



**Ministry  
of Defence**

Secretariat  
Defence Infrastructure Organisation  
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www.gov.uk/DIO

29 September 2016

Ref. FOI2016/08208

Dear

Thank you for your email of 1 September 2016 requesting the following information:

*“Please let me know what % of DIO staff, overall and split by Business Units (such as Accommodation, Training Estate, Regional Prime etc), achieved a Box 1 marking in the last annual Moderation exercise?”*

*What policy, processes and guidance documents were cascaded to line managers to ensure parity of marking accross DIO Business Units?*

*If the answer to the first question reveals an inequality of marking accross Business Units what action is DIO taking to compensate staff who may have been disadvantaged?”*

I am treating your correspondence as a request for information under the Freedom of Information Act 2000 (FOIA).

A search for the information has now been completed within the Ministry of Defence (MOD) and I can confirm that some information in scope of your request is held. I have answered each question below.

*Please let me know what % of DIO staff, overall and split by Business Units (such as Accommodation, Training Estate, Regional Prime etc), achieved a Box 1 marking in the last annual Moderation exercise?*

<b>LEVEL4</b>	<b>Box 1</b>
DIO AS&P	27%
DIO CEO	26%
DIO COMMERCIAL	24%
DIO COO	25%
DIO INFRA PROG/SAPT	~
DIO PPD	24%
DIO SD	24%
DIO SD MGS	24%
DIO DA&I	20%
DIO FINANCE	24%
DIO TRANS & CHG	24%
<b>DIO Overall</b>	<b>24%</b>

Please note, numbers are presented for teams of 10 or greater. DIO Infra Prog / SAPT data has been suppressed due to having a total number of employees fewer than 10.

*What policy, processes and guidance documents were cascaded to line managers to ensure parity of marking across DIO Business Units?*

Attached at Annex A is "The PAR 'How To' Guide it is available to all staff.

Under Section 16 of the Act (Advice and Assistance) you may find it helpful to note that the section on senior level drive and oversight spells out the importance of the Reporting Officer & Countersigning Officer (CSO) having regular discussions to ensure consistency, comparability and fairness within moderation panel groups. As CSOs are not always panel members, it is suggested they would also need to form part of these conversations to understand the individuals they are representing.

In addition to this the DIO Chief Executive held a call for all Moderation Panel Chairs providing guidance on conducting Pre-Moderation, and Moderation panels.

The section on Relative Assessment & Supplementary evidence from Policy, Rules & Guidance (PRG) for PAR 15/16 – please see Annex A.

The document states that the Moderation panels will test the validity of the relative assessments of staff within their remit. Suggesting that if relative assessment has been applied prior to the panel, the moderation panel will test it to make sure it has been carried out fairly and consistently.

The use of supplementary evidence is determined at organisation level (DIO) rather than a departmental policy. Therefore the PRG states that if supplementary evidence is to be used, staff should be notified at the beginning of the reporting year and that the supplementary evidence template should be used.

*If the answer to the first question reveals an inequality of marking across Business Units what action is DIO taking to compensate staff who may have been disadvantaged?"*

This information is not held, the response to the first question does not suggest any inequality.

If you are not satisfied with this response or you wish to complain about any aspect of the handling of your request, then you should contact me in the first instance. If informal resolution is not possible and you are still dissatisfied then you may apply for an independent internal review by contacting the Information Rights Compliance team, 2<sup>nd</sup> Floor, Zone N, MOD Main Building, Whitehall, SW1A 2HB (e-mail [CIO-FOI-IR@mod.uk](mailto:CIO-FOI-IR@mod.uk)). Please note that any request for an internal review must be made within 40 working days of the date on which the attempt to reach informal resolution has come to an end.

If you remain dissatisfied following an internal review, you may take your complaint to the Information Commissioner under the provisions of Section 50 of the Freedom of Information Act. Please note that the Information Commissioner will not investigate your case until the MOD internal review process has been completed. Further details of the role and powers of the Information Commissioner can be found on the Commissioner's website, <http://www.ico.org.uk>.

Yours sincerely,

DIO Secretariat



### Performance Appraisal Process - 2015/2016 - MOD Main

[Introduction](#) [Policy](#) [Process](#) [Scope and Eligibility](#)

Find out why and how we appraise performance and how performance management is used to encourage, recognise and improve personal and in turn, organisational performance.

Understand the reporting chain and how and when to set up performance reports using the **Online Performance Appraisal Report - 2015/2016**.

The reporting year for all eligible staff is 1 Apr 2015 – 31 Mar 2016.

Updated	Details
30 March 2015	2015/2016 Policy and Process.
04 January 2016	Minor amendment to 'Establishing and Maintaining the Reporting Structure' section of the Policy.

### Announcements

The following documents will be updated, added throughout the Reporting Year.

