



# Framework for Moderation of the Specialists

National Centre for Hydrology and Meteorology  
Royal Government of Bhutan  
September 2022

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## 1. Background

In line with recent directives from the RCSC vide RCSC/LD-63/2022/5100 dated 2 August 2022, the RCSC has done away with the culture of proxy rating for the Specialist and the Management categories. All the P1 Specialist and Executive Specialist are made mandatory to be moderated in the agency as per the Agency Categorization Framework. This framework shall be used as a guide to strategize and facilitate the smooth conduct of moderation exercises for the specialist group (ES and P1) in a fair and transparent manner ensuring proper accountability and transparency. This framework was prepared and presented to the Centre's Management and was endorsed during the 107<sup>th</sup> Human Resources Meeting held on 31st August 2022.

## 2. Specialist Moderation Exercise

The moderation exercise under this framework is the ranking of P1 Specialist and Executive Specialist of the Centre into different performing categories; *Outstanding, Very Good, Good and Need Improvement* based on the Agency Categorization Framework (ACF).

The employees under the Specialist category shall form a separate moderation pool to be moderated apart from the regular pool of P2 and below employees.

The moderation for the specialist shall be carried out in two phases; pre-moderation and main moderation.

### 2.1. Pre-Moderation Exercise

The pre-moderation will be the first step in the moderation process. The pre-moderation shall facilitate the participation of full-fledged Division heads who are not eligible to represent during the main moderation to provide justifications and surface the names of the performing specialist (direct reports) to the moderation committee.

The moderation committee will come together to decide on the areas of assessments as per Section 11 of this framework.

To ensure transparency of the moderation exercise, the moderation criteria decided during the pre-moderation should be shared with the specialist moderation pool before the conduct of the main moderation exercise.

### 2.2. Main Moderation Exercise

The main/actual moderation will be convened based on the assessment criteria and documents agreed upon during the pre-moderation.



The committee must deliberate on the activities and achievement of the individual specialists against the area of assessments and rank the specialists into different performing categories based on ACF and specialist distribution on the bell curve.

For the distribution of specialists on the bell curve, the rounding off matrix as per Section 8 of this framework should be used.

The moderation committee shall ensure that moderation is conducted in fair and transparent manner and duly sign the finalise results and declare as per the scheduled time frame.

### 3. Agency Categorization Framework

The ACF will be the basis for categorising specialists into different performing categories. ACF will use scores of the Annual Performance Agreement (APA) for the distribution of numbers of specialists into different performing groups. For the purpose of ranking employees under specialist group, the following ACF matrix from the Max Manual (II edition) July 2020 shall be used;

Agency Category	APA Score (%)	Outstanding	Very Good	Good	Need Improvement
Category 1	95-100	3%	17%	80%	0%
Category 2	85-94.99	2%	16%	81%	1%
Category 3	70-84.99	1%	15%	82.50%	2%
Category 4	<=69.99	0%	14%	84%	3%

The moderation committee for the specialist shall have the authority to put a lesser number of specialists in the assigned quota for Outstanding and more numbers of specialists in the Need Improvement category based on the performance.

In the event, if the moderation committee fails to identify required numbers of specialists under Need Improvement as per the assigned quota derived from ACF/APA score, the committee members shall be assigned with Need Improvement as their proxy rating.

### 4. Performance Evaluation of the Specialist

There shall be no proxy rating for the specialist who are staff under the Division, Centre or heading the Divisions as Officiating Chief.

The performance of the evaluation of the PI Specialist under the Divisions shall be evaluated by the immediate supervisor/Division head and Executive Specialist by the head of the Centre.



However, the P1 Specialist serving as officiating head shall be evaluated by the head of the Centre.

The performance of the Specialist shall be evaluated against the target achieved for three roles of the specialist (Strategic partner, technical advisor and researcher) and including additional management roles for those specialists serving as officiating head of the Divisions.

#### **5. Performance Rating of Specialist on Secondment, Long-term Training, Maternity Leave, Extra-ordinary Leave, Medical Leave, Transfers and Separations**

The performance rating for the Specialists on secondment, LTT, maternity leave, EoL, medical leave, transfers and separations shall be as per the provisions of Section 2.4 of the Max Manual (Edition II), July 2020.

#### **6. Composition of Specialist Moderation Committee**

The composition of the Specialist Moderation Committee of the Centre has no requirement of the minimum quorum and shall be as follows;

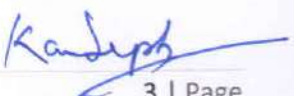
Profile of the Moderation Pool	Composition of Committee	
	Chairperson/Member	Member Secretary
P1 Specialist and Executive Specialist (P1 & ES3-ES1)	Director/HoA	Head of HRS

The Head of the Agency supported by HR services shall carry out the moderation exercise for the specialist category.

