

HR.SOP.III.008
Probation Extension due to
unsatisfactory performance
(with change to WIGI due
date)
HRD/HPJ

HR Standard Operating Procedure
Target Audience: All Staff

DISCLAIMER

Standard Operating Procedures (SOPs) provide a step-by-step guide for staff directly involved in the processing of administrative actions to support and facilitate the implementation of WHO policies and procedures. The SOPs are for guidance only; they are neither authoritative nor binding. The SOPs reflect the policies and procedures of WHO at the time of writing; however, policies and procedures change from time-to-time. In the case of a conflict between the SOPs and the WHO eManual provisions, the WHO eManual provisions take precedence.

DOCUMENT SPECIFICATIONS

Version	Date of revision	Author (s) / Dept / Unit	Approver	Indicate which section changed compared to previous version
1.0	2010			Version 1.0 published in HR eManual 2010
1.1	13.07.2012	W. Fallon, HRD/PML		Updated and validated for ePMDS process
1.2	13.07.2012	S. Ragupathi, GSC/GHR		Inclusion of GHR back office processes
1.3	16.07.2012	J.M.		Inserted VISIO and definitions
1.4	10.12.2012	S.E. Amaudruz		Final review by HR technical unit
2.0	11.12.2012		S.E. Amaudruz, HRD/HPJ M. Altmaier, Director, HRD	Approved for publication in eManual.

1. INTRODUCTION

1.1. Overview/Description

This Standard Operating Procedure explains the process related to extending a staff member's probationary period due to documented unsatisfactory service. All fixed-term staff appointments are subject to a minimum of twelve months' probation from the start date of the fixed-term appointment. The probationary period may be extended up to a maximum period of 12 months (see eManual III.5.2 Performance appraisal). The supervisors make their recommendation to extend the probation and to withhold the within grade increase (WIGI). Withholding of WIGI due to unsatisfactory performance impacts the WIGI due date whereas the deferral of the WIGI decision will have no impact on WIGI due date (see HR.SOP.III.007 Probation Extension with no change to WIGI due date).

1.2. General Guidance / Business Rules

The staff member and first and second level supervisors must have completed the Performance Management Appraisal through the e-PMDS system (e-work), normally at latest 3 months prior to the end of the probationary period. The timing is indicative in order to ensure the full process to review the staff member's performance with the staff member, discuss the proposed decision with the second level supervisor, and inform the staff member verbally of the decision that it is proposed to withhold the WIGI. Where the 1st and 2nd level supervisors agree that they are unable to confirm the staff member's appointment due to performance issues, the probationary period may be extended to permit the staff member to improve performance. An improvement plan with clear measurable objectives in collaboration with the staff member must be established. Alternatively a decision can be made to separate the staff member with one month's notice in accordance with Staff Rule 1060.

A decision to extend the probationary period and/or withhold the WIGI is approved by the Assistant-Director General for staff members at Headquarters at grade D.1/P6 and below; the Regional Director for all regional staff members at D.1/P.6 level and below (except WHO Representatives, and by the Director General for all staff at D.2 level and above as well as WHO Representatives.

Where the probationary period has been extended a new Probationary Appraisal Report must be completed before the extension period ends.

1.3. Reference Material

1.3.1. Staff Rules

- 530 Performance Management and Development
- 540 End of Probation
- 550 Within Grade Increase
- 1083 Notice of termination
- 1060 Non-Confirmation of Appointment

1.3.2. WHO eManual

- III.5. Performance and Change of Status
- III.5.2 Supervision
- III.5.2 Performance appraisal
- III.5.4 Within-grade increase
- III.5.5 Unsatisfactory performance
- III.5.17 Conversion of temporary appointments to fixed-term appointments
- III.10 Separation from Service
- III.10.12 Non-confirmation of probationary fixed-term appointment

1.3.3. UPKs

- Personal Information and My Family Members/5.090 Personal and Assignment Details (Staff Member)
- Allowances and Benefits/Global Entitlements/Change in Step (WIGI) / 5.141 Manager Approves WIGI

1.3.4. Related SOP's

- HR.SOP.III.007 Probation Extension – no change in WIGI due date
- HR.SOP.III. 117 Separation due to non-confirmation of appointment

