

**Staff Performance Assessment
and Reward in International
Agricultural Research Centers**

Edwin G. Brush
Coenraad A. Kramer

The mandate of the International Service for National Agricultural Research (ISNAR) is to assist developing countries in bringing about lasting improvements in the performance of their national agricultural research systems and organizations. It does this by promoting appropriate agricultural research policies, sustainable research institutions, and improved research management. ISNAR's services to national research are ultimately intended to benefit producers and consumers in developing countries and to safeguard the natural environment for future generations.

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Coenraad A. Kramer *June 1997*

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We dedicate this book to the many talented agricultural research leaders in developing countries who are working to improve their organizations. Managing and motivating staff are challenges for all research institutes, but particularly for those in developing countries. Performance assessment and reward systems can contribute to achieving research organization goals. Research leaders in developing countries want to know how colleagues in other organizations meet these challenges. In this book, we collected and analyzed examples of performance assessment and reward protocols from 14 international agricultural research centers of the Consultative Group on International Agricultural Research (CGIAR). Because the international centers are long-term partners of developing-country national agricultural research institutes, many of the CGIAR's approaches to management may be relevant to the national institutes. While not all the methods used by the CGIAR centers will be directly applicable in developing countries, some will be appropriate. We hope that the examples presented herein will provide food for thought and generate new ideas.

Edwin G. Brush and Coenraad A. Kramer

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Foreword

This report aims to provide managers of agricultural research organizations with ideas and practical information about alternative approaches to assessing the performance of their staff and rewarding those who show outstanding performance. The main focus is on the processes and protocols for assessment and reward including their objectives and criteria and responsibilities for carrying out these processes.

The presentation of material has been made as simple as possible, both to stimulate thinking and imagination and to make the issues of designing assessment and reward processes easily understood by a wide audience. The book does not intend to answer every question about assessment and reward in international agricultural research centers. Instead, it aims to inform managers about choices that are available for modifying their management practices and concerns associated with making specific choices. The information should be used as an information source. To be adopted by any other organization, the example materials for assessment and reward presented herein should be modified and varied to suit each situation.

Who are the intended beneficiaries?

Research managers in national agricultural research organizations in developing countries as well as in centers for international agricultural research are the primary target audience. Others associated with research in developing countries will also benefit. Administrators in public organizations, officials in government ministries, university staff, members of non-governmental organizations, and members of farmers' organizations are a few of these additional beneficiaries.

Abstract

This book describes the goals, criteria, and measures that international agricultural research centers use to assess the performance of their staff and to recognize and reward outstanding performance. It is intended to be an aid to research managers who want to strengthen the management of human resources in their organizations. Two kinds of information are presented. First, an analysis of more than 65 management protocols from 14 international centers answers questions about why and how the centers assess and reward their staff. This analysis also discusses issues raised in management literature about the design of assessment and reward systems. The second kind of information is the principal material of this book: examples of 21 protocols for assessment and six protocols for reward provided by the international centers. These protocols illustrate alternative approaches to assessment and reward and exemplify issues discussed in the first part of the book.

Resumen

Este libro describe los objetivos, criterios y medidas que los centros internacionales de investigación agrícola usan para evaluar el desempeño de su personal, así como para reconocer y recompensar desempeños sobresalientes entre su personal. Fue escrito con el propósito que sirva de ayuda a los gerentes de las organizaciones de investigación en los países en desarrollo, que estén interesados en fortalecer el manejo de sus recursos humanos en sus organizaciones. Se presenta dos tipos de información. Primero, un análisis de más de 65 protocolos gerenciales de 14 centros internacionales responde a las preguntas sobre por qué y cómo los centros evalúan y recompensan a su personal. Este análisis también examina aspectos tratados en la literatura sobre gestión y manejo que se enfoca en el diseño de sistemas de evaluación y recompensa. El segundo tipo de información es el tema principal de este libro: incluye 21 protocolos de evaluación y 6 de recompensa, proporcionados por los centros internacionales. Esos protocolos ilustran otras alternativas para realizar la evaluación y recompensa y da ejemplos de los aspectos tratados en la primera parte del libro.

Résumé

Ce livre décrit les objectifs, les critères et les mesures dont les centres de recherche agricole se servent pour évaluer les membres de leur personnel et pour reconnaître et récompenser les meilleures performances. Il est conçu comme un instrument destiné à aider les responsables des organismes de recherche des pays en développement qui souhaitent renforcer la gestion des ressources humaines au sein de leurs organisations. Deux types d'information sont proposés. Premièrement, une analyse de plus de 65 protocoles de gestion provenant de 14 centres internationaux explique sur quelles bases et de quelle manière les centres évaluent et récompensent leur personnel. Cette analyse examine également les questions soulevées dans les ouvrages publiés sur la conception des systèmes d'évaluation et de gratification. Le deuxième type d'information, qui constitue la matière principale du livre, comprend 21 protocoles d'évaluation et 6 protocoles de gratification également obtenus de centres internationaux. Ces protocoles fournissent des exemples d'autres types d'approches pouvant être adoptées pour l'évaluation et la gratification du personnel et ils illustrent les questions examinées dans la première partie du livre.

PART 1

Introduction



The IRRI former Director General Dr. Klaus Lampe presenting a performance plaque to Mrs. E. Ramos, Head of Human Resources for the innovative ways by which staff salary restructuring and recruitment policies were designed and implemented.

Photo: IRRI

1 Introduction

Productive, motivated scientists are the foundation of successful research organizations. But how can managers maintain productivity and motivation among their staff? One way is through performance assessment and reward. Assessment provides an opportunity for communication between staff and supervisor on performance and, potentially, how to improve it. Reward, be it monetary or non-monetary, recognizes exceptional achievement, and provides examples of the types of accomplishments that are most valued by the organization.

This report examines the performance assessment and reward procedures used by managers in 14 of the international agricultural research centers supported by the Consultative Group on International Agricultural Research (CGIAR). The goals, criteria, and measures used in the protocols are analyzed, and examples are provided of most of the forms used. In each section, issues involved in designing the protocols (or modifying existing designs) are discussed. The report provides citations of relevant management literature so that

readers can more fully explore some of the issues presented. This report is intended to be a “how-it-is-done” source of information for managers in national and international agricultural research institutes. The examples of assessment and protocols provide a baseline against which they can compare, use, adapt, and develop their own methods for assessment and reward.

The authors recognize there are significant challenges for managers of national and international agricultural research institutions that can be overcome best by those with training and experience. While information from other institutions about how they address management problems can be a useful step in developing expertise, the ability of managers to use such information successfully depends on their training and experience. Otherwise useful assessment and reward systems may fail to achieve their objectives if they are put into the hands of untrained or inexperienced managers. This report is therefore meant to complement—not substitute for—training and experience in human resource management.

1.1 Background

National agricultural research systems (NARS) and CGIAR centers are partners in agricultural research. Their staff collaborate with each other in research programs, and CGIAR centers help strengthen NARS by (among other things) conducting training programs for NARS researchers. As the number of trained staff in NARS increases, the emphasis on strengthening human resources has expanded to include management issues (Brush, 1993). Managing staff performance is important for sustained organizational performance of NARS and CGIAR centers alike.

Assessing and rewarding performance are common practices in human resource management. These practices are used to influence the behavior and output of employees in organizations throughout the world. They are meant to help managers direct staff to act in a desired manner and help them to bring about the quantity and quality of products and services required by their organizations. In the CGIAR centers and NARS, there is an ongoing interest improving these practices. As self-governing organizations, CGIAR centers have developed a variety of management practices specifically designed for agricultural research organizations. But in many NARS, the processes for managing human resources were

derived from national civil service regulations, which do not take into account the idiosyncrasies of research organizations. In recent years, NARS managers have given more attention to adapting their management practices to a research environment.

CGIAR centers are non-profit organizations whose management processes have evolved largely in developing countries. Their proximity of mission and environment suggests that examples of management processes in CGIAR centers could be relevant for NARS. Information on CGIAR centers’ approaches to staff assessment and reward could enable NARS to compare and analyze alternatives from partner organizations for managing human resources. This could also interest managers in CGIAR centers, likewise enabling them to examine relevant alternatives to management processes from sister organizations.

Management literature has much information on appraising and rewarding research staff, most of it from studies of private-sector laboratories in developed countries. However, NARS consist primarily of public-sector organizations in developing countries. Information about appraisal and reward in the public sector is more limited. Infor-

mation about public-sector research organizations in developing countries is particularly rare. Several ISNAR publications have helped to relieve this dearth of information, especially with respect to staff performance assessment (e.g., Bennell, 1989a; Zuidema, 1990; Zuidema, 1993). These authors explore the importance and problems of

staff assessment in NARS, and the methods and criteria for evaluating scientific staff. They suggest how appraisal systems in NARS may be improved. In addition, Brush (*in press*) has reviewed options for performance-related pay to reward staff in NARS.

1.2 Design of this Book

The purpose and design of the assessment and reward processes used by the CGIAR center are documented in management protocols, forms, and guidelines. These explain the purposes, responsibilities, methods, criteria and measures, and outputs of the CGIAR centers' assessment and reward processes. Protocols showing alternative processes are emphasized. The analysis of the protocols is designed to answer three questions:

1. Why do the centers assess and reward staff performance?
2. Who assesses and rewards whom?
3. How is performance assessed and rewarded (methods, criteria and measures, etc.)?

Two kinds of information are used to answer these questions. First, are short analyses of the protocols. These are presented in parts 2 and 3, which discuss the purpose and design of assessment and reward systems, respectively. Annexes 2 through 9 provide additional details of this analysis for readers wanting more information. In discussing staff assessment and reward, the implications of alternative approaches to process design are highlighted. This provides insight into some of the substance as well as the form of these management processes. Analyses of design choices include goals for assessment and reward, staff participation in the processes, and criteria for assessment and reward. In addition, there is a review of the management literature dealing with these design issues.

The second kind of information are the examples. Part 4 presents 21 assessment protocols and is the largest portion of this book. Part 5 presents six protocols for reward. The selected examples illustrate alternative approaches to assessment and reward and they illustrate issues discussed in the analysis. In this selection, it is assumed that concerns for the validity and reliability of their assessment and reward processes have already been addressed by the CGIAR centers.

Readers who are interested in which practices were successful and which failed, and why, will not find answers to these questions here. Likewise, other substantive questions, such as how the assessment and reward processes are actually managed, or their meaningfulness in the CGIAR centers, are not addressed. These questions are beyond the scope of this study. Those who have tried to answer such questions in other organizations advise that the effectiveness, management, and meaning of assessment and reward processes are contingent upon such factors as supervisor-subordinate relationships, job design, and organizational culture (Mohrman, Resnick-West, Lawler, 1989). The design issues identified here could help guide future studies that might investigate contingencies in the centers that influence the effectiveness of their management practices.

In this analysis and presentation of protocols, the CGIAR centers are anonymous. The identities of the contributing centers are protected as a condition of their participation in the study.

1.3 Data Collection

We requested administrative managers of CGIAR centers to provide forms and guidelines used in their centers for assessing staff performance. They were also requested to provide their center's guidelines for monetary and non-monetary awards (e.g., citations) used to recognize staff with outstanding performance.

Fourteen centers provided protocols for staff assessment and reward. These centers are designated A through N. Fifty protocols (forms and/or guidelines) for assessment and 16 protocols for reward were submitted. All centers contributed protocols for assessment, and half sent protocols for both assessment and awards (Table 1).

Table 1. Protocols for assessment and reward submitted by 14 centers

Center	Protocols for Assessment	Protocols for Reward
A	2	0
B	2	0
C	4	1
D	1	0
E	3	0
F	1	0
G	2	0
H	19	3
I	4	2
J	2	2
K	3	0
L	6	3
M	1	3
N	0	2
Total	50	16

PART 2

Analysis of Staff Assessment Protocols



Dr. Pedro Sanchez (Director General, ICRAF) presents a high performance (excellent) award to Peter Kurira (Farm Manager).

Photo: ICRAF

2 Analysis of Staff Assessment Protocols

In this part, the reasons why the CGIAR centers assess performance, the types of staff being assessed, responsibilities for assessment, assessment methods, criteria and measures, and the outputs of their assessment processes are considered. Some of the design issues indicated by the

results of the analysis are discussed; in particular, issues that are also highlighted in the literature on management. The chapter concludes with a composite description of how the centers assess their research staff.

2.1 Why CGIAR Centers Assess Staff

The centers state their purpose for staff assessment under a variety of rubrics: aims, benefits, goals, guidelines, intents, objectives, opportunities, preambles, principles. Some state an overall purpose; others list a number of specific goals. A total of 83 statements of purpose were identified in the assessment protocols provided by 13 centers. To analyze these, we subjectively chose according to names of groups purposes for

assessment (Table 2). The most common types relate to performance improvement and reward; both types are cited by eight centers. The centers indicate from one to six purposes; on average they identify three. The multiple goals of assessment suggest that these are complex systems for human resource management. Table 3 shows examples of purposes of assessment.

Table 2. Assessment purposes stated in CGIAR center protocols

Center	Performance improvement	Reward	Communication	Misc.	Staff development	Work planning	Negative sanction	Total
A				•				1
B	•	•						2
C	•	•	•					3
D		•				•		2
E	•	•	•		•	•		5
F	•		•			•		3
G	•		•		•			3
H		•		•	•		•	4
I	•	•	•	•	•	•		6
J				•	•			2
K				•				1
L	•	•	•	•		•		5
M	•	•						2
Total	8	8	6	6	5	5	1	39

Design issues—assessment

The most important design issue in staff assessment protocols is the number of different goals a single assessment process can be expected to achieve. This issue has not yet been settled in the literature on management. In one camp, some authors advocate the use of a separate process for each purpose (Sholtes, 1994). Others emphasize the need to separate assessment processes for reward and staff development (Haslam, Bryman, and Webb, 1993; Wilson, Mueser, and Raelin, 1994) or for reward and counselling (Lawler, 1981). In another camp, authors advocate the advantages of bundling distinct goals into a common process (Dyer and Reeves, 1995). The

practice of most of the CGIAR centers appears consistent with the camp advocating the bundling of goals. The CGIAR centers average three goals per assessment process.

Bundling rewards and other goals (e.g., staff development, communication, feedback, work planning) into a single management process may have undesired consequences for some NARS. For example, some NARS have abandoned staff appraisals because they lack funds to provide rewards (Brush, 1993). When NARS bundle other goals into their appraisal process, in addition to reward, they may lose the capacity to achieve the other purposes if they lack the financial resources to provide the rewards.

Table 3. Examples of statements for different types of purposes of assessment

<p>Performance improvement</p> <ul style="list-style-type: none"> ● Enable staff to invent constructive ways to improve their own contribution ● Identify and agree on the means by which performance deficiencies can and should be overcome ● Help staff learn more about their strengths and obtain guidance on improving their performance, thereby gaining greater job fulfillment ● Assist staff to achieve the IARC's objectives through self appraisal, supervisory feedback, and goal setting ● Encourage better performance, development, initiative, cooperation, and creativity ● Encourage the improved future performance of all staff, including management ● Help all staff members to maximize their contribution and accept that their individual performance is most valued ● Keep the employee continuously informed of his/her performance in order to maintain its high level and to improve on areas where deficiencies were identified <p>Communication</p> <ul style="list-style-type: none"> ● Allow individual staff to visualize and understand how they individually contribute to the attainment of the center's mission and objectives ● Allow staff members to provide feedback to their supervisors regarding the feasibility or attainability of their supervisor's expectations or to seek clarification ● Clarify reporting responsibilities within the center ● Foster continuing and constructive dialogue on work performance between staff and supervisors ● Give management opportunity to provide feedback and direction to staff ● Provide for more candid interaction between the evaluator and the staff member ● Reach agreement between manager and subordinate on how progress compares with expectations ● Show the results of effort and create a work environment in which learning, development, initiative, and joint problem-solving is fostered <p>Staff development</p> <ul style="list-style-type: none"> ● Assist staff to achieve their own objectives through self appraisal, supervisory feedback, and goal setting ● Give management opportunity to provide data for human resource decisions, including training and professional development ● Give staff opportunity to discuss their development goals within the context of the center ● Help give the staff opportunities to grow ● Indicate the potential of the staff to develop further and assume greater responsibility ● Provide guidance and opportunities for staff to develop their skills, knowledge, and careers ● Serve as a basis for supervisors to advise and counsel scientists and assist them in the development of their careers <p>Work plan and management</p> <ul style="list-style-type: none"> ● Assist managers and supervisors to plan, direct, and control the work of their units ● Bring to light the need for organization changes or realignment of responsibilities ● Contribute to the overall improvement in the quality and usefulness of the center's plans and progress reports ● Establish performance objectives to be achieved in the future ● Establish specific and measurable performance standards ● Give management opportunity to plan for the future by setting new goals and objectives ● Improve the center's management documentation ● Link individual staff member's performance objectives to the objectives of the project/unit ● Promote employee participation and commitment in the establishment of action plans for the attainment of key result areas <p>Reward, recognition</p> <ul style="list-style-type: none"> ● Assist executive personnel to identify employees with higher potential ● Contribute to linking pay, awards, and promotions to performance output and results ● Give management opportunity to provide data for compensation and promotion decisions ● Grant financial incentives to employees if their performance has been outstanding ● Furnish a sound and consistent basis for salary administration ● Have a bearing on granting an increment in the pay scale ● Reward better performance, development, initiative, cooperation, and creativity <p>Miscellaneous, general</p> <ul style="list-style-type: none"> ● Assist managers and supervisor to make human resource decisions such as reassignment, promotion, recommendations, staff and career development, job classification, rewards and recognition, separation, organization development, or training ● Bring out the best from its employees in terms of attainment of the highest level of productivity, commitment to corporate standards, achievement of personal and professional growth and development <p>Negative sanction</p> <ul style="list-style-type: none"> ● For staff with an unfavorable report, to have an adverse effect on the advancement in career in the center

2.2 Types of Staff Being Assessed by CGIAR Centers

We analyzed the centers' protocols to determine what types of staff are assessed (i.e., the assesseees) as well as who is responsible for carrying out the assessment (i.e., the assessors). Most of the protocols divide assesseees by type according to staff function and/or level. Functionally, staff are separated into program and non-program staff:

program staff carry out the scientific activities or research programs of the centers; non-program staff carry out administrative, technical, and other functions to support the research programs. In addition, protocols divide staff according to their level; for example, support staff or senior staff (Table 4).

Table 4. Types of staff assessed

		Function	
		Program Staff	Nonprogram Staff
Level	Support		
	Senior		

Among the 50 protocols submitted, 48 divide staff in some fashion. The most common pattern is to distinguish staff by both level and function; six centers make this distinction. All centers assess the performance of their senior staff. Ten of the 13 centers assess their support staff. Three centers distinguish their staff by function alone; two centers distinguish them by level alone; two others did not distinguish staff by function or level. This kind of separation of staff for assessment results in a large number of protocols. The number of protocols for staff assessment per CGIAR center ranges from one to 19; the median number is two; the mean is four. (Not counting one center with 19 forms, the mean is three protocols for the other centers.) Annex 2 summarizes the assessment protocols according to the function and level of staff identified by the CGIAR centers.

In summary, centers typically divide their staff into two or three groups according function and/or level and use a separate assessment form for each group. In addition, about half of the centers separate staff according to recruitment origin;

i.e., staff who were recruited internationally and those recruited nationally or locally. However, there is no obvious pattern of assessment by recruitment origin among the centers.

Design issues—staff being assessed

Although the international centers do not use a common typology for classifying staff for assessment, 11 of the centers that submitted data separate staff by function or level. This practice is consistent with management literature that advocates tailoring appraisals for different types of staff (Von Glinow, 1989). However, the ability of some NARS to tailor appraisals for different types of staff may be limited by their ties to national civil services that prescribe procedures for assessment. Such NARS may find room to maneuver in creating their own assessment processes to manage key staff (e.g., scientists) not specified in the prescribed procedures. These processes can be made complimentary to existing civil-service procedures (Zuidema, 1993).

2.3 Responsibilities for Assessment

Assessment entails organizational relationships, especially vertical reporting relationships. Four levels of assessors were identified in the protocols (Table 5). These levels include self, first-level supervisors (immediate supervisor, supervising officer, program head, program leader, project team leader, etc.), second-level supervisors (director, division director, and regional representative), and third-level supervisors (deputy director general, review committee, and director general). The CGIAR centers do not appear to use upward assessment (subordinates assessing supervisors) or peer assessment.

The number of assessors indicated on each of the 50 protocols ranges from one to four; on average, two assessors are shown. The immediate supervisor is the most frequent assessor. The employee himself or herself is also frequently used for senior staff positions in general and for scientists in particular. In most cases of self assessment, as-

essment by the supervisor is also used in combination. Top management, third-level supervisors, are rarely assessors. When they are used, they typically assess only senior staff.

Design issues—responsibility for assessment

Staff assessment in the international centers is multisource; it comes from two directions; from the top down, especially from immediate supervisors for all staff; and from self-evaluation, especially for senior staff. Here, the CGIAR centers are consistent with the mainstream approach advocated in the literature on management, which stresses that the best-suited appraisers are those who are closest to the performance in question (e.g., Arnold and Feldman, 1986, Badawy, 1988; Mohrman, Resnick-West, and Lawler, 1989; Bretz, Milkovitch, and Read, 1992). This allocation of responsibility to lower-level supervisors and senior staff (for self appraisal) is uncommon in

Table 5. Responsibility for assessment

Assessor	Number of Centers Indicating Responsibility for Assessment on Protocols							No. (%) of centers
	Program Staff		Nonprogram Staff		Staff in General			
	Support	Senior	Support	Senior	Support	Senior	All	
Staff	2	7	2	5	2	6	2	12 (92%)
First Level Supervisor	1	6	3	5	4	5	2	12 (100%)
Second Level Supervisor		5	2	4	3	1		6 (46%)
Third Level Supervisor		3		3	3	3	1	6 (46%)

many NARS in which responsibility for assessment resides in the higher levels of management. Cultural norms in some NARS may make direct assessment by supervisors inappropriate (Hofstede, 1982).

The CGIAR centers do not designate to others responsibilities for assessment suggested in the management literature. Their protocols do not provide for input from peers or clients or for upward assessment (of supervisors by subordinates). Peer evaluation is common for researchers in developed-country universities (Kane and Lawler, 1978; Hollander, 1992) and is sometimes used in research institutes (English and Czerwon, 1990; Bretz, 1991). Evaluation of superiors by subordinates, or upward evaluation, has also been suggested for research staff (Wolff, 1990; Bretz, 1991), but the effectiveness of this approach has been questioned (Antonioni, 1995). Measurement of researchers' performance by clients, including those outside, as well as internal clients, is re-

ported to be effective in private-sector research organizations (Bretz, 1991; Chester, 1995). Such alternative directions for assessment may not be appropriate in a NARS where cultural norms ordain that "downward communication is facilitated; lateral communication is forbidden; and upwards communication, except upon request, is not sought" (Moris, 1978, pp. 58).

Another issue of responsibility may be the requirement for an employee to sign off on the completed appraisal form, indicating that he or she was informed of and/or received a copy of the assessment. This practice is common in developed countries (Bretz, 1991) and is especially recommended for research staff (Meinhart and Pederson, 1989). It is also common in the CGIAR centers. Eleven of the 13 centers require employees to sign off on their completed appraisals. Here again, direct communication of appraisal results may be an issue for some NARS.

2.4 Methods of Assessing Performance

We analyzed the assessment protocols to describe the methods by which they measure staff performance. The methods were classified according to four basic approaches widely recognized in the literature on management (e.g., Arnold and Feldman, 1986; Meinhart and Pederson, 1989; Mohrman, Resnick-West and Lawler, 1989; and Murphy and Cleveland, 1991). Examples of these methods are presented later in Part 4, Samples of Staff Assessment Protocols.

The four basic approaches:

- **rating scale** (often called *graphic rating scale*)—in which the assessor makes a forced-choice judgement of the assessee's performance on a

scale; in this method, the performance factor and the values on the scale are not explicitly defined;

- **behaviorally anchored rating scale (BARS)**—asks for the assessor's forced-choice judgement, in which the performance factor and the values of the scale are explicitly defined, typically by describing performance standards in terms of behaviors that exemplify different levels of performance;
- **management by objectives (MBO)**—in which the assessor judges performance related to a specific work objective of the assessee; in this method, judgement may be a narrative re-

sponse to an open-choice question, a point on a forced-choice scale, or both;

- **essay**—calls for responses to open-choice questions about performance attributes or for comments about the assessment in general from the assessor and the assessee, or from another party (e.g., a higher-level manager, a review committee).

Table 6 shows the various methods used by centers to assess the performance of staff with different functions or at different levels. Twelve centers use a forced-choice instrument (rating scale, BARS, or both); 38 of the protocols (76 percent) present forced-choice questions. Protocols without forced-choice questions are primarily for senior staff. Ten centers use MBO, primarily for senior staff. Twelve centers collect assessment data by essay. Thirty-eight protocols provide assessee and higher management with opportunities to comment on assessments made by immediate supervisors. Four centers have developed performance standards (BARS), shown on six protocols. Such standards are used more for assessing support staff than for senior staff. Overall, a combination of methods is more frequent than one method of assessment.

The methods were also considered by how often assessments were made. In all cases the CGIAR centers conduct formal assessments of staff annually.

Design issues—assessment methods

The principal issue is deciding which method (or methods) is appropriate for a research organization. One aid to making a decision could be to identify methods that have been reported to be effective for achieving assessment goals in other organizations. However, no method has emerged as superior to others (Bretz, 1991). Indeed, authors disagree on which method is effective for a given purpose. For example, while Arnold (1986) maintains that rating scales are not useful for determining reward allocations, Mohrman, Resnick-West, and Lawler (1989) maintain that such rating scales are highly useful for this purpose. Another tactic is to combine methods in a mixed approach. This is favored by the CGIAR centers and is recommended for NARS (Bennell, 1989a). Given the ambiguity about the effectiveness of different methods, some authors conclude that the method is less important for success than other factors, such as institutional culture (Reid and Scott, 1994).

Another issue is the choice of methods for assessing staff of different levels or functions. The centers are consistent with choices made by organizations in developed countries, where rating scales are more common for assessing support staff, and MBO is more widely used for senior staff (Personnel Policies Forum, 1983). Mixed methods combining MBO with rating scales appear to be the most frequent choice for assessing professional staff in research organizations (Meinhart and Pederson, 1989).

Table 6. Assessment methods

Assessment Method	Number of Protocols Using Method by Assessee Function or Level							No. (%) of protocols with method	No. (%) centers using method
	Program Staff		Nonprogram Staff		Staff in General				
	Support	Senior	Support	Senior	Support	Senior	All		
Rating scale only		1		1				2 (4%)	1 (8%)
BARS only					1			1 (2%)	1 (8%)
MBO only		3		3		1		7 (14%)	2 (15%)
Essay only		1				1		2 (4%)	1 (8%)
Rating scale + essay	2	3	10	4		1		20 (40%)	4 (31%)
BARS + essay			2		2			4 (8%)	3 (23%)
MBO + essay		2					1	3 (6%)	2 (15%)
MBO + rating scale						1		1 (2%)	1 (8%)
Rating scale + MBO + essay		2		2	1	3	11	9 (18%)	7 (54%)
BARS + MBO + essay						1		1 (2%)	1 (8%)

2.5 Assessment Criteria

Performance assessment involves judgements by assessors about specific performance criteria as well as general conclusions about performance. The criteria and how they are measured are often the most important and complex aspects of an assessment process.