#### **7. Pre-requisite for Specialist Moderation Exercise**

To carry out moderation exercise, the following pre-requisites have to be completed;

- 7.1. The Centre should have received the final APA assessment report for the particular reporting year endorsed by the GMPD and the relevant authorities.
- 7.2. The evaluation of the online performance appraisal form (IWP) should be completed before the moderation.
- 7.3. Moderation criteria should be developed and shared before the conduct of the moderation to all the specialists to ensure transparency of the moderation processes.
- 7.4. The numbers of specialists to be moderated must be compiled as per the Employee Distribution Form (*Form 1 of Max Manual-II Edition*) based on the ACF and the APA score of the Centre. The inclusion and exclusion of the employees under the Specialist category in the moderation pool will be as detailed in the table below;



Inclusion in the Moderation Pool		Exclusion in the Moderation Pool	
1	Served Centre for particular appraisal period including those on contract	1	On any types of leave for entire appraisal period
2	Joined Centre on transfer during the appraisal period irrespective of the duration	2	Those transferred to HMS and on secondment for entire appraisal period
3	Joined and left the Centre for EoL during the appraisal period irrespective of the duration	3	Joined from transfer after completion of the particular appraisal period
4	Joined or left Centre for medical leave, LTT and secondment during the appraisal period after serving 6 months and above	4	Specialist on contract with less than 12 months of contract period

## 8. Distribution and Determination of Number of Specialists on the Bell Curve

The ACF will determine the quota assigned to various performance categories based on the APA score of the Centre and further cascading to individual specialists in the pool. The numbers of specialists in different performance categories will be determined with the due process of the following rounding off matrix;

Performance Category of the Centre	Rounding-Off Matrix			
	OS	VG	G	NI
Category 1	1st	2nd	Rest in G	
Category 2	1st	3rd	Rest in G	2nd
Category 3	1st	Rest in VG	3rd	2nd
Category 4		Rest in VG	2nd	1st

## 9. Roles of the Specialist Moderation Committee

The overall roles and responsibilities of the Specialist Moderation Committee Members are to ensure smooth conduct of the moderation exercise through fair and transparent manner.

### 9.1. Chairperson/Member

For the objective assessment of the specialist, the chairperson shall ensure the following responsibilities;

- Maintain order and fairness throughout the moderation exercise;
- Appoint member secretary to the moderation committee, in absence of HR Officer
- Ensure that all relevant considerations in the moderation processes are strictly adhered
- Attend the final call to resolve the gridlocks, if any
- Ensure declaration and management of the conflicts

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- f. Prepare and collate the performance report and evidence for those direct reporting specialists to justify the proposed rating;
- g. Communicate the moderation result individually as per the scheduled deadline;

## **9.2. Member Secretary**

The member secretary shall be responsible for the following tasks;

- a. Maintain records/minutes of the discussions
- b. Compiled the final moderation results duly signed by all the committee members and submitted to HRS for update and records.

## **10. Role of the Secretariat, Human Resource Services**

The HRS shall be responsible for carrying out all the secretarial works for the conduct of the moderation and updating the moderation ratings in the ZEST.

## **11. Suggested Criteria for Moderation of the Specialist**

To ensure fair conduct of the moderation, the following criteria are recommended to be considered but not limited to it, to assign specialists into different performing categories.

- a. Targets achieved in IWP against the roles of specialist including management role
- b. Degree of impact upon the core mandates of the Centre: *contribution of the individual specialist towards achieving core mandates of the Centre*
- c. Manner in which the performance targets were fulfilled; *qualitative aspects of the performance vetted in terms Leadership and Management Competency Framework (LMCF)/Competency Behaviour (CB)*
- d. Potential of the specialist to shoulder higher responsibilities
- e. Critical ad-hoc activities

All assessments of the specialist to categorise into different performance categories should be confined to the particular appraisal period except for the potential of the specialist should be made considering of the past performance as well.

## **12. Declaration of Moderation Result and Update in HR system**

The moderation committee/Chairperson shall communicate the moderation result to the respective specialist within 3 working days after completion of the main moderation exercise.

The results shall be declared on the same date to observe the uniform appeal period.

The HRS shall update the moderation score in the HR system after completion of the appeal period.

  
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The respective supervisor and subordinate shall draw a performance improvement plan for those individuals rated under 'need improvement' and submit to HRS for appropriate HR interventions as per Chapter 4 of Max Manual (Edition II) July 2022.

### **13. Appeal Procedure**

The specialist who is not satisfied with the decision of the moderation committee can submit and to HRS supported by adequate additional evidence of injustice.

The aggrieved specialist should submit an appeal if any, within 10 working days from the date of declaration of the result

The HRS shall compile the appeal and forward it to RCSC.

### **14. Revision and Commencement**

Framework will be reviewed as and when there are changes in the performance management system (MaX).

This framework shall come into effect from 1 September 2022.

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**Human Resource Services**  
**National Centre for Hydrology and Meteorology**  
**Royal Government of Bhutan**  
**September 2022**