- End of Year Moderation Guidance - 2015/2016
- Guide to Performance Improvement Plan (PIP)
- MOD Moderation Panel Architecture - 2015/2016
- Performance Improvement Plan (PIP) Template

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### Online PAR 2015/16

#### Related items

##### DINs and JSPs

JSP 747: Information Management Policy and Protocols

##### Forms

HR Form 140: MOD Mid Year Development Review Preparation Form

##### Useful Information

Appraise Performance 2015/16 - Frequently Asked Questions

Civil Service (CS) Competency Framework

Disability Toolkit

Guidance for using the MOD Main Online PAR Form on HRMS

How to: Conduct Performance Management End-of-Year Moderation

How To: Deal with Dips in Performance

How To: Hold Regular Performance Discussions

How To: Obtain and Share Constructive Feedback

How To: Set SMART Objectives

How To: Undertake Self Assessment

Instructions for accessing Performance Management E-learning using Google Chrome

MOD Moderation Panel Architecture 2015/2016

Performance Appraisal Process - 2015/2016 Assessment Guidance

Performance Appraisal Best Practice - 2015/2016

Performance Improvement Plan (PIP) Template and Guidance 2015/16

Performance Management 2015/16: Eligibility for Retained Grades

<a href="#">Supplementary Evidence Template 15-16</a>
<b>People Services Links</b>
<a href="#">Arrange, Record and Evaluate Training and Development Activities</a>
<a href="#">Create, Clone or Amend Post Skills Profiles</a>
<a href="#">Equality and Diversity</a>
<a href="#">Learning and Development</a>
<a href="#">Managing Poor Performance</a>
<a href="#">Mandatory Training</a>
<a href="#">Understand and Operate the Facilities Arrangements</a>
<b>Internet and other MOD Links</b>
<a href="#">Civil Service Learning (CSL) (www)</a>
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## Performance Appraisal Process - 2015/2016 - MOD Main

[Introduction](#) [Policy](#) [Process](#) [Scope and Eligibility](#)

### Performance Appraisal Process - 2015/2016 - MOD Main Policy

1. This Policy should be read in conjunction with the related process outlining the roles and responsibilities of staff in the performance appraisal process. All staff should adhere to the policy and process. There are also a number of supporting 'How To' guides which provide additional support and guidance.
2. This Performance Appraisal policy applies to all in-scope Job Holders (JHs) and to Reporting Officers (ROs) and Countersigning Officers (CSOs) and Line Managers (LMs) of those in scope. This might include non standard occupational grades, Service personnel and other 'non-employees' acting as ROs/CSOs/LMs.
3. United States Visiting Forces (USVF) staff are in scope and local arrangements have been put in place for the submission of ePARs.

### Purpose of Performance Management

4. Through evaluation of individual performance and contribution to the business ('What' has been done) as well as behaviour ('How' it has been done) the Performance Appraisal process links the JH's objectives to business goals, management plans or wider Departmental objectives. In this way Performance Appraisal builds a two way commitment between the Department and its people with a strong focus on driving business performance through individual performance.
5. The Performance Appraisal arrangements support the cross Civil Service drive to create a climate of continuous improvement where achievement is recognised and individuals are supported in addressing development needs. Central to this is embedding a culture of good line management where objectives are set at the start of the year with regular, honest two-way conversations about progress and development being routine.
6. This structured assessment will help the MOD to deliver better quality, more detailed and more frequent analysis of performance and behaviours in the department.

### Key Principles of Performance Appraisal

#### Consistency, Feedback and Honest Conversations

7. Honest, two-way discussions about progress and development should be focused on the identification of relative strengths and weaknesses. This leads to development action to enable JHs to improve their skills and contribution to Defence.
8. JHs and LMs should engage in regular performance discussions to monitor progress against their agreed objectives with staff being encouraged to engage in regular self-reflection of their performance. The senior management involvement will allow for regular, high quality feedback which can open-up and improve the dialogue between staff and management.

#### Senior Level Drive and Oversight

9. An RO and CSO are appointed to ensure senior level oversight and ownership of the Performance Management process. Through regular discussions LMs, ROs and CSOs will work together to ensure consistency, comparability and fairness within moderation panel groups. The LM, RO and CSO should have undertaken Equality and Diversity training, including 'Unconscious Bias' training and demonstrate their commitment to Equality and Diversity throughout the Performance Appraisal process.
10. ROs need to be sufficiently close to the JH to make an informed assessment and effective contribution to the PM process. Performance Management is a key line management activity and should be undertaken throughout the year, through regular dialogue with JHs. If the TLB decide it is appropriate the LM may act as the RO.

#### Objectives

11. At the start of the year LMs should set SMART (Specific, Measurable, Achievable, Realistic and Timed) objectives for their staff and these should be agreed by the JH. Objectives should be reviewed regularly to ensure they remain up to date and relevant. For guidance on setting objectives see [How To: Set SMART Objectives](#).


#### Performance and Behaviours

12. All members of the reporting chain should actively participate in the Performance Appraisal process and fulfil their roles as set out in the policy and process documents. The system allows for the recognition and reward of good performance and behaviours. Poor behaviours or performance should be tackled in a timely fashion with areas for improvement identified and addressed. Non compliance will be marked as Box 3 and may lead to disciplinary action being taken for refusal to obey a reasonable management instruction.

