Performance Appraisal Module Facilitator's Guide

New Partners Initiative Technical Assistance (NuPITA) Project

2010

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CONTENTS

DEVELOPING/REVISING A PERFORMANCE APPRAISAL PROCESS

MODULE OVERVIEW

A. PURPOSE

Performance appraisal (PA) is a key part of an organization's performance management system. When done well it can help organizations to:

- Recognize and reinforce good performance
- Align staff roles, responsibilities, and objectives with organizational or program objectives
- Identify training and professional development needs
- Identify and formally address problems or issues

Performance appraisal is a formal process usually conducted once a year, sometimes with a six-month review. There are a number of different ways of conducting performance reviews, but many NGOs find objective-based methods to be most appropriate for the NGO context. In the objective-based process, PA entails both supervisors and individual staff setting and coming to consensus on performance objectives, communicating and documenting issues and obstacles, assessing past performance, and agreeing on a performance plan for the coming period. Some NGOs also include checklists or performance ratings in the processes. Another form of performance appraisal that some organizations like to include along with objective-based approaches is 360° performance appraisal. 360° performance appraisal refers to the process in which supervisors, peers, subordinates, and clients review an individual's performance, allowing for a more holistic performance review.

This module is designed to guide NPI partners, with the assistance of NPI technical assistance providers, through a review and revision of their PA processes and tools. While there are many approaches to PA, the approaches and tools highlighted here are focused on strengthening the links between individual and organizational performance, reinforcing constructive performance communication, and establishing the conditions for performance improvement.

B. LEARNING OBJECTIVES

By the completion of this module, participants will have an understanding of the six key steps to developing or revising a performance appraisal process and will have developed:

- Statements of the PA purpose and objectives for the organization

- A supervisory structure and map of the PA process for their organization
- PA tool outline and the start of PA tools
- A PA implementation plan
- A PA workshop outline and list of tools and skills needed to conduct the workshop
- PA performance indicators

C. AUDIENCE

To be effective, this module needs to be conducted with the organizational staff members who will lead the process within the organization. This should include at least:

- The organizational manager or director
- Other senior managers (HR, finance, operations)
- Staff representatives

D. SCHEDULE

The following schedule outlines estimated time for each session and provides a suggested schedule for the workshop, assuming that all sessions are to be covered. The actual schedule should be developed in discussion with the organization and based on the sessions actually needed or required. Use the PA Module Session Decision Map in the appendix to help you decide which sessions to include. For example, the organization may want to focus on just a few of the sessions and leave the others out altogether or for the moment. The organization may also prefer longer days, or want to cover the material over three half-days instead of one-and-a-half days. Use this plan as a resource when developing the schedule for module implementation with the organization.

DAY 1

Time	Session	Topic	Format
9:00 – 9.30	1	Introductions and Objectives	Plenary
9:30 – 10:15	2	Case Study Part 1: Starting Out, New World Foundation's (NWF) PA Experience	Group review and discussion
10:15 – 10:30		TEA BREAK	
10:30 – 11:00	3	Case Study Part 2: Designing/Revising the PA Process Step-by-Step. Step 1: Defining PA Purpose and Objectives for your Organization	Group review and discussion
11:00 –12:00		Activity: Defining PA purpose and objectives	Group Work

12:00 –1:00		LUNCH BREAK	
1:00 – 1:45	4	Case Study Step 2: Mapping the Process for Your Organization	Group review and discussion
1:45 – 2:45		Activity: Organogram Review and PA Process Mapping	Group work
2:45 – 3:45	5	Case Study Step 3: Developing the Tools	Group review and discussion
3:45 – 4:00		TEA BREAK	
4:00 – 5:00	5	Activity: PA Tool Review and Outlining	Group work

DAY 2

Time	Session	Topic	Format
9:00 – 9.30	6	Case Study Step 4: Establishing a PA Plan	Group review and discussion
9:30 – 10:00	6	Activity: Developing a PA Implementation Plan	Group work
10:00 – 11:15	7	Case Study Step 5: Training Staff and Supervisors	Group review and discussion
11:15 – 11:30		TEA BREAK	
11:30 – 12:30	7	Activity: Developing a PA training Outline, listing tools and training skills needed to conduct the training	Group Work
12:30 –1:30		LUNCH BREAK	
1:30 – 2:30	8	Case Study Step 6: Implementing and Monitoring the PA Process	Group Review and Discussion
2:30 – 3:30	8	Activity: Developing PA Management Performance Indicators	Group Work
3:30 – 4:30	9	Action Plan Review and Module Completion	Group Work