The CGIAR centers' protocols present a very large variety of criteria. To better understand this array, we used three general categories for first analysis: achievement, attribute, and summary. Achievement includes criteria that specify a particular accomplishment, such as reaching a project objective, producing a research output, or completing a training program. Attribute includes criteria related to behavior or skills, such as punctuality, teamwork, or scientific knowledge. Summary criteria relate to an assessment of overall performance or a summary rating. With these general categories, analysis proceeded on how staff with different functions and levels are assessed. Annex 3 summarizes the general categories of assessment criteria for staff in different functions and levels.

Attributes (behavior and skills) are the most frequently used type of assessment criteria overall in the CGIAR centers. This pattern is most pronounced in the assessment of support staff. However, achievement is as important as attribute for assessing senior staff in programs (e.g., scientists). And centers using a single protocol for assessing all staff use criteria related to achievement more than attribute.

Next, the investigation turned to more specific categories of criteria. Table 7 presents examples of different categories and assessment criteria for each. Initially, the analysis looked for categories used by CGIAR centers. In many protocols, performance criteria are not categorized, but in others they are; categorization between centers is not always uniform, however. For example, one center puts the criterion "Economy in the use of resources" in the category that it labels "Job Skills;" at the same time, another center puts the criterion "Effective use of financial and other resources" in the category that it labels "Management." To accommodate this disparity, we chose names of categories subjectively in order to analyze the assessment criteria. The result was 18 categories of specific performance criteria and one general category.

Devising categories that are mutually exclusive is impractical, because some criteria overlap several

categories. To investigate categories that are not mutually exclusive, a key-word analysis was carried out. For this, we selected key words and phrases from the criteria in order to define categories (Annex 4). This means that some criteria are in more than one category. For example, a criterion in one protocol, "management skills: problem analysis, planning and organizing, controlling processes and follow-up, delegates, negotiates, uses resources efficiently," is in four categories: expertise, knowledge and technical skills, financial management, and program management. This approach enabled us to reduce the need for arbitrary classification of ambiguous criteria.

Using categories based on key words, we calculated the frequency with which different criteria are used to assess staff with different functions and levels (Table 8). Assessment criteria in the general category are the most frequent element in the forms; the next most frequent criteria were in the output category. Annex 5 lists the kinds of products mentioned by CGIAR centers in the output category (including outputs mentioned in assessment protocols and those mentioned in reward protocols).

General assessment criteria are the most frequent for all types of staff: this category contains nearly 20 percent of the criteria used by the CGIAR centers. The frequency of the other 80 percent of the criteria in specific categories was analyzed by the level or function of the assessees indicated in the protocols. Table 9 shows the five most frequent criteria used to assess staff of different levels or functions. Annex 6 shows frequency for all criteria according to staff function and level.

Design issues—assessment criteria

The most prominent issue involves the option to assess achievement (output) or attributes (behavior). While managers in CGIAR centers may prefer achievement to attribute, this issue remains unresolved in the management literature. One difficulty rests in how to measure achievement (output). Traditionally, output indicators have focused on bibliometric details such as publications, citations, and patents for assessing the performance of researchers, especially in universities (Moed et al., 1985), as well as to evaluate research programs in general (e.g., Nederhof and van Raan, 1993). However, questions have been raised about the value of such criteria. This uncertainty may stem, in part, from a lack of "agreement on

Table 7. Examples of categories and assessment criteria

<p>Adaptability</p> <ul style="list-style-type: none"> ● Ability to handle change ● Internal resources: initiative, motivation, energy, stress tolerance, perseverance, robustness <p>Communication</p> <ul style="list-style-type: none"> ● Ability to draft ● Communication with superiors ● Competence in essential languages <p>Constraints, problems</p> <ul style="list-style-type: none"> ● Factors that made it easier or more difficult to meet work objectives ● Institutional or personal problems encountered ● Successes and obstacles which prevented further success <p>Creativity, initiative</p> <ul style="list-style-type: none"> ● Initiative (demonstrated aptitude to produce new ideas and/or bring about constructive innovation) ● Resourcefulness <p>Expertise, knowledge, technical skills</p> <ul style="list-style-type: none"> ● Ability to review scientific papers ● Ability to think independently and analyze ● Data analysis and interpretation ● Familiarity with new developments and technologies in his/her field ● Skill in producing a solution (ability to identify problems, power of analysis, and soundness of recommendations and decisions) <p>Financial management</p> <ul style="list-style-type: none"> ● Ability to develop a budget ● Cost consciousness and control <p>General</p> <ul style="list-style-type: none"> ● Assignments in which the staff member performed in a particularly effective way ● Comment by supervisor ● Comment by employee ● Overall rating ● Summary of strengths and weaknesses <p>Handling equipment, safety</p> <ul style="list-style-type: none"> ● Awareness of safety ● Computer operation ● Knowledge of servicing and minor repairs <p>Human resource management</p> <ul style="list-style-type: none"> ● Appraisal and counselling of staff ● Delegation to subordinates ● Motivation of subordinates <p>Center/unit management</p> <ul style="list-style-type: none"> ● Achievements/outputs of administrative responsibilities/committees ● Contribution to center's objectives ● Meet project objectives <p>Leadership, supervision</p> <ul style="list-style-type: none"> ● Effectiveness in supervision (ability to motivate, maintain, and direct a productive work unit) ● Leadership, judgement, inspires trust, decisiveness <p>Output, productivity</p> <ul style="list-style-type: none"> ● Contribution to annual report ● Number, quality of publications ● Outputs delivered during the review period (software developed, equipment designed, maps produced, etc.) ● Publications authored (scientific, manuals, pamphlets, etc.)

Table 7. Examples of categories and assessment criteria (continued)

<p>Personal development, training</p> <ul style="list-style-type: none"> ● Academic, professional or technical qualifications awarded ● Areas where employee has shown improvement since the previous assessment ● Use of opportunities to upgrade skills <p>Personal relations, teamwork</p> <ul style="list-style-type: none"> ● Interpersonal relations: communications, sensitivity to others, listening, teamwork, developing skills in others ● Team spirit, contribution to team efforts ● Understanding and handling relations with colleagues/peers <p>Potential</p> <ul style="list-style-type: none"> ● Important potential outcomes of work ● Potential for growth and development <p>Program, project management</p> <ul style="list-style-type: none"> ● Ability to set priorities ● Effectiveness in planning and organization of work ● Project management: timeliness, budget management <p>Responsibility, reliability</p> <ul style="list-style-type: none"> ● Ability to work independently and with minimal supervision ● Dependability ● Following directions ● Judgement and common sense <p>Technology transfer, outreach</p> <ul style="list-style-type: none"> ● Consultancy, advisory, liaison, network activities, and timeliness ● Main achievements in relation to work objectives for relationship with NARS and others ● Relations with NARS scientists and managers <p>Timeliness</p> <ul style="list-style-type: none"> ● Ability to meet schedules and deadlines when required, skillful use of time and resources to achieve maximum efficiency ● Promptness and attendance ● Willingness to work beyond normal hours <p>Work objectives</p> <ul style="list-style-type: none"> ● Accomplishments in relation to job description or terms of reference ● Achievements in relation to work objectives for research ● Achievements/outputs of project activities in work plan

what constitutes scientific output or what measures could be used to measure that output" (Badawy, 1988, pp. 28). Cozzens has observed that "we can count the outputs of research projects, but they do not add up to our performance" (1995, pp. 6).

This issue is significant for agricultural research, in general, and NARS in particular, because the applied nature of their disciplines may reduce the relevance of bibliometric indicators like citation rates (Russell, 1994). Related difficulties are that "output measures seldom pinpoint individual contributions" (Wilson, Mueser, and Raelin, 1995, pp. 52) and that they capture only a small part of the innovative process in research organizations (Chester, 1995). Lack of publishing opportunities in developing countries is also a factor.

Using attributes as criteria for assessing staff performance also receives a mixed response in the literature on management. Critics point to problems like reliance on raters' subjective judgement (Zuidema, 1990) and the potential to stimulate conflict between staff and supervisors (Patten, 1988). On the more positive side, some authors recognize that attributes enable researchers to create outputs (Grove, 1983). In any case, attribute criteria are used widely in research organizations (Moser, 1985; Meinhart and Pederson, 1989). Some authors suggest that tradeoffs in assessing attributes or outputs should be recognized (Grove, 1983) and that organizations should try to enhance the definition of attributes (and their measurement scales) using, for example, behaviorally anchored rating scales (Mohrman, Resnick-West, Lawler, 1989).

Table 8. Assessment criteria by frequency

Category of Assessment Criteria	No. of Criteria in Protocols	No. of Centers Using Criteria	Category of Assessment Criteria	No. of Criteria in Protocols	No. of Centers Using Criteria
General	136	13	Human resource management	26	9
Output, productivity	69	11	Leadership, supervision	26	8
Expertise, knowledge, technical skills	64	12	Timeliness	25	9
Personal relations, teamwork	54	12	Creativity, initiative	24	9
Responsibility, reliability	44	9	Program, project management	23	10
Center/unit management	42	10	Handling equipment, safety	22	4
Work objectives	40	8	Financial management	21	8
Technology transfer, outreach	37	10	Potential	15	5
Personal development, training	33	9	Constraints, problems	13	7
Communication	31	11	Adaptability	9	6

Related to the trade-off between output and attribute criteria is the issue of how many criteria should be used in an assessment protocol. The literature on management does not answer this question directly, beyond suggesting the design ideal of a one-page protocol (Patten, 1982). How-

ever, empirical evidence may be more instructive than the ideal. One study of twenty research organizations observed a range of six to 21 and an average of 13 criteria (Meinhart and Pederson, 1989). The protocols of the CGIAR centers range from six to 45 and average 19 criteria.

2.6 Performance Measures

Analysis of performance measures illustrates the complexity of the assessment protocols used by the CGIAR centers. A measure is a judgement about a specific criterion or about general performance made by a specific assessor and indicated on a specific protocol. On one form, for example, senior program staff (scientists) are asked to write an assessment of their research output during the previous year. This was counted as one measurement. On the same form,

program directors are asked to score the research output of the scientists. This was counted as another measurement of the same criterion. General comments are counted as measures of performance but, to avoid duplicate counting, comments required to justify a high or low assessment are not counted. Likewise, recommendations for training are not counted because they deal with future action rather than past performance. Using this approach, the analysis counted 955 measure-

Table 9. Most often used criteria according to staff function and level

Frequency of Assessment Criteria		Frequency of Assessment Criteria	
For Program Staff	For Nonprogram Staff	For Support Staff	For Senior Staff
1. Output	1. Expertise	1. Expertise	1. Output
2. Technology transfer	2. Personal relations, teamwork	2. Responsibility, reliability	2. Expertise
3. Expertise	3.* Handling equipment	3. Timeliness	3.* Personal relations, teamwork
4. Personal relations teamwork	3.* Responsibility, reliability	4.* Personal relations, teamwork	4.* Center/unit management
5. Center/unit management	4. Human resource management	4.* Handling equipment	4.* Work Objectives

* Criteria with the same frequency for staff of the same function or level.

ments on 50 forms. From one center we counted 448 measures on nineteen forms. Across the centers, the number of measures per form ranged from five to 43. The average was 19 measures per form. Annex 7 shows the number of measurements made by the CGIAR centers for staff, by function and level.

Forced-choice judgements (scores) were used along with open-choice judgements (narrative statements or essays) on most of the protocols (48 of the 50 protocols require narrative statements; 38 require a score). Some measures combine open- and forced-choice judgements; for example, requiring a statement to justify a high or low score. In general, the performance of support staff is measured more frequently with scores than is the performance of senior staff (Table 10). Some criteria—especially attributes—are measured more commonly by scores than by essays (Annex 8).

Scores are recorded using scales on protocols. The scales were investigated in order to understand their scoring mechanisms (Table 11). The number of increments on the scales range from two (measures requiring a yes or no response) to scales with 1000 increments (0-100 percent in tenths of a percent). Each of the extremes occurs only once. The CGIAR centers more commonly use scales with five increments. Most scales are numeric although a few protocols include both alpha and numeric, scales. Only four of 38 scales on the protocols are weighted.

Design issues—performance measurement

Frequent questions about performance measurement, about essays as well as scores, involve the issue of subjectivity versus objectivity. This issue is not resolved in the literature on management. The nearest solution may be the conclusion by

some that complete objectivity is impossible (Badawy, 1988), and the quest for it may distract us from recognizing that subjectivity in judgement is required of research managers (Grove, 1983; Wilson, Mueser, and Raelin, 1994). Instead, concern should concentrate on training managers to avoid typical errors in judgment (Cascio and Awad, 1981; Bennell, 1989a). Some common errors are

- recency - where the assessor focuses on recent events rather than on performance during the entire period of assessment;
- centrality - in which the assessor rates all performance as average and avoids using extreme ratings even when warranted;
- leniency - when as assessor avoids criticism for fear of causing conflict.

Reducing these errors may be better tackled through training managers than through protocol design.

Related questions involve concern for the reliability and validity of performance measures. Protocol design may be more effective in addressing these concerns than those of subjectivity and errors in judgement. Designs that amplify the definitions of criteria and scales, such as BARS, may help improve the reliability and validity of a performance measure (Cascio and Awad, 1981; Mohrman, Resnick-West, and Lawler, 1989). Another approach to increasing reliability and validity is to use participatory methods to develop performance measures (Mohrman, Resnick-West, and Lawler, 1989; Campbell, Campbell, and Chia, 1995). However, culture in NARS, as in other kinds of research organizations, may influence the acceptance of participatory approaches to management (Hoppe, 1993).

Table 10. How performance of staff in different functions/levels is measured

Type of Measure	% of Criteria Measured by Essay and Score by Assessee's Function or Level							Total (%) of Type of Measure
	Program Staff		Nonprogram Staff		Staff in General			
	Support	Senior	Support	Senior	Support	Senior	All	
Essay	18.2	48.6	5.7	29.2	14.0	40.0	93.3	33.9
Score	81.8	51.4	94.3	70.8	86.0	60.0	6.7	66.1

Table 11. Assessment scales

Center	Primary Scale for Assessment	Other Scale
A	5 Performance outstanding 4 Performance exceeds expectation 3 Performance fully meets expectations 2 Performance only partially meets expectation 1 Performance unsatisfactory	
B	1 Performance consistently exceeds expectations of the position 2 Performance often exceeds the expectations of the position 3 Performance meets the expectations of the position 4 Performance often below the expectations of the position 5 Performance consistently below the expectations of the position; improvements necessary	
C	- Exceptional - Above standard - Meets standard - Below standard - Marginal	E Excellent VG Very good G Good D Deficient
D	3 More than expected 2 Fully meets position requirements 1 Less than expected	- Excellent - Very good - Good - Moderate - Poor
E	- Exceptional - Very good - Good - Fair - Unsatisfactory	
F	6 Outstanding 5 Superior 4 Fully effective 3 Adequate 2 Unsatisfactory 1 Deficient	
G	5 Outstanding and well above requirements of the grade 4 Performance above requirements of the grade 3 Performance meets normal requirements of the grade 2 Performance not fully up to requirements of the grade; some improvements necessary 1 Performance does not meet requirements of the grade; major improvements necessary	A Excellent B Very good C Good D Fair E Unsatisfactory
H	9 Outstanding 8 Excellent 7 Very good 6 Good 5 Satisfactory 4-3 Unsatisfactory 2-1 Poor	
I	1 Exceptional performance: proactive with exemplary level of accomplishments 2 Exceeds Center's standards: proactive with performance consistently above standards 3 Meets Center's standards: proactive in job with work consistently dependable and acceptable 4 Below standard: marginal and inconsistent 5 Unsatisfactory: consistently unacceptable	
K	5 Consistently superior performance with little or no guidance required 4 Significantly above average with moderate guidance 3 Fully satisfactory requiring periodic guidance 2 Below average performance even with significant guidance 1 Poor performance which is not responding to guidance	
L	5 Consistently superior performance with little or no guidance required 4 Significantly above average with moderate guidance 3 Fully satisfactory requiring periodic guidance 2 Below average performance even with sufficient guidance 1 Poor performance which is not responding to guidance	≥ 90 Exceptional 70-89.9 Standard <70 Below standard

2.7 Assessment Outputs

Assessment outputs are elements from the assessment process that are used for further action in human resource management. The CGIAR centers use three kinds of outputs from staff assessment (Table 12). The first is a score, either a number or a letter; sometimes a final score is derived from intermediate scores by calculating an

average. In other cases, intermediate scores alone constitute the output. The second type of output is a work plan for the following year, prepared by senior staff and their supervisors. Some centers produce both a score and a work plan. The third type of output is the specification of needs for training or staff development.

Table 12. Outputs from the assessment of staff

Assessment Output	Number of Centers with Assessment Output by Assessee' Function or Level							No. (%) of Centers
	Program Staff		Nonprogram Staff		Staff in General			
	Support	Senior	Support	Senior	Support	Senior	All	
Score(s)	2	5	3	5	4	5	1	12 (92%)
Work plan for next year		3		3		5		8 (62%)
Score(s) + Work plan		2		2		4		7 (54%)
Training/Development Needs	1	4	1	4	1	4	1	8 (62%)

All of the centers have some form of output; most produce scores for both support and senior staff. However, the outputs for senior and support staff differ with regard to work plans. While more than half of the centers (eight of 13) produce a work plan for senior staff, none of the centers produces work plans for support staff.

Design issues—assessment outputs

Design issues of outputs involve the relationships between assessment and other management systems in the organization. Relationships are created when assessment purposes are determined (see 2.1, Purposes of Staff Assessment). The main issue of scores as outputs of assessment is their relationship to the organization's pay system. Linking pay with performance is discussed in Section 3.5, Reward Criteria. Work plans and training needs as outputs of assessment encounter two kinds of design issues in their relation-

ships with program planning and staff-development systems in a research organization (Table 13).

The main cause of dissatisfaction with the appraisal process mentioned by appraisees was that issues unearthed during the appraisal [were] not followed up (Bryman and Webb, 1993, pp. 217).

Follow-up is a main issue in designing assessment systems which produce work plans and statements of training needs. Follow-up of individual work plans is required to avoid obsolescence. This entails modifying the plans to accommodate changing needs in the work place (Kane and Lawler, 1986; Kane and Lawler, 1987). Linking annual activities of individuals to research program plans that encompass many researchers working over many years requires feedback mechanisms to facilitate contingency management.

Table 13. Issues for assessment outputs

Assessment Output	Related Management System	Design Issues	
		Follow-Up	Correlation
Individual Work Plan	Research Program Planning	<ul style="list-style-type: none"> Management of contingencies in program planning 	<ul style="list-style-type: none"> Long-Term Planning Team Planning
Individual Training Needs	Staff Development	<ul style="list-style-type: none"> Responsibility and resources for staff development 	<ul style="list-style-type: none"> Strategy for human resource development

The issue of following up training needs involves the immediate supervisor's role in the organization's staff-development system. While the supervisor is understood to be responsible for developing the research program in his or her unit, the responsibility of the same supervisor for developing his or her staff to carry out the program is often less obvious. The design of the immediate supervisor's role in the staff development function affects their capacity to follow up on training needs identified in the assessment process (Laird 1985).

Individual training needs identified as an output of assessment should be correlated with the strategy for staff development in the organization. This strategy should inform the assessment proc-

ess, thereby enabling supervisors to help achieve the strategy.

The final design issue for outputs involves the correlation between assessment and other management systems. Work plans from assessment include several considerations for linkages with research program planning. One is correlating objectives from individual annual plans with the objectives of longer-term research plans. A design option here is synchronizing the cycles for assessment and program planning and review. Another issue is correlating work planning and appraisal for individuals and research teams. Other options include processes for group planning (Kean and Singogo, 1988) and for team evaluation (Mohrman, Mohrman, and Lawler, 1992; Edwards and Sproull, 1992).

2.8 Organization Size

To see if the CGIAR center's size influences the design of their assessment systems, we divided the centers into three groups (small, medium, large) according to the size of their annual budget (a proxy for the size of their work force). They were compared for consistency and differences in their assessment systems. The size of the sample (five small centers, four medium-size centers, and four large centers) does not enable definite conclusions. The analysis does seem to suggest that size is not an important variable in overall system design, however. No systematic influence of organization size was detected on the goals or approaches to assessment. However, large centers appear to use more protocols for assessment than small centers. While having common objectives and approaches, small centers may have fewer components in their assessment systems than large centers.

Design issues—organization size

The management literature indicates that little attention has been given to this topic, and this has produced inconclusive results. For example, large organizations are seen to have more resources than small ones for developing specific approaches, such as BARS (Huber, 1992), and to validate their assessment instruments (Shackleton and Newell, 1989). However, small CGIAR centers were observed to have developed BARS; and validation methods are reported from small and large organizations (Parry, 1993; Campbell, Campbell, and Ho-Beng, 1995). Other authors conclude that business diversity among units of an organization has more effect on performance management than size (Lawler, 1981). Such diversity may be discounted in an agricultural research organization, in which research is the common "business" among its units.

2.9 Composite of Assessment Methods

To summarize this analysis, we present a composite of the methods used by CGIAR centers to assess the performance of scientists (senior program staff). The intention is to illustrate for readers how they might also draw composites for the assessment of their own scientists and for staff in other functions and or levels.

In the composite, three goals are bundled into the assessment of scientists. These goals are to

- encourage staff to improve their performance in the future (performance management);

- provide information for deciding on granting to outstanding performers an increment in their pay scale (reward);
- allow staff and supervisors to exchange information about their activities in the research unit (communication).

To achieve these goals, scientists are assessed annually at three levels. Initially, the scientist assesses his or her own performance (self assessment); then the scientist's supervisor (a program leader) assesses the scientist's performance;

finally, the division head comments on the scientist's performance.

The assessors use three methods to evaluate the scientist's performance. The scientist and supervisor use the management-by-objectives method. For this each writes a statement about the scientist's achievements in projects that had been planned the previous year. In addition, the scientist and supervisor each write a statement about constraints experienced during implementation of the project, and they offer suggestions for overcoming the constraints in the future. Next, the supervisor scores the performance of the scientist in five categories (see below) and calculates an overall performance score (average).

Finally, the supervisor writes a short general essay about the scientist's performance. The scientist and supervisor discuss the assessment and plan the future activities of the scientist. Upon completion, the scientist writes his comments on the results and both the scientist and supervisor add their signatures to the assessment form. Results are passed to the head of the division, who summarizes his or her observations about the scientist's performance during the year and recommends whether an increment in the pay scale should be granted or denied.

In the composite, the assessment system uses a rating scale with five performance categories which together include 13 criteria. For each criterion, the supervisor rates the scientist's performance on a five-point scale. The performance categories and their criteria follow.

Output (quantity and practical and technical quality of the following):

- proposals submitted and accepted;
- internal publications (reports for the research organization);
- publications in national and international journals;
- other outputs, such as varieties released, software developed.

Technology transfer, outreach:

- relations with NARS scientists and managers;

- progress toward goals set previous year for outreach;

- participation in training activities (as instructor).

Expertise, knowledge, technical skills:

- analytical ability and judgement;
- familiarity with new developments and technologies in his/her field;

CGIAR center/unit management:

- quantity and quality of center-wide support activities;
- contribution to CGIAR center's objectives.

Personal relations, teamwork:

- interpersonal relations: communication, sensitivity to others, listening, developing skills in others;
- team spirit and contribution to team effort.

In all, the composite method for assessing scientists has six main steps:

1. self-assessment by the scientist of achievements in relation to his or her work plan (the work plan that was established in the previous assessment);
2. assessment by the scientist's immediate supervisor of achievements in relation to the work plan;
3. scores on 13 criteria in five performance categories;
4. supervisor's essay on overall performance;
5. scientist's comment on the overall assessment;
6. director's essay on the performance of the scientist.

Finally, the outputs in the composite include an overall score (average of the scores on the individual criteria) and a plan of activities for the coming year.

PART 3

Analysis of Protocols for Reward of Outstanding Performance



Dr. Carlos E. Lascano, Ruminant Nutritionist, receives the CIAT award "1997 Outstanding Senior Staff Achievement" for his leadership in forage quality and animal nutrition research, not only at CIAT but in the CGIAR and in developing countries. Dr. Samuel Jutzi, Chairman of the Program Committee, hands him the award. Dr. Robert Havener, Chairman of CIAT's board, is in the background

Photo: CIAT

3 Analysis of Protocols for Reward of Outstanding Performance

Seven CGIAR centers responded to the request for information on their rewards to staff for outstanding performance. They submitted 16 protocols. This response suggests that reward systems are not as prevalent in the CGIAR centers as systems for staff assessment.

Six of the centers that provided information offer two or three rewards annually. The seventh center provides a continuous reward in which staff are encouraged to suggest ideas for improving performance in the center and are rewarded from savings realized by implementation of their ideas. (This type of reward is known as gainsharing.) In

addition to being continuously on offer, it recognizes performance before implementation, while the other rewards recognize only past performance. Among the reward protocols received, 10 concentrate on performance deemed to be outstanding, while six others recognize performance in general, ranging from satisfactory to outstanding (Table 14).

The protocols were analyzed in order to describe the CGIAR centers' goals for rewarding staff, types of rewards that are used, the staff who are eligible for the rewards, and the criteria and processes used to select recipients of the rewards.

Table 14. Overview of performance rewards

Performance Period	Kind of Performance	CGIAR Center	Title of Reward
Past	Outstanding	H	● Accelerated Promotion Scheme
Past	Outstanding	J	● Award for Excellence in Research, Information, Training, and Outreach ● Award for Excellence in Support of the CGIAR Center's Program
Past	Outstanding	L	● Excellence Award ● Innovation Award ● Special Achievement Award
Past	Outstanding	M	● Two-step Adjustment in Base Salary ● Performance Award
Past	Outstanding	N	● Outstanding Senior Staff Achievement Award ● Outstanding Research Publication Award
Past	General	H	● Promotion through Growth Categories ● Performance Advancement
Past	General	I	● Merit Pay for Support Staff ● Merit Pay for Senior Staff
Past	General	M	● One-step Adjustment in Base Salary
Future	General	C	● Improvement Idea Plan

3.1 Purposes of Rewarding Staff for Performance

Most of the protocols state one or two purposes for rewarding staff, but four protocols do not indicate a purpose. Centers with more than one reward usually specify a common purpose or purposes for their rewards. The protocol for gainsharing (rewarding staff for ideas on improvements) indicates nine purposes, an unusually high number.

Eighteen statements of purpose were identified and we classified these into three groups (recognition, behavior, management). The statements are fairly evenly distributed among these groups: seven deal with recognizing staff; five deal with affecting staff behavior; and six are about other management aims (e.g., financial management). Table 15 presents examples of each type of purpose. Linkages between assessment and reward are discussed section 3.4, Rewards Criteria.