#### Relative Assessment and Moderation

13. At the end of year moderation will take place at which the Chair and Panel members moderate staff in each panel into three performance groupings: Box 1 (no more than 25%), Box 2 (around 70%) and Box 3 (no less than 5%). Relative assessment allows for the identification of relative strengths and weaknesses in all members of staff and enables LMs/ROs/CSOs to provide support and development targeted to their individual needs. See [End of Year Moderation Guidance - 2015/2016](#).

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Online PAR 2015/16

Related items

DINs and JSPs

JSP 747: Information  
Management Policy and  
Protocols

Forms

HR Form 140: MOD Mid Year  
Development Review  
Preparation Form

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Appraise Performance  
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How To: Deal with Dips in  
Performance

How To: Hold Regular  
Performance Discussions

How To: Obtain and Share  
Constructive Feedback

How To: Set SMART  
Objectives

How To: Undertake Self  
Assessment

Instructions for accessing  
Performance Management E-  
learning using Google  
Chrome

MOD Moderation Panel  
Architecture 2015/2016

Performance Appraisal  
Process - 2015/2016  
Assessment Guidance

Performance Appraisal Best  
Practice - 2015/2016

Performance Improvement  
Plan (PIP) Template and  
Guidance 2015/16

Performance Management  
2015/16: Eligibility for  
Retained Grades

## Performance Management - Roles & Responsibilities

14. All JHs, LMs, ROs and CSOs should make sure that they are familiar with and understand their responsibilities' detailed in the 15/16 Performance Appraisal process, and any associated guidance.

### Panel Architecture

15. It is the responsibility of TLBs to determine the size and make-up of moderation panels. This detail should be communicated to the business and staff. For a guide to best practice please see **Performance Appraisal Best Practice - 2015/2016**.

## Establishing & Maintaining the Reporting Structure

16. The reporting structure is defined by the business area at the beginning of the reporting year and it is the responsibility of the business area to develop the most appropriate structure for them. The appointment of a CSO and RO in the appraisal process is an important and a key senior management decision. The RO should be more senior than the Job Holder (In exceptional circumstances this may not be the case. Please see the **Performance Appraisal Best Practice - 2015/2016** for more information). The decision on who should act as RO is for the TLB. It is appropriate for the LM to act as the RO unless the TLB decide otherwise.
17. If an RO is on Temporary Managed Progression (TMP), they should not report on JHs in the same substantive pay band/skills zone (or equivalent - see **Service Ranks and Civilian Grades (Broad Equivalents)**).
18. It is acceptable for those on Long Term Temporary Promotion (LTP) or Acting Rank (military) to report on JHs in the same grade.
19. Where a post is being undertaken by agency staff the business is required to ensure alternative reporting arrangements are put in place for the Job Holder. Agency staff should not form part of the reporting chain. They are manpower substitutes and can only be used as an interim measure until permanent recruitment can be completed or where the posts cannot be filled by Temporary Managed Progression (TMP), internal posting or casual/Fixed Term Appointment (FTA) recruitment action.
20. A contractor or Industry Partner can act as a Reporting Officer or Countersigning Officer providing they are in a long-term post i.e. they are in post or plan to be in post for a year or more. This means that they can participate in Performance Appraisal and related moderation discussions as required. However, it is important that each individual is supported by at least one MOD employee (or Crown servant) in their reporting chain – either the Line Manager, Reporting Officer or Countersigning Officer. Any contractor or consultant required to be a Reporting Officer or Countersigning Officer should be fully conversant with performance management arrangements and should be current in Equality and Diversity training for managers and any other appropriate training to make sure they are competent.
21. A Reserve Officer can undertake all civilian management roles/responsibilities in the same way as a Regular Officer.

## Relative Assessment and Supplementary Evidence

22. It is for the TLB to decide how to manage the use of supplementary evidence. If evidence is to be used this should be communicated to staff at the start of the reporting year and the standard MOD template should be used. The template requires completion by JHs and endorsement by ROs. See **Supplementary Evidence Template**.
23. Only CSO assessments are used for moderation. The CSO assesses each of the JHs 5 objectives and 6 competences. The total of these 11 assessments will be ranked within each moderation area and made available by DBS to moderation panels. ROs and CSOs should ensure the accurate and objective assessment of each objective and competence rather than focusing on the total. See **Performance Appraisal Process - 2014/2015 Assessment Guidance**.
24. The CSO's assessment on the PAR is final. Moderation may affect the Moderated Performance Rating but not the individual's score.
25. TLBs should decide whether to assess Skills Zone 1 and Skills Zone 2 staff against 5 objectives or whether this should be reduced to 3 objectives. If the decision is made to reduce the number of objectives for Skills Zones 1 and Skills Zone 2 staff then this should be adopted across the whole TLB and should be communicated to staff at the start of the reporting year.
26. Moderation panels will be required to allocate every person into one of three performance groups: Box 1 (no more than 25%), Box 2 (around 70%) and Box 3 (no less than 5%).
27. Moderation panels will test the validity of the relative assessments of staff within their remit. Panel chairs should ensure that they have access to sufficient information to enable them to carry out their task. Evidence of exceptional mitigating circumstances should be reflected in CSO assessments before the panel sits. The Moderation panel chair, in conjunction with the CSO, will be responsible for ensuring that all reports for JHs who have moved posts in year are fully taken into account at the moderation panel. This may necessitate a conversation with the previous CSO prior to the panel meeting.
28. See **End of Year Moderation Guidance - 2015/2016** for more information relating to moderation and the role and responsibilities of the moderation panel chair and the moderation panel members.

