



22 July 2009

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## **Amendments to Staff Regulations: Performance Management Framework**

1. As part of the introduction of results-based management in the Office and implementation of the Human Resource Strategy (2006–09), the Office has developed a new Performance Management Framework (PMF) that will align individual efforts and results to unit and organizational goals, and support the Office in making the best use of its human resources.
2. In accordance with article 14.7 of the Staff Regulations and following approval by the Governing Body,<sup>1</sup> the Director-General hereby introduces the attached amendments to the Staff Regulations necessary to implement a new PMF. These amendments replace article 2.3 (Responsible chief), amend articles 5.1 (Period of probation), 5.2 (Extension of probation), 5.5 (Probationary performance appraisal), 6.4 (Withholding of increment), 6.5 (Special merit increments), 6.6 (Special merit increments beyond the maximum salary rate), 6.7 (Performance appraisals), 6.11 (Transfer to duties and responsibilities attaching to a lower grade), Annex V (Annual appraisals and adjustment of salary of fixed-term technical cooperation project staff), and introduce new articles 2.4 (Technical reviewing chief) and 2.5 (Supervisor).
3. This Directive replaces and supersedes the following circulars: Circular No. 324, Series 6, entitled *Performance appraisal reporting* dated 19 March 1985, Circular No. 392, Series 6, entitled *Performance appraisals* dated 4 September 1987, Circular No. 399, Series 6, entitled *Probationary performance appraisals* dated 5 April 1988, and Circular No. 611, Series 6, entitled *Transitional measures for evaluation of work performance (performance appraisals)* dated 28 June 2000. It should be read in conjunction with Information Note *Performance Management Framework*, IGDS No. 100, which explains the new Framework, as well as with Procedure *Transitional arrangements for the introduction of the Performance management Framework*, IGDS No. 105.
4. The PMF applies to all staff holding without limit of time or fixed-term contracts.
5. The above amendments are integrated in the electronic version of the Staff Regulations available on the ILO web site as of the date of issue of this Directive. In order to ensure a smooth transition from the current appraisal system to the new Framework, the application of the above amendments will be phased in as of 1 July 2009 as follows:

<sup>1</sup> GB.303/PFA/11.

- (a) transitional arrangements will apply between 1 July 2009 and 31 December 2010 to the completion of any performance appraisal cycle of officials in service prior to 1 July 2009; such arrangements are contained in Procedure IGDS No. 105;
- (b) the amendments will become effective as of 1 July 2009 for new officials who take up duty after 30 June 2009.

Juan Somavia  
Director-General

# Appendix

## Chapter II

### Organization of the staff

#### ARTICLE 2.3

##### *Responsible chief*

(a) Each official shall ~~be responsible~~ report to a chief who shall supervise ~~his~~ the official's work and be responsible for such functions in relation to the official as are prescribed in these Regulations. The responsible chief shall keep ~~the officials for whom he is responsible~~ informed of ~~his~~ the chief's opinion of their work.

(b) For the purpose of these Regulations the responsible chief shall be –

- (1) the Director-General for ~~the~~ officials who report directly to ~~him~~ the Director-General;
- (2) the Deputy Directors-General and ~~the directors of department~~ Assistant Directors-General for ~~the~~ officials who report directly to them;
- (3) ~~the chiefs of branch~~ the directors/chiefs of organizational units for ~~the~~ officials in ~~their branch~~ those units unless the Director-General has designated another official in respect of a subordinate organizational unit;
- (4) the official to whom they report, for all officials not covered by (1), (2) or (3) above.

#### ARTICLE 2.4

##### *Technical reviewing chief*

For the performance appraisal of a technical specialist, or a senior technical specialist, in a duty station other than headquarters, a technical reviewing chief shall provide technical observations in accordance with article 6.7, paragraph 1, to be done under the coordination of the official's responsible chief. The responsible chief shall be the director of the duty station of such an official. The technical reviewing chief of such an official shall be the director of the relevant organizational unit at headquarters.

