

Executive Council Resolution No. (39) of 2018
Concerning the Performance Management System of
Employees of the Government of Dubai¹

We, Hamdan bin Mohammed bin Rashid Al Maktoum, Crown Prince of Dubai, Chairman of the Executive Council,

After perusal of:

Federal Law No. (6) of 2014 Concerning National Service and Reserve Service and its amendments;

Law No. (5) of 1995 Establishing the Department of Finance;

Law No. (3) of 2003 Establishing the Executive Council of the Emirate of Dubai;

Law No. (31) of 2009 Establishing the Dubai Government Human Resources Department and its amendments;

Law No. (1) of 2016 Concerning the Financial Regulations of the Government of Dubai;

Law No. (4) of 2018 Establishing the Financial Audit Authority;

Law No. (8) of 2018 Concerning Management of the Government of Dubai Human Resources;

Executive Council Resolution No. (13) of 2015 Concerning the Frameworks of Behavioural and Technical Competencies of Employees of the Government of Dubai; and

Executive Council Resolution No. (41) of 2015 Concerning the Central Grievances Committee of Employees of the Government of Dubai,

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¹Every effort has been made to produce an accurate and complete English version of this legislation. However, for the purpose of its interpretation and application, reference must be made to the original Arabic text. In case of conflict, the Arabic text will prevail.

Do hereby issue this Resolution.

Definitions

Article (1)

The following words and expressions, wherever mentioned in this Resolution, will have the meaning indicated opposite each of them unless the context implies otherwise:

Government:	The Government of Dubai.
Executive Council:	The Executive Council of the Emirate of Dubai.
Law:	Law No. (8) of 2018 Concerning Management of the Government of Dubai Human Resources.
Department:	Any of the Government departments; public agencies or corporations; or councils and authorities affiliated to the Government, which are subject to the Law.
DGHR:	The Dubai Government Human Resources Department.
System:	The performance management system of the Employees of the Government.
Procedural Manual:	The manual adopted by the DGHR which contains the set of procedures, steps, time frames, and forms that are required for implementation of the System.
Director General:	The director general of a Department, including an executive director, a chief executive officer, a secretary general, or any other person in a similar position.

Human Resources Directorate:	The Organisational Unit responsible for managing human resources within a Department.
Organisational Unit:	This includes any sector, directorate, division, section, or other similar unit within a Department.
Employee:	A male or female person who occupies a budgeted post in a Department.
Immediate Supervisor:	An Employee who undertakes direct supervision of the performance of the Employees of an Organisational Unit.
Reviewing Manager:	An Employee who supervises an Organisational Unit, and who is at a management level not lower than “head of directorate”.
Behavioural Competencies:	A set of essential measurable knowledge, skills, and behaviours that are required for delivering effective performance. This includes core and leadership competencies.
Performance Plan:	A document which includes the Individual Goals, Behavioural Competencies, Development Plans, and performance indicators that an Employee is required to achieve.
Development Plan:	A document which includes the development tasks and goals, and the training programmes, that are required for improving the competencies and skills of an Employee who obtains a poor performance rating.
Individual Goals:	The specific, measurable, and attainable targets that an Employee must achieve within a specific time frame, and based on which his performance is evaluated.
Moderation Committee:	A performance rating moderation and calibration committee formed within a Department pursuant to this Resolution.

Grievances and Complaints Committee: A committee formed pursuant to the Law to determine the grievances and complaints filed by the Employees of a Department.

Scope of Application

Article (2)

The provisions of this Resolution will apply to all Employees of Departments, except those appointed on a temporary basis.

Objectives of the System

Article (3)

The System aims to achieve the following objectives:

1. to increase the productivity and competitiveness of Departments in the course of performing their duties and functions, and to enhance the performance of Departments in a manner that ensures high efficiency and excellent performance of the Government.
2. to align Individual Goals with the strategic objectives of Departments;
3. to determine the method and rules for objective and fair measurement of Employees' performance by establishing the different phases of the performance management and appraisal process, and devising a clear methodology for recognising and supporting achievements;
4. to develop and improve Employees' performance by determining their development and training needs; and
5. to establish a clear and specific methodology that ensures recognising individual performance and excellence through an incentive and reward system.