## Functional Competences

29. Functional competences have often been referred to in order to describe job-specific, technical or specialist skills. Functional competences are not assessed in PARs as the **Civil Service (CS) Competency Framework (www)** is used. If neither the RO nor the CSO is qualified to comment on a JH's technical ability, another manager, usually senior to the JH, may be invited to comment including Skills Champions and Heads of Profession. See **Heads of Professions and Deputy Heads of Professions Contacts** for further details.

## Managing Performance Throughout the Year

30. Management reporting chains are responsible for informing their staff of their final box marking and providing them with an explanation behind their placement as soon as possible but no later than 31st July 2016.
31. LMs should ensure that they are having discussions with their staff about their performance throughout the reporting year. If at any point an individual's performance is deemed to have fallen below acceptable standards the LM should address this quickly and effectively through the Dips process. The **How To: Deal with Dips in Performance** document provides additional support and guidance. Where appropriate unsatisfactory performance should be addressed using the **Managing Poor Performance (MPP)** process.

Supplementary Evidence  
Template 15-16

People Services Links

Arrange, Record and Evaluate  
Training and Development  
Activities

Create, Clone or Amend Post  
Skills Profiles

Equality and Diversity

Learning and Development

Managing Poor Performance

Mandatory Training

Understand and Operate the  
Facilities Arrangements

Internet and other MOD Links

Civil Service Learning (CSL)  
(www)

Defence Academy of the  
United Kingdom (www)

Diversity and Inclusion

32. If an individual is placed in box 3 at the end of the reporting year the most appropriate person in the LM chain should meet with them to discuss their performance and create a **Performance Improvement Plan (PIP)**.
33. JHs subject to Managing Poor Performance action at end of the reporting year will be given a Box 3. See 'Eligibility' section.

### Scope

34. A JH is in scope to complete the **Online Performance Appraisal Report - 2015/2016** if they are (or were):
- employed between 1 April 2015 and 31 March 2016; and
  - on MOD terms and conditions; and
  - in a grade within the MOD's main pay system.

### Special Circumstances

35. It is expected that the majority of JHs in scope will meet the eligibility requirements and will therefore have a PAR completed on HRMS. However, special circumstances may apply to some JHs. See 'Scope and Eligibility'.

### Interchanges: Loans and Secondments

36. MOD Employees on interchange with another government department or with industry may be in scope and retain some or all of their MOD terms and conditions. See 'Scope and Eligibility'.
37. The JH and LM should remain in regular contact and ensure that both parties are clear as to which Performance Management process they are covered by. Both parties should meet the requirements of the relevant system and the LM and RO are responsible for contacting the LM in the host department or organisation to complete the relevant documentation. The LM and RO should ensure that all individuals who are in scope are included in the relevant moderation panel.

### Eligibility

38. The JH should have a PAR completed and submitted if they have held the same post for a total of 90 calendar days or more within the reporting year. It is legitimate to exclude the JH from the requirement to complete and submit a PAR if the 90 calendar day minimum requirement has not been possible due to sickness absence, long-term sickness or absence relating to maternity/adoption leave, jury service or reservist commitment. See 'Scope and Eligibility'.
39. If the JH is in scope and meets the eligibility requirements but has no PAR submitted on HRMS they will be treated as a Box 3 and will not be included in moderation.
40. Those that are in scope but are not required to complete and submit a PAR will be treated as a Box 2 and will not be included in moderation.

### Diversity and Inclusion Requirements

41. In making an end of year assessment, it is important to acknowledge and understand the role personal bias, conscious or unconscious, plays in how we all think. Above all it is vital to ensure an objective appraisal is provided to the person being reported on. All those involved in the Line Management and/or performance management of civilian staff, including military managers, should have undertaken the equality, diversity and inclusion training required and should abide by the current MOD equality, diversity and inclusion policy. As long as this is completed it should be refreshed according to business need.
42. Current equality, diversity and inclusion mandatory training includes:
- Unconscious Bias (Course Code UB1301) an e-learning course provided by Civil Service Learning (CSL). Duration: 1 hr
  - Equality & Diversity Essentials (Course Code EDE13) an e-learning course provided by Civil Service Learning (CSL). Duration: 1 hour
43. The **Disability Toolkit** should be read in conjunction with the MOD's overarching equality and diversity policy and both should be followed.
44. If a JH has a Disability they should speak to their RO if they require **Reasonable Adjustments** in the workplace. The MOD has a legal obligation to provide reasonable adjustments for disabled employees to enable them to maximise their potential and to work as effectively as possible on an equal basis with their colleagues. For more information on the Equality Act 2010 see **Diversity and Inclusion**. All staff who consider themselves to be a member of a protected group are encouraged to record this on HRMS. This information is confidential and cannot be seen by Line Management.