1.4. Other

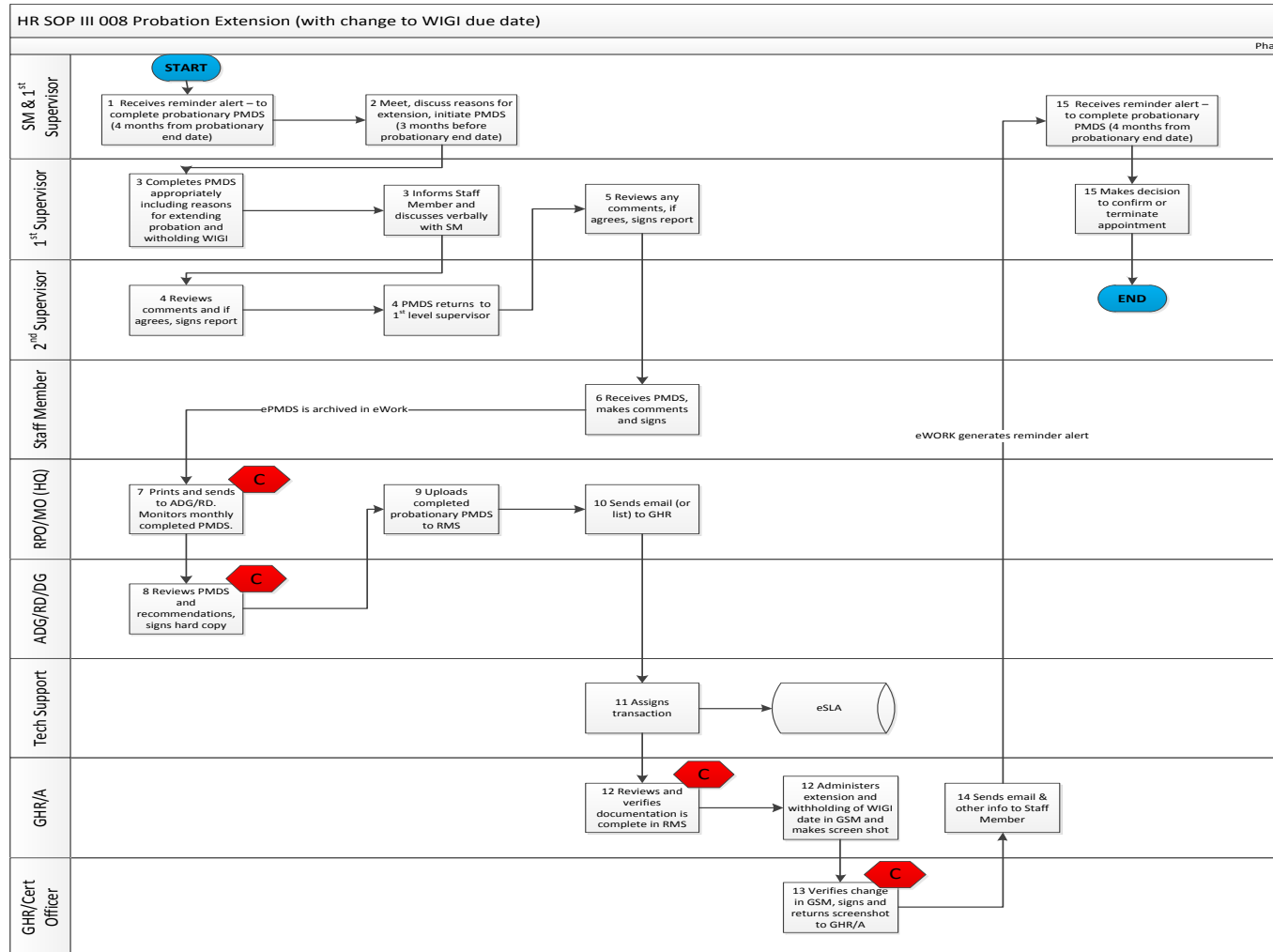
1.4.1. Reference

- 1.4.1.1. PML Intranet Site – guidance on performance appraisals and completion of ePMDS

1.4.2. Definitions

- RD Regional Director
- ADG Assistant Director General
- RPO Regional Personnel Officer
- MO Management Office
- HQ Headquarters
- GHR Global Human Resources
- WIGI Within-grade increase
- PMDS Performance Management and Development System
- SM Staff Member