Functions of the DGHR

Article (4)

For purposes of this Resolution, the DGHR will have the duties and powers to:

1. provide advice and required support to Departments on all matters related to implementation of the System;
2. follow up the implementation of the System by Departments;
3. issue and update the Procedural Manual and follow up its implementation;
4. measure and evaluate the impact of implementation of the System by Departments in order to improve and develop the System;
5. review the provisions of this Resolution on a regular basis, propose any necessary amendments thereto, and submit the same to the competent entities for approval; and
6. perform any other duties required for the achievement of the objectives of the System.

Obligations of Departments

Article (5)

A Department must:

1. develop and approve its strategic plan and the annual operational plans of its Organisational Units in line with the time frames allotted to the phases of implementation of the System;
2. ensure that the Individual Goals of each Employee are aligned with the strategic objectives of the Department;
3. at the beginning of each year, determine the guided distribution percentages of the annual performance ratings and provide the DGHR with these percentages and their supporting grounds;

4. comply with the Procedural Manual, including the time frames allotted to the phases of implementation of the System;
5. develop an incentive and reward system for recognising its Employees' outstanding achievements;
6. provide the Executive Council with annual reports containing the percentages of achievement of its strategic objective performance indicators; and
7. provide the DGHR with the data and information it requires in respect of implementation of the System.

Obligations of Human Resources Directorates

Article (6)

A Human Resources Directorate must:

1. follow up the implementation and execution of all phases of the System by the Department;
2. provide the Organisational Units of the Department with the forms required for implementation of the System;
3. provide the required technical support and training to the heads of the Organisational Units that are responsible for implementation of the System;
4. organise workshops to familiarise Employees with the System and to highlight its importance;
5. provide the Moderation Committee with performance ratings;
6. distribute the final approved performance ratings to the heads of Organisational Units;
7. align the outputs of the System with the main human resources systems and processes, such as the Manpower Planning System, Succession Planning, and other systems and processes;

8. approve the initiatives and programmes required for promoting a culture of excellence, innovation, and creativity amongst Employees of the Department; and
9. prepare reports on the implementation of the System and submit the same to the Director General in order to give the relevant directives as he deems appropriate.

Obligations of Immediate Supervisors

Article (7)

An Immediate Supervisor must:

1. comply with the time frames allotted to the phases of implementation of the System and its procedures;
2. develop, in collaboration with each Employee, the performance plan of that Employee. This plan must include the Employee's Individual Goals and Behavioural Competencies and their weights, and must be in line with the strategic objectives of the Department and the operational plan of the Organisational Unit of the Employee.
3. encourage Employees to cooperate with one another and strengthen their team spirit; instil in them the values and principles of fair and positive competition; and instil a culture of innovation and creativity in performing their employment duties;
4. follow up Employees' performance through ongoing mentoring and coaching throughout the year; and document the same in order to identify and address opportunities, challenges, and training and development needs in coordination with the Human Resources Directorate;
5. discuss performance ratings with Employees in an objective and transparent manner and document relevant discussions; and
6. assign the guided distribution percentages of performance ratings of the Employees of his Organisational Unit based on prescribed percentages.

Obligations of Employees

Article (8)

An Employee must:

1. actively participate in all phases of implementation of the System and comply with its procedures;
2. implement the agreed Performance Plan, and maintain all relevant evidence and documents;
3. develop and improve his performance based on the mentoring and coaching provided to him by his Immediate Supervisor; and
4. implement and comply with the approved training and Development Plans.

Performance Appraisal of Employees

Transferred within their Departments

Article (9)

- a. Prior to transferring an Employee to another Organisational Unit within his Department, his Immediate Supervisor must evaluate his performance, provided that the Employee completes at least three (3) months under the supervision of that Immediate Supervisor during the appraisal year.
- b. Where an Employee completes six (6) or more months of service during an appraisal year at the Organisational Unit to which he is transferred, his Immediate Supervisor at that Organisational Unit will evaluate his performance for the whole year taking into consideration his performance rating for the period he has served at the Organisational Unit from which he is transferred.
- c. Where an Employee is transferred more than once within an appraisal year for periods of at least three (3) months each, his performance rating will be the average of the ratings he receives for these periods.