### Training

45. All those involved in performance assessment can take advantage of the suite of products available from **Civil Service Learning (CSL) (www)**. On the front page of the CSL site there is a "leadership & management" menu option. Selecting that will display both a list of courses, and other "resources". The principal courses are the Performance Management e-learning and the face-to-face course "Managing People - Regular Performance Discussions". There are though other relevant courses under the Managing People heading, together with some related "electronic resources" which should be considered. See **Civil Service Learning (CSL) (www)** for further information.

### Trade Union Representatives

46. If you are a trade union representative on 'Facility Time' follow the additional instructions in **Understand and Operate the Facilities Arrangements**.

### Equality Analysis

47. Performance Management policy is subject to Equality Analysis in accordance with Departmental procedures. This Equality Analysis

will be kept under review in order to inform any future policy changes.




## Version

Version: 1.0  
Effective Date: 30 March 2015

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### Performance Appraisal Process - 2015/2016 - MOD Main

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#### Key

- JH - Job Holder
- LM - Line Manager
- RO - Reporting Officer
- CSO - Counter Signing Officer
- MPC - Moderation Panel Chair
- MP - Moderation Panel
- MPM - Moderation Panel Member
- MPP - Managing Poor Performance
- TLB - Top Level Budget

Defence Business Services (DBS) should provide support and advice throughout the process. DBS can be contacted using the **Contact Us** facility on People Services.

## STAGE ONE: Beginning of the Reporting Year, 1 April – 13 May 2015

Performance Appraisal Report (PAR) is automatically raised on HRMS

#### Step 1

All involved in the process should have completed 'Unconscious Bias' and 'Equality and Diversity Essentials' e-learning courses on **Civil Service Learning (CSL)** ([www](#)).

#### CSO:

- CSO should work with TLB Holder or Directors of Resources to decide moderation groupings.
- CSO should ensure all staff know who their RO is and what moderation panel they belong to.
- CSO should cascade their own objectives to their business area.
- TLBs should communicate to Skills Zone 1 and Skills Zone 2 staff how many objectives they are required to have.

#### RO:

- RO should make themselves known to anyone for whom they have appraisal responsibility.

#### LM/JH:

- LM and JH should ensure awareness of the reporting chain.
- LM and JH should populate PAR with correct reporting chain.

#### TLB:

- TLBs can decide whether to mandate the use of supplementary evidence and decide how this will be managed within their TLB. If supplementary evidence is to be used this should be communicated with staff at the start of the reporting year. All supplementary evidence should be submitted using the mandatory **Supplementary Evidence Template**.

#### Step 2

#### LM:

- LM should work with JH to set 5 SMART objectives (Specific, Measurable, Achievable, Relevant/Realistic, Timed) and 6 competences from the **Civil Service (CS) Competence framework**.
- LMS and JHs should discuss and agree up to 3 learning and development objectives.

#### JH:

- JHs should select key corporate objective on the PAR, leaving 4 further objectives to be set locally.
- JHs who have LM responsibilities should select the line management objective as their corporate objective and have Leading and Communicating as one of their competences.

#### Step 3

#### LM:

- LM should ensure JH's objectives and competences have been input into the JH's PAR on HRMS within 6 weeks of the start of the Reporting Year/the start of a new post.

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Online PAR 2015/16

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MOD Moderation Panel Architecture 2015/2016

Performance Appraisal Process - 2015/2016 Assessment Guidance

Performance Appraisal Best Practice - 2015/2016

Performance Improvement Plan (PIP) Template and Guidance 2015/16

Performance Management 2015/16: Eligibility for Retained Grades

RO:

- RO should ensure objectives are linked to team/unit/MOD objectives dependent on the position of the JH. No classified material should be detailed.

#### Step 4

CSO:

- Confirm the JH's objectives are:
  - Clear and measurable
  - Appropriate to the JH's Pay Band/Grade/Skill Zone
  - Sufficiently aligned with corporate, business and functional objectives
  - Consistent with those of other JHs in the same moderation panel
  - And have been discussed with the RO as appropriate

#### Step 5

CSO:

- CSOs within the same moderation panel should agree on performance expectations and everyone involved in each moderation panel should have a shared understanding of what 'good looks like'.

## Continuous Improvement Throughout the Reporting Year

JH/LM/RO:

- JH/LM/RO are jointly responsible for having regular performance discussions through the Reporting Year to secure feedback on performance and guidance on priorities.

LM:

- LM should review JH's objectives regularly to ensure they remain up to date and relevant and so JHs know what is expected.

