

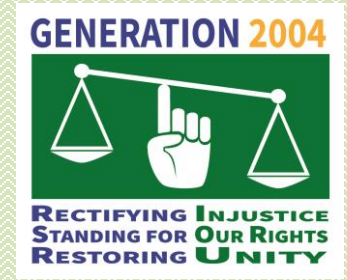
Appraisal time!

Written and unwritten rules of self-assessment and appeals

January 2019

REP-PERS-OSP-GENERATION-2004@ec.europa.eu

Context



**"We are used to consider them as a whole, but the evaluation and promotion processes are different. They are clearly separated since 2012."
(source: Intranet 9/1/2018)**

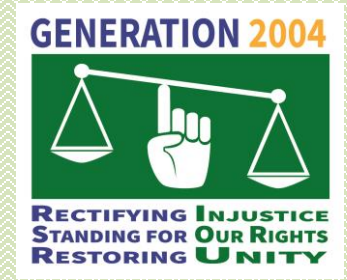
We say this is not entirely true!

Two separated exercises?

- Art. 43 SR + GIP : Yearly appraisal report
 - 1 Efficiency
 - 2 Ability
 - 3 Conduct
- Art. 45 SR + GIP : Promotion "by merit comparison"
 - 1 reports
 - 2 level of responsibilities (as stated in reports)
 - 3 use of languages (as stated in reports)

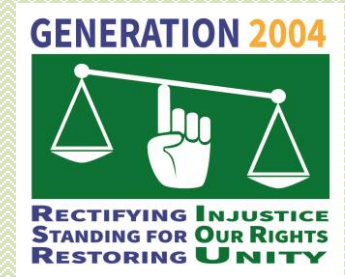
(+ other – unspecified - elements)
- Strictly interlinked

Any common standards?



- Except for the (self-)evaluation template, there are **no mandatory, nor indicative**
 - Phrases
 - Scores
 - Parameters
 - Benchmarks
 - Other quantitative elements**at all, at any stage of appraisal and promotion exercises**
- “qualitative appraisal” -> **largest individual appreciation**
 - **Drafting**
 - **Evaluating**
- 3 exceptions

1 - Satisfactory vs Unsatisfactory



- **A standardised appreciation...**

Qualitative assessment of the period by the reporting officer

The jobholder's general performance is *

☒ Satisfactory

☐ Unsatisfactory

☐ N/A (as the jobholder was unable to carry out his/her duties for an extended period, the Reporting Officer is not in a position to conclude on whether the jobholder's general performance has been satisfactory)

Dialogue *

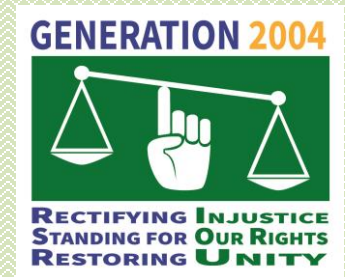
The dialogue took place: yes

Date: 04/02/2015

General comment (optional)

- **Unsatisfactory** -> Hou- / Dir / D-G / D-G HR -> performance plan etc -> no salary step
- **Art. 51 SR (GIPs in preparation)**
 - 3 Unsatisfactory : downgrading
 - 5 Unsatisfactory : dismissal

2 - Certification



A standardised request...

Efficiency	Ability	Conduct	Languages	Responsibilities	Learning and development	General comment / Dialogue	Certification
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Assessment of demonstration of potential to be an AD official.

As stated in the Article 43 of the Staff regulations : As of grade AST 5, the report may also contain an opinion as to whether the official, on the basis of his performance, has the potential to carry out an administrator's function.

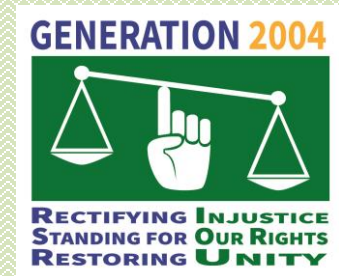
Self-assessment

If you are an official in the AST function group and if you are interested in the possibility of becoming an AD official through the certification procedure, you must ask your Reporting Officer to complete the "certification" section to assess your potential to become an AD.

Do you want your Reporting Officer to complete the "certification" section? *

☒ yes ☐ no

3 - Activities in the interest of the Institution



Another standardised request...

Efficiency	Ability	Conduct	Languages	Responsibilities	Learning and development	General comment / Dialogue	Certification
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- What key message would you like to pass, in one sentence?
- Is there anything else that you would find essential to add, which has not been covered by the other sections of the report?

Self-assessment

General comment (optional)

Have you been nominated by the administration for certain tasks (i.e. as member of a joint committee or member of a competition board) which you have undertaken during the appraisal period? *

☐ Yes: I confirm that during the reporting period I was appointed by the administration.

