

PN-ABM-902

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**PERSONNEL MANAGEMENT IN THE  
CENTRE FOR AFRICAN FAMILY STUDIES -  
- DESIGNING A PERFORMANCE APPRAISAL  
SYSTEM AND A NEW SUPERVISION  
PROCEDURE FOR CAFS**

**APRIL 3-14, 1992**

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**FAMILY PLANNING MANAGEMENT DEVELOPMENT**

**Project No.: 936-3055  
Contract No.: DPE-3055-Q-00-0052-00  
Task Order No.: TAP-89-AF**

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## EXECUTIVE SUMMARY

This consultancy is a continuation of earlier work undertaken to assist CAFS in a program of activities which was specified by a MSH needs assessment team in May 1991, and aimed at strengthening the personnel management systems of CAFS. The main item in this program, producing a Staff Handbook, has been completed and the draft is awaiting board approval. A new method of managing promotion and careers in CAFS has already been proposed. This consultancy provided assistance in the design of an Annual Performance Appraisal and Staff Development System and a new supervision procedure for CAFS. The only remaining item in the program is the design of a procedure for allocating resources to individual staff development and training needs, i.e. choosing who is to be selected for what courses and events.

The staff Performance Appraisal System is designed so that:

- a) its purpose and uses are clear and explicit.
- b) it can be consistently applied between staff and over a period of time.
- c) it covers meaningful aspects of staff performance in relation to CAFS work.
- d) the staff appraisals are discussed thoroughly between the appraiser and the appraisee, and both sign the appraisal document. If absolutely necessary, it may contain divergent views on particular items.
- e) it is easy to complete.
- f) it is easy to use, e.g. the numerical scores of performance are readily comprehensible.

For convenience, the appraisal interview is extended to cover the identification of staff development and training needs in the same procedure. An appraisal and training needs form and instructions for its use are in Annex 1.

The proposed new supervision procedure is designed to bridge the gap between the current day-to-day contacts, operational issues and problems, and the Annual Performance Appraisal System. Quarterly meetings between supervisors and their staff are based on a few simple rules:

- a) the meetings discuss work only, not personal issues between the staff member and CAFS;
- b) the meetings focus on how the work can be done better, more quickly, or more efficiently;
- c) the meetings are positive and consider only what encouragement, help or support the staff member may need to undertake the planned work; during these meetings negative comments, judgements and evaluations are not allowed.

These meetings result in an agreed-upon set of targets or commitments for both the supervisee and the supervisor and are aimed at improving overall performance. They are concerned only with the work and its progress, and are for the specific purpose of getting the work of CAFS done more efficiently by supporting and encouraging staff members to understand better their roles and functions in CAFS and to allow them to express their concerns and offer their suggestions about their work. Instructions for the preparation and conduct of these quarterly meetings, together with the appropriate recording forms to be used, are in Annex 2.

## 1. INTRODUCTION AND TERMS OF REFERENCE

- 1.1 The Centre for African Family Studies (CAFS) was established in 1975 by the Africa Regional Council of the International Planned Parenthood Federation (IPPF) to offer training courses, seminars and workshops in the areas of population dynamics, family planning, family health, communication skills, strategy development, management skills, etc. to senior and mid-level personnel in family planning associations affiliated with IPPF. Since then, an increasing proportion of the participants in its training activities come from family planning organizations outside the IPPF affiliates. CAFS' efforts are also aimed at public leaders and decision-makers to raise the general awareness of the importance of family planning as a component of national development. CAFS conducts research, evaluations, and resource development activities and provides information and documentation services. All these activities are aimed at integrating family planning activities into the overall socioeconomic programs in the countries of sub-Saharan Africa. The CAFS offices are currently located in Nairobi and Lome.
- 1.2 In May 1991, a needs assessment team from Management Sciences for Health (MSH), under the USAID-funded Family Planning Management Development (FPMD) Project concluded inter alia:

"CAFS has gone through a number of significant changes over the last two years ... As a result, CAFS staff have found that the old systems and ways of operating are not working as well. Some procedures and rules are no longer appropriate, others are missing or need to be expanded. The Finance and Administration Division has already begun to review current practices and procedures to develop a more comprehensive and complete personnel management system."