## How To Deal With Poor Performance In Year

LM:

- LMs should address regular or one off dips in performance quickly. See **How To: Deal with Dips in Performance**.
- If performance remains at an unacceptable level the LM/RO should start formal procedures in accordance with the MPP policy and process supported by the individual's reporting chain. See **Managing Poor Performance**.

## STAGE TWO: Mid Year Review, to be completed by 31 October 2015

### Step 1

JH:

- JH should prepare for their Mid Year Review and prepare a self assessment.

The Reporting Chain:

- LM/RO should discuss an initial assessment with the CSO.

### Step 2

LM/RO:

- LM/RO should review the JH's self assessment against their objectives and competences.
- LM/RO should review JH's objectives and competences and revise personal development objectives if necessary to ensure they remain up to date.

The Reporting Chain:

- LM/RO/CSO should ensure that there is a consistent and clear understanding of performance expectations.

### Step 3

RO:

- RO should complete the Mid Year Review section of the PAR by 31 October 2015.
- RO should give JH an honest assessment of their performance to date against both the 'What' and the 'How' and an initial indication of their likely end of year box marking.

## STAGE THREE: End of Year Assessment

### Step 1

Supplementary Evidence Template 15-16
<b>People Services Links</b>
Arrange, Record and Evaluate Training and Development Activities
Create, Clone or Amend Post Skills Profiles
Equality and Diversity
Learning and Development
Managing Poor Performance
Mandatory Training
Understand and Operate the Facilities Arrangements
<b>Internet and other MOD Links</b>
Civil Service Learning (CSL) (www)
Defence Academy of the United Kingdom (www)
Diversity and Inclusion

JH:

- JH should consider the progress they have made towards their objectives and competences to prepare for the discussion at the end of year review.
- JH should self assess their achievement of objectives and competences on the PAR.
- If supplementary evidence is to be used it should be submitted using the **Supplementary Evidence Template**.

#### Step 2

RO:

- RO should assess JH's performance then explain the assessment to the JH.
- If supplementary evidence is to be used the RO should ensure their section is completed and that they have given the JH sight of their comments.
- RO should ensure the CSO has sight of the **Supplementary Evidence Template** if used.

#### Step 3

CSO:

- CSO should discuss with the RO their evidence based assessment of the JH's performance.
- CSO should provide the JH with the opportunity to discuss the content of the assessment with the RO and/or CSO before it is submitted.

#### Step 4

RO/CSO:

- RO and CSO should complete the End of Year Assessment section of the PAR.

CSO:

- CSO should ensure the JH is made aware of the final CSO assessments by the most appropriate person in the reporting chain.

### **STAGE FOUR: PAR Submission Checklist**

#### Step 1

RO:

- RO should ensure assessments are correct on the PAR.
- RO should ensure TLB and moderation panel numbers are correct on the PAR.
- RO should ensure the grade JHs will be moderated at is correct on the PAR.
- RO should ensure LM details are correct.
- RO should ensure the dates recorded in the period of performance covered by the PAR are correctly entered.

#### Step 2

CSO:

- CSO should ensure the JH has been included in the right moderation panel.
- CSO should ensure the right number of assessments have been made.
- CSO should ensure PARs are completed on HRMS ahead of the 30 April 2016 deadline.

### **STAGE FIVE: Moderation**

#### Step 1

MP:

- The Moderation Panel should use the moderation panel information pack to check the agreed guided distribution has been achieved and that the outcome is fair and consistent.

MPC:

- MPC should chair the moderation panel.
- MPC should be accountable to the TLB Holders for meeting the guided distribution.
- MPC should facilitate the panel in reviewing evidence, identifying benchmarks / standards and agreeing ratings for JHs.
- MPC should ensure examples of JHs performance are presented in a consistent and objective way.
- MPC should ensure that discussion reaches a conclusion and a decision on the JHs rating is reached from the information available.
- MPC should ensure that all discussion adheres to the department's equality and diversity policy; all discussion should be objective and unbiased.
- MPC should ensure JHs receive consistent treatment.
- MPC should keep records of the panel discussion to support decisions taken.
- MPC should ensure that second PARs are considered if they are included.
- MPC should inform all CSOs of the Moderated Performance Rating after the panel has concluded.

Moderation Panel Members:

# Performance Appraisal Process - 2015/2016 - MOD Main

- Moderation Panel Members should fully prepare for the moderation panel and familiarise themselves with the PARs for the JHs for whom they are responsible.
- Moderation Panel Members should be objective towards all staff.
- Moderation Panel Members should take shared ownership of the final decision and provide JHs for whom they are responsible with appropriate feedback on the reasons for the performance rating collectively agreed by the panel.

## Step 2

### The Reporting Chain:

- LM/RO or CSO should meet with each of their JHs to inform them of their final performance rating and provide feedback.
- Regardless of JH's performance rating LMs/ROs or CSOs should agree, record and pursue development opportunities.
- Where a JH's final performance rating is a Box 3, line management should actively work with the JH to help them improve their performance using a **Performance Improvement Plan (PIP)**.