☐ No

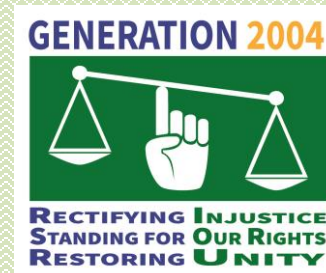
Have you been elected or nominated by the staff representation for certain tasks (i.e. as member of a joint committee or member or assessor of a competition board) which you have undertaken during the appraisal period? If this is the case, you are entitled to request a contribution from the Ad hoc group (for Commission staff) / the Staff Committee (for Executive Agencies' staff). Please click the box below and describe your activities in the free text field. *

☐ Yes : I confirm that during the reporting period I was elected or appointed by the staff representation. My reporting officer must consult the ad hoc Group (for Commission staff) / the Staff Committee (for Executive Agencies' staff). The ad hoc Group's / the Staff Committee's opinion must be taken into account in finalising the report and must be attached to the report.

☐ No

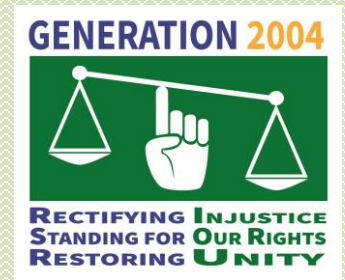
i Your activities

Appraisal calendar



Timing	Step	Comments
7 January 2019	Publication of the Administrative Notice	SYSAPER open for self-assessment.
7-9 January 2019	Launch of self-assessments	
From mid-January 2019	Dialogues	Where self-assessments are already complete and Reporting Officers / Reporting Officers by Delegation are available to hold dialogues, they can be held as from the second week of January.
18 January 2019	Deadline for signature of self-assessment	All staff should have at least 8 working days to complete the self-assessment, not including days without access to SYSAPER, for example due to leave or illness.
28 January 2019	Deadline for holding dialogues	Another deadline may be fixed by the DG, provided that the deadline of 15 February can be respected.
15 February at the latest	Deadline for the signature of the report	Within 10 working days of dialogue
	Transmission of reports to jobholders	Reports are transmitted to jobholders as soon as they are written.
28 February 2019	Deadline for comments and appeals	Jobholders have 5 working days, not including days without access to SYSAPER, to make comments or to appeal (with the possibility to request a dialogue), starting from the date of transmission of the report.
29 March 2019	Deadline for decisions on appeals	Comments, adjustment or confirmation of the report by the Appeal Assessor, after a second dialogue if requested, within 20 working days of any appeal.

What is an appraisal report?

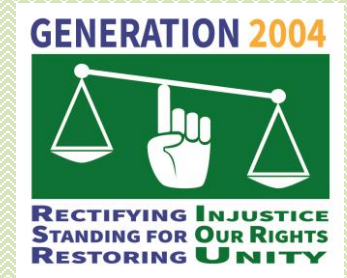


Article 5 – Basis of the appraisal

The individual qualitative appraisal shall be based on the ability, efficiency and conduct in the service of the jobholder, taking account of the context within which the jobholder has performed his duties. The individual qualitative appraisal shall not include a comparison with the performance of other individual jobholders.

- The appraisal report is confidential, but can be read by
 - Hierarchy
 - Staff representatives appointed by CSC to challenge promotion proposals by D-Gs before publication
 - Members of Joint Promotion Committees (admin+staff repr)
 - Members of selection panels in case of vacancy applications
 - ...
- It is not only key for promotion, but also your professional visit card.

(Self) Appraisal

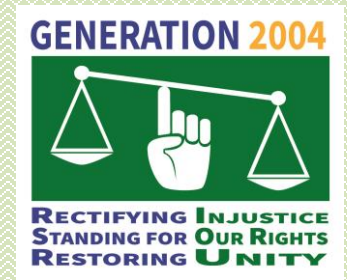


- Practical Advice
 - Slides 8 – list of points to consider in self-Assessment
- Guidelines
 - Create the reference context
 - Reject abusive, incomplete, incorrect reports
- Appraisal and promotion
 - More on promotion

General tips for self-appraisal

- Follow template and structure according to
 - Job description/objectives
 - Questions R.O. should reply in report
- Keep it reasonably concise
 - Too long descriptions
 - Generally include repetitions
 - Are often inconclusive
 - Dilute important points
 - Irritate readers
- Avoid any negativity or criticism
 - Chose the right places to express them, if really needed

Efficiency



From Sysper: What were the main achievements/outputs of the jobholder during the reporting period, in relation to his/her objectives? What was their impact? Please elaborate on the quality of these results taking into account any performance indicators, the circumstances and the context.