The assessment team's report proposed that FPMD work with CAFS staff on: the development of career and promotion strategies and policies; staff development strategies and policies; an expanded personnel handbook; and a supervision/performance evaluation system. These proposals were accepted by CAFS and USAID.

- 1.3 Earlier consultancies in CAFS have addressed this program of work. To date they have produced a draft staff handbook which is awaiting board ratification and a proposed promotion/career development system which is tailored to the circumstances of CAFS<sup>1</sup>. This report also estimated the effort required to assist in the design and implementation of the procedures for each of the three remaining personnel issues

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<sup>1</sup>. See "Personnel Management in the Centre for African Family Studies: Producing a Personnel Handbook and a Plan for Personnel Systems Development for CAFS" by P.J. Shipp, November 1991.

identified in the needs assessment. The current consultancy departs from this implied model of assisting each procedure through to implementation by concentrating solely on the design of personnel procedures, leaving consultant assistance in their implementation to a later date or perhaps intending to dispense with it altogether. The Scope of Work for this consultancy was:

To continue with the previous technical assistance conducted in Oct-Nov 1991 and to work with CAFS senior management to strengthen CAFS personnel systems.

The personnel systems which could be covered during this consultancy were an Annual Performance Appraisal and Staff Development System (described in Section 2) and a new supervision procedure (described in section 3). The Annual Performance and Staff Development System covers the identification of staff development and training needs; work on Staff Development Strategies and Policies (the remaining item from the original program) is concerned with the efficient allocation of available resources to meet these training needs.

## **2. ANNUAL PERFORMANCE APPRAISAL AND STAFF DEVELOPMENT SYSTEM**

- 2.1 In May 1991, the MSH needs assessment team identified the need for a formal, objective performance appraisal system in CAFS. At the subsequent CAFS Staff Meeting in August 1991, Dr. Ade Adelakun (Head of the Management Development Unit) was assigned the task of designing such a system and in March 1992, after consultation with colleagues, produced a draft for consideration. The proposed system described below has been developed jointly with Dr. Adelakun and Mr. Charles Waikwa, Personnel and Administration Officer (PAO), based on the March 1992 draft.
- 2.2 The design and operation of an ideal staff performance appraisal system have certain characteristics:
  - a) It has clear and explicit purpose and uses.
  - b) It can be consistently applied between staff and over time.
  - c) It covers meaningful aspects of staff performance in relation to CAFS work.
  - d) The staff appraisals are discussed thoroughly between the appraiser and the appraisee before they are recorded, and both sign the appraisal document,; if necessary, it may contain divergent views on particular items.
  - e) It is easy to complete.
  - f) It is easy to use e.g. the numerical scores of performance are readily comprehensible.

2.3 The purpose of the CAFS Staff Performance Appraisal System is to provide an objective review of a year's work by a staff member and an appraisal of the performance in undertaking this work, judged against a number of explicit standards of performance (ratings). This entails that the ratings used in the appraisal (Good, Unsatisfactory, etc.) should be defined specifically and in detail. The intended uses of the annual performance ratings are in contract renewal, promotion, award of annual salary increments and disciplinary procedures. Another major use is in identifying staff training and development needs, and it is convenient to extend the performance appraisal interview to cover this use also in the same procedure. Thus, for clarity, the proposed form (see Annex 1) is divided into two parts:

Part I: Performance Appraisal, based on work accomplishment;

Part II: Staff Development Needs, based on work accomplishment and an appraisal of personal factors;

to which is added:

Part III: Comments and Feedback, from the appraisee, the Heads of Unit and Division, the Director and CAFS Management Team (CMT), and the Personnel and Administration Officer (PAO).

2.4 Consistent application of the appraisal system to all the staff in CAFS and in successive years requires that all matters of judgement in the procedure (of which, inevitably, there are very many) must be specified as closely as possible and, in particular, all descriptive terms used in the appraisal, the appraisal ratings (as above), and the personal factors (initiative, integrity, relations with colleagues, etc.), must be defined in detail as specifically as possible. Furthermore, all appraisers should share a common understanding of each of these definitions. This certainly should form part of the training for all appraisers when the system is introduced, and this particular segment of the training should be given each year before the annual round of staff appraisals start. It would be very desirable for all staff to attend this training so that the whole procedure is clear to everyone who is involved in it, and also so that, during the appraisal interview, important words have the same meaning for both individuals.