### MPC:

- The Moderation Panel Chair should ensure that final performance ratings have been submitted by 30 June 2016.



Performance Appraisal Process - 2015/2016 - MOD Main

- Introduction
- Policy
- Process
- Scope and Eligibility**

Scope:

In Scope:

Please note that the following grades fall within the MOD main pay system and are IN SCOPE. Exceptions are defined:

- Broader Banded: E2-B1 (Non-Industrials) all grades, excluding Defence Commercial Graduates (part of the Defence Commercial Graduate Programme - DCGP), Graduate Engineers/Scientists in JFC and Professors of Music
- Skill Zones: 1-4 (Industrials) all grades, excluding MOD Apprentices who have entered into an agreement with the department to undertake a Craft or Technical engineering apprenticeship (Skill Zone 3 grades) - NOT including Fast Track Apprentices (FTA)
- Retained Grades: Grades with their pay linked to MOD Main pay a grade covered by the MOD Main Pay Agreement which isn't a Broader Banded grade (see Performance Management 2015/2016: Eligibility for Retained Grades for further information)
- Veterans Agency; WPA Medical Advisor grade moderated at C1
- Outside Banding Structure: TUPE grades<sup>1</sup>
- Band B staff who have been on temporary promotion to SCS for less than 6 months

<sup>1</sup>Staff on TUPE transfer are subject to Performance Appraisal arrangements and moderation but would not be eligible to receive an end of year performance award (should one become available, depending on the outcome of pay negotiations).

Please note that the following types are not exempt and are IN SCOPE:

- Casual employees
- Part-time employees
- Fixed Term Appointments
- Staff in the Redeployment Pool
- Air Command employees working for and funded by US Visiting Forces
- MOD Employees on academic courses
- Other Government Departments' (OGD) employee on inward loan (on MOD terms and conditions)

Not In Scope:

Please note this policy covers only 'MOD Main' performance appraisal. The following groups are NOT IN SCOPE and have separate performance management arrangements which can be found under Performance Appraisal Process - 2015/2016.

- Senior Civil Service (SCS) staff
- Defence Equipment & Support (DE&S) staff
- Defence Commercial Graduates (part of the Defence Commercial Graduate Programme - DCGP) and Graduate Engineers / Scientists (DESG) in JFC
- Defence Fire and Rescue Service (DFRS)
- NHS Agenda for Change (AfC) Grades
- Civilian Medical Practitioners
- Civilian Dental Practitioners and Senior Dental Officers
- Civilian consultants, Associate Specialists & Speciality Doctors
- Ministry of Defence Police (MDP) Association of Chief Police Officers (ACPO) ranks
- Royal Fleet Auxiliary (RFA) staff
- MOD Teaching and Further Education Grades: Including Army Basic Skills tutors, Host Nation teachers, Ghurkha Faith Leaders, Youth staff and Cultural Subject advisors

Please note the following MOD Staff not on MOD Terms & Conditions and are therefore NOT IN SCOPE of the Performance Appraisal policy:

- Personnel on outward loan to OGDs or other bodies, e.g. NETMA (and who are not on MOD terms and conditions)
- Personnel on inward loan/seconded from Trading Funds / NATO / NETMA / Industry (and who are not on MOD Terms & Conditions).
- Locally Engaged Civilians (LECs)
- Contractors
- Temporary staff from agencies (Manpower substitutes)
- Exchange officers from overseas on inward loan
- Employed by MOD Trading Funds

Eligibility - Special Circumstances:

While it is expected that most JHs will be in scope and eligible to complete a PAR please see the below detailing cases of special circumstances.

If the Job Holder is / has	The following will apply ...
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Search the People Portal

Contact Us

Return to the People Portal Homepage

Online PAR 2015/16

Related Items

DINs and JSPs

JSP 747: Information Management Policy and Protocols

Forms

HR Form 140: MOD Mid Year Development Review Preparation Form

Useful Information

Appraise Performance 2015/16 - Frequently Asked Questions

Civil Service (CS) Competency Framework

Disability Toolkit

Guidance for using the MOD Main Online PAR Form on HRMS

How to: Conduct Performance Management End-of-Year Moderation

How To: Deal with Dips in Performance

How To: Hold Regular Performance Discussions

How To: Obtain and Share Constructive Feedback

How To: Set SMART Objectives

How To: Undertake Self Assessment

Instructions for accessing Performance Management E-learning using Google Chrome

MOD Moderation Panel Architecture 2015/2016

Performance Appraisal Process - 2015/2016 Assessment Guidance

Performance Appraisal Best Practice - 2015/2016

Performance Improvement Plan (PIP) Template and Guidance 2015/16

Performance Management 2015/16: Eligibility for Retained Grades

Supplementary Evidence  
Template 15-16

**People Services Links**

- Arrange, Record and Evaluate Training and Development Activities
- Create, Clone or Amend Post Skills Profiles
- Equality and Diversity
- Learning and Development
- Managing Poor Performance
- Mandatory Training
- Understand and Operate the Facilities Arrangements
- Internet and other MOD Link**
- Civil Service Learning (CSL) (www)
- Defence Academy of the United Kingdom (www)
- Diversity and Inclusion