2. PROCESS FLOW



3. PROCESS STEPS

Step	Control (C)	Type	Process	Role / Responsibility
1	C	e-PMDS	Receives 4 months prior to the probationary end date an electronic email alert informing of requirement to complete Probationary Performance Appraisal Report (ePMDS) for staff member concerned.	Staff member & 1 st level Supervisor
2		e-PMDS	<p>At least 3 months before probationary period ends</p> <ul style="list-style-type: none"> Supervisor and staff member meet, discuss the performance during the probationary period and the reasons relating to the need for extension. Initiates the Probationary PMDS through eWork <p><i>The timing is indicative in order to ensure the full process to confirm (or otherwise) is duly completed at the latest 2 months prior to end of probationary period.</i></p>	Staff member & 1 st level Supervisor
3		e-PMDS	<p>Completes e-PMDS as indicating :</p> <ul style="list-style-type: none"> (i) the option to extend probationary period and to withhold the WIGI for this period; and (ii) the period (up to 12 months) for which the probationary period will be extended; (iii) The reasons for withholding the WIGI should also be indicated on the PMDS probationary page; <p>the staff member is informed and can view the PMDS during each step until the second level supervisor signs.</p>	1 st level Supervisor

			All decisions should be verbally discussed with the staff member concerned throughout the process.	
4		e-PMDS	Second level supervisor reviews comments from 1 st level and if he/she agrees with proposal to withhold the WIGI, signs as approved. Returns form to 1 st level supervisor.	2 nd level supervisor
5		e-PMDS	Second level supervisor reviews comments from 1 st level and if he/she agrees with proposal to withhold the WIGI, signs to approve.	2 nd level supervisor
6		e-PMDS	ePMDS is returned to staff for final comments and signature. The electronic ePMDS is archived in eWork.	Staff member
7	C	Offline	Prints completed Probationary PMDS and sends recommendation to ADG/RD at least two months before the probationary period ends for review and confirmation of withholding WIGI decision. Monitors on a monthly basis the completion of ePMDS and probationary ePMDS.	RPO/Management Office (HQ)
8	C	Offline	ADG/RD/DG reviews the probationary ePMDS recommendation and takes the decision to extend the probationary period and withhold the WIGI based on the recommendations of the 1 st and 2 nd level supervisors. Signs the hard copy of the Probationary ePMDS. May take a different decision if considered appropriate.	ADG/RD/DG
9		RMS input	Uploads completed probationary PMDS in the staff member's file in RMS respecting naming convention :- S012345 PMDS Probationary Extension Date.	RPO/ Management Office (HQ)

10		Offline	Sends e-mail (or list) to gschrservices@who.int with subject line Extension of Probationary Appointment, attaching the RMS link(s) to the completed PMDS.	RPO/ Management Office (HQ)
11		Offline	Assigns the transaction to GHR Administrator and creates eSLA	Technical Support Team
12	(C)	GSM input	<p>Reviews request, verify documentation is complete in RMS, administers the extended probation – Performance Reasons in GSM;</p> <p>(i) Verifies documentation is complete in RMS, and if in order;</p> <p>(ii) Amends probation end date in system as per PMDS decision and records decision to extend probationary period;</p> <p>(iii) Inserts Reason for Change in Status field;</p> <p>(iv) Amends the WIGI History to reflect withholding of WIGI for specific number of months.</p> <p>Updates the HRMS data base by following these steps in GSM:</p> <ol style="list-style-type: none"> 1. Click on HR Administrator GSC responsibility. 2. Click on People : Enter and Maintain function. 3. Enter the appropriate value either in the Full Name field or Employee Number field. 4. Click Find button. 5. Select the staff member's name if you had chosen the full name field and click OK button. 6. Click on Assignment tab. 7. Click on Probation and Notice Period tab to check the end date of the probation. 8. Date track to the effective date of the extended probation start date, which is the day after the end of the ongoing probation end date as recorded in GSM. 	GHR Administrator