2.5 The appraisal should be based on the CAFS work which has been done by the appraisee during the year, as set out in the Annual Workplan/Budget or in the job description (as appropriate), together with any extra or replacement tasks, duties or responsibilities which the staff member has been instructed to undertake during the year (referred to as "ad hoc duties and responsibilities"). Any ad hoc duties and responsibilities must be sufficiently substantial to be worth including in the appraisal; such an item must have occupied at least 5% of working time during the year (10 working days) before it can be included as a separate item for appraisal. The

personal factors which are appraised should only be those which are directly relevant to CAFS work. Thus if "Ability to work independently" is seldom called for in CAFS work, it should not be included for appraisal. The list of personal factors included in the draft form should be reviewed by senior CAFS staff to ensure that they are the important personal factors to be appraised. This could result in different lists of personal factors for senior/junior staff, or for technical/ administrative staff, although the performance appraisal rating procedure (which is based solely on work accomplishment) would be the same for all staff.

- 2.6 One procedure which identifies the significant items in the appraisal of a staff member (requiring thorough discussion during the interview) and yet keeps the interview as short as possible is as follows:
- a) The appraiser and appraisee agree beforehand on the work done in the previous year which is to be covered in the appraisal interview, from the Workplan/Budget or job description together with any ad hoc duties and responsibilities.
  - b) They separately give a rating for each work item and each personal factor.
  - c) These two sets of ratings are brought, to the interview; ratings which can be disposed of quickly; ratings which are close usually require little discussion; ratings which are radically different require thorough discussion.

This procedure is probably inappropriate in the appraisal of new staff.

- 2.7 The agreed ratings for each work item are combined to give an overall or average performance rating (score); the proposed method gives equal weight to the performance on each work item. The proposed form also produces the average performance rating for the planned work and the ad hoc work separately as well.
- 2.8 The ratings of the personal factors are used for diagnostic purposes, i.e. to identify individual areas of strength which could be used to a greater extent and also particular areas of weakness which need strengthening. Combining each of these ratings in the same way to give an overall rating is not particularly meaningful or useful.
- 2.9 It is proposed to use a four-point rating scale as follows:

- |   |                |
|---|----------------|
| 4 | Outstanding    |
| 3 | Good           |
| 2 | Reasonable     |
| 1 | Unsatisfactory |

With this scoring scheme, higher numbers indicate better performance ratings. Using an even number of ratings means that the easy choice of the mid-point of the scale is not available.

- 2.10 As part of the preparation for the appraisal interview, the appraisee is invited to set out his/her aspirations concerning types of preferred work activity, preferred technical areas of work, etc., and also expectations of training, promotion, long term career, etc. These aspirations and expectations are considered in the light of strengths and weaknesses identified from the appraisal of work accomplishment and personal factors in order to identify what should be the priorities for individual development if these aspirations and expectations are to be achieved.
- 2.11 When the interview is finished and Parts I and II of the form have been completed, the appraisee has the opportunity to add any comments, e.g. whether the interview and discussion has been satisfactory, any disagreement with items in the appraisal. The completed form then passes up the management levels to the Director and the CMT for information and for comment if necessary. It would be expected that these levels would comment on any disagreements or any items with a ranking of I recorded on the form. The PAO may comment on any personnel management implications of the appraisal, e.g. the (non)availability of certain courses, etc.