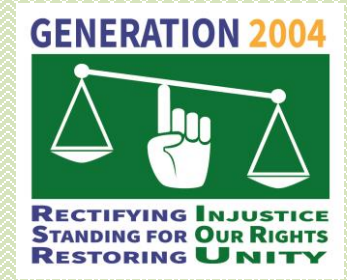
In this framework, please assess the jobholder's performance in the following areas:

- Delivering quality and results (in particular through the use of specialist knowledge or technical qualifications)
- Analysis and problem-solving
- Prioritising and organising

If significant goals were not achieved, what could have been done differently?

- *Article 5 – Basis of the appraisal*
The individual qualitative appraisal shall be based on the ability, efficiency and conduct in the service of the jobholder, taking account of the context within which the jobholder has performed his duties. The individual qualitative appraisal shall not include a comparison with the performance of other individual jobholders.
- Describe achievements and outputs according to job description and objectives
- Highlight any extra activity on top of the above
- Use positive tone

Ability

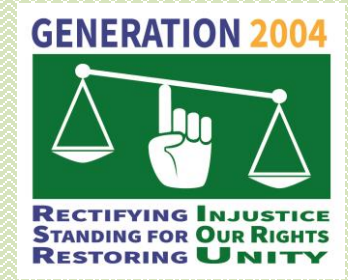


From Sysper: During the reporting period, how did the jobholder demonstrate his/her competencies in the following areas:

- Communication and negotiation, including discussion steering*
- Resilience, as well as other aspects of self-management (e.g. adaptability, development) Describe old and new ones*

- Highlight what you can do
- Don't limit yourself to communication and negotiation, or resilience

Conduct in the service

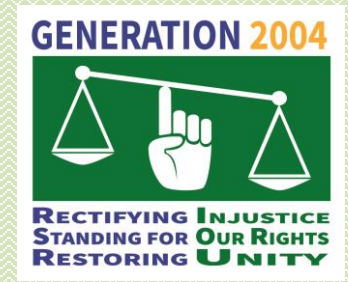


From Sysper: During the reporting period, how did the jobholder behave in the following areas:

- *Interpersonal management: did the jobholder work cooperatively with the hierarchy/stakeholders/colleagues, where applicable across organisation boundaries?*
- *Ethics, rights and obligations: did the jobholder perform his/her tasks in line with the rules and standards that govern the staff members' professional lives?*

- Highlight good relationships to colleagues and other services
- Mention praise by internal and external stakeholders

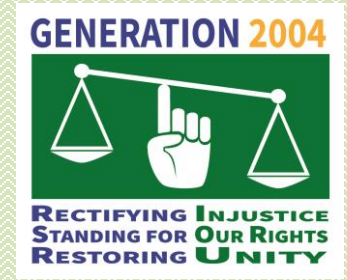
Languages



From Sysper: What languages does the jobholder use at work? What is the level of competence? Is one of them a mother tongue?

- Mention your languages separately in view of merit comparison
 - Used in the service
 - Usable in other contexts
- Only languages other than the competition language and used in the service “count” for merit comparison

Responsibilities



From Sysper: What type of responsibility was taken on by the jobholder during the reference period: staff management, project/process management, planning, coordination, negotiation etc. ?

- What was the level of responsibility: sensitive or common projects/processes, autonomous management or execution tasks, etc. ?

Please provide concrete examples based on the main achievements.

- More important since 2014
- Mention interinstitutional tasks if any
- Reference to tasks vs grade?

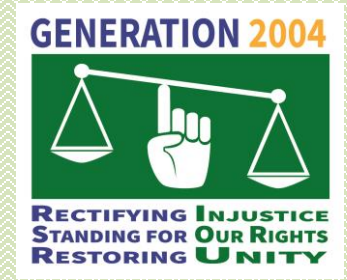
Learning and development

From Sysper: What did the jobholder learn during the reporting period (various means to be considered: classroom training, on the job learning, etc.)?

- Which competencies, including where appropriate managerial ones, and which areas of technical and specialist knowledge should the jobholder develop further in the months/years to come? Through which means can these learning needs be best supported?

- Not part of the evaluation according to Art. 43, but still included in GIP...
- Better to indicate what has been learnt than expressing what should be learnt
- Beware!!! Positive intentions often turned into reasons for not promotion

General comment

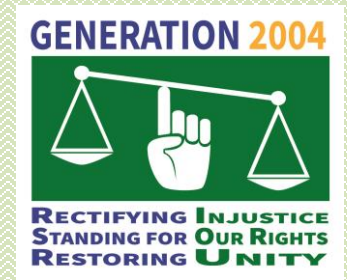


From Sysper: What key message would you like to pass, in one sentence?

- Is there anything else that you would find essential to add, which has not been covered by the other sections of the report?

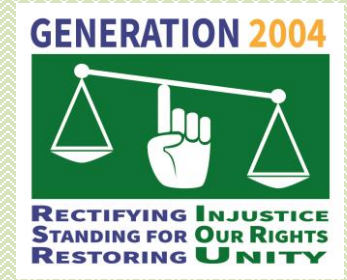
- Beware!