Table 15. Examples of statements for different types of purposes of reward

<p>Recognize performance by staff</p> <ul style="list-style-type: none"> ● to reward and recognize employees for performance and for active involvement in activities that contribute to overall improvement in the effectiveness and efficiency of the institute ● for recognition of staff service to the institute in the execution of its mission ● to recognize and reward excellence in science ● to give appropriate recognition to superior quality of service, and to assure that a staff member's services are appropriately appreciated <p>Alter behavior of staff</p> <ul style="list-style-type: none"> ● to encourage the production of excellent outputs ● promote employee initiative and ingenuity <p>Other management aims</p> <ul style="list-style-type: none"> ● to keep [the institute] from slipping seriously behind its competitors in seeking top-quality experienced staff ● to give some weight in [the institute's] decisions to morale considerations and the level of uncertainty which staff feel in light of the perception of a financial crisis ● improve [staff] relations by providing an extra channel of communication ● generate substantial savings in operation
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3.2 Types of Rewards

There is no standard taxonomy of rewards in the literature on management. However, a dualistic approach is customary. For example, intrinsic and extrinsic rewards are commonly described (Hertzberg, 1968; Lawler, 1981; Bennell, 1989b; Koning, 1993; Elango, Jawahar, and Meinhart, 1995). "Extrinsic rewards are those coming from the organization or environment; intrinsic rewards are those coming from the activity itself and from within the individual" (Koning, 1993, pp. 20). Intrinsic rewards include, among other things, a sense of achievement and recognition for achievement. Extrinsic rewards include, for example, salary and promotion (Hertzberg, 1968). Some authors imply a similar dichotomy using terms like recognition and reward in place of intrinsic and extrinsic (e.g., Koning, 1993). Others divide rewards into non-monetary and monetary categories (e.g., Ellis and Honig-Haftel, 1992; Chester, 1995). These categories were found to be especially useful for the analysis of rewards in the CGIAR centers.

Rewards offering public recognition to recipients were counted as non-monetary. Monetary rewards offer pecuniary gain to recipients. We identified three types of reward: those with exclusively non-monetary offerings (two in the sample); those that are exclusively monetary (seven in the sample); and those that combine monetary and non-monetary offerings, or hybrid rewards (seven in the sample). Overall, monetary offerings appear to be slightly more prevalent than non-monetary offerings (Table 16). Four centers have hybrid rewards, two centers have only monetary rewards, and one center has only nonmonetary rewards. (However, the latter center indicated that it also uses monetary rewards, but it did not

submit these protocols).

The types of non-monetary and monetary offerings are summarized in Table 17 and are enumerated in Annex 9. There are two types of non-monetary rewards: announcements made during ceremonies, in newsletters and/or in the local press; and mementos like certificates, plaques, and photographs. Centers with non-monetary rewards usually provide more than one such offering. For example, they frequently present a certificate at a ceremony, a banquet or assembly. Some rewards have as many as four non-monetary offerings. One entails a general staff meeting, a certificate, and announcements in the center's newsletter, as well as in the local press.

There are two types of monetary offerings: salary increases or one-time cash payments (bonuses). Salary increases may be related to promotion of the recipient to a higher rank (personnel category) which commands a higher wage. They may also be increments within his or her current rank. We see two types of salary adjustments within rank. One, performance advancement, does not specify the size or performance requirements for salary adjustment. The other, merit pay, defines salary increases within a matrix of percentage increments determined by the results of an individual's performance assessment.

Bonuses are one-time cash payments that do not affect the recipient's salary. There are two types of bonuses in the centers. One is gainsharing (a cash payment proportionate to the savings from an improvement) and a lump sum (a cash payment of a predetermined amount).

Table 16. Types of performance rewards

Center	Title of Reward	Type of Reward	
		Non-monetary	Monetary
C	● Improvement Idea Plan	✓	✓
H	● Accelerated Promotion Scheme		✓
	● Promotion through Growth Categories		✓
	● Performance Advancement		✓
I	● Merit Pay for Support Staff		✓
	● Merit Pay for Senior Staff		✓
J	● Award for Excellence in Research, Information, Training, and Outreach	✓	✓
	● Award for Excellence in Support of the Center's Program	✓	✓
L	● Excellence Award	✓	✓
	● Innovation Award	✓	✓
	● Special Achievement Award	✓	✓
M	● One-step Adjustment in Base Salary		✓
	● Performance Award	✓	✓
	● Two-step Adjustment in Base Salary		✓
N	● Outstanding Senior Staff Achievement Award	✓	
	● Outstanding Research Publication Award	✓	
Total		9	14

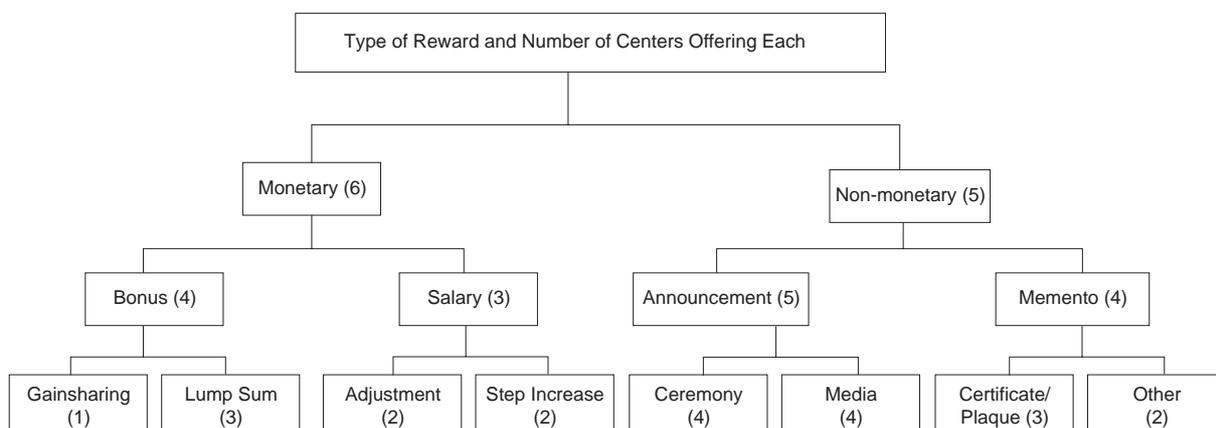
Design issues—types of reward

The major issues involve whether to offer non-monetary or monetary rewards and what type of each to offer. In a survey of government agencies in the United States, personnel managers ranked the effectiveness of monetary rewards higher than the non-monetary rewards (Streib and Nigro, 1995). However, no consensus has emerged in the literature regarding the choice between non-monetary and monetary rewards. Both types can influence performance, but both may have negative aspects. For example, the perceived values of monetary and non-monetary rewards are contrasted in the statement by one scientist that “I

love to get [compliments] but they don't feed the family” (Koning, 1993, pp. 26). Staff in some NARS have encountered prolonged wage erosion, and they may share the sentiment of this scientist. The effectiveness of non-monetary rewards in such NARS would likely be reduced. Nevertheless, some authors conclude that nonmonetary rewards are more effective than monetary rewards for motivation (Hertzberg, 1968). Some even suggest that monetary rewards can be demotivating (Marsden and Richardson, 1994).

The effectiveness of monetary and non-monetary rewards seems to be affected by the kind of work done in the organization. Monetary rewards may

Table 17. Types of offerings for nonmonetary and monetary rewards



be less effective than non-monetary rewards in stimulating creative work (Amabile, Goldfarb, and Brackfield, 1993); and the expectancy of extrinsic rewards may dampen productivity in research (Spangenberg, et al., 1990; Elango, Jawahar, and Meinhart, 1995). The split between monetary and non-monetary rewards among the centers reflects the lack of consensus in the literature on management. Four centers resolve the issue by providing both types of reward, either separately or together as hybrids.

Another design issue involves what type of non-monetary and monetary reward to offer. The CGIAR centers have a limited range of non-monetary offerings: announcements, certificates, ceremonies. The literature suggests many other non-monetary offerings, such as titles, fellowships, freedom to pursue individual interests, authority over resources for research, and team membership (Koning, 1993).

Regarding types of monetary rewards, the choice between salary increases and bonuses is discussed in the literature, but no clear consensus on preference has emerged. The balance of opinion, however, appears to lean in favor of bonus payments rather than salary adjustments. Some con-

clude that bonuses are more effective motivators than salary increases (Lawler, 1981). This may be particularly the case in public-sector organizations (McAdams 1988; Sullivan, 1988; Streib and Nigro, 1995). Among bonus programs, gainsharing is less common than lump-sum payment in the public sector. Success of gainsharing has been mixed due to weaknesses such as the absence of government policy (United States General Accounting Office, 1986). For NARS, lump-sum bonus payments may be more suitable than gainsharing rewards.

Salary-based reward systems (e.g., merit pay) seem to be more difficult to design and administer than bonus systems. Difficulties may entail, among others, the challenge of linking performance measures with salary adjustments (Lawler, 1981; Cumming, 1988), and intensive demands by salary systems for documentation and supervisory control (Murlis, 1987; Streib and Nigro, 1995). Among the centers, only two CGIAR centers explicitly and exclusively link salary increases with measures in their assessment systems. In some NARS, civil service regulations limit their flexibility to vary the approaches to monetary reward.

3.3 Staff Eligible for Performance Rewards

Some of the protocols indicate that certain types of staff are eligible for rewards; and sometimes they indicate products or functions associated with certain types of staff (e.g., publications are products usually associated with senior program staff). Of the 16 rewards, two pertain to program staff and 14 to staff in general. One is aimed at support staff, while four others are aimed at senior staff (Table 18).

Few of the rewards are targeted by staff level or function. Some of the protocols specify eligibility requirements like recruitment origin of the staff (e.g., local versus international recruitment). However, such limits are not pervasive. In addition, even though none of the rewards is specifically aimed at teams or groups of staff, five of the protocols mention that teams are also eligible for the reward.

Half of the rewards limit the number of staff who are eligible to receive them annually. Bonuses are usually limited to a few staff, but there are no such limits on salary increases. While none of the salary-increase rewards limits the number of staff who can receive them in a given year, six of the seven bonuses have such restrictions. Bonuses are

typically given to only one or two staff. One center provides a bonus for up to 10 of its staff. Several other centers award bonuses for up to 10 percent of their staff.

Design issues—eligibility

Unlike their systems for staff assessment, the CGIAR centers generally do not target staff for rewards according to their level or function. However, the literature suggests that, to be effective, reward systems (as well as assessment system) “must be tailored to fit the nature of each type of work in the organization” (Cumming, 1988, pp. 50). For research organizations, this could involve rewarding technical professionals differently than others (Badawy, 1988) or designing a reward specifically for team performance (Ellis and Honig-Haftel, 1992). Nevertheless, targeting rewards for certain types of staff or for groups raises issues of equity and cost. Such concerns also arise in decisions about limiting the number of rewards given each year (Sullivan, 1988). The option to tailor rewards may be forbidden by civil service regulations in some NARS.

Table 18. Staff eligible for rewards

Center	Title of Reward	Eligibility of Individual Staff				Eligibility of Terms
		Program Staff		Staff in General		
		Senior	Support	Senior	All	
C	● Improved Idea Plan				✓	✓
H	● Accelerated Promotion Scheme ● Promotion through Growth Categories ● Performance Advancement	✓			✓	
I	● Merit Pay for Support Staff ● Merit Pay for Senior Staff		✓		✓	
J	● Award for Excellence in Research, Information, Training, and Outreach ● Award for Excellence in support of the Center's Program				✓ ✓	
L	● Excellence Award ● Innovation Award ● Special Achievement Award				✓ ✓ ✓	✓ ✓ ✓
M	● One-step Adjustment in Base Salary ● Performance Award ● Two-step Adjustment in Base Salary				✓ ✓ ✓	✓
N	● Outstanding Senior Staff Achievement Award ● Outstanding Research Publication Award	✓			✓	✓
Total		2	1	3	10	6

Establishing quotas to limit the number of staff who are eligible for a reward is a complex issue. Some conclude that exclusivity of a reward may influence its effectiveness. For example, rewards that single out a few employees for recognition may be less effective than systems that reward many more employees (O'Dell and McAdams, 1987). But budget restrictions and the importance of maintaining the value of a reward may limit the number of recipients (Marsden and Richard-

son, 1994; Streib and Nigro, 1995). There is a risk, however, that such "budget supremacy" may "produce some dissonance for managers and employees who believe they are 'entitled' to increases specified in the guidelines" (Sullivan, 1988, pp. 27). Again reflecting the lack of consensus in the literature, half of the rewards from the CGIAR centers in the sample have quotas that limit the number of recipients.

3.4 Reward Criteria

The protocols typically specified two to four criteria for selecting recipients of rewards. These criteria were analyzed using the key-word categories that were developed to analyze the CGIAR centers' criteria for staff assessment (see section 2.5, Assessment Criteria). The reward criteria fit within 14 of the 19 categories for assessment. Table 19 presents examples of reward criteria for each category.

For the CGIAR centers, reward criteria appear to be a sub-set of assessment criteria. However, this observation may be explained by the difference in size of the sample assessment and reward proto-

cols. Criteria for which staff are assessed, but not rewarded, include communication, human resource management, timeliness, handling equipment, and potential. The protocols do not indicate the differences between the criteria for assessment and reward.

We ranked the reward criteria according to how frequently they appear in the protocols (Table 20). The ranking seems to shift according to the type of staff who are eligible for a reward, the type of reward offered, and the kind of performance rewarded. However, the sample is too small for us to draw definite conclusions about any

Table 19. Examples of reward criteria

<p>Adaptability</p> <ul style="list-style-type: none"> ● Sustained behavior demonstrating exceptional tolerance, good humor, and adaptability in the pursuit of the center's mission <p>Constraints, problems</p> <ul style="list-style-type: none"> ● [Has an] idea that is practical and offers best solution to a problem <p>Creativity, initiative</p> <ul style="list-style-type: none"> ● Ingenious or innovative research design ● Ideas or innovations, suggestions or actions that contribute significantly to improvement in center's overall program <p>Expertise, knowledge, technical skills</p> <ul style="list-style-type: none"> ● Developed a method or technique which was widely adopted in research ● Outstanding contribution in terms of adding to scientific knowledge ● Set standard that inspired and motivated co-workers <p>Financial management</p> <ul style="list-style-type: none"> ● Ideas or innovations, suggestions or actions that contribute significantly to improvement in center's financial stability <p>General</p> <ul style="list-style-type: none"> ● Contributions from supervisor's appraisal, self appraisal, and scores from appraisal reports ● Consistent pattern of continuing high standards of research design and implementation ● Extraordinary commitment ● Demonstrated exceptional skill and dedication through a specific, extraordinary achievement <p>Center/unit management</p> <ul style="list-style-type: none"> ● Contribution to achievement of center's mission ● Exceptional activity or demonstration of excellence that contributes to the provision of the center's working environment ● Series of papers on a subject critical to center's mission and making a quantum leap in center's achievement <p>Leadership, supervision</p> <ul style="list-style-type: none"> ● Superior leadership of an office, project division, or field operation, as perceived by persons supervised <p>Output, productivity</p> <ul style="list-style-type: none"> ● Authored a book that found wide acceptance ● Demand from clients and collaborators for research results ● Exceptional presentation of research through giving a workshop paper ● Successful research in a particularly difficult field ● Publication in internationally recognized refereed journal ● Decisive research outcomes that are not easily publishable <p>Personal development, training</p> <ul style="list-style-type: none"> ● Additional experience and enhanced qualifications <p>Personal relations, teamwork</p> <ul style="list-style-type: none"> ● Sustained non-professional contributions to the social well-being of staff <p>Responsibility, reliability</p> <ul style="list-style-type: none"> ● Extraordinary commitment <p>Technology transfer, outreach</p> <ul style="list-style-type: none"> ● Contribution to well-being of clients in the field (farmers, members of the farming community, agricultural development workers) ● Large number of superior training activities of especial benefit to clients and showing consistent high standards of curriculum design, training technique, etc. ● Training activity that contributes to achievement of desired institutional change ● Training activity that results in demonstrable improvement in the performance of an agricultural technology <p>Work objectives</p> <ul style="list-style-type: none"> ● Quality and quantity of performance with regard to work plan
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shift in rank. Among all types of rewards, the most important criterion appears to be output. Other significant criteria include CGIAR center management, technology transfer, creativity, and general performance.

As in the protocols for staff assessment, the output criterion in the protocols for reward includes

a variety of products (Annex 5). Although there is a large overlap in the products considered for assessment and reward, they are not identical. In general, products for reward are described in more detail than those for assessment. For example, "research output" is mentioned in assessment protocols. In reward protocols this is variously described as "decisive outcomes of re-

Table 20. Reward criteria ranking*

Ranking by Staff Type		Ranking by Reward Type		Ranking by Kind of Performance	
Staff Overall	Senior Staff	Bonus	Salary Adjustment	Outstanding	General
1 Output	1 Output	1 Output	1 General	1 Output	1 General
2** General	2 Center management	2 Technology transfer	2 Output	2 Technology transfer	2** Creativity
2** Center management	3 Expertise	3 Center management	3 Expertise	3 Center management	2** Output
2** Technology transfer	3 General	4 Creativity		4 General	3 Center management
3 Creativity		5 General			

* Frequency as a function of the number of criteria from the protocols classified in the category.

**Criteria with the same frequency.

search that are not easily publishable," "successful research in a difficult field," and "research results demanded by clients." In addition, some outputs mentioned in assessment protocols but not in the protocols for reward are annual reports, equipment designs, maps, and software. Some of the outputs mentioned in protocols for reward but not in those for assessment are ideas, books, citation index recognition, and videos. The reasons for these differences are not indicated in the protocols.

Design issues—reward criteria

The most significant question involves the linkage, if any, that should be forged between the assessment and reward systems in an organization. This question arises because both systems deal with similar performance criteria. In the literature on monetary rewards, three kinds of models have emerged: isolation, loose linkages, and close linkages. Isolation is recommended by some authors who contend that linkages between reward and assessment systems are detrimental to overall performance (Scholtes, 1994).

Most authors contend that a direct relationship is necessary in which the reward system depends upon the assessment system (Murlis, 1987; Mohrman, Resnick-West, and Lawler, 1989; Marsden and Richardson, 1994). Among the CGIAR centers, six rewards (given by three centers) have some linkage with an assessment system. According to the literature, close linkages, in which rewards depend directly upon the outputs of the assessment, are the mainstream approach (Bretz, 1991). Two of the CGIAR centers evidenced close linkages.

Close linkages are difficult to achieve in situations in which there are concerns about the measurement of performance and about basic pay equity (Murlis, 1987; Sullivan, 1988). In these situations, loose linkages may be necessary when rewards depend in part upon assessment results and take into account other factors. Situations with significant concerns for performance measurement and pay equity are common in NARS. One of the CGIAR centers has loose linkages between its reward and assessment system.

Ten of the 16 rewards for performance in this study are isolated from the assessment systems of the centers. Whether this isolation is by design or coincidence is not clear. However, six rewards are linked to an assessment system; and these are found in three centers, one center with loose linkages and two with close linkages. One center with close linkage between one of its rewards and its assessment system also has two rewards that are isolated from the assessment system. In general, the issue of linking reward and assessment systems appears to be unresolved among the CGIAR centers.

The issues of assessment and reward criteria are similar. The main question is whether to reward outputs or attributes. The CGIAR centers clearly reward achievement ahead of behavior: outputs like publications are considered far more frequently than attributes like adaptability. Conclusions in the literature about reward criteria are not common and, in some cases, appear to be inconsistent. For example, one report cautions, "be careful what you measure, because you'll get exactly what you measure (and nothing else)" (Chester, 1995, pp. 14), while another observes that the precise effects of reward on performance

remain largely a mystery (Marsden and Richardson, 1994). In one area of agreement, several authors advise that the criteria for reward should focus on the specific objectives of the organiza-

tion (McAdams, 1988; Chester, 1995). Given the frequency of statements about CGIAR center/unit management, the centers seem to have already incorporated this advice.

3.5 Processes for Selecting Recipients of Rewards

To describe how the CGIAR centers made awards for outstanding performance to staff, we analyzed the reward protocols to determine who is responsible for nominating candidates, for screening nominees (e.g., producing a short list), and for selecting recipients (Table 21).

Responsibilities for separate transactions in reward processes, including nomination, screening, and selection are dispersed among two or more entities in most of the rewards. That is, one entity is responsible for nomination and another for selection. Participating entities consist of individual staff, committees, managers, and, occasionally, outsiders. In only a few cases does a single entity, a manager, have total responsibility. Thus, responsibility tends to be collective, and responsibility tends to be singular; that is, one entity is usually responsible for one transaction.

In general, reward transactions in the CGIAR centers are handled by managers. Nominations tend to be made by lower-level managers, with staff participation at several centers. Screening tends to be done by committees appointed by management, enabling some limited participation by staff. Selection is commonly done by top managers. Eight of the 16 rewards are decided by a director general, two are decided by lower-level managers, five others involve committees. One is

handled by higher authority (board of trustees). In summary, managers are responsible for most of the reward transactions, committees appointed by management are also common, and individual staff have few responsibilities.

Design issues—responsibility for reward processes

One important issue for NARS is how much to decentralize responsibility for rewarding outstanding performance. A related issue is how much participation by staff is useful in operating a reward system. The trend in the CGIAR centers toward decentralization and staff participation is indicated by peers making nominations, committees screening candidates, and committees and lower-level managers (e.g., first-level supervisors) identifying recipients. Some authors advocate, in general, the participation of staff in designing appraisal and reward systems (Mohrman, Resnick-West, and Lawler, 1989). Other authors recommend decentralizing reward-granting authority, especially for research organizations (Chester, 1995). However, as with other issues already discussed, cultural factors influence the propriety of centralized decision-making and participatory management in research organizations (Hoppe, 1993).

3.6 Composite of Methods for Reward

The CGIAR centers' reward systems are not as elaborate as their assessment systems. Three times as many protocols were received for assessment as for reward.

As with assessment, the size of the centers did not appear to influence the design of reward systems. For example, small centers were as likely as large centers to offer bonuses and promotions.

The centers offer more monetary than non-monetary rewards. Among the former, bonuses are more typical than salary increases. Among the latter, certificates, ceremonies, and announcements in the centers' newsletters are common.

Unlike their assessment systems, the CGIAR centers do not usually distinguish rewards for different staff by function or level. In addition, their rewards are primarily aimed at individual rather than team performance.

Criteria the CGIAR centers use for determining rewards are similar to those used for assessing staff performance. However, stress on achievement (outputs) is featured in the reward criteria, while the emphasis in assessment is on attributes (behavior). Few rewards are linked to an assessment system, and the issue of linkage appears unresolved.

Finally, reward systems typically have three processes: nomination, screening, and selection. While

Table 21. Responsibility for selecting recipients of performance rewards

Center	Title of Reward	Nomination	Reward Processes	
			Screening	Selection
C	● Improvement Idea Plan	Human resources manager	Internal panel	Internal panel
H	● Accelerated Promotion Scheme	Self through program director and deputy DG	External panel	Director general
	● Promotion through Growth Categories	Self	– Personnel division – Promotion committee – Appraisal committee	Director general
	● Performance Advancement	None	None	Director general
I	● Merit Pay for Support Staff	None	None	Division director
	● Merit Pay for Senior Staff	None	None	Director general
J	● Excellence in Research, Information, Training, and Outreach	Any staff (including self)	Evaluation panel	Director general
L	● Excellence in Support of the Center's Program	Any staff (including self)	Evaluation panel	Director general
	● Excellence Award	Head of division, center, or unit	Awards committee	Awards committee
	● Innovation Award	Head of division, center/unit; or program director	Awards committee	Awards committee
M	● Special Achievement Award	Head of division, center/unit, or program director	Awards committee	Awards committee
	● One-step Adjustment in Base Salary	Immediate supervisor	None	Immediate supervisor
N	● Performance Award	Program director	None	Management committee
	● Two-step Adjustment in Base Salary	Immediate supervisor	None	Director general
	● Outstanding Senior Staff Achievement Award	Program committee	Director general	Board of trustees
	● Outstanding Research Publication Award	Scientific review committee	Program committee	Director general

managers are mostly responsible for these processes, there are significant occurrences of decentralization and staff participation.

To illustrate for readers how they might also draw composites for the reward of their own researchers and other staff, we describe below a composite of the methods used by centers to reward outstanding performance by researchers (senior program staff).

In the composite, the center provides a budget to reward up to 10 percent of its researchers annually. Each recipient receives a performance bonus equal to two percent of his or her annual base salary. Rewards are based on one or more of the following criteria:

- successful research in a particularly difficult field;
- publication in internationally recognized refereed journal;
- contribution to well-being of clients in the field (farmers, members of the farming community, agricultural development workers).

In the composite process, the director general uses a memorandum and staff meeting to invite senior staff to submit confidential nominations for the annual performance bonus. Individuals can nominate themselves or others. All nominations must be written and should explain how a candidate's performance satisfies the criteria for the reward. Nominations are submitted to a committee of research program leaders selected by

the director general (committee composition is changed annually). The committee selects recipients from the nominations and submits the recipient list to the director general.

[To complete the composite], the director general arranges for the annual awards ceremony, to which all staff are invited. The ceremony combines the presentation of awards to researchers with presentations to other staff who are also

award recipients. During the ceremony, each recipient is presented with a certificate signed by the director general and the chairperson of the board of trustees. In each presentation, the justification for the reward is announced. Recipients receive credit vouchers for their bonus payments. Following the ceremony, the regular staff newsletter carries a special section reporting on the ceremony and recipients of this year's annual performance awards.

PART 4

Samples of Staff Assessment Protocols

4 Samples of Staff Assessment Protocols

4.1 Protocols for Assessment of Program Staff

The following protocols are included in this section:

- Center C—Rating Scale for Support Staff
- Center H—Rating Scale for Support Staff
- Center D—MBO and Rating Scale for Senior Staff
- Center E—MBO and Rating Scale for Senior Staff
- Center L—MBO and Rating Scale for Senior Staff
- Center H—Rating Scale for Senior Staff
- Center H—MBO for Senior Staff
- Center J—Rating Scale for Senior Staff
- Center K—Essay for Senior Staff

CGIAR Center: C
 Assessment Method: Rating Scale, Essay

Staff Assessed: Program Support Staff
 Page: 1 of 2

**PERFORMANCE APPRAISAL
 OPERATING PERSONNEL**

NAME OF EMPLOYEE	POSITION
DEPARTMENT/AREA	PROGRAM
DATE HIRED	TIME IN CURRENT POSITION
APPRAISAL PERIOD	DATE

Mark with an "X" where corresponds according to the employee's performance during the appraisal period.

D DEFICIENT
G GOOD
VG VERY GOOD
E EXCELLENT

FACTOR	D	G	VG	E
1. Quantity of work				
2. Quality of work				
3. Responsibility				
4. Promptness and Attendance				
5. Behavior and Discipline				

FINAL QUALIFICATION
 (TO BE FILLED BY HUMAN RESOURCES)

CGIAR Center: C
Assessment Method: Rating Scale, Essay

Staff Assessed: Program Support Staff
Page: 2 of 2

STRENGTHS AND ABILITIES OF THE APPRAISED

COMMENTS FROM APPRAISER

I AGREE WITH MY APPRAISAL

YES

NO

SIGNATURE OF PERSON APPRAISED

NAME AND SIGNATURE FROM APPRAISER

NAME AND SIGNATURE OF REVIEWER

CGIAR Center: **H**
 Assessment Method: **Rating Scale, Essay**

Staff Assessed: **Program Support Staff**
 Page: **1 of 2**

**PERFORMANCE APPRAISAL REPORT
 (FOR NON-SUPERVISORY PERSONNEL IN SCIENTIFIC PROGRAMS)**

TRAITS	RATING	JUSTIFY HIGH/LOW RATING
<u>Group I - PERSONAL TRAITS</u>		
1. Application and commitment to work		
2. Cooperation and teamwork		
3. Initiative		
4. Attendance		
5. Punctuality		
6. Dependability		
7. Integrity		
8. General behavior		
9. General health		
<u>Group II - JOB SKILLS</u>		
1. Job knowledge and competence		
2. Work efficiency and quality		
3. Handling and care of equipment		
4. Economy in use of resources		
5. Willingness to work beyond normal hours		
6. Awareness for safety		

Recommendations, if any, for training and development:

CGIAR Center: **H**
Assessment Method: **Rating Scale, Essay**

Staff Assessed: **Program Support Staff**
Page: **2 of 2**

SUMMARY OF STRENGTHS & WEAKNESSES (Narrative to support evaluation)

OVERALL RATING

REPORTING OFFICER

Name: _____

Date: _____

Designation: _____

SUMMARY OF STRENGTHS, WEAKNESSES, SPECIAL SKILLS, POTENTIAL FOR GROWTH AND DEVELOPMENT (Narrative to support evaluation)

OVERALL RATING

SUPERVISING OFFICER

Name: _____

Date: _____

Designation: _____

SUMMARY OF STRENGTHS, WEAKNESSES, SPECIAL SKILLS, POTENTIAL FOR GROWTH AND DEVELOPMENT (Narrative to support evaluation)

OVERALL RATING

REVIEWING OFFICER

Name: _____

Date: _____

Designation: _____

CGIAR Center: D
 Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Program Staff
 Page: 1 of 7

STAFF EVALUATION 199__

FORM I
 (To be filled by Evaluee)

Name of Evaluee: _____ Department: _____

Name of Program Leader:

1. Were your annual objectives clearly defined? Yes ___ No ___

Program Leader
 Comments

2.