A new entrant	If the new entrant meets the eligibility criteria then a PAR must be completed, submitted and included in moderation. If at the end of the reporting year the new entrant JH has held the post for less than 90 calendar days then the CSO/RO must raise a PAR to cover the period from the JH arriving in post to the end of the next reporting year (2016/17), typically covering a 12-15 month period. JH will be treated as a Box 2 for this reporting year (2015/16) and excluded from moderation.
Transferred to or from another government department (OGD) - on loan, secondment or permanent transfer	<p>If the JH keeps or moves on to MOD Terms and Conditions and meets the MOD's eligibility requirements a PAR should be completed and submitted. If a JH is no longer on MOD Terms and Conditions and meets eligibility for their new organisation then the new organisation's performance management arrangements should apply. JHs can receive only one non-consolidated performance award in any financial year and must therefore be considered by either the MOD or their host/home department. Where applicable, the loan/transfer agreement should be referred to.</p> <p>If moving to/from DE&amp;S, DSTL or any other OGD or trading fund you may ask an earlier PAR from your old department covering the majority of the performance year to be considered.</p>
Held multiple MOD posts in the reporting year	<p>If the JH meets the eligibility criteria for receiving a completed PAR for their performance in more than one post within the reporting year then the JH must have multiple PARs completed and submitted. If this is the case the Job Holder will be moderated in the business area linked to the most recent period of service (even if less time has been spent in this particular post). The Moderation panel chair is responsible for ensuring that all reports are fully taken into account at the moderation panel. This may require a conversation with previous CSO's prior to the panel meeting. Job Holders should not be disadvantaged because they have moved post in year.</p> <p>If a JH transfers to another post within the reporting year and has less than 90 calendar days in the more recent post then the completion and submission of a PAR for this particular post is optional. If a PAR is submitted for this most recent post then the JH will be moderated in the new business area.</p>
On Temporary Managed Progression (TMP)	If the JH meets the eligibility criteria a PAR must be completed, submitted and included in moderation. The JH must be assessed and moderated in the substantive (lower) grade, however the objectives set must accurately reflect the expectations of the higher grade and assessment must give due consideration to these augmented requirements.
On Long-term Temporary Promotion (LTTP)	A PAR must be completed, submitted and included in moderation. The JH must be assessed and moderated in the long-term temporary (higher) grade. If a JH is on LTTP then the business must be undertaking or seeking to undertake the required conversion, see <b>DIN (awaiting number)</b> .
Permanently left the department or due to finish on or before 31st March 2016	If the JH meets the eligibility criteria it is the CSO's responsibility to ensure that a PAR is completed, submitted and included in moderation. The JH will be eligible to receive an end of year performance award if applicable. This applies to all those leaving the Civil Service and includes: retirement (Normal or ill health), resignation, Voluntary Early Release Scheme (VERS) or dismissal; and would also include those that have left on TUPE transfer. If a Job Holder leaving the Department does not wish to engage in the process, their CSO is still responsible for ensuring a PAR is completed and submitted; PARs can be submitted without a JH assessment, although this is not encouraged.
Had a change in RO or CSO during the reporting year	If RO or CSO changes during the reporting year there is not a requirement to complete and submit a PAR at this point. The outgoing officer must discuss the JH's performance to date and transfer responsibility for managing performance to the new officer. If a new RO is not immediately in post then the CSO will need to assume the roles and responsibilities of the Reporting Officer temporarily. If a new CSO is not immediately available then roles and responsibilities should be subsumed up the line management chain temporarily.
Undergoing formal poor performance action [Under Managing Poor Performance (MPP)]	A PAR must be completed, submitted and included in moderation. Any JH who is subject to formal poor performance management action at the end of the reporting year will be given a Box 3. If a PAR is not completed it will not be included in moderation and will not form part of the bottom 5%, the JH will still be treated as a Box 3. If, however, a JH is in the 12 month sustained performance improvement period they must be assessed and moderated under the normal end of reporting year arrangements.
Had periods of absence relating to maternity/adoption leave, sickness, jury service or reservist commitment within the reporting year 2015/16	It is legitimate to exclude the JH from the requirement to complete a PAR if the 90 calendar day minimum requirement has not been possible due to sickness absence, long-term sickness or absence relating to maternity/adoption leave, jury service or reservist commitment. If, after these periods of absence have been accounted for, the JH still has 90 calendar days of performance to consider within the reporting year then a PAR must be completed, submitted and included in moderation. When assessing objectives the RO/CSO should measure the progress made during the period of the JH's attendance. Objectives must be reviewed

and/or adjusted on the JH's return to work. If the JH is absent at the end of the reporting year the RO/CSO must ensure that the JH is involved, as far as possible, in the performance assessment and PAR completion process in accordance with Keeping in Touch guidance.