**Performance Appraisal of Employees
Transferred to Other Departments**

Article (10)

- a. Where an Employee is transferred to another Department within an appraisal year, his Immediate Supervisor in the Department from which he is transferred will evaluate his performance for the period of the appraisal year he has served at that Department, provided that this period is not less than three (3) months. The Immediate Supervisor will send the performance rating to the Department to which the Employee is transferred no later than ten (10) working days from the date of the transfer.
- b. The Immediate Supervisor in the Department to which the Employee is transferred must develop a new Performance Plan for the transferred Employee within twenty (20) working days from the date on which the Employee commences work, and must evaluate his performance based on that plan.

Performance Appraisal of Seconded Employees

Article (11)

The entity to which an Employee is seconded will evaluate his performance for the period of secondment, and will provide the seconding Department with a copy of the performance appraisal report at the end of the appraisal year.

**Performance Appraisal of Employees Assigned the Duties of
Other Posts within their Departments**

Article (12)

- a. Where an Employee is assigned the duties of another post to the exclusion of his original duties for a period exceeding three (3) months, the Immediate Supervisor of this post will evaluate his performance for that period.

- b. Where an Employee is assigned the duties of another post in addition to his original duties, the Immediate Supervisor of his original post will, in coordination with the Immediate Supervisor of that other post, evaluate his performance, regardless of the duration of the assignment.

**Performance Appraisal of Employees Assigned the Duties of
Posts in Other Departments**

Article (13)

- a. Where an Employee is assigned the duties of a post in another Department to the exclusion of his original duties, the host Department will evaluate his performance for the assignment period, and will provide his original Department with a copy of the performance appraisal within one (1) month from the expiry of the assignment period.
- b. Where an Employee is assigned the duties of a post in another Department in addition to his original duties, his original Department will, in coordination with the host Department, evaluate his performance.

Performance Appraisal of Employees on Probation

Article (14)

The performance of an Employee on probation will be evaluated by his Immediate Supervisor. Throughout the probation period, the Employee will be mentored to enable him to identify his strengths and development areas. Where the Employee is confirmed in the post, the appraisal of his performance during the probation period, based on the Performance Plan, will count towards the annual performance appraisal cycle.

Phases of the System

Article (15)

The System will comprise the following phases:

1. performance planning phase;
2. periodic review phase;
3. appraisal phase;
4. calibration and percentage adjustment phase; and
5. reward and recognition phase.

Performance Planning Phase

Article (16)

For purposes of evaluating the performance of an Employee and the actual discharge of his employment duties, the Immediate Supervisor must develop a Performance Plan for the Employee in accordance with the Procedural Manual.

Periodic Review Phase

Article (17)

- a. This phase aims at ensuring that the Immediate Supervisor reviews and follows up the performance of his Employees for the purposes of assessing and determining targeted achievement percentages. The phase includes:
 1. conducting a preliminary self-appraisal by the Employee, and providing any relevant supporting documents;
 2. reviewing the goal achievement percentages and the targeted proficiency levels of the Behavioural Competencies; and
 3. modifying the Performance Plan in collaboration with the Employee, where required.
- b. The performance rating of an Employee at this phase will count towards his final performance rating.

Appraisal Phase

Article (18)

This phase aims at reviewing and evaluating Employees' performance throughout the year. The Procedural Manual will determine the rules and procedures of this phase.

Performance Rating Scale

Article (19)

Employees' performance will be evaluated as per the following rating scale and scores:

Rating Scale	Score
Substantially Exceeds Expectations	(5)
Exceeds Expectations	(4)
Meets Expectations	(3)
Meets Most Expectations	(2)
Fails to Meet Expectations	(1)

Guided Distribution Percentages of Performance Ratings

Article (20)

- a. The following must be taken into consideration in determining the guided distribution percentages of performance ratings:
 1. the normal distribution performance curve, as prescribed in the Procedural Manual;
 2. the operational and organisational nature of the Department; and

3. the targeted strategic objectives and indicators.
- b. By the end of March of the year following the appraisal year, a Department must provide the DGHR with a detailed report containing the approved guided distribution percentages of performance ratings based on the organisational key performance indicator results that are aligned with the Strategic Plan approved by the Executive Council.
 - c. The DGHR will review the report referred to in paragraph (b) of this Article and submit the necessary recommendations on this report to the Executive Council based on the following indicators:
 1. percentages of achievement of the approved targeted organisational performance indicators;
 2. percentages of execution and implementation of the approved initiatives and programmes of the Dubai Strategic Plan;
 3. the audit findings reported by the Financial Audit Authority;
 4. levels of compliance with Government budgets, as determined in coordination with the Department of Finance; and
 5. any other relevant indicators approved by the Government.