Dialogue with R.O.



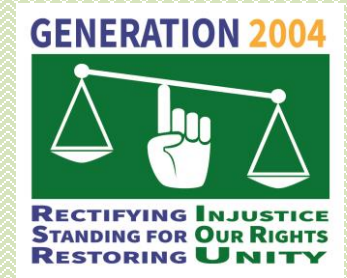
- Key for **positive** appraisal
- Prepare your most important **points**
- Be positive and remind R.O. of importance of **adjectives**
- Explain your wish/need for career **progression**
- **Content** should be **reflected in report**, nothing added

Report: Make sure that



- Report is **not** too **generic** nor **generalises** one-off mistakes or adverse situations
- Report does **not** include **comparison** with other jobholders
- Reports highlights your **extra contribution** to the unit/Directorate (General)/Institution
- Mentions **praise** by external stakeholders
- Does not dismiss **extra-work** as 'normal'

Appeal against Appraisal vs Comments in report



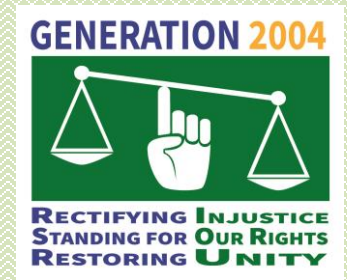
- 5 working days to accept, comment or appeal against the appraisal

	Pro's	Con's
Comment on report	<ul style="list-style-type: none">• Allows for integration or clarification• Can be agreed with R.O.	<ul style="list-style-type: none">• Weak, no legal value
Appeal on report	<ul style="list-style-type: none">• Basis for further action, if needed• Clearer signal for discontent	<ul style="list-style-type: none">• A strong means that may generate a strong reaction• Risk of Director confirming report

- Preferably refrain from commenting the report
- In case of appeal, seek assistance by staff representatives!

Appeal against non-proposal

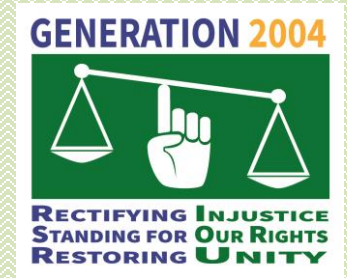
(June)



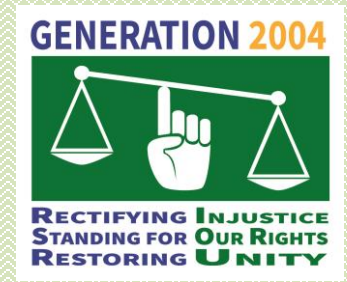
- 5 working days from publication of proposals
- Write a factual, concise text
- Highlight extra merits and responsibilities
- Point to procedure shortcomings, if any
- Seek assistance by staff representatives

Appeal against non-promotion

(Art. 90(2)) (by mid-Feb y+1)



- 90 days from publication of administrative notice on promotions in November
- Use templates
- Seek assistance by staff representatives
- Essential before a court case

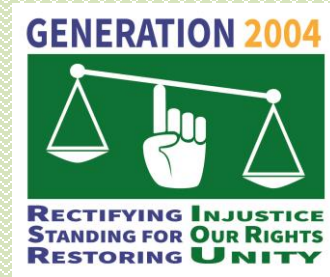


And Staff Representation?

- Has produced documents suggesting improvements to the system
 - [2016 note](#)
 - [2017 note](#)
- Participates in meetings with D-Gs before proposal publication
 - Several delegations, no clear rules nor instruction on how to conduct dialogues
- Participates in working groups of JPC
 - No clear rules nor instructions on how to evaluate appeals

Annex IB (Staff Regulations): Average promotion pace

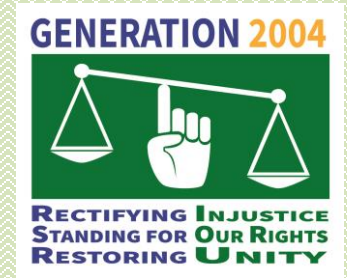
[multiplication rates for guiding average career equivalence](#)



Grade	Assistants	years	Administrators	years	Assistants/Clerks	years
13	—		15%	6,5		
12	—		15%	6,5		
11	—		25%	4		
10	20%	5	25%	4		
9	8%	12,5	25%	4		
8	25%	4	33%	3		
7	25%	4	36%	2,8		
6	25%	4	36%	2,8	—	
5	25%	4	36%	2,8	12%	8,3
4	33%	3	—		15%	6,5
3	33%	3	—		17%	5,8
2	33%	3	—		20%	5
1	33%	3	—		25%	4

These are collective, not individual guarantees!

Any questions?



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