#### ARTICLE 2.5

##### *Supervisor*

Notwithstanding articles 2.3 and 2.4 above, officials may also have a supervisor in a subordinate organizational unit who will guide their work on a daily basis and may be asked by the responsible chief to provide input on the official's performance appraisal.

#### ARTICLE 2.6

*Grade descriptions*  
(former Article 2.4)

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## Chapter V

### Probation

#### ARTICLE 5.1

##### *Period of probation*

(a) An official appointed to a job other than of a temporary nature shall be on probation for the first two years following his appointment. ~~After the first 18 months of service~~ The official's performance and official conduct shall be evaluated by his the responsible chief, at 12 and 21 months of service, with a mid-term review taking place after six and 18 months of service. This shall be done in accordance with the procedure established in article 5.5. Furthermore, during the probationary period, the responsible chief shall request and consider the input of a number of jointly designated colleagues who are familiar with the official's work, or staff who report to the official.

(b) An official on probation shall be transferred in his the same grade or promoted to a higher grade only in exceptional circumstances.

(c) If an official is absent on special leave, ~~or~~ sick leave or parental leave in accordance with articles 7.7, ~~or~~ 8.6 or 8.7 for consecutive periods of one month or more, the period of probation will be extended ~~correspondingly~~ accordingly. ~~Otherwise the period of probation shall not be extended.~~

#### ARTICLE 5.2

##### *Extension of probation*

(Deleted)

The period of probation may be extended by the Reports Board for a period not exceeding 12 months if the official's performance or conduct is deemed by the responsible chief not to be fully satisfactory or not to fully meet the requirements of the job. Prior to the end of the period of extension, a performance appraisal shall be established in accordance with article 5.5.

#### ARTICLE 5.5

##### *Probationary performance appraisal*

1. ~~After the first 18~~ 21 months of probationary service, a ~~probation~~ performance appraisal shall be established in accordance with the provisions of article 6.7(1) and 6.7(2) ~~or~~ for an official to whom article 5.1(a) applies; the appraisal shall cover the official's conduct in addition to performance and shall recommend that the official's appointment be (1) extended or (2) not extended. The completed appraisal shall be transmitted to the Reports Board, which shall recommend to the Director-General one of the two courses of action ~~enumerated~~ indicated above.

2. The ~~probationary~~ performance appraisal in paragraph 1 will be considered as the second appraisal for the purpose of article 6.7.

## Chapter VI

### Advancement, appraisal and change of grade

#### ARTICLE 6.4

##### *Withholding of increment*

1. In the case of an official whose performance is being appraised as unsatisfactory, the responsible chief may, when completing the performance appraisal provided for under article 6.7 (Performance appraisals), recommend the withholding of an increment. The increment may be withheld by the Reports Board after it has ascertained the views of the official and ~~his~~ the responsible chief. The withholding of a second increment during the period before the next performance appraisal is due is subject to the provisions of article 6.7(~~34~~).

2. The withholding of an increment shall not affect the official's right to consideration for an increment on ~~his~~ the next incremental date. An increment which has been withheld may subsequently be restored by the Reports Board on the recommendation of the responsible chief.

3. Where it has been decided that an annual increment shall be withheld, the official may, ~~if he considers that the decision has been based on an erroneous evaluation of his performance or that the decision has been made for reasons unconnected with his performance,~~ appeal within one month of receipt of the Reports Board's decision to the Joint Advisory Appeals Board if the official considers that the decision has been based on an erroneous evaluation of performance or that the decision has been made for reasons unconnected with performance or conduct.

#### ARTICLE 6.5

##### *Special merit increments*

1. The responsible chief may recommend the grant of an additional increment to ~~an~~ officials whose performance during the period under review has been appraised pursuant to article 6.7 as being especially meritorious and who ~~is~~ are not in receipt of the maximum salary attaching to ~~his~~ their grade.

2. The responsible chief's recommendation shall be reviewed by the official to whom the responsible chief reports who, ~~if he concurs in agreement,~~ shall refer the recommendation to the Reports Board for decision. The grant of a second special merit increment during the period before the next performance appraisal is due is subject to the provisions of article 6.7(~~34~~).