Which were our relevant sub-projects or activities	Time Allocation %	Grade your Research Output*		
		Quantity	Quality	Organization
a.				
b.				
c.				
d.				
Administration (project proposals, etc)				
Training				
Total 100%				

*Grade 1-3

1=Less than expected

2= Fully meets position requirements

3=More than expected

CGIAR Center: **D**
 Assessment Method: **MBO, Rating Scale, Essay**

Staff Assessed: **Senior Program Staff**
 Page: **2 of 7**

	Comments									
<p>3. Name two important practical applications of your work:</p> <p>4. Name two important potential outcomes:</p> <p>a.</p> <p>b.</p> <p>5. I was assisted by:</p> <table style="margin-left: auto; margin-right: auto; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;"></th> <th style="width: 35%; text-align: center;">Part-time</th> <th style="width: 35%; text-align: center;">Full-time</th> </tr> </thead> <tbody> <tr> <td style="border: 1px solid black; padding: 2px;">Assistant</td> <td style="border: 1px solid black; width: 35%;"></td> <td style="border: 1px solid black; width: 35%;"></td> </tr> <tr> <td style="border: 1px solid black; padding: 2px;">Technicians</td> <td style="border: 1px solid black; width: 35%;"></td> <td style="border: 1px solid black; width: 35%;"></td> </tr> </tbody> </table> <p>6a. What more could have been achieved?</p> <p>6b. What were problems (institutional/personal)?</p> <p>7. Were you mainly working independently or as part of a team?</p> <p>8. Were your reports on time? Yes___ No___</p> <p>9. List of publications you authored (scientific, manuals, pamphlets, etc.)</p> <p>10. If you edited or refereed journals, attach list</p>		Part-time	Full-time	Assistant			Technicians			
	Part-time	Full-time								
Assistant										
Technicians										

CGIAR Center: D
 Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Program Staff
 Page: 3 of 7

	Comments
11a. What proposals did you prepare?	
11b. Were any of these accepted by donors?	
12a. What training courses did you participate in as instructor?	
12b. Which NARS did you visit to support collaborative activities?	
13. List international conferences, seminars, you attended.	
14. Were there regular opportunities for evaluating your work during the year? Yes___ No___	
15. What additional experiences/training would help improve your skills?	
16. Other aspects of your work you wish to mention.	
<p>_____</p> <p style="text-align: center;">Signature</p> <p>_____</p> <p style="text-align: center;">Date</p>	

CGIAR Center: D
 Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Program Staff
 Page: 4 of 7

FORM II

Evaluation by Program Leader

Name of Evaluatee: _____

Rate performance level Moderate, Good, Very Good for the next five questions.

	<u>M</u>	<u>G</u>	<u>V.G.</u>
17. Is evaluatee a good team member?	—	—	—
18. Does he/she interact well with NARS scientists/leaders?	—	—	—
19. Does he/she use computer resources adequately?	—	—	—
20. Is he/she competent in essential languages?	—	—	—
21. Did he/she make use of any opportunities to upgrade his/her skills?	—	—	—

22. General Assessment

Rating (R)

	Poor	M(1)	G(2)	V.G.(3)	Ex(4)	Weight(W)*	Score (RxW)
Quality of work							
Quantity of work							
Training							
Total						10	

Note: Category "Poor" not included in rating, please explain if you mark this category.

* This is a measure of the importance you assign to different aspects of work. (0 low - 9 high, total 10 points)

CGIAR Center: D
Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Program Staff
Page: 5 of 7

Comments by evaluator:

Comments by evaluatee:

Signed _____
Evaluatee

Program Leader _____

Date:

Attached Part III:

Regional Rep. ____

HQ Staff: ____

CGIAR Center: D
 Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Program Staff
 Page: 6 of 7

FORM III

(Comments by Regional Representatives or Second Evaluator for HQ Staff)

Name of Eevaluee: _____

Rate performance level Moderate, Good, Very Good for the next five questions.

	<u>M</u>	<u>G</u>	<u>V.G.</u>
Is evaluatee a good team member?	—	—	—
Does he/she interact well with NARS scientists/leaders?	—	—	—
Does he/she use computer resources adequately?	—	—	—
Is he/she competent in essential languages?	—	—	—
Did he/she make use of any opportunities to upgrade his/her skills?	—	—	—

General Assessment

	Poor	Moderate	Good	Very Good	Excellent
Quality of research					
Quantity of research					
Training					
Overall rating					

Note: Category "Poor" not included in rating; please explain if you mark this category.

CGIAR Center: D
Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Program Staff
Page: 7 of 7

Other observations:

Name: _____ Date: _____
Evaluator Signature

CGIAR Center: E
 Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Program Staff
 Page: 1 of 4

[Center]
Annual Performance Appraisal Report - Professional Staff
Scientific & Research

I. PERSONAL DATA

Name		Staff Code No.		Job Grade	
Position Title		Position Code		Program/Dept. Code	
Period under review From: to:		Scheduled Appraisal Date:		Actual Appraisal Date:	
Next Appraisal Date:					
Date hired	Date in position	Present salary	Date of last increase	Amount & % increase	

II. OBJECTIVES FOR THE PERIOD UNDER REVIEW

(Contents of this section should have been prepared by the immediate supervisor in consultation with the employee at the beginning of the period under review, subject to later revision as necessary.)

III. STAFF MEMBER'S COMMENTS *

A. Describe briefly your main work achievements during the review period, as well as any training or other personal development activities you took part in. If you had any performance objectives for the year, indicate what progress you feel was made toward them. Highlight progress in research, publications, training done, center-wide support activities, relationship with NARS, and others.

B. If applicable, please describe problems you encountered in meeting any of the above objectives; give reasons and suggest ways to overcome them.

* Use additional sheets if required.

CGIAR Center: E
 Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Program Staff
 Page: 2 of 4

IV. OBJECTIVES FOR THE NEXT REVIEW PERIOD

List objectives to be achieved during the next review period.
 (To be completed by the staff member in consultation with the immediate supervisor.)

V. SUPERVISOR'S APPRAISAL OF PERFORMANCE

A. OVERALL FUNCTION ASSESSMENT

Identify the main function and duties in order of priority and indicate the priority level as "high", "average" or "low" and indicate on a scale of 1(unsatisfactory) to 5 (exceptional) how well he/she fulfilled each such responsibility. Include any managerial/supervisory functions the staff member had.

RESPONSIBILITIES	PRIORITY LEVEL	JUDGEMENT OF EFFECTIVENESS
1. Scientific and Research		
- Scientific approach	_____	_____
- Quality of research work	_____	_____
- Output	_____	_____
- Interpretation of data	_____	_____
- Publications	_____	_____
- Contribution to [center's] objectives	_____	_____
2. Personal		
- Personal relations	_____	_____
- Teamwork	_____	_____
- Responsibility and reliability	_____	_____
- Training contributions	_____	_____
- Judgement and discretion	_____	_____
- External relations	_____	_____

CGIAR Center: E
 Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Program Staff
 Page: 3 of 4

RESPONSIBILITIES	PRIORITY LEVEL	JUDGEMENT OF EFFECTIVENESS
3. Administrative		
- Leadership	_____	_____
- Organizing ability	_____	_____
- Ability to deal with budgets and facilities	_____	_____
- Insisting on punctuality	_____	_____

B. DESCRIPTIVE ASSESSMENT:
 Having in mind your unit's objectives and priorities, summarize your view of the staff member's performance. Note his or her special achievements (strengths) during the year, any broad improvements, and unusual talents and potentials shown. Comment also on what needs improvement (weaknesses) and possible ways to deal with such aspects.

VI. OVERALL RATING

Circle what you feel describes the staff member's performance

1. Unsatisfactory 2. Fair 3. Good 4. Very Good 5. Exceptional

VII. SUPERVISOR'S SUMMARY OF DISCUSSION

Did you discuss this evaluation with the staff member ?

A. If yes, please summarize the discussion. Indicate any significant differences that emerged, and looking ahead, outline any plans relating to performance in the next review period that were discussed, the objectives or expectations that were established, and how actual performance relevant to them will be measured. Also mention any plans being made for further development of the staff member's capacities. Finally indicate that major weaknesses, if any, have been brought to the staff member's attention.

B. If no, please give the reason.

CGIAR Center: E
Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Program Staff
Page: 4 of 4

VIII. ADDITIONAL COMMENTS OF RESPECTIVE DIRECTORS

Record any reaction, plus any decisions, or follow-up actions to be taken; i.e., probation, promotion, salary or merit increase decisions.

IX. SIGNATURES

Immediate supervisor	Respective Director
Name:	Name:
Title:	Title:
Signature:	Signature:
Date:	Date:

X. REVIEW COMMITTEE COMMENTS

_____	_____	_____	_____
Chairman	Date	Director General	Date

CGIAR Center: L
 Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Program Staff
 Page: 1 of 5

[Center]
PERFORMANCE EVALUATION REPORT
(INTERNATIONALLY RECRUITED STAFF)

NAME : _____ **POSITION TITLE:** _____

ORGANIZATIONAL UNIT: _____ **PRINCIPAL PROGRAM:** _____

EVALUATION PERIOD: _____

GUIDELINES

The Performance Evaluation System provides an opportunity for a formal appraisal of your performance with focus on individual development and growth. It will give you the chance to report your accomplishments and to share your thoughts and reactions to work-related events that have occurred during this evaluation period. Furthermore, you and your supervisors can also review your past performance (achievements and responsibilities), and agree on your objectives for the coming year. This is designed to be a positive exercise, with an input from you and your supervisors in the context of your job, values and needs of the institute.

Part I-A (List of Objectives) asks you to provide a copy of the Objectives agreed upon for this evaluation period.

Part I-B (Time Allocation) is a listing of activities valued by the institute. Management recognizes and appreciates the fact that many of you are involved in many activities. We are taking this opportunity to share with you what the institute values and to ascertain the time you spend on these activities. We certainly value your contribution in these different work-related activities.

Part I-C asks you to list your accomplishments during the evaluation period. Here, you can cite areas where progress has been made in areas personally agreed upon or in new areas relevant to your work. Feel free to write comments which may be related to your work or experiences during the evaluation period.

Part I-D covers the factors that hindered or constrained the achievement of any of your objectives, whether fully or partially.

Part I-E is reserved for the evaluation of your supervisor on your performance.

Part I is accomplished and submitted to your supervisor at least one week before your scheduled interview with your supervisor.

Part II is the statement of your work plan in terms of your objectives to be achieved for the next evaluation period. The objectives should be specific, measurable, do-able, realistic, time-bound and limited to 3 - 4 items only. A staff development plan which identifies the areas/needs which could help ensure the achievement of the work plan is included in Part II.

Part III includes the comments of your supervisors on your performance. It also allows you to respond to the appraisal.

Part IV formalizes the process where you and all your supervisors will acknowledge that every section and part of this form has been read and accomplished.

CGIAR Center: L
 Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Program Staff
 Page: 2 of 5

PART I

A. LIST OF OBJECTIVES

Please provide a copy of the Objectives you and your supervisor agreed upon for this evaluation period.

B. ACTIVITIES VALUED BY THE INSTITUTE

LIST OF ACTIVITIES	TIME ALLOCATION (%)
<p>A. RESEARCH CONTENT AND OUTPUT (examples of which may include the following)</p> <p>High rate of production of quality research results; design and analysis of experiments; devises novel approaches to researchable issues; and source of inspiration, resource and guidance to other scientists and collaborators</p>	
<p>B. INTERNATIONAL RESEARCH MANAGEMENT (examples of which may include the following)</p> <p>Staff selection, management in scientific discipline; program budget and allocation; program planning, coordination, evaluation and reporting; and ecosystem-specific linkages with national programs</p>	
<p>C. COMMUNICATION OF RESEARCH RESULTS (examples of which may include the following)</p> <p>Writing and publication of papers and/or articles, work plans and training materials; research clientele reporting; and participation in workshops/conferences either as speaker or resource person</p>	
<p>D. LIAISON, TRAINING AND SUPPORT TO NARS (examples of which may include the following)</p> <p>Liaison with NARS to facilitate research collaboration, HRD, information exchange, network participation, etc. Assistance to and/or close interaction with NARS; and contribution to degree, non-degree, and group training</p>	
<p>E. DONOR RELATIONSHIPS (examples of which may include the following)</p> <p>Resource person for project proposals; identifying and writing proposals for funding; donor review, and reporting</p>	
<p>F. RESEARCH AND SUPPORT SERVICES</p> <p>Effective planning and delivery of research support services; improvement of efficiency and effectiveness; cost-cutting; training of staff; and effective communication with clients</p>	
<p>G. ADMINISTRATIVE/FINANCIAL/OPERATIONAL MANAGEMENT (examples of which may include the following)</p> <p>Effective planning and organizing of unit work plans; cost reduction; development and/or improvement of work methods; and guidance to subordinates</p>	
<p>H. PERSONAL EFFECTIVENESS/TEAM BUILDING (examples of which may include the following)</p> <p>Participation in working groups and projects; staff development and motivation to achieve goals and objectives; and interpersonal relationship</p>	
<p>I. OTHERS (Functions not covered by any of the above categories): Specify:</p>	

CGIAR Center: L
Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Program Staff
Page: 3 of 5

C. LIST OF ACCOMPLISHMENTS

Describe your accomplishments during the review period. It may be convenient to list these according to the activities valued by the institute as described in the previous page (Part I-B). You can cite areas where progress has been made or in new areas relevant to your work. Please feel free to include comments as necessary to support your accomplishments.

LIST OF ACCOMPLISHMENTS

D. CONSTRAINTS TO ACHIEVEMENTS

Kindly write down any constraints that may have hindered the accomplishment of your objectives. These also may be issues you want to discuss with your supervisors.

CONSTRAINTS TO ACHIEVEMENTS

E. APPRAISERS' EVALUATION

APPRAISERS' EVALUATION
A. BY PROJECT COORDINATOR
B. BY PROGRAM LEADER/DIVISION/CENTER HEAD

CGIAR Center: L
Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Program Staff
Page: 4 of 5

PART II (To be developed jointly during the interview process)

A. WORK PLAN

Specific objectives to be achieved for the next evaluation period. You may wish to refer to the list of activities valued by the Institute in Part I-B. In writing your objectives, please make sure that they are specific, measurable, attainable, realistic and time bound.

WORK PLAN

B. STAFF DEVELOPMENT PLAN

Identify areas/needs which could help ensure the achievement of the work plan.

STAFF DEVELOPMENT PLAN

CGIAR Center: L
 Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Program Staff
 Page: 5 of 5

PART III - COMMENTS on the appraisal

DEPUTY DIRECTOR GENERAL'S COMMENTS

--

SUPERVISOR'S COMMENTS

--

STAFF MEMBER'S COMMENTS

--

PART IV - FINAL ACKNOWLEDGEMENT (The signatories below have read all the sections of the evaluation form)

DEPUTY DIRECTOR GENERAL:	DATE:
PROGRAM LEADER:	DATE:
DIVISION/CENTER HEAD:	DATE:
STAFF MEMBER:	DATE:

CGIAR Center: **H**
 Assessment Method: **Rating Scale, Essay**

Staff Assessed: **Senior Program Staff**
 Page: **1 of 3**

**PERFORMANCE APPRAISAL REPORT
 (FOR SCIENTISTS)**

TRAITS	RATING	JUSTIFY HIGH/LOW RATING															
<p>Group I - PERSONAL TRAITS</p> <ol style="list-style-type: none"> 1. Dependability 2. Integrity 3. Initiative 4. Commitment to work 5. Cooperation and teamwork 6. Understanding & handling human relations with: <table style="margin-left: 40px; border-collapse: collapse;"> <tr> <td style="padding-right: 10px;">(a)</td> <td>Supervisors</td> <td style="border: 1px solid black; width: 40px; height: 15px;"></td> </tr> <tr> <td>(b)</td> <td>Subordinates</td> <td style="border: 1px solid black; width: 40px; height: 15px;"></td> </tr> <tr> <td>(c)</td> <td>Colleagues/peers</td> <td style="border: 1px solid black; width: 40px; height: 15px;"></td> </tr> <tr> <td>(d)</td> <td>Collaborators</td> <td style="border: 1px solid black; width: 40px; height: 15px;"></td> </tr> <tr> <td>(e)</td> <td>Trainees</td> <td style="border: 1px solid black; width: 40px; height: 15px;"></td> </tr> </table> <p style="text-align: center; margin-left: 40px;">Mean of (a) to (e)</p> 	(a)	Supervisors		(b)	Subordinates		(c)	Colleagues/peers		(d)	Collaborators		(e)	Trainees			<p style="text-align: center; margin-top: 400px;">Mean of 1- 6 </p>
(a)	Supervisors																
(b)	Subordinates																
(c)	Colleagues/peers																
(d)	Collaborators																
(e)	Trainees																
<p>Group II - HUMAN RESOURCE/MANAGEMENT SKILLS</p> <ol style="list-style-type: none"> 1. Ability to set priorities 2. Supervise, control & coordinate 3. Leadership 4. Communication and consultation 5. Training & development of staff 6. Appraisal & counselling of staff 7. Timeliness 8. Achieving [center] goals 9. Cost-effectiveness 		<p style="text-align: center; margin-top: 400px;">Mean of 1- 9 </p>															

CGIAR Center: **H**
 Assessment Method: **Rating Scale, Essay**

Staff Assessed: **Senior Program Staff**
 Page: **2 of 3**

TRAITS	RATING	JUSTIFY HIGH/LOW RATING																			
<p>Group III - SCIENTIFIC SKILLS</p> <ol style="list-style-type: none"> 1. Scientific knowledge and competence 2. Familiarity with new developments and technologies in his/her field 3. Ability to set priorities 4. Data collection and maintenance 5. Data analysis and interpretation 6. Economy in use of resources 7. Ability to draft 8. Publication (relevance & quality) 9. Ability to review scientific papers 10. Presentation and participation in seminars 11. Consultancy, advisory, liaison, network activities and timeliness 12. Meet project objectives 		<p>Mean of 1- 12 <input style="width: 40px; height: 20px;" type="text"/></p>																			
<p>SUMMARY OF STRENGTHS, WEAKNESSES, SPECIAL SKILLS, POTENTIAL FOR GROWTH AND DEVELOPMENT <i>(Narrative to support evaluation)</i> <i>[Recommended Weightage : A, B or C]</i></p> <hr style="border: 0; border-top: 1px solid black; margin-bottom: 10px;"/> <hr style="border: 0; border-top: 1px solid black; margin-bottom: 10px;"/> <hr style="border: 0; border-top: 1px solid black; margin-bottom: 10px;"/> <hr style="border: 0; border-top: 1px solid black; margin-bottom: 10px;"/>	<p style="text-align: center;">WEIGHTAGE</p> <table border="1" style="margin-left: auto; margin-right: auto; border-collapse: collapse;"> <thead> <tr> <th style="width: 10%;"></th> <th style="width: 10%;">A</th> <th style="width: 10%;">B</th> <th style="width: 10%;">C</th> <th style="width: 10%;"></th> </tr> </thead> <tbody> <tr> <td>Group I</td> <td style="text-align: center;">20</td> <td style="text-align: center;">20</td> <td style="text-align: center;">20</td> <td style="width: 10%;"></td> </tr> <tr> <td>Group II</td> <td style="text-align: center;">20</td> <td style="text-align: center;">30</td> <td style="text-align: center;">40</td> <td></td> </tr> <tr> <td>Group III</td> <td style="text-align: center;">60</td> <td style="text-align: center;">50</td> <td style="text-align: center;">40</td> <td></td> </tr> </tbody> </table> <p style="text-align: right; margin-top: 10px;">OVERALL RATING <input style="width: 60px; height: 20px;" type="text"/></p>		A	B	C		Group I	20	20	20		Group II	20	30	40		Group III	60	50	40	
	A	B	C																		
Group I	20	20	20																		
Group II	20	30	40																		
Group III	60	50	40																		

CGIAR Center: **H**
Assessment Method: **Rating Scale, Essay**

Staff Assessed: **Senior Program Staff**
Page: **3 of 3**

REPORTING OFFICER

Name: _____

Date: _____

Designation: _____

SUMMARY OF STRENGTHS, WEAKNESSES, SPECIAL SKILLS, POTENTIAL FOR GROWTH AND DEVELOPMENT (*Narrative to support evaluation*)

OVERALL RATING

SUPERVISING OFFICER

Name: _____

Date: _____

Designation: _____

SUMMARY OF STRENGTHS, WEAKNESSES, SPECIAL SKILLS, POTENTIAL FOR GROWTH AND DEVELOPMENT (*Narrative to support evaluation*)

OVERALL RATING

REVIEWING OFFICER

Name: _____

Date: _____

Designation: _____

CGIAR Center: **H**
 Assessment Method: **MBO**

Staff Assessed: **Senior Program Staff**
 Page: **1 of 6**

PART I - Project Activities

ACHIEVEMENTS/OUTPUTS REPORT

SCIENTIST
 [IRS, Regional and NRS (CAT.IV)]

Period: _____ **Name:** _____ **Division:** _____ **Location:** _____
Position: _____ **Discipline:** _____ **Project:** _____

Subproject Activity Number	Achievements/outputs in relation to approved Work Plan for [year]	Comments/appraisal

 Project Team Leader

Date:

 Scientist/Project Team Member

Date:

CGIAR Center: **H**
 Assessment Method: **MBO**

Staff Assessed: **Senior Program Staff**
 Page: **2 of 6**

Subproject Activity Number	COMMENTS/APPRAISAL	Signature / Date
	Line Research Division Director:	
	Research Division Director:	
	Research Executive Director in consultation with Country Representative:	
	Assistant Director General (Research):	

CGIAR Center: **H**
 Assessment Method: **MBO**

Staff Assessed: **Senior Program Staff**
 Page: **3 of 6**

ACHIEVEMENTS/OUTPUTS REPORT	PART II - Other Activities
<p>SCIENTIST [IRS, Regional and NRS (CAT.IV)]</p>	
<p>Period: _____</p> <p>Name: _____ Division: _____ Location: _____</p> <p>Position: _____ Discipline: _____ Project: _____</p>	
<p>Achievements/outputs in relation to approved Work Plan for [year]</p> <p>A. Administrative responsibilities/Committees:</p> <p>B. General [Center] activities:</p> <p>C. Travel:</p> <p>D. Training activities:</p> <p>E. Others (specify):</p>	<p>Comments/appraisal*</p>
<p>Project Team Member/Project Team Leader _____</p> <p>Date: _____</p>	<p>Research Division Director/Line Research Division Director* _____</p> <p>Date: _____</p>

* First Reviewer as per the Guidelines

CGIAR Center: **H**
Assessment Method: **MBO**

Staff Assessed: **Senior Program Staff**
Page: **4 of 6**

Signature / Date	COMMENTS/APPRaisal
	Research Division Director:
	Research Executive Director in consultation with Country Representative:
	Assistant Director General (Research):

CGIAR Center: H
Assessment Method: MBO

Staff Assessed: Senior Program Staff
Page: 5 of 6

Guidelines for Completion of Achievements/Outputs Report for Scientist

Achievements/Outputs Report (AOR) consists of two parts: Part I (Project Activities), which is specific to a single project, and Part II (Other Activities), which includes activities not covered in research projects.

For Program Team Members

1. Part I, Project Activities, should be completed separately for each project in which the scientist is involved and the sheet(s) forwarded to the Program Team Leader along with a copy of the approved work-plan for review, comments and countersignature. Description of Achievements/Outputs should be in relation to the approved work plan for [year] and should be output-oriented rather than activity-oriented (in other words, should define the outcomes of the work rather than dwelling on the details of the methods and activities used to achieve them) and should be concise. For ease of cross reference, achievements/outputs should be reported under the same sequence as in the work plan.
2. Part II, Other Activities, need only be filled in once by each scientist and should be forwarded directly to the scientist's Research Division Director.

For Program Team Leaders

Completing Own Achievements/Outputs Report:

3. Where a Program Team Leader is a Program Team Member, Part I should be completed as indicated under 1 above.
4. A Program Team Leader's achievements/outputs in project management should be entered in Part II, Other Activities. This should be forwarded directly to the Research Division Director with line responsibility for managing the project (in most cases the Program Team Leader's own Research Division Director, but occasionally the Research Division Director of another division).

Processing Program Team Member's Achievements/Outputs Reports:

5. Program Team Leader will comment and indicate a judgement of the degree of completion on each of the Achievements/Outputs in Part I by interaction with the staff member, should countersign and forward it to the Program Team Member's Research Division Director.
6. When the Program Team Leader is a Program Team Member in his/her own project, he/she should also countersign Part I as Program Team Leader and forward it to the Research Division Director with line responsibility for managing the project (in most cases the Program Team Leader's own Research Division Director, but occasionally the Research Division Director of another division).
7. When a Program Team Member is an Research Division Director, the Program Team Member should countersign the Program Team Member's Part I form and forward it to the Assistant Director General (Research).

CGIAR Center: **H**
Assessment Method: **MBO**

Staff Assessed: **Senior Program Staff**
Page: **6 of 6**

For Research Division Directors

Completing Own Achievements/Outputs Report:

8. Where an Research Division Director is a Program Team Member in a project, Part I should be completed as indicated under 1 above.
9. An Research Division Director's activities in division direction and in project management should be indicated in Part II, Other Activities. Where the Research Division Director is also a Program Team Leader , the completed Part II should be forwarded to the Research Division Director with line management responsibility for the project. Where the Research Division Director is not a Program Team Leader, the completed Part II should be forwarded directly to the Assistant Director General (Research).

Processing Program Team Member's and Program Team Leader's Achievements/Outputs Reports:

10. The Research Division Director will receive completed Part I Achievements/Outputs Report forms from the Program Team Leaders of each project in which a Program Team Member is working and a single Part II form. Research Division Director will review and countersign all the forms, send copies back to the Program Team Member, and use the Achievements/Outputs Report for completion of [year] Performance Appraisals.
11. Research Division Directors will receive completed Part II forms from the Program Team Leaders of projects of which they have line management responsibility. Occasionally, the Program Team Leader will be a staff member of a division other than the Research Division Directors. In this case, the line Research Division Director should review and countersign the forms and forward them to the Program Team Leader's own Research Division Director. Where the Program Team Leader is an Research Division Director, the Research Division Director with line responsibility for the project should countersign Part II and forward it to the Assistant Director General (Research).