### 3. A NEW SUPERVISION PROCEDURE FOR CAFS

- 3.1 At present, supervision in CAFS consists of day-to-day informal contact which occurs between supervisor and supervisee to deal with operational issues and problems as they arise. These contacts are vital for the efficient conduct of CAFS business. An Annual Performance Appraisal and Staff Development procedure described in Section 2 is intended for early implementation, which also contributes to the efficient management of the personnel resources in CAFS, but on a longer time scale. A new supervision procedure is proposed for CAFS which is designed to bridge the gap between these two processes. This proposed new procedure is extra to these two procedures and will not replace either of them. It adds one component to the existing personnel management and supervision system in CAFS by instituting regular quarterly reviews of the work.
- 3.2 In this new supervision procedure, there will be a short quarterly meeting between supervisors and each of the staff who report directly to them. These quarterly meetings are based on a few simple rules:
  - a) the meetings discuss work only, not personal issues between the staff member and CAFS;
  - b) the meetings focus on how the work can be done better, more quickly, or more efficiently;

- c) the meetings are positive and consider only what encouragement, help or support the staff member may need; during these meetings native comments, judgements and evaluations are not allowed.

3.3 The purpose of this supervision procedure is to add a new dimension to current supervisory activities. In this procedure there will be regular, formal, scheduled meetings between a supervisor and each staff member who reports directly to the supervisor. These meetings will occur every three months. The aim of these meetings is twofold. First, to consider the staff member's work from a positive viewpoint -- how to improve performance. Second, to take a long-term view of the work of the staff member, avoiding such detail as specific actions which occurred yesterday or are planned for tomorrow (these are dealt with in the day-to-day interactions). Instead, these new supervision meetings will consider trends or more gradual changes which may have occurred during the three months since the last supervision meeting and also the major aspects of the work in prospect over the three months until the next scheduled supervision meeting. It is an opportunity for the supervisor and the staff member to see the work in a larger context, standing above the immediate difficulties, pressures and concerns, and for the staff member to raise long-term and fundamental issues about the work which may be difficult to bring up with the supervisor in the day-to-day pressures of work.

3.4 It must be understood that these meetings are concerned only with the work and its progress, and that they are for the specific purpose of getting the work of CAFS done more efficiently by supporting and encouraging each staff member to understand better his/her role and function in CAFS, and to allow them to express their concerns and offer their suggestions about the work they do. Specifically:

- a) *These meetings are neither evaluative nor judgmental.* Difficulties, errors and failures are treated in these meetings solely as examples of where the staff member may need support, or assistance.
- b) *The meetings discuss work only,* not salaries nor other conditions of service, nor personal issues between the staff member and CAFS.

3.5 The format of these meetings is based on the tasks which are expected or planned to be done by the supervisee, as set out in the Annual Workplan/Budget or in the job description (as appropriate). These same tasks also form the basis of the Annual Performance Appraisal. During the supervision meeting, the supervisor and staff take each of these tasks in turn and address the following questions:

- a) What has been the experience on this task since the last supervision meeting? Has the staff member met the targets for this task which were set at the last meeting? If not, what were the causes? Has there been more workload than expected? Or less? If so, why? Has it been more or less difficult than

expected? If so, why? How could the work have been made easier, quicker, or more efficient? Has there been good cooperation from other staff (where appropriate)? The aim here is *not* to have a detailed discussion of all the activities which have occurred on this task over the last three months, but rather to arrive at an agreed view of *how the task can be done more efficiently and where the staff member needs support or help.*

When this discussion is finished, the supervisor moves on to:

- b) What activities are expected to happen on this task before the next scheduled supervision meeting? What workload can be expected? Are there any special events (e.g. a major training event, international travel, Board Meeting, annual audit, annual budget, etc.) which will affect the staff member's work? (If so, should any special arrangements be considered?) Are there foreseeable difficulties? (If so, should any special arrangements be considered?) How can the work be made easier or quicker or more efficient? The aim here is *not* to produce a detailed workplan for the next period, but rather to discuss any major aspects or issues of the work coming up. It is also most important that wherever possible specific targets should be set of what is to be achieved over the next three months on each task *and that the staff member makes his/her own record of each of these targets.* Wherever possible, the targets for individuals should be related to the targets in the Workplan/Budget.
- 3.6 When the discussion on all the specific tasks listed has been completed, it is now necessary to list on the record any major tasks which have been undertaken since the last meeting and which are not included in the Workplan/Budget or job description. These are unplanned or ad hoc activities. The same discussion, (a) and (b) above, takes place for each of these ad hoc tasks, and notes are made in the same way of what has come out of the discussion about how things have gone on each of these tasks and what, if anything, must be done on each of them in the next period, together with any specific targets. A draft Supervisor's Checklist for the conduct of these meetings, and the recording forms to be used in them, are at Annex 2.
  - 3.7 The discussion of the activities in the last three months and the next three months for the tasks which are listed should take no more than 5-10 minutes for each task, so the meeting should take 1-2 hours. At the end of the discussion on each task, the supervisor makes brief notes on a form summarizing what has come out of the discussion, and particularly both staff note down any targets for either of them which have been agreed for the coming three months. Thus, at the end of the meeting, there are brief notes on each of the tasks listed, covering what has happened since the last meeting and what is expected to happen before the next meeting, including targets to be met.