3. The timing of special merit increments as well as the number of recommendations which may be made each year will be subject to limitations defined by the Director-General after consulting the Joint Negotiating Committee.

#### ARTICLE 6.6

##### *Special increments beyond the maximum salary rate*

1. For ~~an~~ officials who ~~has~~ have been in service since 31 December 1994 or earlier, the responsible chief may, subject to paragraph 5 of this article, recommend the grant of not more than one additional special increment if the officials ~~is~~ are in receipt of the maximum salary attaching to ~~his~~ their grade, and ~~his~~ their performance during the

preceding review period has been appraised pursuant to article 6.7 as especially meritorious.

2. The responsible chief's recommendation shall be reviewed by the official to whom the responsible chief reports who, if ~~he concurs in agreement~~, shall refer the recommendation to the Reports Board for decision. The grant of a special increment to ~~an official~~ who ~~has~~ have reached the maximum salary attaching to ~~his~~ their grade since the last performance appraisal as well as the grant of a second such increment during the period before the next performance appraisal is due are subject to the provisions of article 6.7(~~34~~).

3. The timing of the increments provided for in paragraph 1 as well as the number of recommendations which may be made each year will be subject to limitations defined by the Director-General after consulting the Joint Negotiating Committee.

4. ~~An Official~~ who ~~has~~ have been in service since 31 December 1994 or earlier, who ~~has~~ have completed more years of service in ~~his~~ their grade than the number of years which it would normally take to progress from the minimum to the maximum of the salary scale attaching to ~~his~~ the grade, and who ~~is~~ are at the maximum, shall, subject to paragraph 5 of this article, be eligible to receive one additional special increment on completion of more than 20 years of continuous service and one additional special increment on completion of more than 25 years of continuous service.

5. The total number of additional special increments payable during the whole period of service of an official following 31 December 1994 under the provisions of this article shall be limited to one.

#### ARTICLE 6.7

##### *Performance appraisals*

1. The performance and conduct of each official shall be appraised on a form prescribed by the Director-General after consulting the Joint Negotiating Committee. The appraisal shall be carried out by the official's responsible chief who may obtain the views of ~~a subordinate~~ the official's supervisor or where appropriate, any other official under whose supervision the official has worked during the period under review. ~~The views obtained may be included by the responsible chief in the appraisal.~~ Technical observations for the period under review shall be provided by the technical reviewing chief where applicable as provided for in article 2.4. In the case of responsible chiefs, the views of the officials they supervise will be considered, as appropriate.

2. The appraisal shall be communicated to the official, who shall initial and return it within eight days of its receipt, attaching to it any observations ~~he~~ the official may wish to make. These observations shall be filed with the appraisal unless the Director-General decides otherwise. The appraisal, together with any observations which may have been made by the official, shall then be transmitted to the official to whom the responsible chief reports, who may add ~~his~~ observations to it, in which case it shall be returned to the responsible chief and to the official for initialling. It shall then be transmitted by the responsible chief of the official to the secretary of the Reports Board for appropriate action.

3. ~~A performance appraisal shall be established on the completion of an official's first nine months of service, after 18 months, after 33 months, after 45 months, and at the end of every two-year period thereafter. For an official whose performance is appraised every two years, an ad hoc performance appraisal shall be established one year before the next appraisal would normally be due if it is proposed to apply the provisions of articles 6.4, 6.5 or 6.6 during the second year following the previous appraisal, or as may be necessary for the implementation of any other provisions of the Staff Regulations. The period under review shall be the period of service prior to an official's first appraisal, or the period of service between the two appraisals. After the probationary period as defined in~~

articles 5.1 and 5.5 including any extension thereof as provided for under article 5.2, an official shall be appraised on a two-year cycle that coincides with the programme and budget biennial cycle, with a mid-term review taking place normally after the first year. Any intervening period of six months or more between the end of the probationary period and the start of the next programme and budget biennial cycle, shall be the subject of a transitional appraisal. Any intervening period of less than six months shall be covered by the subsequent appraisal cycle. The form to be used for this transitional appraisal shall be prescribed by the Director-General after consulting the Joint Negotiating Committee.