		<p>-To date track, click on the 'Alter Effective Date' icon on the toolbar.</p> <p>- Click on the List of Values (LOVs), which is represented by three dots (...) to make available a calendar.</p> <p>- Select the appropriate date, for example "21-NOV-2009". Click on the OK button.</p> <p>9. Go to the DFF (Descriptive Flex Field). A window called 'Additional Assignment Details' will appear. Scroll down to the 'Probation Status'. Click on the List of Values (LOVs). Select 'Extended Probation' and click OK.</p> <p>10. A pop-up screen 'Choose an Option' will appear. Click on 'Update' button.</p> <p>11. Go to the 'Miscellaneous' tab. You can find this by clicking the right arrow button in the middle right part of the screen.</p> <p>12. Go to the field 'Reason' and click on the LOVs. In the 'Find' field, type "%Extended%" and click 'Find' button.</p> <p>13. Select 'Extended Probation – Performance Reasons' from the list of values.</p> <p>14. Click on OK button.</p> <p>15. Click on Save icon in the toolbar.</p> <p>16. Check that the changes made have been captured in GSM:- go back to query the staff member's record by following steps 1 to 6 above. Then click on 'Assignment' tab, and click on the DFF and review if the probation status has been changed to 'Extended Probation' with correct End Date.</p> <p>If the Manager makes a decision in the PMDS to withhold the WIGI up to 12 months :</p> <p>Creates a new WIGI History by performing following steps:</p> <p>Go to People Screen Click Special Info (SIT) Tab</p>	
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			<p>Click F11 and Query for %WIGI%History%</p> <p>Click Control F11</p> <p>Complete the Fields shown below to create a new WIGI History Record:</p> <p>Approval Status: Select LOV "Withhold for ___ months due to unsatisfactory performance"</p> <p>Type of WIGI: Select LOV: Within Grade Step Increase</p> <p>Effective Date of WIGI: Enter the original WIGI Due date after initial 12 months probation</p> <p>Number of Steps: Enter 1 to indicate number of steps to be granted</p> <p>Within Grade: Enter Grade of s/m, e.g. P4</p> <p>Current Step: Enter current step, e.g., 1</p> <p>New Step: Enter new step, e.g., 2</p> <p>Duty Station: Select from LOV the duty station, e.g., Geneva</p> <p>Total months previously deferred: 0 (if previously deferred change this)</p> <p>Total months previously withheld: 0 (if previously withheld change this)</p> <p>Approved by: Indicate name of approving authority</p> <p>Date of Approval: Indicate the date of implementation in GSM</p> <p>Save the record</p> <p>Submit Screenshot to the Certifying Officer</p>	
13	(C)	Offline	Verifies change in GSM, approves action and returns to GHR Administrator	Certifying Officer
14		Offline	<p>Sends standard email to staff member attaching copy of scanned PMDS to notify probation extension – Performance Reasons and withholding of WIGI for ___ months has been implemented.</p> <p>Inform staff member to run Personal and Assignment details report to see</p>	GHR Administrator

			extended Probationary period.	
15		e-PMDS	<p>Receives an electronic email alert 4 months prior to the extended probationary end date informing of requirement to complete Probationary Performance Appraisal Report (ePMDS) for extended probationary period.</p> <p>Supervisor initiates & takes decision to :</p> <p>(i) confirm appointment (HR.SOP.III.006)</p> <p>(ii) terminate due to non-confirmation of appointment (HR.SOP.III.117)</p>	Staff member & 1 st level Supervisor

4. KEY RISKS & COMPENSATING CONTROLS

Risks	Compensating Controls	Process Step
Overpayment, Data Error and contravention of WHO Staff Rules if a staff member’s probation period is not extended or not correctly extended in a timely manner.	GHR Administrator and Certifying Officer review and approve after verifying the PMDS remarks and GSM system Administration of extended probation.	Step 12, 13
Retention of underperforming or staff unsuitable for international civil service due to non or late completion of the probationary PMDS reports during the maximum period of 24 months probation.	<p>Fixed term staff members and their supervisors receive automated messages/notifications from e PMDS to complete the probationary PMDS well in advance of the end of the probationary period.</p> <p>Management Offices and Regional Personnel Offices monitor compliance on PMDS and probationary PMDS and remind Managers and staff members to complete the process in good time.</p>	Steps 3 & 7

<p>Increased financial costs if recommendation for extension is not received before end of 12 month probationary period:-</p> <ul style="list-style-type: none"> • Staff rule obligation requiring an extension of the appointment beyond initial 12 month period if probationary decision on confirmation not received before end of probationary period; • Staff member’s whose probationary period is not extended within the maximum 24-month period become by default “confirmed” fixed term staff members. Therefore, the notice period to separate the staff member increases to three months’ notice. 	<p>Fixed term staff members and their supervisors receive automated messages/notifications from e PMDS to complete the probationary PMDS well in advance of the end of the probationary period.</p> <p>Management Office (HQ)/RPOs monitor on a monthly basis the end of probationary periods and take appropriate follow-up action with the Supervisors.</p> <p>In addition, the automated process for within-grade increases, sends advance electronic messages to both the staff member and supervisor 2 months prior to the due date of a staff member’s first within-grade increase, reminding the WIGI is due but the approval process cannot be initiated because the staff member’s status is “probationary” and requesting completion of the process. Automated monthly reports are generated and sent to all RPOs and MOs and GHR for monitoring purposes.</p>	<p>Steps 1 & 15</p> <p>Step 7</p> <p>HR.SOP.III.025 Change in Step (WIGI)</p>
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