of permanent civil servants should be excluded from performance appraisals</u> . Answer “yes” should be selected, if performance appraisals are applied to all categories of civil servants. Source: interview and reference to regulations.		
Yes X	Partially	No
To be filled in by local experts, based on the meetings with working group members. It applies to both, fixed-term and temporary employees, but only if they meet the condition that they have worked for at least six months in the evaluation cycle.		
<b>26. Is the performance of eligible civil servants assessed?</b>		
Apart from the exemptions mentioned above, as a rule all <u>eligible civil servants should undergo performance appraisal at least once a year</u> . Eligible civil servants mean all civil servants that should undergo performance appraisal in a specific period, according to regulations. At least 70% of eligible civil servants should undergo performance appraisal to mark the answer “yes”. Source: interview, data.		
Yes X	Partially	No
Each year around 90% of eligible civil servants undergo PA. There are different reasons why others are not assessed, but the most common are the work less than six month and maternity leave.		
<b>27. Are remote performance appraisals conducted in practice?</b>		
This question is to find out if (due to procedural problems or other reasons) performance appraisals were neglected during the period when many civil servants worked online. If the process of performance appraisals continued on similar level (+/- 10%) as before pandemics, the answer should be “yes”. If there was some decline (up to 30%), but the process continued – the answer should be – “partially”. If there was a significant decline in the number of performance appraisals (more than 30%), the answer should be “no”. Source: interviews; data if available.		
Yes X	Partially	No
The PA continued on the same level as before pandemic. There is no significant difference before and during a pandemic other (only conducting meetings online). No special procedure is provided.		
<b>28. Is the “inflation” of appraisal grades avoided?</b>		
Many experts argue that appraisals having the unique objective of providing feedback to employees and facilitating their professional development, does not require any formal grading of civil servants. However, as performance appraisals have also other goals in WB administrations, grades are usually used. The practice, not only in WB administrations, shows that very often the share of highest appraisal results is too high and does not conform to the Gaussian curve. In such a situation, performance appraisals do not achieve their goals, which is differentiation between different levels of performance of employees. If at least 60% of civil servants get performance appraisals results beyond average/medium/etc., it means that there is inflation of grades. Answer “yes” should be selected, if no more than 40% of civil servants get performance grades above average/satisfactory. Sources: interview; data, if available.		

Yes	Partially	No X
<p>The distribution of grades is still unfavorable - 58% exceeded expectations in the last cycle, 41% met and 1% did not meet. There are some examples of good practice where this is not the case (like Customs Administration).</p>		
<p><b>29. Is the performance of individual employees aligned with the performance of an organisation?</b></p>		
<p>It is important to <u>compare the achievements of the organization</u> (for example the KPIs related to the performance of the Ministry) <u>with the results of individual performance appraisals</u>. A large discrepancy between the results may suggest that the performance appraisal system is ineffective, for example when many ministry-related KPIs are not met and vast majority of civil servants get the highest results of performance appraisal. If the information about the performance of public organizations is not available, the answer should be “no”. Comment: this question relates rather to an organizational level and getting meaningful answers would require to interview civil servants from a number of organisations. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service. Sources: interview; data related to individual performance appraisals and KPIs of the organization.</p>		
Yes	Partially	No X
<p>This question does not fit to Serbian system, without organizational and individual level objectives it would be hard to aligned and assess contribution of the individual to the whole organization. Evaluation of organizational unit exist so it should be possible to align employees with the performance of the organizational unit. Although this issue is not relevant for our system, it is crucial area for PA and represent area to work on.</p>		
<p><b>30. Are performance appraisals perceived as a useful HRM tool?</b></p>		
<p>It is a good practice that HR unit runs employee surveys, or asks for other forms of staff feedback. If HR units do not run staff surveys on performance appraisals or do not get any other feedback on the practice of performance appraisals, the answer should be “no”. <i>Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service.</i> Source: Interview, survey results.</p>		
Yes	Partially X	No
<p>Based on the experience of HRMS, it can be said that half of the employees are satisfied and half are not. The research was done three years ago and refers to previous system. After three years of PA implementation HRMS intent to repeat this research. There are some benefits for employees, but this represents a large burden especially for those managers who have a large number of employees. In general, it is perceived as a useful tool but not used enough.</p>		
<p><b>31. Are performance appraisals designed in a user-friendly way?</b></p>		
<p>Very often, civil servants complain that performance appraisals are too burdening for them – they require too many formalities and consume too much time. More detailed questions are:</p> <ul style="list-style-type: none"> <li>- is the methodology simple and well explained?</li> <li>- are the forms short and easy to fill in?</li> <li>- do managers get prefilled forms before the appraisal starts?</li> <li>- is an IT system used to support the process of performance appraisal (as an opposite to paper-based process)?</li> </ul>		

Interview is the main, crucial element of performance appraisals. So, in general formalities related to performance appraisal should not take more time than the interview itself?  
*Comment: to answer this question, the most suitable solution would be to include it to staff survey. The selected answer should depend on the opinion of interviewees about the usual practice in the civil service. Source: Interviews, survey results.*

Yes	Partially X	No
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The methodology is not quite simple. The forms are not so short, but filling out is facilitated by obtaining an electronic form (managers get prefilled forms). Regarding PA design there is a space for improvement.

Proposals – good practice examples:

1. *Planning of organizational unit goals and objectives*
2. *Competency framework – focus on behavioral competencies*

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# ReSPA

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