- 3.8 The supervisor closes the meeting by reading out from the written notes of the meeting each of the targets which have been agreed, so that the staff member can check that his/her own record of these targets is correct. The supervisor puts the record of the meeting in a file folder and keeps it safely. This record, and particularly the targets which have been agreed, are the starting point for the discussion of each task in the next meeting.
- 3.9 It must be recognized that the targets which have been agreed for the next three months are not necessarily targets for the staff member only. If certain support or assistance for the staff member has been agreed e.g. obtain more supplies, replace broken items of equipment, etc., then these are *targets for the supervisor to achieve*. Thus in the final part of the supervision meeting, the staff member checks his/her record of the agreed targets for him/ herself and also the agreed targets, if any, for the supervisor.
- 3.10 The notes made during the supervision meetings during the year will be useful for objectively reviewing the year's work when the time comes for completing the annual performance appraisal form. But it must be remembered that the quarterly supervision meetings are NOT evaluations, but rather they are positive reviews of the work done and in prospect, with a view to getting the work done more efficiently and supporting the staff. However, it is the notes of these meetings which will be useful in reminding supervisors and their staff of the work which has been done during the year when the annual performance appraisals are made.

ANNEX I  
**CHECKLIST FOR PERFORMANCE APPRAISAL AND  
STAFF DEVELOPMENT INTERVIEW**

**BEFORE THE INTERVIEW**

**1. The appraiser assembles the documents**

The appraiser retrieves the file folder which contains the records of the supervision meetings with the appraisee during the last year and obtains two blank interview forms.

**2. The appraiser arranges the interview**

The appraiser contacts the appraisee and they agree on a date and time, at least three days ahead, for the interview. Try to arrange it in a place where there will be no interruptions.

**3. Appraisee's preparations for the interview**

At the same time the appraiser gives the appraisee one blank interview form in order to complete:

Section 1 (Personal Data)

Section 2a (Planned Duties and Responsibilities); normally this will be the same as the list of planned duties used in the supervision meetings

Section 6 (Aspirations and Expectations) covering types of activity, areas of work, training, promotion, long term career, etc.

The appraisee should take the opportunity to consider privately what would be fair ratings for each item in Section 2a and Section 4 (Individual Factors). The form must be returned to the appraiser the day before the interview.

**4. Appraiser's preparations for the interview**

The appraiser reviews the records of all of the year's supervision meetings and the completed section 6 thoroughly, and ensures that he/she is conversant with the information in Section 1. The appraiser considers privately what would be fair ratings for each item in Sections 2a and 4, and notes any points or issues which he/she thinks may require detailed discussion (e.g. major weaknesses) or clarification (e.g. in Section 6) during the interview. It is particularly important to prepare instances and examples to support any proposed "unsatisfactory" ratings for items in Section 4 (Individual Factors).

## IN THE APPRAISAL INTERVIEW

1. **Rate each item in section 2(8)**

First, the appraiser reviews briefly the year's activities on an item in the list using the rating terms (outstanding, good, reasonable and unsatisfactory) as appropriate for different aspects or phases of the work, and proposes a score (1-4) for the item. If there is initial disagreement on the score proposed, a consensus must be sought. If this cannot be achieved quickly, it is usually better to go on to the next item and return to the issue later. This is repeated for every item in the section.

2. **List and rate items in section 2(b)**

List the agreed ad hoc duties and responsibilities undertaken during the year; these should have occupied at least 5% of working time (about 10 days) during the year. Rate each item in this list, as in item 1.