For Research Executive Directors

12. Research Executive Directors will review and countersign the Achievements/Outputs Reports for all scientists(Program Team Members/Program Team Leaders) in their region.

For Assistant Director General (Research)

Processing Research Division Director's Achievements/Outputs Reports:

13. The Assistant Director General (Research) will receive completed Parts I and II of Achievements/Outputs Reports for all Research Division Directors. Assistant Director General (Research) will review and countersign all the forms, and send copies back to the Research Division Directors and use the Achievements/Outputs Report for completion of [year] Performance Appraisals.

CGIAR Center: J
 Assessment Method: Rating Scale, Essay

Staff Assessed: Senior Program Staff
 Page: 1 of 3

PERFORMANCE EVALUATION REVIEW

Internationally and Nationally Recruited
Research Staff

Staff Member..... Present Designation.....

Date of appointment..... Date Contract Ends.....

Appointment: Contract / Regular Supervisor.....

Evaluation Period, from to

I. Position description (attached)

II. Grading and written comments by the Supervisor

1	Project management-<i>timeliness</i>; <i>budget management</i>	A	B	C	D	E

2	Work output & quality	A	B	C	D	E

3	Initiative & judgement	A	B	C	D	E

4	Publications	A	B	C	D	E

CGIAR Center: J
 Assessment Method: Rating Scale, Essay

Staff Assessed: Senior Program Staff
 Page: 2 of 3

5	Technical assistance activities	A	B	C	D	E
----------	--	----------	----------	----------	----------	----------

6	Teamwork and collegiality	A	B	C	D	E
----------	----------------------------------	----------	----------	----------	----------	----------

7	Managing people	A	B	C	D	E
----------	------------------------	----------	----------	----------	----------	----------

8	Representational ability-Applicable? Yes/No	A	B	C	D	E
----------	--	----------	----------	----------	----------	----------

9	Spoken & written English-Applicable? Yes/No	A	B	C	D	E
----------	--	----------	----------	----------	----------	----------

10	Supervisor's overall rating	A	B	C	D	E
-----------	------------------------------------	----------	----------	----------	----------	----------

Previous rating

CGIAR Center: J
 Assessment Method: Rating Scale, Essay

Staff Assessed: Senior Program Staff
 Page: 3 of 3

III. COMMENTS BY THE STAFF MEMBER

(Staff member should comment on major accomplishments and key concerns.)

IV. TRAINING NEEDS

(To be completed by the supervisor)

V. ADDITIONAL COMMENTS BY THE SUPERVISOR

Signed: _____
 Supervisor

 Staff Member

Date: _____

Overall performance rating of Higher Authority, if different from supervisor's overall rating	A	B	C	D	E

Date: _____

 Signature
 & Designation of Higher Authority

Notes on Rating

1. The rating "A" is for the high score, while "E" is for the lower score. Both ratings require written justification by the supervisor.
2. An "A" rating should be given only for outstanding performance, which includes an exceptional specific achievement/contribution.

CGIAR Center: **K**
 Assessment Method: **Essay**

Staff Assessed: **Senior Program Staff**
 Page: **1 of 5**

[Center]
Human Resources Unit

PROFESSIONAL ACTIVITIES REPORT (SCIENTISTS)
Year ending 31 December

1. PERSONAL DETAILS

- a. Name
- b. Date of joining [Center] c. Program
- d. Areas of responsibility

Area	Time allocation (%)	
	Previous year	Present year
i. Research
ii. Training
iii. Interaction with national scientists (other than farmers)
iv. Administration
v. Other activities (Please describe them)

2. RESEARCH ACTIVITIES

State your research goals for the year. Describe your accomplishments and how you assess your achievements.

.....

CGIAR Center: **K**
 Assessment Method: **Essay**

Staff Assessed: **Senior Program Staff**
 Page: **2 of 5**

.....

3. TRAINING

a. Courses:

i. Participation in formal course presentations:

Course title	Number of lectures given
.....
.....
.....
.....
.....
.....

b. Graduate advisees:

i. Number of graduate advisees

Name	Degree sought	Funding
.....
.....
.....

CGIAR Center: **K**
Assessment Method: **Essay**

Staff Assessed: **Senior Program Staff**
Page: **3 of 5**

ii. Titles of MSc and PhD theses supervised (relating to advisees)

.....
.....
.....

4. PUBLICATIONS

a. Journal articles:
List scientific publications (in which you were involved and which were published in journals this year).

.....
.....
.....

b. Conferences, workshops, institute publications:
List publications related to conferences, workshops, and institute matters in which you were involved and indicate your level of involvement.

.....
.....
.....

5. OTHER PROFESSIONAL ACTIVITIES

a. *List professional societies of which you are a member (international, national, state), any offices held, and annual meetings attended.*

.....
.....

CGIAR Center: **K**
Assessment Method: **Essay**

Staff Assessed: **Senior Program Staff**
Page: **4 of 5**

.....
.....

b. *List any national, regional or international committees, conferences or related functions in which you served and indicate special responsibilities on those committees.*

.....
.....
.....
.....

c. *List official travels connected with funding, special meetings, and other related matters during the year. What did you achieve by those travels?*

.....
.....
.....
.....
.....
.....
.....
.....

d. *List institute committees on which you served this year.*

.....
.....
.....
.....

6. OTHERS

a. *Please assess your competence in French language:*

Excellent Good Fair Poor None at all

Speaking

Writing

CGIAR Center: **K**
Assessment Method: **Essay**

Staff Assessed: **Senior Program Staff**
Page: **5 of 5**

If "none at all", "poor" or "fair", what effort did you make during the year to improve your competence in French?

.....
.....
.....

b. *List other accomplishments, activities, or assignments not defined in any of the above categories.*

.....
.....
.....

c. *Please state the factors that have been responsible for achievements or state the problems or difficulties, if any, that have prevented goal attainment.*

.....
.....
.....

7. GOALS/WORK PLAN FOR NEXT YEAR

.....
.....
.....

Signature

4.2 Protocols for Assessment of Non-Program Staff

The following protocols are included in this section:

- Center C—Rating Scale for Support Staff
- Center L—BARS for Support Staff
- Center A—Rating Scale for Senior Staff

CGIAR Center: C
 Assessment Method: Rating Scale, Essay

Staff Assessed: Non-program Support Staff
 Page: 1 of 2

**PERFORMANCE APPRAISAL
 SECRETARIAL, ASSISTANTS AND
 CLERKS PERSONNEL**

NAME OF EMPLOYEE	POSITION
DEPARTMENT/AREA	PROGRAM
DATE HIRED	TIME IN CURRENT POSITION
APPRAISAL PERIOD	DATE

Appraise and discuss with the employee the goals already set, according to:

D DEFICIENT
G GOOD
VG VERY GOOD
E EXCELLENT

FACTOR	D	G	VG	E
1. Quality and quantity of work				
2. Initiative				
3. Cooperation				
4. Supervision required				
5. Promptness and attendance				
6. Responsibility				
7. Potential for future development				

FINAL QUALIFICATION
 (TO BE FILLED BY HUMAN RESOURCES)

CGIAR Center: C
Assessment Method: Rating Scale, Essay

Staff Assessed: Non-program Support Staff
Page: 2 of 2

COMMENTS FROM EMPLOYEE APPRAISED

COMMENTS FROM APPRAISER

I AGREE WITH MY APPRAISAL

YES

NO

SIGNATURE OF PERSON APPRAISED

NAME AND SIGNATURE FROM APPRAISER

NAME AND SIGNATURE OF REVIEWER

CGIAR Center: **L**
 Assessment Method: **BARS, Essay**

Staff Assessed: **Non-program Support Staff**
 Page: **1 of 4**

[Center]

**PERFORMANCE EVALUATION REPORT
 (SECRETARIAL AND CLERICAL)^{a/}**

NAME: _____ RATING PERIOD: _____

ORGANIZATIONAL UNIT: _____ POSITION: _____

FINAL RATING: _____



PART I. RATING OF RESULTS	STATEMENT 1	STATEMENT 2	STATEMENT 3
<u>Quality of Work</u> Accuracy of work; absence of errors comprehensiveness of work done	Regularly surpasses normal performance targets. There is no incidence of any assigned job being reworked to meet desired quality.	Normally meets standards of accuracy and appearance.	Completes work but with errors or rejections; work often needs checking and correction.
	100 90	75 65	50 40
<u>Quantity of Work</u> Volume of work accomplished; rapidity in performing task; ability to produce	Sometimes fails assignment; amount of output is below what is expected.	Work output consistently beyond normal.	Finishes regular amount of work within reasonable time.
	50 40	100 90	75 65

^{a/} Sr. Secretaries, Secretaries, and Clerk Typists

CGIAR Center: **L**
 Assessment Method: **BARS, Essay**

Staff Assessed: **Non-program Support Staff**
 Page: **2 of 4**

PART II. RATING OF RESULTS	STATEMENT 1	STATEMENT 2	STATEMENT 3
<p><u>Communication skills</u> (Oral and Written)</p> <p>Ability to speak and write clearly and coherently. Ability to communicate effectively with superiors, peers, and subordinates.</p>	<p>Clearly and effectively communicates his/her ideas to others and quickly understands the ideas of others.</p>	<p>Is able to communicate his/her ideas to others and to understand others, but sometimes fails in the process.</p>	<p>Finds difficulty in making his/her ideas understood. Inarticulate and communicates poorly.</p>
	15 14	12 11	9 8
<p><u>Problem Solving and Decision Making</u></p> <p>Ability to analyze problems, gather relevant facts, formulate alternative solutions, and make appropriate conclusions or recommendations.</p>	<p>Makes sound decisions most of the time, but occasionally needs correction and adjustments.</p>	<p>Sorts out relevant facts very adeptly and most often makes quality decisions and/or recommendations.</p>	<p>Cannot arrive at quality decisions because of little knowledge of issues at hand and inaccurate analysis.</p>
	12 11	15 14	9 8
<p><u>Resourcefulness</u></p> <p>Ability to provide workable solutions to problems encountered, given the limited resources.</p>	<p>Can figure out how to handle all but the most difficult problems confronting him/her.</p>	<p>Has no trouble dealing with usual problems that arise in the course of work.</p>	<p>Tends to rely on someone else when problems arise.</p>
	15 14	12 11	9 8
<p><u>Initiative</u></p> <p>Ability to make initial action on one's own and assume responsibility for such action; pursues objectives with enthusiasm; assumes additional workload enthusiastically with no external prompting.</p>	<p>Does not usually take initial action. Finds excuses to avoid additional workload or responsibilities; requires constant prodding.</p>	<p>Takes independent action to start new activity within the bounds of one's authority and readily accepts heavy load or responsibilities with enthusiasm.</p>	<p>Can be relied on to initiate new as well as routine activities.</p>
	2 1	10 9	6 5
<p><u>Interpersonal Skills</u></p> <p>Ability to deal harmoniously and effectively with peers, superiors, and others.</p>	<p>Interrelates harmoniously and most effectively with peers, superiors, and others.</p>	<p>Interrelates satisfactorily with peers, superiors, and others.</p>	<p>Has difficulty dealing with peers, superiors, and others. Can be quite antagonistic.</p>
	10 9	6 5	2 1

CGIAR Center: **L**
 Assessment Method: **BARS, Essay**

Staff Assessed: **Non-program Support Staff**
 Page: **3 of 4**

PART II. RATING OF RESULTS	STATEMENT 1	STATEMENT 2	STATEMENT 3
<p><u>Flexibility</u></p> <p>Ability to adjust to changes and handle new tasks, problems, and situations.</p>	<p>Sometimes encounters difficulties in adjusting to changes but shows enthusiasm in overcoming these difficulties.</p>	<p>Finds difficulty in adjusting to new tasks, problems, and situations. Dissatisfied, uncertain.</p>	<p>Finds no difficulty in adjusting and adapting to changes in the work environment. Very reliable.</p>
	6 5	2 1	10 9
<p><u>Work attitude</u></p> <p>Enthusiasm and high regard for one's job; consideration of overall [Center] goals in the performance of one's tasks.</p>	<p>Shows average interest in his/her work.</p>	<p>Shows little interest in his/her work.</p>	<p>Shows very high interest in his/her work.</p>
	6 5	2 1	10 9
<p><u>Confidentiality</u></p> <p>Handling classified information.</p>	<p>Divulges information to unauthorized users maliciously or through negligence. He/she is usually the source of information "leaks".</p>	<p>Has to be reminded how to treat sensitive information and documents.</p>	<p>Is definitely trustworthy in handling classified information.</p>
	9 8	12 11	15 14
<p><u>Supervision and/or Administrative Capability</u> (if applicable)</p> <p>Ability to gain the cooperation of subordinates. Ability to instill in others the willingness and desire to achieve a given objective.</p>	<p>Very capable and effective leader.</p>	<p>Has difficulty in leading his/her subordinates.</p>	<p>Has good control of staff and maintains good discipline.</p>
	5 4	1 0	3 2

CGIAR Center: L
 Assessment Method: BARS, Essay

Staff Assessed: Non-program Support Staff
 Page: 4 of 4

Part III. Performance Improvement Section

A. What are the areas where the ratee has shown improvement since the previous rating period?

B. Please state a specific action plan that will improve the ratee's ability to succeed and/or accomplish his/her job in the future.

(Use additional sheet if necessary.)

Areas for Improvement (Knowledge, attitudes, skills, and habits that need to be improved)	Improvement Plans	
	By Ratee	Support needed from Supervisor

Part IV.

Comments of Employee (Use additional sheet if necessary.)

Rater:	Date:	Reviewer:	Date:
Employee:	Date:	Leader/Head:	Date:

To: Ratee

Signing the accomplished form means you agree with the rating. If you have any objection(s), the Division/Center/Unit Head will review the rating. If the conflict is not resolved at this level, appeals may be elevated to the PES Appeals Committee within a specified period for final resolution.

CGIAR Center: **A**
 Assessment Method: **Rating Scale**

Staff Assessed: **Senior Non-program Staff**
 Page: **1 of 2**

PERFORMANCE EVALUATION FORM

International Staff - Non-Scientific Category

Name of Staff: _____

Name of Evaluator: _____
 Signature of Evaluator: _____ Date: _____

This Performance Evaluation has been
 discussed with me by my Supervisor

Staff Signature: _____ Date: _____

PERFORMANCE CATEGORIES	Score	COMMENTS
Professional Contributions to & Impact on [Center's] Programs		
a) Quality of Management Performance		
b) Level & Load of Management Assignments		
c) Quality of Service from Unit/Section/Division headed by staff		
d) Contributions to [Center's] External Image Re Efficiency/ Professionalism/Effective Management		

- Performance outstanding **5**
- Performance exceeds expectation **4**
- Performance fully meets expectation **3**
- Performance only partially meets expectation **2**
- Performance unsatisfactory **1**

(Please make brief comments as appropriate for each performance category.)

CGIAR Center: **A**
 Assessment Method: **Rating Scale**

Staff Assessed: **Senior Non-program Staff**
 Page: **2 of 2**

PERFORMANCE EVALUATION FORM		
PERFORMANCE CATEGORIES	Score	COMMENTS
Team Spirit/Contribution to Team Effort		
Efforts to maximize strengths		
Efforts to overcome weaknesses		
Human Relations with Supervisor		
Human Relations with Subordinates		
Motivation/Creativity/Initiative		
Overall Performance		

4.3 Protocols for Assessment of Staff in General

The following protocols are included in this section:

- Center I—BARS for Support Staff
- Center G—BARS for Support Staff
- Center B—MBO and Rating Scale for Support Staff
- Center C—MBO and Rating Scale for Senior Staff
- Center G—MBO and Rating Scale for Senior Staff
- Center I—MBO for Senior Staff
- Center L—MBO and Rating Scale for Senior Staff
- Center F—MBO and Rating Scale for All Staff
- Center M—MBO for All Staff

CGIAR Center: **I**
 Assessment Method: **BARS**

Staff Assessed: **Support Staff, General**
 Page: **1 of 2**

OVERALL RATING

To be completed by **division directors** for all support staff based on input from the immediate supervisor(s).

Support Staff Member: _____ Supervisor: _____

PERFORMANCE RATINGS

1. **Exceptional Performance** - Proactive with exemplary level of accomplishments
2. **Exceeds [Center's] Standards** - Proactive with performance consistently above standards
3. **Meets [Center's] Standards** - Positive response to job with work consistently dependable and acceptable
4. **Below Standards** - Marginal or inconsistent
5. **Unsatisfactory** - Consistently unacceptable

1	2	3	4	5	PERFORMANCE STANDARDS FOR SUPPORT STAFF
					Staff supervision (if applicable): <i>Clarifies assignments and standards and develops realistic plans with staff member, based on relevant goals, position, and skills of staff member.</i>
					Dependability and responsibility: <i>Can be counted on to meet established work goals.</i>
					Productivity: <i>Demonstrates productive work flow and time management techniques.</i>
					Quality and accuracy of work: <i>Regularly produces work that is technically correct, thorough, consistent, clear, useful, and organized.</i>
					Working relationships with staff at all levels: <i>Treats all staff and others with respect and dignity.</i>
					Effectiveness of written/oral communications: <i>Communication is regularly clear, concise, and appropriate for audience.</i>
					Analytical ability and judgment: <i>Identifies problems, collects information, balances options, and suggests constructive solutions.</i>
					Punctuality and attendance (3 or 5). A rating of 3 excludes this criterion from the overall rating; a rating of 5 includes it.

SPECIAL CONSIDERATIONS: *Please address as an attachment to this form.*

Overall rating: _____ Signature/Date: _____
 Division Director

DEFINITION OF OVERALL PERFORMANCE RATINGS ([year])

1. **EXCEPTIONAL PERFORMANCE:** This rating is regularly characterized by an exemplary level of job performance and accomplishments, which have a significant impact on the work of the unit and institute, far exceeding the standards of the position. Staff members may overcome significant obstacles to produce outstanding work, implement successful proactive actions, or demonstrate a unique insight into the relationship of their assignments to the work of [Center]. It is anticipated that this rating may not be sustainable over time, and is usually achieved by a small percentage of staff.
2. **EXCEEDS [CENTER'S] STANDARDS:** This rating is for performance that is consistently above standards. Work shows initiative and success going beyond basic position and work plan requirements. Calibre of work is consistently excellent. Work reflects a proactive response to the unit's output or objectives.
3. **MEETS [CENTER'S] STANDARDS:** This rating is for performance that is consistently positive, dependable, and reliable. Work is fully acceptable with no significant areas of failure, concern, or lack of accomplishments. The staff member performs ably and effectively on a regular basis.
4. **BELOW STANDARDS:** This rating is for staff who exhibit marginal or inconsistent performance. A significant requirement of the position may not have been accomplished or was accomplished at a level that demonstrated only a rudimentary grasp of the assignment. Staff working at this level may be given a probationary period to work towards an acceptable standard, pending a reasonable level of coaching, training, proper motivation, personal responsibility, and feedback. At the end of this time, appropriate action will be taken, including termination, if appropriate.
5. **UNSATISFACTORY:** This rating is for staff who regularly fail to meet [Center's] standards and whose work is frequently unacceptable. The staff member demonstrates an inability or unwillingness to meet the basic requirements of the position despite feedback or coaching. Output is undependable, and staff member requires excessive monitoring and supervision. Staff who receive a rating of "Unsatisfactory" may be terminated for performance unacceptable to management.

CGIAR Center: **G**
 Assessment Method: **BARS, Essay**

Staff Assessed: **Support Staff, General**
 Page: **2 of 9**

SECTION III To be completed by immediate supervisor and the director of division		
<p>In assessing the staff member's performance below, please bear in mind the staff member's level of duties and responsibilities so as not to judge him/her by inappropriate standards or by personality traits unrelated to his/her work.</p> <p>Every "A" or "E" rating must be supplemented by a statement under "Comments", giving an explanation or examples illustrative of the rating. A report will not be considered complete unless such comments are given in respect of each "A" or "E" rating.</p> <p>RATINGS: A: Excellent; B: Very Good; C: Good; D: Fair; E: Unsatisfactory. ENTER IN THE COLUMN BELOW THE RATING WHICH MOST NEARLY DESCRIBES THE STAFF MEMBER'S PERFORMANCE</p>		
	RATING	COMMENTS
1. Competence (knowledge and skills the staff possesses in his/her field of work)		
2. Quality of work accomplished		
3. Quantity of work accomplished		
4. Ability to meet schedules and deadlines when required, skillful use of time and resources to achieve maximum efficiency		
5. Initiative (demonstrated aptitude to produce new ideas and/or bring about constructive innovation)		
6. Ability to work independently or with minimum supervision		
7. Effectiveness in maintaining harmonious working relations		
8. Sense of responsibility and dependability as regards working hours		

CGIAR Center: G
 Assessment Method: BARS, Essay

Staff Assessed: Support Staff, General
 Page: 3 of 9

	RATING	COMMENTS
9. Effectiveness in planning and organization of work		
10. Skill in producing a solution (ability to identify problems, power of analysis and soundness of recommendations and decisions)		
11. Ability to negotiate and persuade		
12. Effectiveness in supervision (ability to motivate, maintain and direct a productive work unit). Indicate below the number and level of staff under his/her supervision		
Indicate any assignment(s) which the staff member performed in a particularly effective way.		
Comment on the staff member's attitude to [Center]		
<p>THIS SECTION IS TO BE COMPLETED BY IMMEDIATE SUPERVISOR ONLY AFTER DISCUSSION OF THE ABOVE RATINGS & COMMENTS WITH STAFF MEMBER. Your signature in this section signifies that you have discussed with staff member.</p>		
<p>_____ Immediate Supervisor</p> <p>_____ Date</p>		
<p>THIS SECTION IS TO BE COMPLETED BY DIVISIONAL DIRECTOR. If you disagree with the evaluation of the immediate supervisor(s)' Section III, give your comments.</p>		
<p>_____ Divisional Director</p> <p>_____ Date</p>		
<p>THIS SECTION IS TO BE SIGNED BY STAFF MEMBER. I have been made aware of the contents of this report. I understand that the final results of the evaluation will be determined by the Evaluation Panel, at which time I shall receive a copy of this report. I understand that I may, if I wish, submit a written explanation or rebuttal for submission to the Evaluation Panel.</p>		
<p>_____ Staff Member</p> <p>_____ Date</p>		

CGIAR Center: G
Assessment Method: BARS, Essay

Staff Assessed: Support Staff, General
Page: 4 of 9

SECTION IV DECISION OF THE EVALUATION PANEL	
<p>The Evaluation Panel has met in accordance with established practice, and having discussed the assessment of the staff member by his/her direct supervisor, has decided as follows:</p>	
PANEL DECISION:	<input type="text"/>
DATE OF PANEL MEETING: _____	
SECTION V To be completed by the DIRECTOR GENERAL (comments under (ii) optional)	
(i) I take note of this report <input type="checkbox"/>	(place a check mark here)
(ii) My comments are as follows:	
Signature: _____	Date: _____
SECTION VI To be completed by the Staff Member	
<p>After the sections above have been completed, the staff member must sign the original of the report and be given a copy thereof. The signature merely acknowledges that the staff member has read the report and received a copy, it does not necessarily indicate agreement with the evaluation contained in this report.</p>	
<p>I have read this report and received a copy thereof. I understand that I may, if I wish, submit a written explanation or rebuttal within one month of receipt of this report.</p>	
Date: _____	Signature of staff member: _____
<p>NB: if a rebuttal is submitted, this report must not be filed in the Official Personal File until such time as the rebuttal procedure is completed.</p>	

CGIAR Center: G
Assessment Method: BARS, Essay

Staff Assessed: Support Staff, General
Page: 5 of 9

HUMAN RESOURCES UNIT

PERFORMANCE EVALUATION: GENERAL SUPPORT STAFF PERFORMANCE EVALUATION PRINCIPLES FORM - THE 12 FACTORS AND GUIDELINES FOR RATING

1. COMPETENCE:

- A. Outstanding up-to-date broad and thorough knowledge of the facts pertaining to own job. Ability to always apply competence to work situations and to make the knowledge available to others.
- B. Thorough and up-to-date knowledge and ability to apply this knowledge to work situations and share it when necessary.
- C. Solid knowledge in fields related to own work. Appropriate application of that knowledge to everyday assignments for staff and colleagues.
- D. Adequate within own field but at times has some difficulties in applying knowledge to new or unusual work situations.
- E. Limited and out-dated scope of knowledge. Does not keep up with own field of competence.

2. QUALITY OF WORK:

- A. Outstanding in the quality (methods, integrity, accuracy) of work performed. Exceptionally good use of data and results. Excellent end product.
- B. Very good quality and end product is high quality.
- C. Uses data well and end product is usually of good quality.
- D. Uses data satisfactorily; however requires some monitoring. End product is generally of average quality.
- E. Has some problems in interpreting data or instructions. End product is usually of poor quality.