Calibration and Percentage Adjustment Phase

Article (21)

In this phase, the annual performance ratings of Organisational Units will be moderated taking into consideration the nature of their work, their performance, and the percentages of achievement of their organisational performance indicators. These annual performance ratings must not exceed the approved guided distribution percentages of performance ratings.

Moderation Committee

Article (22)

- a. A committee named the “Performance Rating Moderation and Calibration Committee” will be formed in each Department pursuant to a resolution of its Director General. The Moderation Committee will be comprised of a chairman, a vice chairman, and three (3) members, one of whom must be a representative from the Human Resources Directorate.
- b. The Moderation Committee will:
 1. monitor the performance rating guided distribution percentages adjustment;
 2. review the overall performance ratings of all Organisational Units, and discuss the same with the heads of these units. The Moderation Committee may request from the heads of Organisational Units any data related to the performance ratings of their Employees; and
 3. assign the guided distribution percentages of performance ratings to Organisational Units.
- c. The Moderation Committee will issue resolutions approving the final performance ratings by majority vote of its members.

Reward and Recognition Phase

Article (23)

A Department may, in accordance with its approved cash and non-cash incentives system, recognise and reward a distinguished Employee to motivate and encourage him to pursue achievements. The Procedural Manual must prescribe the provisions governing this phase.

Management of Poor Performance

Article (24)

Without prejudice to the provisions of the Law, the Procedural Manual will prescribe the procedures that must be followed by a Department where an Employee obtains a “Fails to Meet Expectations” rating.

Grievances against Performance Ratings

Article (25)

- a. An Immediate Supervisor must discuss with the concerned Employee his performance rating within ten (10) working days from the date on which the Employee is notified in writing of that rating, and must resolve any issues that may arise in this respect.
- b. If the Employee is not satisfied with his annual performance rating, he may submit a grievance against that rating as per the following order:
 1. The Employee may, within two (2) working days from expiry of the period stated in paragraph (a) of this Article, submit his grievance in writing to the Reviewing Manager. The Reviewing Manager must determine the grievance within five (5) working days from the date of its submission, or from the date on which that Reviewing Manager reports back to work if he is on official leave in accordance with the provisions of the Law. Where the Reviewing Manager is absent from work for more than twenty-one (21) working days from the date of submission of the grievance, the grievance will be determined by his substitute.
 2. The Employee may submit a written grievance to the Grievances and Complaints Committee within five (5) working days from the date of being notified in writing of the decision on the grievance he filed with the Reviewing Manager, or upon the lapse of seven (7) working days from the date of its submission without determination or from the date on which the grievance should have been determined as per paragraph (b)(1) of this Article, otherwise the decision taken by the Reviewing Manager in this respect will be deemed final.

3. The Employee may, within fourteen (14) working days from the date on which he is notified in writing of the decision of the Grievances and Complaints Committee regarding his performance rating, or after the lapse of thirty (30) days from the date of submitting the grievance to it without determination, submit to the Central Grievances Committee of Employees of the Government of Dubai a written grievance against the decision of the Grievances and Complaints Committee.

Absence of Employees during Appraisal Year

Article (26)

- a. Where an Employee fails to report to work for a valid reason for a period exceeding six (6) months in an appraisal year, he will not undergo an actual performance appraisal, but will be awarded a “Meets Expectations” rating for that appraisal year. This rating will count towards the guided distribution percentages of the performance ratings of his Department.
- b. An Employee who joins the National Service or the Reserve Service will be awarded a “Meets Expectations” rating except where he is awarded a higher performance rating for the year preceding his joining of the National Service or the Reserve Service, in which case he will be awarded the same rating.

Issuing Implementing Resolutions

Article (27)

The Director General of the DGHR will issue the resolutions required for the implementation of this Resolution.

Commencement and Publication

Article (28)

This Resolution comes into force on 1 January 2019, and will be published in the Official Gazette.

Hamdan bin Mohammed bin Rashid Al Maktoum

Crown Prince of Dubai

Chairman of the Executive Council

Issued in Dubai on 30 September 2018

Corresponding to 20 Muharram 1440 A.H.