3. **Calculate the average scores and overall ratings**

Perform the arithmetic as shown in Items 2(a), 2(b) and 3.

4. **Rate each item in Section 4**

As in 1. above.

5. **Strengths and weaknesses**

Based on the scores of individual items in Section 4, the purpose of this section is to highlight:

- a) Areas of weakness in which there should be improvement in capability and performance during the coming year, and, in general terms, how this improvement may be achieved: by training, by self-instruction, by experience of particular working situations, by working with particular colleagues, etc.
- b) Areas of strength in which CAFS should seek to use the appraisee more in order to develop further and consolidate these capabilities.

6. **Aspirations and expectations**

First go through the material of this section to ensure that the appraiser has a good understanding of what is presented. Then consider the aspirations and expectations in the light of the material in section 5. in order to identify the priorities for individual development for achieving these goals. The discussion can consider only how best to prepare for a promotion opportunity; it cannot address the question of when this opportunity should occur.

7. **Proposed staff development activities**

In the light of the results from Sections 5. and 6., make specific proposals for activities which are intended to improve capabilities in areas of weakness (e.g.

specific courses, new working arrangements, etc.) and capitalise on areas of strength (e.g. which particular types of work to focus on more, and how this is to be implemented).

8. **Comments by appraisee**

The appraisee has the opportunity to indicate whether the interview and discussions have been unsatisfactory, giving reasons and whether there is any disagreement with what has been recorded on the appraisal form so far. It should be remembered that any two individuals will rarely agree completely on every aspect of the quality of performance and the personal attributes of one of them. An entry should be made in this section only where the appraiser feels that there is a major error or serious injustice in the form.

**AFTER THE INTERVIEW**

1. **Further comments**

The completed form is passed to the appraiser's supervisor and up the levels of management to the Director and CMT for information and comment if necessary (sections 9-12). It would be expected that these levels would pay particular attention to any disagreements or any items with a ranking of 1 recorded on the form. The PAO may comment on any personnel management implications of the appraisal e.g. the (non)availability of certain courses (Section 13).

2. **Feedback to the appraiser and appraisees**

The form is returned to the appraiser to note any comments which may have been made in Sections 9-13. It is passed on to the appraisee for the same purpose.

3. **Preserving the information**

The form is sent to the PAO for filing.

**ANNUAL PERFORMANCE APPRAISAL AND STAFF DEVELOPMENT REPORT  
YEAR:**

**PART I: PERFORMANCE APPRAISAL**

1. **PERSONAL DATA**  
To be completed by the staff member being appraised

Name \_\_\_\_\_

Designation/Title \_\_\_\_\_

Division/Unit \_\_\_\_\_

Name of Supervisor \_\_\_\_\_

Title of Supervisor \_\_\_\_\_

Duty Station \_\_\_\_\_

Qualifications \_\_\_\_\_

Last Course Attended/Duration \_\_\_\_\_

\_\_\_\_\_

Grade \_\_\_\_\_

Years in Current Grade \_\_\_\_\_

Years in Current Post \_\_\_\_\_

Date of Recruitment \_\_\_\_\_

**RATING SCORES FOR SECTIONS 2 AND 4 BELOW**

4	Outstanding
3	Good
2	Reasonable
1	Unsatisfactory

2. APPRAISAL OF WORK PERFORMANCE

A. PLANNED DUTIES AND RESPONSIBILITIES Performance Objectives or Targets, as in Workplan/Budget or Job Description, as appropriate; include non-program activities as well	Score
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
TOTAL (1)	
NUMBER OF ITEMS SCORED (2)	
AVERAGE SCORE FOR PLANNED WORK (1)/(2)	
B. AD HOC DUTIES AND RESPONSIBILITIES	
1.	
2.	
3.	
4.	
5.	
TOTAL (1)	
NUMBER OF ITEMS SCORED (2)	
AVERAGE SCORE FOR AD HOC WORK (1)/(2)	

3. OVERALL ALL APPRAISAL SCORE

TOTAL SCORE FOR PLANNED WORK

NUMBER OF ITEMS SCORED

TOTAL SCORE FOR AD HOC WORK

NUMBER OF ITEMS SCORED

TOTAL (1)