CGIAR Center: G
Assessment Method: BARS, Essay

Staff Assessed: Support Staff, General
Page: 6 of 9

3. QUANTITY OF WORK:

- A. Outstanding in the amount of work carried out.**
- B. Gets a great deal of work done.**
- C. Output as expected.**
- D. Output satisfactory.**
- E. Output less than expected.**

4. ABILITY TO MEET SCHEDULES AND DEADLINES:

- A. Someone who always meets and/or exceeds schedules and deadlines and exercises an optimum use of time and resources.**
- B. Very good at meeting schedules and deadlines. Very good use of time and resources.**
- C. Ability to use time and resources well. Able to meet schedules and deadlines as expected.**
- D. Adequate use of time and resources. Does not always meet schedules and deadlines.**
- E. Has difficulties in meeting schedules and deadlines. Occasionally can waste time and resources.**

5. INITIATIVE:

- A. Always full of outstanding and innovative ideas; seeking new and effective solutions, looking for new opportunities and/or problems, bringing them to the attention of the organization.**
- B. Always looks for new solutions to existing problems and occasionally spots new problems and opportunities.**
- C. Has good sense for what is important, generally makes valuable intellectual contributions, and contributes freely with good ideas.**
- D. Usually follows instructions and only occasionally offers new ideas that are relevant to needs.**
- E. Someone who at times does not see the larger picture and/or is bound by tradition.**

CGIAR Center: G
Assessment Method: BARS, Essay

Staff Assessed: Support Staff, General
Page: 7 of 9

6. ABILITY TO WORK INDEPENDENTLY OR WITH MINIMAL SUPERVISION:

- A. Guidelines of task is stated in the broadest terms and can perform independently on routine or new tasks at all times and does not require supervision. Reports adequately on tasks performed.**
- B. Someone who can work independently with the guidelines broadly stated, and the end result is reviewed for attainment of objectives.**
- C. Someone who requires guidelines stated and regular supervision for attainment of task.**
- D. Someone who needs clear procedures for performing tasks and regular supervision of work in progress and end product.**
- E. Specific instructions for performing the task are required, work has to be constantly checked for adherence to instructions, accuracy, etc.**

7. EFFECTIVENESS IN MAINTAINING HARMONIOUS WORKING RELATIONSHIPS:

- A. Maintains very effective and cordial relationships within [Center] and a great asset with outside clients. Always able and willing to work with colleagues and supervisors and subordinates towards a common goal.**
- B. Is generally well liked and respected within [Center] and well respected by outside clients. Most of the time an effective team member.**
- C. Gets on well with others within [Center] and a good cooperator with outside clients.**
- D. Gets on reasonably well with others within [Center] and is generally perceived as a reasonable cooperator with outside clients.**
- E. Occasionally has problems establishing and maintaining harmonious working relationships.**

8. SENSE OF RESPONSIBILITY AND DEPENDABILITY AS REGARDS WORKING HOURS:

- A. Accepts responsibility at all times; distinguished for reliability and punctuality. Exceptionally conscientious.**
- B. Very good sense of responsibility, reliability, and punctuality.**

CGIAR Center: G
Assessment Method: BARS, Essay

Staff Assessed: Support Staff, General
Page: 8 of 9

- C. Good sense of responsibility, reliability, and punctuality.**
 - D. Has difficulty in keeping working hours. Sometimes lacks sense of responsibility.**
 - E. Occasionally avoids taking responsibility and cannot be depended upon to keeping working hours.**
- 9. EFFECTIVENESS IN PLANNING AND ORGANIZATION OF WORK:**
- A. A brilliant organizer and outstanding at planning and managing work loads.**
 - B. Very effective in planning and organizing work, and has a good sense of priorities.**
 - C. Good at organizing and planning own work, does not need assistance in setting priorities.**
 - D. Reasonable planning and organizing skills, occasionally has difficulties in setting own priorities.**
 - E. Has difficulties in effectively organizing work and generally unable to define own priorities.**
- 10. SKILL IN PRODUCING A SOLUTION:**
- A. Exceptional ability to identify and analyze problems and suggesting solutions, outstanding judgement and discretion.**
 - B. Very good at problem identification and analysis; solutions proposed are most of the time sound. Has very good sense of judgement and discretion.**
 - C. Can usually identify and analyze problems. Adequate contribution to problem solving. Generally exercises good judgement and discretion.**
 - D. Can identify problems, needs assistance in analysis and problem solving. Has difficulty exercising judgement and discretion.**
 - E. Has difficulties identifying and analyzing problems; little contribution towards problem solving. Judgement and discretion leaves something to be desired.**

CGIAR Center: G
Assessment Method: BARS, Essay

Staff Assessed: Support Staff, General
Page: 9 of 9

11. ABILITY TO NEGOTIATE AND PERSUADE:

- A. Outstanding negotiator. Very effective at persuading and obtaining cooperation from co-workers and from outside clients.**
- B. Very good at persuading and obtaining collaboration from co-workers. Effective negotiator.**
- C. Good at persuading and negotiating. Can usually obtain the cooperation of co-workers.**
- D. Has sometimes difficulties obtaining the cooperation of co-workers. Needs to improve on negotiating skills.**
- E. Inadequate persuading abilities and negotiation skills.**

12. EFFECTIVENESS IN SUPERVISION:

- A. Natural leader, always inspires subordinates and managers to achieve results.**
- B. Effective supervisor, inspires others and manages staff very well.**
- C. Exercises adequate supervisory control, usually good at motivating others towards achievement of objectives.**
- D. Does not always guide and motivate subordinates very well. Has occasional difficulties achieving results.**
- E. Has problems in guiding and controlling subordinates. Has difficulty motivating and obtaining results.**

CGIAR Center: **B**
 Assessment Method: **MBO, Rating Scale, Essay**

Staff Assessed: **Support Staff, General**
 Page: **1 of 4**

[Center]
[year] Performance Appraisal
for Local Support Staff

I. Staff member

Name:	Program:
Position:	Staff category:
Period covered - from:	To:

I have attached a copy of my [year] Job Description or Terms of Reference

II. Staff member's self appraisal

(a) Accomplishments

After reviewing your [year] Job Description or Terms of Reference, please comment on your achievements in [year]

CGIAR Center: **B**
 Assessment Method: **MBO, Rating Scale, Essay**

Staff Assessed: **Support Staff, General**
 Page: **2 of 4**

(b) Training and career development

Period covered - from: _____ To: _____

(i) Please record any training and/or career development undertaken during the year.

Qualifications	Institution	Data awarded	Subjects

(ii) Please state if you think any particular training would enable you to do your job more effectively. This could be "on-the-job" training courses.

CGIAR Center: **B**
 Assessment Method: **MBO, Rating Scale, Essay**

Staff Assessed: **Support Staff, General**
 Page: **3 of 4**

III. Supervisor's assessment

(a) Rating

Give a rating 1-5 for each relevant aspect of performance using the following definitions and making full use of the space for your comments (tick appropriate box).

1. Performance **consistently exceeds** the expectations of the position.
 2. Performance **often exceeds** the expectation of the position.
 3. Performance **meets** the expectation of the position.
 4. Performance **often below** the expectation of the position.
 5. Performance **consistently below** the expectations of the position; some improvements necessary.
- N/A Not a significant requirement of the position

						Comments
Work activity	1	2	3	4	5	
Quality of work						
Quantity of work						
Planning of work						
Meets deadlines						
Effective use of resources						
Initiative						
Reliability						
Communications						
	1	2	3	4	5	
Oral communications						
Written communications						
Working Relationships						
	1	2	3	4	5	
Relations with other staff						

(b) Supervisor's comments

The staff member has worked for me for _____ years _____ months

Name of Supervisor: _____ Position: _____

Signature: _____ Date: _____

CGIAR Center: **B**
Assessment Method: **MBO, Rating Scale, Essay**

Staff Assessed: **Support Staff, General**
Page: **4 of 4**

IV. [year + 1] job description

Attach your job description for [year + 1]. The job description may be modified by mutual agreement between the staff member and the Supervisor.

Job description revised with mutual agreement by the staff member and the Supervisor.

Signed by:

Staff member: _____ Date: _____

Supervisor: _____ Date: _____

V. Director General's comments

Overall assessment (as per Section III) 1 ____ 2 ____ 3 ____ 4 ____ 5 ____

Director General

Date

VI. Employee's comments

Signature: _____ Date: _____

CGIAR Center: C
 Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Staff, General
 Page: 1 of 4

**PERFORMANCE APPRAISAL
 OFFICE HEADS, SUPERVISORS
 AND TECHNICIANS**

NAME OF EMPLOYEE	POSITION
DEPARTMENT/AREA	PROGRAM
DATE HIRED	TIME IN CURRENT POSITION
APPRAISAL PERIOD	DATE

I. ACCOMPLISHMENT OF GOALS

Appraise and discuss with the employee the goals already set, according to:

D	DEFICIENT
G	GOOD
VG	VERY GOOD
E	EXCELLENT

OBJECTIVE: _____
PERFORMANCE: _____

APPRAISAL:	<table border="1" style="margin: 0 auto;"> <tr> <td style="width: 25%; text-align: center;">D</td> <td style="width: 25%; text-align: center;">G</td> <td style="width: 25%; text-align: center;">VG</td> <td style="width: 25%; text-align: center;">E</td> </tr> </table>	D	G	VG	E
D	G	VG	E		

OBJECTIVE: _____
PERFORMANCE: _____

APPRAISAL:	<table border="1" style="margin: 0 auto;"> <tr> <td style="width: 25%; text-align: center;">D</td> <td style="width: 25%; text-align: center;">G</td> <td style="width: 25%; text-align: center;">VG</td> <td style="width: 25%; text-align: center;">E</td> </tr> </table>	D	G	VG	E
D	G	VG	E		

CGIAR Center: C
 Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Staff, General
 Page: 2 of 4

OBJECTIVE: _____					
PERFORMANCE: _____					
APPRAISAL:	D	G	VG	E	
OBJECTIVE: _____					
PERFORMANCE: _____					
APPRAISAL:	D	G	VG	E	
A. RATING AVERAGE: <input style="width: 100px; height: 20px;" type="text"/>					
II. PERFORMANCE FACTOR					
<p>Following are 8 performance factors. Provide a relative value for each one, according to its importance within your area (sum should total 100). Then proceed to appraise using the proposal scale.</p>					
RELATIVE VALUE	FACTOR	D	G	VG	E
_____	QUALITY AND QUANTITY OF WORK				
_____	SUPERVISION REQUIRED				
_____	INITIATIVE AND DECISION-MAKING				
_____	CONTRIBUTION TO WORK				
_____	RESPONSIBILITY				
_____	PLANNING AND ORGANIZATION				
_____	DEVELOPMENT AND PERSONAL IMPROVEMENT				
_____	ATTITUDE TOWARDS THE INSTITUTION, SUPERVISOR AND CO-WORKERS				
100.0	ABSOLUTE VALUE				
B. RATING AVERAGE <input style="width: 100px; height: 20px;" type="text"/>					
SUM A+B <input style="width: 100px; height: 20px;" type="text"/>					
GENERAL AVERAGE		(TO BE FILLED BY HUMAN RESOURCES)			

CGIAR Center: C
Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Staff, General
Page: 3 of 4

III. SET GOALS

Establish with the employee the goals and accomplishments agreed for the next period.

1. Goal _____

2. Goal _____

3. Goal _____

4. Goal _____

5. Goal _____

CGIAR Center: C
Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Staff, General
Page: 4 of 4

COMMENTS FROM EMPLOYEE APPRAISED

COMMENTS FROM APPRAISER

I AGREE WITH MY APPRAISAL

YES

NO

SIGNATURE OF PERSON APPRAISED

NAME AND SIGNATURE FROM APPRAISER

NAME AND SIGNATURE OF REVIEWER

CGIAR Center: **G**
 Assessment Method: **MBO, Rating Scale, Essay**

Staff Assessed: **Senior Staff, General**
 Page: **1 of 7**

FAMILY NAME FIRST NAME		ENTRY DATE TO [Center] SERVICE
FUNCTIONAL TITLE		IN THIS FUNCTION SINCE
CATEGORY & GRADE	AT THIS GRADE SINCE	

[Center]

**ANNUAL PERFORMANCE EVALUATION AND
 PLANNING FOR PROFESSIONAL STAFF**

PERIOD COVERED IN THIS REPORT:

Beginning of Period: _____

End of Period: _____

CGIAR Center: **G**
 Assessment Method: **MBO, Rating Scale, Essay**

Staff Assessed: **Senior Staff, General**
 Page: **2 of 7**

PART A - ASSESSMENT OF RESULTS

In this section the staff member lists the achievements of objectives. These should be agreed with the immediate programmatic supervisor. Please complete in typescript or clear writing in black ink. **If necessary use a second sheet.**

a) Jobs done in order of importance - (include research, training, administration, services, refereeing for international journals)	% Time	Supervisor's Comments

b) List human resources managed (including students supervised)

c) I agreed with the above statements:

 Signature of staff member

 Date

 Signature of immediate supervisor

 Date

ATTACH LIST OF PUBLICATIONS ALREADY SUBMITTED OR PUBLISHED DURING THE CURRENT YEAR IN REFERRED JOURNALS AND OTHER OUTPUTS SUCH AS: SOFTWARE DEVELOPED, EQUIPMENT DESIGNED, MAPS PRODUCED, ETC. - ANNEX 1

ATTACH COPY OF YOUR SECTION OF THE ANNUAL REPORT - ANNEX 2

CGIAR Center: **G**
 Assessment Method: **MBO, Rating Scale, Essay**

Staff Assessed: **Senior Staff, General**
 Page: **3 of 7**

PART B - PERFORMANCE ASSESSMENT BY THE IMMEDIATE SUPERVISOR

Please complete in typescript or clear writing in black ink.

Using your knowledge of the reportee and the information given in part A give a rating 1-5 for each relevant aspect of performance using the following definitions and making full use of the space for your comments. (Tick appropriate boxes). These ratings must be specified to the current reporting year.

1. Performance does not meet the requirements of the grade; major improvements necessary
2. Performance not fully up to the requirements of the grade; some improvements necessary
3. Performance meets normal requirements of the grade
4. Performance above the requirements of the grade
5. Outstanding and well above requirements of the grade

RESULTS

1 2 3 4 5	Quality of work	Comments					
<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 20%;"></td> </tr> </table>						<p>Quality of work</p> <p>Quality of results achieved towards objectives</p>	
<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 20%;"></td> </tr> </table>						<p>Quantity of work</p> <p>Quantity of work achieved with given resources</p>	

CRITERIA

1 2 3 4 5	Planning																
<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 20%;"></td> </tr> </table>						<p>Planning</p> <p>Effectiveness in planning and organization of work</p>											
<table border="1" style="width: 100%; height: 40px;"> <tr> <td style="width: 20%;"></td> </tr> <tr> <td style="width: 20%;"></td> </tr> </table>											<p>Management</p> <p>Management of staff</p> <p>Effective use of financial & other resources</p>						
<table border="1" style="width: 100%; height: 60px;"> <tr> <td style="width: 20%;"></td> </tr> <tr> <td style="width: 20%;"></td> </tr> <tr> <td style="width: 20%;"></td> </tr> </table>																<p>Knowledge/Skills</p> <p>Professional or technical knowledge</p> <p>Application of knowledge and skills</p> <p>Numerical ability/Computer literacy</p>	

CGIAR Center: **G**
 Assessment Method: **MBO, Rating Scale, Essay**

Staff Assessed: **Senior Staff, General**
 Page: **4 of 7**

1	2	3	4	5		Comments
					Communication	
					Oral communication	
					Written communication	
					Working relationships	
					Relations with supervisor	
					Relations with other staff	
					External relations	
					Contributions to	
					Training activities by research staff and research activities by training information division staff	
					Internal review of publications	
					Reliability	
					Acceptance of responsibility	
					Reliability under pressure	
					Ability to handle change	
					Personality	
					Judgement	
					Ability to produce constructive ideas	
					Penetration and foresight	
					Drive and determination	
<p>Your rating must reflect the actual performance achieved in the year. You should state below any special factors which may have affected performance, such as inexperience, ill-health, or institutional limitations.</p> <p>The job holder has worked with me for: _____ years.</p> <p>Signature of immediate supervisor: _____ Date: _____</p> <p>Name in capitals: _____</p>						

CGIAR Center: **G**
 Assessment Method: **MBO, Rating Scale, Essay**

Staff Assessed: **Senior Staff, General**
 Page: **5 of 7**

Please state whether you agree or disagree with the rating of overall performance.

a) Staff Member: Date:

b) Program Coordinator/Unit Head: Date:
 (Name and signature)

c) Regional Coordinator: Date:
 (if applicable)
 (Name and signature)

d) Director of Division: Date:
 (Name and signature)

e) Director General: Date:
 (For evaluation of Coordinators and Heads of Units only)

A grievance panel will meet to discuss the instances where there is disagreement.

CGIAR Center: **G**
 Assessment Method: **MBO, Rating Scale, Essay**

Staff Assessed: **Senior Staff, General**
 Page: **6 of 7**

PART C - STATEMENT OF OBJECTIVES FOR FORTHCOMING PERIOD

In this section the staff member and immediate supervisor will develop and agree upon objectives, targets and outputs for the next twelve months. The objectives should be specific in terms of quality, targets, data, etc. This list of objectives should become Part A next year, unless there has been a change of circumstances. In the event of a major change, this statement of objectives should be updated.

List of objectives and expected outputs, with any deadlines	Priority		
	High	Medium	Low

I would benefit from a) training, e.g., computing, scientific writing -----

b) change of job/location -----

Signature of Staff Member: _____

Date: _____

Signature of Immediate Supervisor: _____

Date: _____

CGIAR Center: G
Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Staff, General
Page: 7 of 7

PART D
EVALUATION PANEL RATING (P4 and above)

AVERAGE SCORE

PANEL FINAL RATING

DATE OF PANEL MEETING

COMMENTS

Director General _____ **Date** _____

CGIAR Center: I
Assessment Method: MBO

Staff Assessed: Senior Staff, General
Page: 1 of 3

PERFORMANCE APPRAISALS FOR SENIOR STAFF REPORTING TO THE DIRECTOR GENERAL ([year])

OVERVIEW:

The performance of senior staff members reporting to the Director General is reviewed annually to assist them to achieve both [Center's] and their own objectives through self appraisal, feedback, and goal setting. The appraisal process is based on the assumption that the staff member is results-oriented and has done a good deal of thinking about his or her productivity (research, outreach, management, and supervisory responsibilities) in the context of the division's and [Center]-wide goals. It is further assumed that the staff member has assessed his or her own performance in relation to an agreed-upon work plan and has had previous discussions with or feedback from the Director General regarding performance during the year.

The Director General assists the staff member to relate his or her work to [Center's] mandate and challenges. Their exchange provides a basis for planning and action. Staff prepare a self appraisal and meet with the Director General to discuss performance and jointly plan future goals. The Director General reflects on performance and previous related discussions and prepares a written performance appraisal based on his understanding of the staff member's contributions to [Center] during the year.

PROCESS:

1. Staff will prepare for the Director General a memo that addresses their view of their performance at an individual, divisional, and [Center]-wide level, citing any progress and actions related to established goals and
 - performance against the goals set in the previous year and since updated. (Attach list of [year] publications and reports, if appropriate, including pending reports with documentation of their acceptance or status);
 - role as a supervisor; (**Staff Supervision Standard #1 serves as a guideline.**)
 - "invisible activities";
 - factors that affected performance and made it easier or more difficult to meet work goals;
 - factors that could affect future performance;
 - developmental and career goals with an indication of what role [Center] can play in meeting them, indicating if [Center] professional development funds may be requested; and;
 - proposed work plan for [year + 1].
2. Using this memo as a basis for discussion, the Director General will address performance and progress, including program, administrative, and supervisory responsibilities, working relationships, and areas for growth, improvement, and career development.
3. During this discussion, the staff member and the Director General will finalize plans for [year] in light of [Center's] needs and priorities and development issues.
4. The Director General prepares a summary of the staff member's performance, which is given to the staff member and becomes part of the appraisal report and the staff member's personnel file.
5. Once the process is completed, the staff member will have three working days to reflect on the appraisal. He or she may simply sign and return the signature page with attached documents or provide written comments to the Director General. The staff member may choose to provide written comments, disagreeing with or clarifying any aspect of the appraisal. The Director General forwards the completed paperwork to the Human Resource Services for processing.

CGIAR Center: **I**
 Assessment Method: **MBO**

Staff Assessed: **Senior Staff, General**
 Page: **2 of 3**

**[year] CENTER PERFORMANCE APPRAISAL COVER PAGE
 SENIOR STAFF REPORTING TO THE DIRECTOR GENERAL**

Staff Member: _____ Supervisor: _____

Instructions: **Please complete as the appraisal process progresses. All documents mentioned should be attached to this form. When complete, two copies should be submitted to Human Resource Services -- one for the personnel file, and the other, after being initiated by the Head, Human Resource Services, to be returned to the staff member.**

Informal mid-year appraisal discussion took place Yes [] No []

Self-appraisal memorandum and proposed work plan for [year + 1] prepared and submitted to the Director General Date _____

Discussion with Director General Date _____

Director General's review prepared and returned to staff member Date _____

Staff member's acknowledgement. (**Sign one statement.**)

*I have discussed the contents of this performance appraisal with the Director General. My signature means that I **agree** with the appraisal and I accept the work plan for [year + 1] and undertake to accomplish it to the best of my ability.*

 Signature/Date

*I have discussed the contents of this performance appraisal with the Director General. My signature means that I **disagree** with my supervisor about a major aspect of the appraisal, or the overall rating or the goals and work plan for [year]. **My comments are attached.***

 Signature/Date

Received by:

Director General Initials ____ Date _____

Head, Human Resource Services Initials ____ Date _____

CGIAR Center: I
Assessment Method: MBO

Staff Assessed: Senior Staff, General
Page: 3 of 3

[year] PERFORMANCE STANDARDS FOR ALL SUPERVISORS

1. STAFF SUPERVISION

[Center's] STANDARD FOR ALL SUPERVISORS

EXCEPTIONAL PERFORMANCE

- Delegates responsibility in ways that enable staff to develop professionally
- Motivates staff to reach beyond expected standards of performance. Creates a work climate in which a high level of contribution to [Center] and participation is encouraged and new ideas are acknowledged, encouraged, and supported.

EXCEEDS [CENTER'S] STANDARDS

- Makes special efforts to help staff member improve or enhance performance.
- Addresses issues which affect staff morale.
- Promotes cultural diversity at [Center] through own efforts.

MEETS [CENTER'S] STANDARDS

- Clarifies assignments and standards and develops realistic plans with staff member, based on relevant goals, position, and skills of staff member.
- Working relationships convey openness in communications.
- Based on developmental discussions and level of staff performance, actively helps staff member work on appropriate assignments that are skill or career enhancing.
- Advises staff member of necessary changes in priorities.
- Provides staff member with regular constructive feedback on performance.
- Provides necessary coaching or technical assistance.
- Holds staff member responsible for timely and accurate completion of work assignments, based on reasonable standards.
- Conducts performance appraisals in a direct, thorough, and timely manner, based on documented performance.
- Keeps staff member informed of matters important to his or her job.
- Identifies personnel, morale, or performance problems; and, with appropriate staff, develops plans to resolve problems in a timely, consistent, fair, and realistic manner.
- Consistently applies management principles and [Center] procedures to the hiring and supervision processes.
- Uses discretion in addressing, discussing, and documenting personnel problems.

BELOW STANDARDS (Marginal)

- Frequently treats staff members inappropriately.
- Assigns responsibilities without allowing sufficient time, resources, authority, or support to do tasks effectively.
- Regularly fails to adequately clarify standards, assignments, and work plan.
- Regularly fails to address staff member's level of performance, skills, knowledge of [Center], time in the position, and other job-related factors in assigning work.
- Provides limited feedback to staff member for positive or inappropriate performance throughout the year.
- Fails to incorporate known negative and positive information about performance into the formal performance appraisal.
- Takes credit for the work of others; assigns responsibility for errors inappropriately to others.
- Makes token effort to determine and acknowledge staff member's development.

UNSATISFACTORY

- Consistently treats staff in an unprofessional or rude manner.
- Does not respect confidentiality or dignity of staff member.
- Allows poor performers to continue with minimal feedback, intervention, or consequences.
- Regularly communicates argumentatively or without tact.
- Does not conduct appraisal reviews in a thorough and timely manner.
- Ignores procedures or fails to regularly apply management principles to the hiring and supervision processes.

CGIAR Center: L
 Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Staff, General
 Page: 1 of 5

[Center]
**PERFORMANCE EVALUATION REPORT
 (MANAGERS AND OFFICERS)**

NAME: _____ POSITION TITLE: _____

ORGANIZATIONAL UNIT: _____ EVALUATION PERIOD: _____

EVALUATED BY: _____

GUIDELINES

The Performance Evaluation System provides and opportunity for a formal appraisal of your performance with focus on individual development and growth. It will give you the chance to report your accomplishments and to share your thoughts and reactions to work-related events that have occurred during this evaluation period. Furthermore, you and your supervisor can also review past performance (achievements and responsibilities), and agree on future goals and objectives for the coming year. This is designed to be a positive exercise, with an input from you and your supervisor in the context of your job, values, and needs of the institute.

Part I-A (List of Objectives) asks you to provide a copy of the Objectives agreed upon for this evaluation period.

Part I-B asks you to list your accomplishments during the evaluation period. Here, you can cite areas where progress has been made in areas personally agreed upon or in new areas relevant to your work. Feel free to write comments which may be related to your work or experiences during the evaluation period.

Part I-C covers the factors that hindered or constrained the achievement of any of your objectives, whether fully or partially.

Part I-D (Performance Attributes) is a listing of performance attributes valued by the institute. Here you make an appraisal of yourself on the different factors. Your self-appraisal may serve as talking points in your discussion with your supervisor.

Part I-E is reserved for the evaluation of your supervisor on your performance.

Part I is accomplished and submitted to your supervisor at least one week before your scheduled interview with your supervisor.

Part II is the statement of your work plan in terms of your objectives to be achieved for the next evaluation period. The objectives should be specific, measurable, do-able, realistic, time-bound, and limited to 3 - 4 items only. A staff development plan which identifies the areas/needs which could help insure the achievement of the work plan is included in Part II.

Part III includes the comments of your supervisors on your performance. It also allows you to respond to the appraisal.

Part IV formalizes the process where you and all your supervisors will acknowledge that every section and part of this form has been read and accomplished.

CGIAR Center: L
Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Staff, General
Page: 2 of 5

PART I

A. LIST OF OBJECTIVES

Please provide a copy of the Objectives you and your supervisor agreed upon for this evaluation period.

B. LIST OF ACCOMPLISHMENTS

Describe your accomplishments during the review period. It may be convenient to list these according to the list of objectives/target output for this rating period. You can cite areas where progress has been made or in new areas relevant to your work. Please feel free to include comments as necessary to support your accomplishments.

LIST OF ACCOMPLISHMENTS

C. CONSTRAINTS TO ACHIEVEMENTS

Kindly write down any constraints that may have hindered the accomplishment of your objectives. These also may be issues you want to discuss with your supervisor.

CONSTRAINTS TO ACHIEVEMENTS

CGIAR Center: L
 Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Staff, General
 Page: 3 of 5

D. PERFORMANCE ATTRIBUTES

We are providing you with the performance attributes valued by the institute. Kindly rate yourself on the following factors by placing an X under the appropriate rating column. You can refer to the bottom of the page for the appropriate description of the numbers in each column. Your supervisor shall likewise make an independent appraisal on these attributes, using the same standards. Your self-appraisal shall be your talking points with your supervisor.

PERFORMANCE ATTRIBUTES	SELF					SUPERVISOR				
	1	2	3	4	5	1	2	3	4	5
1. CREATIVITY - Ability to apply imagination and originality to the job to develop and improve products and applications.										
2. LEADERSHIP - Ability to inspire confidence and respect in others; clarifies objectives and expectations of the institute.										
3. PLANNING AND ORGANIZATION - Ability to organize and plan subordinates' work and activities systematically; ability to delegate responsibility to subordinates.										
4. COST-CONSCIOUSNESS AND CONTROL - Ability to take steps and measures to reduce cost, materials, methods, and processes.										
5. CONTACT WITH OTHERS - Ability to exercise tact and diplomacy in dealing with subordinates and others.										
6. TEAMWORK - Ability to work harmoniously with superiors, peers, and subordinates to accomplish group objectives.										
7. ADAPTABILITY - Ability to adjust to change and handle new tasks, problems, and situations.										
8. COOPERATION - Ability to work and associate with others for a common goal.										

ASSESSMENT: 5 = Consistently superior performance with little or no guidance required
 4 = Significantly above average with moderate guidance
 3 = Fully satisfactory requiring periodic guidance
 2 = Below average performance, even with sufficient guidance
 1 = Poor performance which is not responding to guidance

CGIAR Center: L
Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Staff, General
Page: 4 of 5

E. APPRAISER'S EVALUATION

APPRAISER'S EVALUATION
REMARKS:

PART II (To be developed jointly during the interview process)

A. WORK PLAN

Specific objectives to be achieved for the next evaluation period. In writing your objectives, please make sure that they are specific, measurable, attainable, realistic, and time-bound.

WORK PLAN

B. STAFF DEVELOPMENT PLAN

Identify areas/needs which could help ensure the achievement of the work plan.

STAFF DEVELOPMENT PLAN

CGIAR Center: L
 Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: Senior Staff, General
 Page: 5 of 5

PART III - COMMENTS on the appraisal

DEPUTY DIRECTOR GENERAL'S COMMENTS

--

SUPERVISOR'S COMMENTS

--

STAFF MEMBER'S COMMENTS

--

PART IV - FINAL ACKNOWLEDGEMENT (The signatories below have read all the sections of the Evaluation Form)

DEPUTY DIRECTOR GENERAL:	DATE:
SUPERVISOR:	DATE:
STAFF MEMBER:	DATE:

CGIAR Center: F
 Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: All Staff
 Page: 1 of 3

Performance Assessment Report for the Period

to

A. PERSONAL DETAILS

Staff Member's Name:

Supervised By:

Project/Unit:

Date of Initial Agreement:

Interim Review Due:

Dates Interim Reviews Conducted:

Assessment Due:

Assessment Conducted:

B. DEVELOPMENT PLAN

<i>Development Goals</i>	<i>Activity</i>	<i>Date</i>

C. PERFORMANCE AGREEMENT

TERMS OF REFERENCE (Updated as of Assessment Date):
Include the main duties of your position and relate these to the operational plans of your Project/Unit or Program/Division.