4. Proposals to apply to an official the provisions of articles 6.4, 6.5 or 6.6, or any other provisions of the Staff Regulations, shall be included in either the mid-term review or the performance appraisal, as applicable, and submitted to the secretary of the Reports Board.

5. The Reports Board may recommend, as necessary, the establishment of ad hoc performance assessments as a follow-up measure.

6. The provisions of paragraphs 3, 4 and 5 of this article shall apply mutatis mutandis to the implementation of the first cycle of performance appraisals that coincides with the programme and budget cycle.

#### ARTICLE 6.11

##### *Transfer to duties and responsibilities attaching to a lower grade*

1. ~~An Official~~ Officials may be transferred to duties and responsibilities attaching to a lower grade, with a corresponding change in ~~his~~ their grade –

- (a) at ~~his~~ their own request;
- (b) if ~~his~~ their performance of ~~his~~ duties and responsibilities is unsatisfactory in the meaning of article 11.8 (Termination for unsatisfactory services).

2. ...

3. Before a decision to transfer an official to duties and responsibilities attaching to a lower grade is taken on the ground of unsatisfactory performance, a proposal to do so, stating the reasons for which it is made, shall be communicated in duplicate to the official who shall initial and return one copy and who shall be entitled to appeal to the Joint Advisory Appeals Board within one month of the receipt thereof on the ground that the proposal is made on the basis of an erroneous evaluation of ~~his~~ performance or for reasons unconnected therewith.

#### Annex V

##### **Annual appraisals and adjustment of salary of fixed-term technical cooperation project staff**

1. For an official on a fixed-term technical cooperation project, an appraisal shall be made every 12 months ~~on a fixed-term technical cooperation project official~~ by his ~~the~~ responsible chief of the official. For this purpose, the procedures set out in articles 6.7.1 and 6.7.2 of the Staff Regulations shall be followed. During the official's first year of service, at the end of the first six months, an appraisal shall be made of the performance and conduct of the official. This appraisal shall recommend whether the official's appointment should be extended beyond its original expiry date, or not renewed. The completed appraisal shall be transmitted to the secretary of the Reports Board. The Reports Board shall recommend to the Director-General one of the two courses of action indicated above.

2. The following rules shall apply to the adjustment of the salary of fixed-term technical cooperation project officials:

- (a) The salary of the official shall be increased by one increment attaching to ~~his~~ the grade on each anniversary of the first day of the month ~~in which he was appointed of~~ appointment under the first of an uninterrupted series of contracts, except in the cases referred to in (b), (c) and (d) below. The salary increment may be withheld in case of unsatisfactory performance.
- (b) Where an extension of contract or a new contract without break of service provides for the assignment of duties and responsibilities in a different grade, or for a regrading of the duties and responsibilities performed, the salary may be adjusted in the light of these changes at the time the extension or the new contract takes effect. The assignment of duties and responsibilities in a different grade or a regrading of existing duties and responsibilities during the currency of a fixed-term contract shall be regarded as a new contract.
- (c) Where, on extension of contract, on a new contract without break of service, or during the currency of a contract, an official is assigned to a different duty station but in the same grade, and the Director-General is satisfied that the official's responsibilities have thereby altered, the salary of the official may be changed by one or more increments attaching to the grade for the duration of the assignment.
- (d) The Director-General may, in exceptional cases and once only in respect of an uninterrupted series of contracts, increase the salary of an official by one or more increments attaching to the grade on the occasion of an extension of contract, or on the anniversary of appointment, if the Director-General considers that the salary of the official does not fully reflect his or her experience and qualifications.
- (e) In the cases referred to in (b), (c) and (d) above, the salary of the official shall be increased by one increment attaching to ~~his~~ the grade on each anniversary of the first day of the month in which the adjustment of salary provided for in these paragraphs was effected.
- (f) If a fixed-term official is granted special leave without salary for one month or more, any adjustment of salary provided for under (a) or (e) above shall be ~~retarded~~ postponed by a period corresponding to the number of completed months of absence.
- (g) The foregoing provisions shall apply mutatis mutandis to officials in a grade the salary scale of which provides for biennial increments.