TOTAL (2)

OVERALL PERFORMANCE APPRAISAL SCORE (1)/(2) =

\_\_\_\_\_  
Appraiser's signature

\_\_\_\_\_  
Date

**PART II: STAFF DEVELOPMENT**

**4. Individual Factors: scoring as in 2 above.**

Factors	Score
a) Attendance	
b) Punctuality (in all situations)	
c) Initiative	
d) Resourcefulness	
e) Commitment to follow plans and instructions	
f) Relations with clients/public	
g) Working relations with colleagues	
h) Integrity	
i) Emotional maturity	
j) Professional competence (staying current in the field)	
k) Writing skills	
l) Speaking/Presentation skills	

**5. STRENGTHS AND WEAKNESSES**

Each item recorded in (a) and (b) below should specify the individual factor and what type of action is proposed.

**a) Strengths and how they may be better used**

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**b) Weaknesses and how they may be improved**

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**PART III: COMMENTS AND FEEDBACK**

**8. COMMENTS BY APPRAISEE**

Indicate whether the interview and discussions between you and your appraiser have been satisfactory, and any disagreement with the foregoing appraisal.

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\_\_\_\_\_  
Appraisee's Signature

\_\_\_\_\_  
Date

**9. COMMENTS BY HEAD OF UNIT**

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\_\_\_\_\_  
Signature of Head of Unit

\_\_\_\_\_  
Date

**10. COMMENTS BY HEAD OF DIVISION**

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\_\_\_\_\_  
Signature of Head of Division

\_\_\_\_\_  
Date

**11. COMMENTS BY DIRECTOR**

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\_\_\_\_\_  
Signature of Director

\_\_\_\_\_  
Date

12. COMMENTS BY CMT

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\_\_\_\_\_  
Signature of CMT Chairman

\_\_\_\_\_  
Date

13. COMMENTS BY PAO

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\_\_\_\_\_  
Signature of PAO

\_\_\_\_\_  
Date

14. Feedback to Appraiser and Appraisee

Both appraiser and appraisee sign as having read entries in items 8-12 above.

\_\_\_\_\_  
Signature of Appraiser

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Appraisee

\_\_\_\_\_  
Date

**NOW SEND THIS FORM TO PAO**

ANNEX II  
SUPERVISOR'S CHECKLIST FOR SUPERVISION MEETINGS

**BEFORE THE SUPERVISION MEETING**

1. **Extract Documents**  
Get out the file folder which contains the job description of the staff member and the record of your previous supervision meeting with this staff member. Read through the record of the previous meeting, paying particular attention to any targets which were set.
2. **Blank Record Forms**  
Obtain a blank record form and blank continuation sheets.
3. **Future Pattern of Work**  
Review in your own mind what the pattern of work is likely to be for this staff member over the time period until the next meeting and what would be reasonable targets for the tasks of this staff member. If you are unsure, discuss the matter with your own supervisor.
4. **Prepare Questions**  
Consider each task to be covered in the meeting and note down any specific issues or points which you may want to raise on each of the tasks. These points may concern either the work of the last three months or the expected work in the next three months.
5. **Set Appointment Date**  
Agree on a date with the staff member (at least three days ahead) for the supervision meeting.

**DURING THE SUPERVISION MEETING**

1. **Purpose of Meeting**  
Remind the staff member of the purpose of the meeting, which is to review the past and future work activities of the staff member in order to:
  - a) Help implement the workplans of the organization.
  - b) Identify where the staff member may need support or help.
2. **Start the Record Form**  
Take the blank record form and fill in the first six items (Name of staff .... Date of meeting).
3. **First Task**  
In the column headed "TASK NO., BRIEF DESCRIPTION" write "1" and then a few words to indicate the subject of the first task to be considered.
4. **Last Period**  
Discuss the activity which has taken place on this task since the previous supervision meeting, for example:
  - Is the staff satisfied with the way this task has gone?
  - Have the targets, if any, been met? If not, why not? Is there any specific support or assistance to the staff which would help?
  - Has there been more or less workload than was expected at the previous supervisory meeting?
  - How could the work have been made easier or quicker or more efficient?