OBJECTIVES <i>What is to be achieved within the assessment period?</i>	INDICATORS <i>How will these achievements be measured?</i>	EVIDENCE <i>What happened?</i>	Rating <i>for each Objective (1 to 6)</i>

CGIAR Center: F
 Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: All Staff
 Page: 2 of 3

C. PERFORMANCE AGREEMENT (Continued)

OBJECTIVES	INDICATORS	EVIDENCE	Rating

AVERAGE RATING (Sum of Ratings Divided by Number of Objectives): _____

Performance Agreement

Signature of Staff Member

Signature of Supervisor

Reviewed By:

Notes/Diary: *(Includes objectives/actions to be undertaken by the supervisor to assist the staff member to meet his/her full performance potential.)*

CGIAR Center: F
 Assessment Method: MBO, Rating Scale, Essay

Staff Assessed: All Staff
 Page: 3 of 3

D. PERFORMANCE SUMMARY

OVERALL PERFORMANCE RATING (circle one):

6 Outstanding	<i>Overall performance is exemplary and higher than expected. All performance objectives have been exceeded to a surprising degree.</i>
5 Superior	<i>Overall performance was beyond what was expected. Almost all objectives have been surpassed.</i>
4 Fully Effective	<i>Overall performance is better than expected. All performance objectives have been achieved, some have been surpassed.</i>
3 Adequate	<i>Overall performance only meets expectations. All performance objectives have been achieved.</i>
2 Unsatisfactory	<i>Overall performance does not meet expectations. Several performance objectives have not been achieved.</i>
1 Deficient	<i>Overall performance needs significant improvement. Few or no performance objectives have been achieved.</i>

Supervisor's Comments:

Signatures

Staff Member

Supervisor

ACTION TAKEN:

Authorized Officer

CGIAR Center: **M**
 Assessment Method: **MBO, Essay**

Staff Assessed: **All Staff**
 Page: **2 of 4**

Section II: CRITERIA TO BE USED BY YOUR ASSESSOR(S) WHEN COMING TO CONCLUSIONS CONCERNING YOUR PAST PERFORMANCE

This section allows the use of the same criteria when assessing the performance of different staff members.

To assess the staff member's accomplishments within a program, service, or unit and within [Center] as an institution, please use the following criteria. To assist you in applying these criteria, in consultation with the staff member being assessed, please refer to [Center's] "guidelines for the application of performance criteria". Since tasks and assignments differ, use additional criteria as applicable. This checklist is open-ended. Assessors and assessed are encouraged to develop criteria and discuss the relative weighting of each criterion applicable to past performance in your own position.

Criterion 1: JOB PLANNING

Criterion 2: INFORMATION MANAGEMENT

Criterion 3: RELATIONSHIPS (INTERNAL and EXTERNAL)

Criterion 4: COMMUNICATIONS

Criterion 5: TEAMWORK AND SUPPORT

Criterion 6: OUTPUT (as applicable, review quality and quantity of accomplishments)

Criterion 7: PERSONAL AND JOB DEVELOPMENT

Criterion 8: OVERALL IMPACT

Names of assessors:

Date:

Signature:

CGIAR Center: M
Assessment Method: MBO, Essay

Staff Assessed: All Staff
Page: 3 of 4

Section III: ASSESSOR'S EVALUATION OF YOUR MAJOR ACHIEVEMENTS DURING THE REVIEW PERIOD

This section takes into account the unique qualifications and responsibilities of individual staff members.

Please summarize your evaluation of the staff member's overall performance and contributions, drawing upon the agreed work plan for the review period, and other relevant documents (written instructions, interim reviews, changes in priorities, new projects assigned, unforeseen circumstances, etc.)

Bear in mind the substance of the staff member's own performance review and assessment and discuss with him/her any difference in evaluation before stating your conclusions hereafter.

1. PAST PERFORMANCE

Please evaluate first the past 12 months.

(PEER REVIEW: when applicable, use additional pages to summarize feedback, identifying peers who were consulted by assessors during the twelve-month review period).

2. PERFORMANCE ENHANCEMENT

Indicate what you consider to be most important for improving the staff member's performance during the next review period. (Areas in which the staff member's performance could be more effective, assignments that you plan to propose, recommended actions that will support staff development in your program/service/unit or within [Center] in general. Where applicable, also specify relevant areas for attending conferences, training, either for improving the execution of current duties or for allowing the staff member to better invest his/her potential serving [Center] and its stakeholders (NARS, CGIAR, etc.)

CGIAR Center: **M**
 Assessment Method: **MBO, Essay**

Staff Assessed: **All Staff**
 Page: **4 of 4**

Section IV: YOUR COMMENTS ON THE ASSESSMENT (OPTIONAL)

To be completed after sections II and III:

Please give your comments on your assessor's performance:

Staff member's name: _____ Date: _____ Signature:*

* Concurrence with sections II & III is not implied.

Section V: [Center] MANAGEMENT REVIEW OF THE PERFORMANCE ASSESSMENT

Summary of the [Center] management review, including any actions to be taken, by whom, and when, and any unresolved issues for further consideration

Action points decided re: personnel services, training services, job description, reassignment, awards, compensation, etc.

NON-PROGRAM/SERVICES ACCOMPLISHMENTS REVIEWED BY THE DIRECTOR GENERAL:

Director General: _____ Date: _____ Signature: _____

Copy to: Staff member, assessors, personnel file. **For action:** Personnel, Training Unit

PART 5

Samples of Protocols to Reward Outstanding Performance

5 Samples of Protocols to Reward Outstanding Performance

5.1 Protocols for Non-Monetary Rewards

The following protocols are included in this section:

- Center N—Outstanding Research Publication Award

- Center N—Outstanding Senior Staff Achievement Award

CGIAR Center: N
 Reward Method: Non-Monetary Reward

Staff Eligible: Senior Program Staff
 Pages: 1 of 3

OUTSTANDING RESEARCH PUBLICATION AWARD (ORPA)

GENERAL POLICIES AND PROCEDURES

BACKGROUND

Several mechanisms for the recognition of Staff contributions to [CGIAR Center] in the execution of its mission—including the merit factor in salary increases, promotion, and sabbatical leaves—have been in place for some time. In consultation with the Board of Trustees, Management has developed additional means for recognizing such contributions by Staff members. These include the Outstanding Senior Staff Achievement Award (OSSA) described in General Policy No. ..., and the **Outstanding Research Publication Award (ORPA)** described herein.

The ORPA is intended to recognize each year the best publication by a staff member in internationally recognized refereed journals. The award will be presented by the Director General at the conclusion of the Internal Review in presence of the Program Committee Chairman of the Board of Trustees.

PROCESS

Eligibility:

The ORPA will be based on open, automatic competition between all publications by staff in internationally recognized refereed journals for the period July of one year through June of the following year. Publications co-authored with outside scientists are eligible to compete.

Peer Review:

The Scientific Resources Committee (SRC) will review and evaluate all entries for the award. In the event that a member of the Scientific Resources Committee is also a candidate for an ORPA award, the Chairman of the SRC may second a Senior Staff member as an alternate to avoid potential conflict of interest.

Time frame, Evaluation and Selection:

The review and evaluation process will commence each July, and will be conducted in a confidential manner. If necessary the SRC is encouraged to invite comments from outside reviewers with renown competence in the area of specialty addressed in the short-listed publications. At the end of the evaluation process, the SRC Chairman will present to the Program and Operations Committee (POC) a ranked list of three candidates for the award

CGIAR Center: N
Reward Method: Non-Monetary Reward

Staff Eligible: Senior Program Staff
Pages: 2 of 3

No. 2.8 Outstanding Research Publications Award (ORPA)

GENERAL POLICIES AND PROCEDURES

for comments and POC consideration and approval. The recommendation of the POC will be forwarded to the Director General.

The Director General will present the ranked list reviewed by the Program and Operations Committee to the Program Committee Chairman of the Board of Trustees for endorsement by the Program Committee.

Announcing the Award:

After obtaining the Program Committee's endorsement, the Director General will announce the winning publication at the conclusion of the Internal Review, and will present the award certificate to the author—and each co-author if applicable—in the presence of the Program Committee Chairman. A sample award certificate is shown as Exhibit 1 to this policy.

The Board Secretary will follow-up with the Head of the Communications Unit to announce the award in [*CGIAR Center staff bulletin*], [*CGIAR Center newsletter*], and the media.

CGIAR Center: N
Reward Method: Non-Monetary Reward

Staff Eligible: Senior Program Staff
Pages: 3 of 3

.....
[CENTER]

Presents the

OUTSTANDING RESEARCH PUBLICATION AWARD

for the year

to

.....

For the publication entitled:

.....

[Journal, date, volume, pages]

Given in on

.....

Chairman, Program Committee
Board of Trustees

.....

Director General

CGIAR Center: N
 Reward Method: Non-Monetary Reward

Staff Eligible: Senior Staff, General
 Pages: 1 of 3

OUTSTANDING SENIOR STAFF ACHIEVEMENT AWARD (OSSA)

GENERAL POLICIES AND PROCEDURES

BACKGROUND

Several mechanisms for the recognition of Staff service to [CGIAR Center] in the execution of its mission—including the merit factor in salary increases, promotion, and sabbatical leaves—have been in place for some time. In consultation with the Board of Trustees, Management has developed additional means of recognizing such service. These include the Outstanding Research Publication Award (ORPA) described in General Policy No. ..., and the Outstanding Senior Staff Achievement Award (OSSA) described herein. This award will be granted by the Board of Trustees and presented by the Chairman of the Board of Trustees at the Annual Board Banquet.

Senior Staff of [CGIAR Center] serve a wide range of fields and disciplines from research to service functions. Any system for recognition of Senior Staff must thus assess contributions in a wide range of activities. Also, the number of occasions on which “outstanding” achievement is honored must remain limited in order to distinguish it from the “excellent” performance expected of all staff members at all times.

PROCESS

The specific internal selection mechanism will be as follows:

- a) Annually, the Director General will request nominations for the award from the Program and Operations Committee (POC) in the form of a one-page recommendation. In the event that a member of the POC may be considered for the award, the Director General or the appropriate Deputy Director General will initiate action.
- b) Based on the recommendation from the Program and Operations Committee, the Director General will make a specific proposal to the Board of Trustees for their consideration; for categories 1 through 3 to the Program Committee, and for category 4 to the Audit and Operations Review Committee. The Director General’s recommendation will be in the form of a list of up to three short-listed candidates in ranked order. The proposal will consist of two to three pages documenting the rationale for distinguishing a particular staff member with the award. More than one award could be made in a given year, but this will be considered unusual. As an exception, and

CGIAR Center: N
 Reward Method: Non-Monetary Reward

Staff Eligible: Senior Staff, General
 Pages: 2 of 3

No. 2.9 Outstanding Senior Staff Achievement Award (OSSA)

GENERAL POLICIES AND PROCEDURES

- if circumstances warrant it, an award could be made to a small work team of Senior Staff rather than an individual.
- c) At its annual meeting, the Board of Trustees will receive the recommendations of the Program Committee and Audit and Operations Review Committee with respect to the nominations. The Board will then decide whether or not to issue a formal resolution recognizing such outstanding performance.
 - d) Recognition will be cited at a formal ceremony during the Annual Board Dinner, an occasion at which most Senior Staff are present. Such recognition will consist of a certificate, and this document will clearly indicate the justification for the award, stating the specific contribution that the staff member has made to [CGIAR Center]’s mission. No financial reward is associated with the achievement award.
 - e) [CGIAR Center] will publicize the award in [CGIAR Center newsletter] and [CGIAR Center staff bulletin].

CRITERIA FOR SELECTION

Only Senior Staff with more than 3 years experience with [CGIAR Center] will be considered. Awards will be made for truly outstanding service in the execution of [CGIAR Center]’s mission in one of the following categories.

- Category 1:** A long record of high-quality research, published over the years in well-recognized, international refereed journals. Publications reaching the level of a Citation Index will be given special consideration. The publications in this category must all be related to [CGIAR Center]’s mission.
- Category 2:** A series of papers on a particular subject, considered critical to [CGIAR Center]’s mission and making a quantum leap in the level of achievement of the Center.
- Category 3:** Directly responsible for particular research outcomes which are not easily publishable in recognized journals, but which are considered by the nominators and Management to be decisive in terms of [CGIAR Center]’s mission. Nominations in this category require a written submission detailing the achievements of the person concerned.

CGIAR Center: N
Reward Method: Non-Monetary Reward

Staff Eligible: Senior Staff, General
Pages: 3 of 3

No. 2.9 Outstanding Senior Staff Achievement Award (OSSA)

GENERAL POLICIES AND PROCEDURES

Category 4: Outstanding achievement in a wide range of other activities at [CGIAR Center] which may not include research, but which makes a decisive contribution to the Center's mission and implementation of its strategy. This also requires a detailed written proposal from the respective Director, Program Leader or Unit Head documenting the achievements of the staff member concerned.

5.2 Protocols for Monetary Rewards

The following protocols are included in this section:

- Center C—Improvement Idea Plan
 - Center I—Merit Pay
 - Center J
- Excellence in Research, Information, Training, and Outreach Award
 - Excellence in Support of CGIAR Center’s Program Award
- Center L—Excellence Award
 - Innovation Award
 - Special Achievement Award

CGIAR Center: C
Reward Method: Hybrid Reward

Staff Eligible: All Staff
Page: 1 of 12

IMPROVEMENT IDEA PLAN

OBJECTIVES:

Develop a tool to support the Overall Quality and Productivity Program that allows:

1. Reduce non-quality costs
2. Generate substantial savings in company operation
3. Improve quality of work carried out by employees
4. Establish a channel of communication between employees and the Institution

STRATEGIES:

1. Detect failures giving rise to non-quality costs
2. Discover procedures and techniques to simplify and improve work, through continuing improvement.
3. Improve and increase relations between the company and the employees.

CGIAR Center: C
Reward Method: Hybrid Reward

Staff Eligible: All Staff
Page: 2 of 12

INTRODUCTION:

[CGIAR Center's] Assistant Management has implemented an Improvement Idea Plan to mutually benefit the employee and the Institution.

THE IMPROVEMENT IDEA PLAN OFFERS THE EMPLOYEE:

1. A channel of communications so that [CGIAR Center's] staff may present their ideas.
2. A means to obtain personal recognition.
3. An opportunity to receive incentives for any ideas approved.
4. A way to simplify work and make it safer.
5. Participate in organizing individual work.

FOR THE INSTITUTION, THE IMPROVEMENT IDEA PLAN PROVIDES A
MEANS TO:

1. Improve relations by providing an extra channel of communications.
2. Promote employee initiative and ingenuity.
3. Discover abilities.
4. Improve service quality and productivity.
5. Increase efficiency by reducing material waste and unproductive times.
6. Acknowledge, through incentives, all constructive efforts going beyond employee responsibility.
7. Mostly, eliminate non-quality costs.

CGIAR Center: C
Reward Method: Hybrid Reward

Staff Eligible: All Staff
Page: 3 of 12

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 - 5.4 Prize presentation

CGIAR Center: C
Reward Method: Hybrid Reward

Staff Eligible: All Staff
Page: 4 of 12

1. WHO OPERATES THE PLAN

1.1 Plan coordinator

The Human Resources Manager will be directly responsible for the Plan operation.

Specific responsibilities:

1. Collect ideas from the boxes.
2. Send memoranda acknowledging receipt to the author of the idea.
3. Research the idea.
4. Submit reports to the Quality Committee on the ideas researched.
5. Make arrangements for prize payment and delivery.
6. Notify authors of non-adopted ideas.
7. Keep the necessary files and records.
8. Carry out educational work with supervisory staff.
9. Prepare reports for Assistant Management.

1.2 Quality Committee

The Quality Committee shall be made up by:

- a) Chairman (Assistant General Manager)
- b) Members (Heads of-Management)
- c) Plan Coordinator
- d) A representative of [*staff association*]

The Committee's basic responsibilities are:

- a) Interpret policies.
- b) Approve or reject ideas after evaluating the Plan Coordinator's recommendation.
- c) Approve amount of prizes.
- d) Review all ideas not recommended for adoption by the Coordinator, after evaluation and research.

The Assistant General Manager shall be responsible for the establishment of policies and Plan direction. The Quality Committee shall meet every 15 days.

CGIAR Center: C
Reward Method: Hybrid Reward

Staff Eligible: All Staff
Page: 5 of 12

2. HOW THE PLAN OPERATES

2.1 Idea presentation

Boxes will be installed for the specific purpose of receiving ideas. The numbered piece of paper in the lower portion, or stub, kept by the author of the idea, will serve as identification.

2.2 Acknowledgement and receipt

The ideas are periodically collected from the boxes by the Human Resources Management, who will acknowledge receipt.

2.3 Idea research

The Coordinator will determine whether the idea offers the best solution to the problem. The Department Head in question will be consulted to obtain an opinion, if necessary. If the idea requires deeper research or an effectiveness test, the Department Head will specify a date to reply so that the final research report may be prepared.

2.4 Patent violation

Whenever there is the possibility of violating a patent, the Coordinator must obtain a legal opinion. This will give a final indication for adopting an idea or not.

2.5 Coordinator's recommendations

The Coordinator will decide what action to take, after having exerted all efforts to obtain all feasible information and analyzing the facts carefully.

Will the idea be adopted?

By whom?

When?

Why will the idea be rejected?

2.6 Idea evaluation

The Quality Committee will be responsible for reviewing and finally approving all of the coordinator's recommendations. The coordinator will use as a basis for its decisions, the final research report including all data on savings and other benefits. The contents of the report will be judged in the light of practicality and value of the idea.

CGIAR Center: C
Reward Method: Hybrid Reward

Staff Eligible: All Staff
Page: 6 of 12

2.7 Notice of approval to author of idea

Once an idea is approved and the amount of the prize is determined by the Quality Committee, the Coordinator will notify the winner in writing. The winner's immediate supervisor must effect personal delivery of the prize. In the event of a considerably large prize, it is a good idea for a top executive to deliver same on some special occasion.

2.8 Non-approved ideas

The Coordinator must hold a personal interview with the authors of the ideas to prepare a report of the reasons why their ideas have not been adopted. The interview provides the author of the idea the opportunity of explaining the idea in further detail or expressing any viewpoints more clearly and gives the Coordinator the opportunity of encouraging the person to submit acceptable ideas in the future. It is suggested to have the Quality Committee award a special diploma to all those who have sent an idea, regardless of whether same was approved or not. This would serve as a recognition of their initiative, creativity, and participation.

2.9 Keeping records

The following is a list of files that should be kept:

1. An alphabetical card index for each author of ideas, containing the name of the employee, idea number, date, subject, and prize amount.
2. A general numerical file of the forms of original ideas signed. This file must contain all ideas received.
3. A file by subject or matter, where each idea is recorded alphabetically or numerically. The most important part of each one is underlined and the file is used to identify duplicate ideas.
4. A file by department, to easily identify which area participates more frequently.

CGIAR Center: C
Reward Method: Hybrid Reward

Staff Eligible: All Staff
Page: 7 of 12

2.10 Reports to Management

Every month, statistical data will be reported by the Coordinator to the Assistant General Management, with the following information:

- Number of ideas received
- Number of employees presenting ideas
- Number of ideas adopted
- Brief summary of ideas adopted
- Total net savings
- Total prizes
- Number of ideas being researched
- Statistical control by department

CGIAR Center: C
Reward Method: Hybrid Reward

Staff Eligible: All Staff
Page: 8 of 12

3. PRIZES

There are two prize categories: by tangible and intangible ideas.

3.1 Tangible

Tangible prizes result from ideas producing measurable savings, whether in labor or materials. Prizes are obtained as follows: savings generated by the idea during one year are calculated, as from the date when the idea was officially approved.

For such purposes, labor and materials expenses are deducted to obtain net savings. From the result, 15% is calculated, which would be the prize amount. The prize for each idea is the only prize and will be a one-time payment. There are no maximum prizes in any case.

3.2 Intangible

Intangible prizes are those given for any ideas adopted that fall within three classifications:

- Method improvement
- Safety
- Miscellaneous

CGIAR Center: C
Reward Method: Hybrid Reward

Staff Eligible: All Staff
Page: 9 of 12

4. OTHER GUIDELINES AND POLICIES

Any ideas for which no prize is awarded may be reevaluated, if the author of the idea so requests within a term of one year, counted as from the date when non-acceptance of such idea was notified to him. This may be made, provided the employee completes and enriches the information supplied. The Coordinator assumes no responsibility for notifying expiration of term. If the idea in a new review is not accepted for obtaining a prize, it will remain eligible for a term of one year, counted as from the official date when such decision is notified.

4.1 Taxes on cash prizes

On all prizes for ideas, the employee's contribution for personal taxes will be withheld in due course. From a tax point of view, prizes are considered as taxable income.

4.2 Prize payments to co-authors of ideas

Ideas may be generated by individuals or by groups. If two or more employees cooperate and prepare one idea and sign the form when presenting such idea, and the idea is adopted, the prize will be divided into equal shares among them, unless such authors will have otherwise specified in writing.

4.3 Prize payments to former employees of the Institution

It may happen that, while the idea is researched, the employee having submitted same way no longer be working for the Institution. Regardless of the reason for no longer being employed by the institution, if the idea is adopted, the prize has to be paid, unless the employee would still owe money to the Institution.

4.4 Eligible employees

All of [CGIAR Center's] employees are eligible to receive prizes for improvement ideas, with the exception of the members of the Quality Committee. Also not eligible are the Director of the Institution, the Program Directors, Department Directors, and Unit Chiefs.

CGIAR Center: C
Reward Method: Hybrid Reward

Staff Eligible: All Staff
Page: 10 of 12

4.5 Eligible ideas

An idea is eligible whenever it offers improvement in security, materials, equipment, instruments, methods, efficiency, maintenance procedures, forms or any offering some other benefit to the Institution. An eligible idea has three parts. It must explain:

1. What must be improved?
2. How must it be improved?
3. What savings are obtained?

Not eligible for consideration:

1. Working hours.
2. Salaries.

4.6 Patent and other proprietary rights on ideas

All the ideas must contain the declaration that the decision taken by the Institution is final and that all ideas become the property of [CGIAR Center]. The Institution must be in a position to make absolute and unreserved use of the idea, presenting the idea to others or to grant right of use of such idea to any of its subsidiaries worldwide.

4.7 Modification of an idea

All the benefits resulting from researching an idea will be credited to the employee, although some of them may not have been described in the idea itself.

CGIAR Center: C
Reward Method: Hybrid Reward

Staff Eligible: All Staff
Page: 11 of 12

5. ADVERTISING AND PROMOTION

5.1 Assistance from supervisors

All supervisors in general can and should share the load of making the Improvement Idea Plan a success.

For such purpose, it is necessary to show them the opportunities offered by the Plan and to be provided with the necessary information and stimulation. If they can be convinced of the usefulness of the Plan, they, in turn, will convince their employees.

5.2 Personal contacts

The Coordinator must visit all areas frequently. This provides him an opportunity to establish personal contact with the employees and supervisors.

5.3 Promotional materials

Among the basic tools to maintain and stimulate employee interest are the idea boxes, employee brochures, bulletin board notices, and articles in the house organ.

5.3.1 Boxes

Boxes will be placed in the Human Resources area and at the Experimental Stations Superintendence.

5.3.2 Posters and bulletin board notices

Notices on bulletin boards must receive special attention to advertise the Plan. The lists of persons having obtained prizes and amount of same serve not only as special recognition for the winners, but also as stimulation for those who have still not participated in the Plan.

5.3.3 Brochures for employees

The descriptive brochures of the Improvement Idea Plan distributed to all employees have the double purpose of reminding them about the advantages of the Plan and explain the details of same.

CGIAR Center: C
Reward Method: Hybrid Reward

Staff Eligible: All Staff
Page: 12 or 12

5.3.4 Articles in the [CGIAR Center] house organ

Articles on the Improvement Idea Plan in the Institution house organ are generally very interesting to readers and aid in increasing participation. A popular type of article is the one describing what the employee intends to do with the prize money obtained for the idea.

5.4 Prize presentation

It is recommended, generally, to have the employee supervisor or Department Head deliver the prize, as they have worked closer and have, maybe, helped to develop the idea. This offers a new opportunity for positive contact between the two. Whenever the nature of the idea and the amount of the prize so justify, one or more of the top-level management members may be present at the time they are delivered, to enhance the occasion.

CGIAR Center: I
Reward Method: Monetary

Staff Eligible: Support and Senior Staff
Page: 1 of 3

To: All [CGIAR Center] Staff

Date: ... [year]

From: [Director General]

Subj: [year] Salary Administration and Merit Pay Issues

PURPOSE

We are now ready to implement pay increases for salaried staff to be effective January 1, 1995. The purpose of this memo is to advise you of salary-related decisions made by the Board and inform you how they specifically impact the Institute as an organization and individual staff members in the coming year.

CHANGES IN SALARY STRUCTURE

The Board approved a 3.0% upward movement of [CGIAR Center's] salary structure in order for [CGIAR Center] to maintain a viable, competitive relationship with similar organizations. This change does not directly affect the pay of any individual or the [CGIAR Center] budget. The 1995 Salary Structure is attached and may be placed in your Personnel Manual.

SALARY POOL

The Board approved an overall pool for pay increase of 4.4% of [CGIAR Center's] gross payroll to be distributed by management based solely on performance. The increase reflects our review of similar organizations, the financial status of the Institute, and your hard work and contributions.

SALARY ADMINISTRATION PHILOSOPHY

At the June Board meeting, the Board approved the following approach to pay increases for 1995, which was implemented:

- ▲ to look hard at the experience of similar organizations using professional social science personnel at the same levels of quality as [CGIAR Center];

CGIAR Center: I
Reward Method: Monetary

Staff Eligible: Support and Senior Staff
Page: 2 of 3

All [CGIAR Center] Staff
[year] Salary Administration and Merit Pay Issues
Page 2.

- ▲ to keep [CGIAR Center] from slipping seriously behind its competitors in seeking top-quality experienced staff, without at the same time trying to improve its relative position; and
- ▲ to give some weight in [CGIAR Center]'s decision to morale considerations and the level of uncertainty which staff feel in the light of the perception of a financial crisis in the CGIAR as a whole.

METHOD FOR ALLOCATING SALARY POOL ACROSS DIVISIONS

The salary pool will be allocated to divisions based on the gross salaries of all eligible staff members. [CGIAR Center] will continue to use a merit pay approach under which staff's pay increases will be directly related to their performance during [year]. Based on staff feedback that many support staff members did not understand the reasons for their pay increase and the input of the Board of Trustees to simplify the process, it was decided that each performance rating for support staff will have a fixed percentage assigned to it. Decisions on individual pay raises for staff other than support staff are approved by the Director General, based on a recommendation by each division director and a review by the Head, Human Resources Services, and the Director of Finance and Administration. Each division director will have at his disposal a share of the pool proportional to the gross salary levels of the eligible staff in the division.