- Have the equipment and materials been sufficient?
- Has there been good cooperation from other staff (where appropriate)?

In discussing the last period of activity, the most important thing for you to do is to encourage the staff member to talk and to give his or her own view of what has happened, and for you to listen to what is being said. You should have two questions in mind:

- a) How can the job be done more quickly, more efficiently or more cheaply?
- b) What can be done to encourage or assist or support this staff person to do a better job?

When this discussion is finished, note the most important points that answer these two questions in the column headed "Last Period".

#### 5. Next Period

Discuss the activity that is expected for this task during the time period until the next scheduled meeting, for example:

- What workload can be expected? Will it be more or less than usual? If so, should any special arrangements be considered?
- Are there any foreseeable difficulties? If so, what can be done to ease them? What assistance or support would be useful? Should any special arrangements be considered?
- What specific targets can be set for the next period?

In discussing the next period of activity, you may have more of a contribution to make from knowing better what workloads are coming up. Your aim in this part of the discussion is to ensure that the staff member has a clear understanding of the general pattern of the workload which is expected on this task and what targets should be met. Some types of assistance or support, such as supplies, repairs, new equipment, will be *targets for you*. So the agreed targets will be for the staff member and for you. The staff member should make his/her own record of the agreed targets.

Here again, during this discussion you should have two questions in mind:

- a) How can the job be done quicker or more efficiently or cheaply?
- b) What can be done to encourage or assist or support this staff member to do a better job?

Again, when this discussion is finished note the most important points that answer these two questions in the column headed "Next Period". These notes include all the targets which have been agreed.

#### 6. Remainder of planned tasks

Repeat items 3-5 above for each task listed in the Workplan/ Budget or job description (as appropriate), until all these tasks have been discussed.

#### 7. List the ad hoc tasks

Now continue the numbering of the tasks and write down any major tasks which the staff member worked on during the last period and/ or is already expected to work on during the next period, and which cannot be covered by one of the tasks already listed on the form. These extra tasks should only be items similar in size and importance to the items already listed. They frequently arise when the staff member has undertaken a major activity because of somebody else's absence.

**8. Discuss the ad hoc tasks**

Repeat Items 4 and 5 above for the ad hoc task(s) where they are appropriate. For example, if an ad hoc task is already completed and will not continue into the next period, only Item 4. applies. If an ad hoc task has been allocated to the staff member but has not yet started, only Item 5. applies. If an ad hoc task has started and will continue into the next period, then Items 4 and 5 apply. Wherever Item 5 applies there may be agreed targets for the staff member and yourself.

**9. Check targets**

Finally, go through your notes in the NEXT PERIOD column and ensure that the staff member has recorded correctly all the agreed targets for both you and for him/herself.

**AFTER THE SUPERVISION MEETING**

**1. Review your targets**

Review all the targets you have agreed to achieve in relation to this staff member during the next period. Plan out how this is to be done.

**2. Copy to PAO**

Make a photocopy of the completed record of this meeting and send it to the PAO.

**3. Store the documents**

Staple together all the record sheets which refer to this meeting. Put the record of the last meeting (which was used during this meeting) and the completed record of this meeting in a file or folder, and store it in a safe place ready for the next supervision meeting with this staff member.

## RECORD OF SUPERVISION MEETING

Name of staff: \_\_\_\_\_  
 Job title: \_\_\_\_\_  
 Duty station: \_\_\_\_\_

Name of Supervisor: \_\_\_\_\_  
 Job title: \_\_\_\_\_  
 Date of meeting: \_\_\_\_\_

Task No.	Brief Description	Last Period: Achievements, Problems	Next Period: Expectations, Targets

CONTINUE ON ANOTHER PAGE IF NECESSARY

**RECORD OF SUPERVISION MEETING**

CONTINUATION SHEET NO. \_\_\_\_\_

Name of staff: \_\_\_\_\_

Date of meeting: \_\_\_\_\_

Task No.	Brief Description	<u>Last Period:</u> Achievements, Problems	<u>Next Period:</u> Expectations, Targets

CONTINUE ON ANOTHER PAGE IF NECESSARY