PAY INCREASES

Senior Staff

As you know, senior staff do not receive performance ratings, but rather receive written feedback on their contributions to [CGIAR Center] during the year. Therefore, their merit increase is primarily based on the quality and quantity of their performance within the context of the previous year's mutually agreed upon work plan. Based on this and the aforementioned criteria, eligible senior staff will receive pay increases ranging from 0% to a maximum of 5.8%. In cases in which the year's performance is in serious question, the staff member will not receive a pay increase and will be given a set amount of time to meet specific, reasonable goals which will then be reviewed. At the end of that time, decisions will be made to either extend the probation period or to take other action with the staff member.

CGIAR Center: I
Reward Method: Monetary

Staff Eligible: Support and Senior Staff
Page: 3 of 3

All [CGIAR Center] Staff
[year] Salary Administration and Merit Pay Issues
Page 3.

Support Staff

Pay for support staff will be distributed in the following manner:

<u>Rating</u>	<u>Pay Increase Percentage</u>
Below Expectations	1.5%
Meets Standards	3.8%
Exceeds Standards	4.6%
Exceptional	5.8%

I will take a close look at the salary of any staff member that has reached the maximum for their salary grade. In accordance with the guidelines on salary administration as stated in Section . . . of the Personnel Manual, the Director General may authorize a higher rate of pay than the maximum for that grade, based on the position's placement in the marketplace, the status of the staff member in his or her own field, or other job-related criteria, as appropriate.

Based on performance, staff who were hired in or before July would receive the full pay increase. Staff who were hired in August or September would receive a prorated pay increase. Staff hired in or after October would receive no increase.

It is our intention that this process be completed in a timely manner so that pay changes can be announced and made for the first pay period in January. Individual results will not be announced until the entire exercise is complete. Should there be any question about how a pay increase was determined, staff members should meet with their division directors and can expect a clear explanation about the reasons for their particular pay increase.

ADVANCEMENTS AND PROMOTIONS

I have asked division directors to advise me of any advancements and promotions they wish to recommend. Such actions would take place in accordance with the guidelines found in the Personnel Manual and would be effective on January 1, [year]. Any moneys for these actions will not come from the salary pool.

CGIAR Center: J
 Reward Method: Hybrid Reward

Staff Eligible: All Staff
 Page: 1 of 4

[CGIAR Center] AWARDS SYSTEM

A. Context and Rationale

[CGIAR Center] proposes to introduce a system of awards and incentives to reward any individual employees (international and national, at headquarters or overseas) who make special contributions to the achievement of the Institute's mission.

There are many ways in which individuals may contribute to this mission. [CGIAR Center's] current work plan, for instance, includes the following research, training, and information outputs. Excellence in these outputs will speed the accomplishment of the mission:

- publications and other written outputs, aimed at clients and collaborators
- technical reports to donors
- field testing of innovations through action research
- technical support and advice based on [CGIAR Center's] work and experience
- daily interaction with collaborators in the conduct of action research
- development of research methodologies and management tools
- syntheses of existing practices and knowledge and identification of gaps
- comparative analysis across countries that yield generalizable results
- development of new management training approaches and materials
- production and dissemination of technical publications
- press releases, radio/tv programs, technical feature articles
- library and documentation services.

Many inputs are required to achieve excellence in these outputs. One set of variables in which all employees can make a difference, is the way in which they contribute to the center's working environment. The [CGIAR Center] Strategy Paper notes that the Institute will strive to provide a working environment that permits staff to achieve the highest level of individual and Institute performance by implementing policies that provide fair and equitable treatment for all, that encourage self-development, that discourage discrimination, that provide opportunities for promotion and encourage staff communication and involvement.

To encourage the production of excellent outputs, and to reward behavior that contributes to a work environment that fosters excellence, The Institute proposes to introduce the following system of awards and incentives.

CGIAR Center: J
Reward Method: Hybrid Reward

Staff Eligible: All Staff
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B. Summary of Proposed Program

All staff of will be eligible to participate in the awards program. The awards system will operate equally for national and international staff. Awards will be made for excellence in research, training, information, outreach or in general support for the center's program.

Anyone may nominate anyone else in [CGIAR Center] for an award. All nominations must be fully justified, and submitted in writing or orally, using criteria as listed on the final page of this document. Nominations will be reviewed by a two-person panel once a year. The panel will make recommendations to the Director General, whose decision on the granting of awards will be final.

Up to three awards may be made in any one year. Awards will not be made in any category unless excellence can be documented. All awardees will receive, in addition to a special award, a certificate with a citation describing the reason for the award.

C. Description of Awards

1. Excellence in Research, Information, Training and Outreach

No more than two awards may be given in any year in this category. Excellence in research may be demonstrated by an outstanding publication or the exceptional presentation of research through a paper given at a workshop, conference or seminar, including the Internal Program Review (IPR).

An award in this category may also be made for exceptional and sustained performance by a researcher. Nominations for such instances might show a consistent pattern of superior publications, continuing high standards for research design and implementation, sustained concern for the value and dissemination of research results, etc.

Nominations for research awards should attach the paper or publication, and give a justification in writing of why the work should receive an award. Criteria might include: relevance of topic to host country [CGIAR Center specialty] sector, ingenious or innovative research design, unanticipated but important outputs, successful research in a particularly difficult field, demand from clients and collaborators for research results. All nominations should demonstrate how the work has contributed to the achievement of [CGIAR Center's] mission. A nomination may be strengthened by citing the comments of specialists in the particular research field.

Evidence of excellence in training may be given in the form of an outstanding publication or paper given at a workshop or seminar, including the IPR, or a video of a training activity. Where possible, the results of evaluation of the training activity (including comments from trainees), should be attached to nominations, which should clearly state why the activity deserves a reward: for example, it may be, in an area of particular concern to the host government, or the management of a key [CGIAR Center specialty] system; it may contribute to the achievement of desired institutional change; it may result in demonstrable improvement in the performance of a [CGIAR Center specialty] system.

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Reward Method: Hybrid Reward

Staff Eligible: All Staff
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An award in this category may also be given for sustained and exceptional performance within [CGIAR Center's] Training Office. Such a nomination should cite a large number of superior training activities of especial benefit to [CGIAR Center's] clients, and showing consistent high standards of curriculum design, training technique, etc.

Evidence of excellence in information activities may be given in the form of a particular product or set of products, with a justification for why these products deserve an award. Reasons might include: overwhelming demand from key [CGIAR Center] clients, recommendations and testimonials from clients, donors, or information specialists outside [CGIAR Center].

An award in this area may also be given for sustained and exceptional performance within [CGIAR Center's] Information Office. This might include performance in such technical activities as drawing, layout and art work, editing, printing and publishing, etc.

Nominations seeking an award in the outreach category should demonstrate how a given activity or individual has directly contributed to the well-being of clients in the field — farmers and members of the farming community, as well as [CGIAR Center specialty] field workers and system engineers and managers.

All nominations in this category should show clearly how the proposed awardee has contributed to the achievement of the center's mission.

All program staff, local and international, are eligible to compete for these awards. Any staff member may nominate any other staff member's work, or his/her own work.

2. Excellence in the Support of [CGIAR Center's] Program

No more than one award may be made in any given year in this category. All employees, international and local, at headquarters or overseas, are eligible for awards in this category, which is to be interpreted widely to include any outstanding or exceptional activity or demonstration of excellence that contributes to the provision of [CGIAR Center's] working environment. Some examples follow:

- Ideas or innovations, suggestions or actions that contribute significantly to an improvement of [CGIAR Center's] overall program, its financial stability or that saves the Institute significant amounts of money.
- Actions beyond the call of duty, such as bravery, extraordinary commitment or sustained non-professional contributions to the social well-being of staff.

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Reward Method: Hybrid Reward

Staff Eligible: All Staff
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- Sustained behavior demonstrating exceptional tolerance, good humor and adaptability in the pursuit of [CGIAR Center's] mission; superior leadership of an office, project, division, field operation, as perceived by the persons supervised; exceptional and sustained performance by any member of the support staff, including secretaries and drivers, accounting and budget staff, travel staff, maintenance.

D. Operation of Awards Program

1. Timing

Nominations may be received throughout the year, but awards will be made only once per year, at some date to be determined by the Director General. To maximize the involvement of overseas staff, a timing to coincide with the annual Program Planning Meeting (PPM) or IPR is suggested.

2. Evaluation Panel

A two person panel will evaluate all nominations, drawing on expertise from around [CGIAR Center] as needed. The panel will be appointed each year by the DG and will always include one Research Division staff person. No panel member will serve for more than one year. The panel will make recommendations to the Director General, who may, in turn, draw on the expertise of others within [CGIAR Center], before making up the final award list.

3. Awards

Regardless of location, position or seniority, each awardee will receive the same award — a check for \$300.00 in either dollars or the local currency equivalent. Awardees will also receive a citation noting the reason why they received the award.

4. Awards Ceremony

If awards are made in a given year, there will be a ceremony, at which awards are given out along with certificates and citations, and photographs of awardees with the award giver. This ceremony might be used as an occasion for the DG and others to address the staff as a whole on items of Institute-wide interest. The proceedings should be described in the [CGIAR Center newsletter] for the benefit of overseas staff who cannot attend.

CGIAR Center: L
Reward Method: Hybrid Reward

Staff Eligible: All Staff
Page: 1 of 4

MEMORANDUM NO. ...

To : All [CGIAR Center] Staff
From : The Director General
Date : ... [year]
Subject : Awards Program

An awards program was established in 1991 “to recognize and reward Nationally Recruited Staff (NRS) in performance and for active involvement in activities that contribute to the overall improvement in the effectiveness and efficiency of the Institute” (DG’s Memorandum No. ...). I am pleased to continue this important tradition, with the following modified guidelines:

A. Classification of awards

1. **Excellence Award** (formerly “Outstanding Year-Round Performance”). This award will be made to NRS whose performance has substantially and consistently exceeded normal performance standards over the past 12 months. Performance of the awardee must clearly set a standard of excellence that inspires and motivates other co-workers within the Institute.

2. **Innovation Award** (formerly “Award for Beneficial Suggestions”). This award will be made to NRS who have demonstrated exceptional innovation and creativity in supporting the objectives of the Institute. The innovation may relate to any facet of [CGIAR Center’s] programs and program-support activities.

3. **Special Achievement Award**. The award will be made to NRS who have demonstrated exceptional skill and dedication through a specific, extraordinary achievement during the past 12 months. This achievement may relate to any facet of [CGIAR Center’s] programs and program-support activities.

B. Eligibility

Only regular core and project NRS are eligible to receive an Excellence Award.

CGIAR Center: L
Reward Method: Hybrid Reward

Staff Eligible: All Staff
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... 1995

MEMORANDUM NO. ...

TO : All [CGIAR Center] Staff
FROM : The Director General
SUBJECT : **Awards Program Committee**

An Awards Program was established in 1991 to recognize and reward employees for excellence in performance and for active involvement in activities that contribute to the overall improvement in the effectiveness and efficiency of the Institute. The details of the program are contained in DG Memorandum No. ...

In implementing the Awards Program, an Awards Committee is hereby created for [year] as follows:

[name staff member]	—	Chairperson
[name staff member]	—	Member
[name staff member]	—	Member
[name staff member]	—	Member
[name staff member]	—	Member
[name staff member]	—	Member
[name staff member]	—	Committee Secretary

The Committee is hereby authorized to review the criteria by which the awards will be given and determine the funding requirement for the awards. The Committee is likewise authorized to call upon any official or employee of the Institute for assistance in the implementation of this program.

The awards as determined by the Committee will be given during the Recognition Day in December.

Thank you.

CGIAR Center: L
Reward Method: Hybrid Reward

Staff Eligible: All Staff
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MEMORANDUM

To : All Division/Center/Unit Heads and Program Leaders
From : Chairperson, [year] Awards Committee
Date : ...
Subject : **[year] Recognition Day Awards**

We are pleased to invite nominations for the three categories of awards as described in DG's Memorandum ... In preparing your submissions, please take note of the following guidelines:

1. Each nomination must be accompanied by a completed award nomination form (attached). Additional supporting documentation is strongly encouraged in the case of nominations for an Innovation Award or a Special Achievement Award, as these are limited to only 10 and 25 awardees respectively.
2. Nominations for an Excellence Award are strictly limited to a maximum of 10% of all eligible NRS in each Division, Center, or Unit.
3. Nominations for an Excellence Award will be accepted only from Division, Center, and Unit Heads. Nominations for an Innovation Award or a Special Achievement Award will be accepted from Program Leaders, as well as from Division, Center, and Unit Heads.
4. Teams of NRS are eligible for nomination to any of the award categories. Teams nominated for an Innovation Award or a Special Achievement Award may be comprised of NRS from different Divisions, Centers, or Units.
5. Nominations should be sent to the Chairperson, of the Awards Committee.

Thank you.

CGIAR Center: L
Reward Method: Hybrid Reward

Staff Eligible: All Staff
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Award Nomination Form

Name of Nominee¹:

Position:

Division/Center/Unit:

Award Category (*check one*):

- Excellence Award
- Innovation Award
- Special Achievement Award

Description of accomplishments that justify the award²:
(*additional supporting information and documents may be attached*)

Nominated by:

Division/Center/Unit Head/Program Leader³

Date

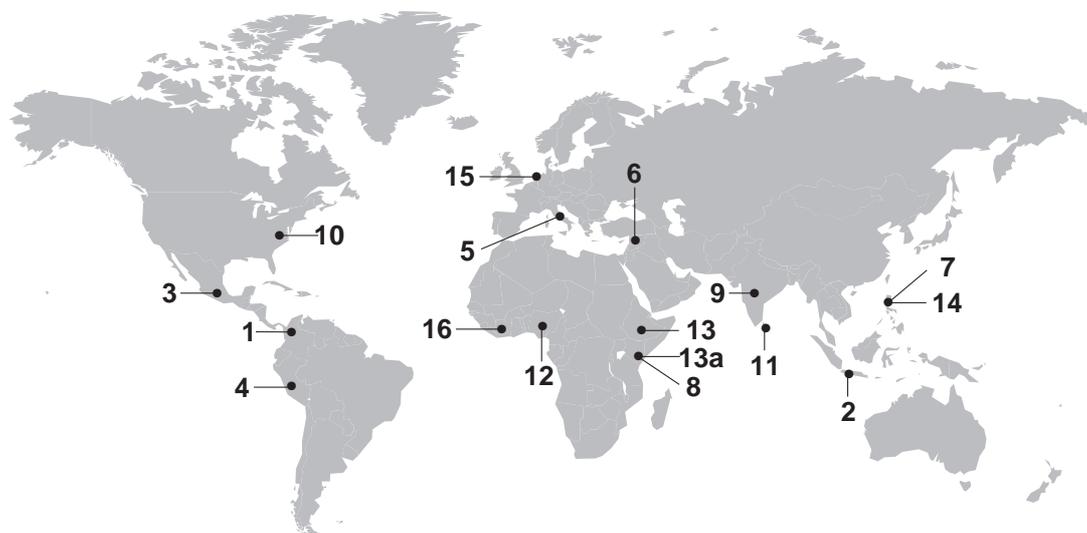
¹ Complete one form for each nomination; list all team members in cases of a team nomination.

² It is important to describe the unique contributions of the nominee (individual or team) that justify selection ahead of other co-workers.

³ As specified in DG's Memorandum No. ..., only Division/Center/Unit Heads may nominate candidates for an Excellence Award.

Annexes

Annex 1. Centers Supported by the Consultative Group on International Agricultural Research



- | | | |
|------|---------|--|
| 1. | CIAT | Centro Internacional de Agricultura Tropical, Cali, Colombia |
| 2. | CIFOR | Center for International Forestry Research , Bogor, Indonesia |
| 3. | CYMMYT | Centro Internacional de Mejoramiento de Maíz y Trigo, El Batán, Mexico |
| 4. | CIP | Centro Internacional de la Papa, Lima, Peru |
| 5. | IPGRI | International Plant Genetic Resources Institute, Rome, Italy |
| 6. | ICARDA | International Center for Agricultural Research in the Dry Areas, Aleppo, Syria |
| 7. | ICLARM | International Center for Living Aquatic Resources Management, Manila, Philippines |
| 8. | ICRAF | International Centre for Research in Agroforestry, Nairobi, Kenya |
| 9. | ICRISAT | International Crops Research Institute for the Semi-Arid Tropics, Hyderabad, India |
| 10. | IFPRI | International Food Policy Research Institute, Washington, D.C., USA |
| 11. | IIMI | International Irrigation Management Institute, Colombo, Sri Lanka |
| 12. | IITA | International Institute on Tropical Agriculture, Ibadan, Nigeria |
| 13. | ILRI | International Livestock Research Institute, Addis Ababa, Ethiopia |
| 13a. | ILRI | International Livestock Research Institute, Nairobi, Kenya |
| 14. | IRRI | International Rice Research Institute, Los Baños, Philippines |
| 15. | ISNAR | International Service for National Agricultural Research, The Hague, The Netherlands |
| 16. | WARDA | West Africa Rice Development Association, Bouaké, Côte d'Ivoire |

Annex 2. Assessment Protocols Provided by Centers

Center	Number of Protocols Provided by Assessee's Function or Level							Total No. of Protocols
	Program Staff		Non-program Staff		Staff in General			
	Support	Senior	Support	Senior	Support	Senior	All	
A		1		1				2
B					1	1		2
C	1		1			2		4
D		1						1
E		1		1	1			3
F							1	1
G					1	1		2
H	1	4	9	5	1	1		19
I		1		1	1	1		4
J		1		1				2
K		1				2		3
L		2	2	1		1		6
M							1	1
Total	2	12	12	10	4	8	2	50

Annex 3. General Categories of Criteria for Staff Assessment

General Categories of Criteria	% of Criteria in General Categories According to Staff Function and Level							Total ((%) of all Criteria on Categories)
	Program Staff		Non-program Staff		Staff in General			
	Support	Senior	Support	Senior	Support	Senior	All	
Achievement	3.4	41.8	3.8	21.6	12.3	36.4	50.0	27.3
Attribute	58.6	38.0	80.0	58.8	61.6	42.7	25.0	51.5
Summary	37.9	18.3	16.3	18.3	20.5	20.0	25.0	19.6
Total	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0

Annex 4. Key Words in Performance Assessment Criteria

Category of Criteria	Key Words
1. Adaptability	adaptability, change, flexibility
2. Communication	communicate, communication, draft, English, French, language, oral, spoken, verbal, write, written
3. Constraints, problems faced	constraint, disappointment, limitation, problems encountered, obstacle
4. Creativity, initiative	creative, creativity, difficulty, foresight, ideas, initiative, resourceful, resourcefulness
5. Expertise, knowledge, technical skills	accuracy, analysis, analyze, analytical, application, competence, data, design, keeps up with developments in the field, identifying problem, information, knowledge, numerical, problem solving, quality of work, scientific, skill, solving problem
6. Financial management	budget, cost, economy, financial, resources
7. General	comment, considerations, final, general, other, overall, strength, summary, rating, response, weakness
8. Handling equipment, safety	alert, computer, equipment, counselling, delegation, feedback, motivation, people, subordinates
9. Human resource management	appraisal of staff, coaching, counselling, delegation, feedback, motivation, people, subordinates
10. Center/unit management or goal attainment	administration, administrative, CGIAR, institute committee, division, center, program, service, support unit
11. Leadership, supervision	leadership, manage, supervise, supervisor, supervision
12. Output, productivity	journal, output, productivity, proposal, publication, quantity, results, report, technologies developed
13. Personal development, training	award, career development, course, improvement, personal development, self development, technical qualifications, training, upgrade
14. Personal relations, teamwork	cooperation, human relations, interpersonal, working relationship, relations with colleagues, internal relations, relations with staff, relations with supervisor, team
15. Potential	potential
16. Program, project management	control, goal setting, program, project, research management, set priorities
17. Reliability, responsibility	commitment, confidentiality, corrective, dependability, disciplinary, discipline, following directions, integrity, judgement, reliability, responsibility, supervision required
18. Technology transfer, outreach, external relations	advice, advisory, clients, conference, consultancy, contact, donor, external, NARS, national or international committee, national scientists, outreach, professional societies, seminar, technical assistance, travel, visitors
19. Timeliness	attendance, beyond normal house, deadline, on time, prompt, punctual, schedule, working hours
20. Work objectives	job description, terms of reference, work plan, objective

Annex 5. Products Indicated in Output Criteria

Outputs Indicated in Assessment Criteria	Outputs Indicated in Reward Criteria
<p>Advances in knowledge Annual report Conference publications Equipment designed International journal refereed Journal articles Journals edited Manuals written Maps Output for committees Output, general Outputs from training activities Outputs from travel Outputs of administrative responsibilities Outputs of general activities Outputs of investigations Outputs of post responsibilities Outputs of project activities Pamphlets written Proposals funded by donors Proposals submitted to donors Publications edited Publications written Reports Reports submitted on time Research output Scientific publications written Software developed Workshop publications</p>	<p>Addition to scientific knowledge Book that found wide acceptance Citation index recognition Decisive outcomes of research that are not easily publishable Drawing, layout, and artwork Idea, innovation, or suggestion that improves financial stability Idea, innovation, or suggestion that improves the program Idea, innovation, or suggestion that saves money Idea that offers improvement to the institute Idea that offers savings to the institute Idea that offers solution to a problem Ingenious or innovative research design Long record of high-quality published research Outstanding publication Pattern of superior publication Product or set of products demanded by clients Product or set of products with testimonials from clients Product or set of products with testimonials from specialists Product that had great impact Publication in internationally recognized refereed journal Research method or technique that is widely used Research results demanded by clients Series of papers making a quantum leap in achievement Successful research in a difficult field Unanticipated but important output Video of training activity Volume of creativity Workshop paper</p>

Annex 6. Frequency of Assessment Criteria

Category of Assessment Criteria	Frequency of Assessment Criteria (%) Appearing on Protocols by Assessee's Function / Level							Total	Overall Rank
	Program Staff		Nonprogram Staff		Staff in General				
	Support	Senior	Support	Senior	Support	Senior	All		
Adaptability	–	0.4	1.3	1.7	1.4	2.3	–		–
Communication	–	3.7	3.8	3.9	6.8	4.7	5.9	1.2	10
Constraints, problems	–	2.4	–	1.7	–	3.1	–	4.1	–
Creativity, initiative	3.3	1.6	5.0	2.8	4.1	5.5	–	1.7	–
Expertise, knowledge, technical skills	13.3	6.9	11.3	7.9	13.5	7.0	5.9	3.2	3
Financial management	3.3	2.4	2.5	3.9	2.7	2.3	–	8.5	–
General	36.7	16.7	16.3	16.9	21.6	15.6	29.4	2.8	1
Handling equipment, safety	6.7	0.8	13.8	3.4	–	0.8	–	18.1	–
Human resource management		2.4	2.5	7.3	1.4	3.1	–	2.9	–
Center/unit management		7.3	1.3	6.2	2.7	6.3	11.8	3.5	6
Leadership, supervision		2.0	3.8	5.1	5.4	3.9	–	5.6	–
Output, productivity	3.3	14.2	2.5	7.3	6.8	9.4	5.9	3.5	2
Personal development, training		5.3	1.3	3.9	2.7	7.8	–	9.2	9
Personal relations, teamwork	3.3	7.3	8.8	7.9	6.8	4.7	11.8	4.4	4
Potential		2.4	6.3	2.2	–	–	–	7.0	–
Program, project management		2.4	–	4.5	2.7	4.7	5.9	2.0	–
Responsibility, reliability	16.7	2.8	11.3	4.5	12.2	4.7	–	3.1	5
Technology transfer, outreach		11.8	–	2.8	–	0.8	11.8	5.8	8
Timeliness	13.3	2.4	8.8	0.6	8.1	0.8	–	4.9	–
Work objectives		4.5	–	5.6	1.4	12.5	11.8	3.3	7
								5.3	
Total	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0

Annex 7. Assessment Measurements by Staff Function and Level

Center	Number of Assessment Measures on Protocols by Assessee's Function / Level							Total No. of Measures on Protocols	Average No. of Measures per Protocol
	Program Staff		Nonprogram Staff		Staff in General				
	Support	Senior	Support	Senior	Support	Senior	All		
A		12		12			–	24	12
B					16	20		36	18
C	8		10			12 avg		41	10
D		40						40	40
E		32		43	15			90	30
F							5	5	5
G					22	38		60	30
H	21	24 avg	24 avg	23 avg				448	24
I		15		16	20	13		64	16
J		13		13				26	13
K		20				6 avg		31	10
L		15 avg	14 avg	22		12		75	15
M							15	15	15
Average	15	21	21	22	18	15	10		19

Annex 8. Methods of Measuring Assessment Criteria

Criteria Categories	% of Criteria Measured by		Criteria Categories	% of Criteria Measured by	
	Essay	Score		Essay	Score
Adaptability	22.7	77.8	Leadership, supervision	19.2	80.8
Communication	9.7	90.3	Output, productivity	60.9	39.1
Constraints, problems	100.0	0.0	Personal development, training	78.8	21.2
Creativity, initiative	0.0	100.0	Personal relations, teamwork	15.1	84.9
Expertise, knowledge, technical skill	3.1	96.9	Potential	66.7	33.3
Financial management	4.8	95.2	Program, project management	21.7	78.3
General	64.9	35.1	Responsibility, reliability	0.0	100.0
Handling equipment, safety	0.0	100.0	Technology transfer, outreach	64.9	35.1
Human resource management	3.8	96.2	Timeliness	8.0	92.0
Center/unit management	73.8	26.2	Work objectives	82.5	17.5

Annex 9. Monetary and Non-Monetary Offering for Outstanding Performance

Center	Title of Reward	Non-monetary Offerings	Monetary Offerings
C	Improvement Idea Plan (Gainsharing)	<ul style="list-style-type: none"> ● Bulletin-board announcement ● Presentation at meeting ● Unspecified intangible prize 	<ul style="list-style-type: none"> ● Cash payment (bonus)
H	Accelerated Promotion Scheme Promotion through Growth Categories Performance Advancement		<ul style="list-style-type: none"> ● Promotion of one increment in a personnel category (salary increase) ● Promotion of one or two increments in a personnel category (salary increase) ● Adjustment of salary
I	Merit for Pay for Support Staff Merit for Pay for Senior Staff		<ul style="list-style-type: none"> ● Adjustment of salary ● Adjustment of salary
J	Award for Excellence in Research, Information, Training, and Outreach Award for Excellence in Support of the Center's Program	<ul style="list-style-type: none"> ● Awards ceremony ● Certificate with citation ● Photograph ● Announcement in newsletter <ul style="list-style-type: none"> ● Awards ceremony ● Certificate with citation ● Photograph ● Announcement in newsletter 	<ul style="list-style-type: none"> ● Cash payment (bonus) ● Cash payment (bonus)
L	Excellence Award	<ul style="list-style-type: none"> ● Plaque ● Recognition day ceremony 	<ul style="list-style-type: none"> ● Cash payment (bonus)
M	One-Step Adjustment in Base Pay Performance Award Two-Step Adjustment in Base Pay	<ul style="list-style-type: none"> ● Announcement in newsletter <ul style="list-style-type: none"> ● Certificate ● Announcement at dinner ceremony 	<ul style="list-style-type: none"> ● Promotion of one step in personnel category (salary increase) ● Cash payment (bonus) ● Promotion of two steps in personnel category (salary increase)
N	Outstanding Senior Staff Achievement Award Outstanding Research Publication Award	<ul style="list-style-type: none"> ● Certificate ● Announcement at staff meeting ● Announcement in newsletter ● Announcement in local media 	

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