E. MATERIALS

- Pre-workshop questionnaire (appended to this document)
- Pre-workshop review (to be conducted by the OD advisor)
- Pre-workshop checklist (included in the Facilitator's Guide)

F. WORKSHOP OVERVIEW

This module is organized around a case study of performance appraisal. The case study is organized in two parts. The first part gives an example of New World Foundation's (NWF) first experience implementing a PA process. It will give organizations an opportunity to examine a process and begin to think about how PA is approached and what they would do differently. The second part of the case study lays out the process for designing or revising a PA process in six steps. Together, parts one and two of the case study make up seven sessions, which you will guide participants through. Each session includes a case study review, but also an opportunity for participants to design a different part of their PA process. When the case study is complete, participants should have a detailed plan and framework for completing design/redesign of their PA tools and process and may even have completed much of the design/redesign.

Trainer's notes are provided for each of the sessions to help trainers guide the discussion and exercises. The notes include details on timing, preparation, materials needed and content to be covered as well as answers to case study review questions to help direct and manage discussion.

G. CONTENT SUMMARY

Session	Subject
1	Introduction and Objectives
2	Reviewing PA Experience
3	Defining PA Purpose and Objectives for your Organization
4	Mapping the Process for your Organization
5	Developing the Tools
6	Establishing a PA Plan
7	Training Staff and Supervisors
8	Implementing and Monitoring the PA Process
9	Action Plan Review and Module Completion

H. INTERACTIVE EXERCISES

Each of the sessions contains discussion questions and interactive activities to help participants analyze the case study and develop a PA process for their own organization.

By the time participants have completed the module they should have developed or conducted:

1. A review of their PA experience (as appropriate)
2. Purpose and objectives for their PA process
3. A supervisory structure review
4. A map of the PA process including links to other organizational processes such as supervision
5. PA tools, new or revised
6. A PA implementation and monitoring plan including PA process monitoring indicators
7. A PA workshop outline including conducting PA meetings, providing feedback to staff,

completing PA forms and setting performance objectives

8. A PA action plan

I. ADDITIONAL RESOURCES

- PA tool examples
- Tips on conducting PA meetings
- Guidance on setting performance objectives

SESSION FACILITATION GUIDE

OVERVIEW

The following session facilitation guidance has been developed to assist NuPITA OD advisors to implement the performance appraisal workshop. The workshop is designed around a case study to which practical activities and exercises aimed at assisting organizations to develop their own PA system have been added. Therefore, this guide must be used along with the case study and supporting materials such as the action plan and the PA form examples. The case study and other supporting materials are found in the appendices to this document.

FACILITATORS GUIDE

A facilitator's guide with information on the purpose of the NuPITA modules, guidance for preparation, and tips on facilitating trainings and workshops has been developed and should be reviewed by facilitators prior to implementing this module.

WORKSHOP PACKETS

Each workshop participant should receive a packet containing:

- The workshop agenda
- The workshop learning objectives
- The PA case study
- The PA action plan framework (in hard copy and electronic)
- Example PA forms

A file containing a compiled packet is available and ready for printout.

SESSION 1: INTRODUCTIONS AND OBJECTIVES

SESSION OBJECTIVES

- Welcome everyone and make introductions
- Review the objectives of the module and the module schedule

SESSION GUIDE

Topics	Format	Timing
1. Welcome	Plenary presentation	5 min
2. Introduction to facilitators	Plenary presentation	5 min
3. Introduction of participants	Self-introduction	5 min
4. Participants' expectations and concerns	Plenary discussion	10 min
5. Overview of workshop objectives and programme	Plenary presentation	5 min
		Total: 30 min

MATERIALS

- Prepare participant folders with overall course schedule, course objectives, case study and supplementary materials
- Flipchart and color markers
- Overhead slide (OH) 1

FACILITATORS' NOTES TO SESSION 1: INTRODUCTIONS AND OBJECTIVES

1. WELCOME TO THE WORKSHOP

The facilitator should welcome everyone and explain that the module has been designed to provide the organization an opportunity to develop or revise its performance appraisal process with guided technical assistance.

2. INTORDUCTION TO FACILITATORS

The facilitators should introduce themselves by name and job title. Although many organizations know you, not everyone participating in the module sessions may know you.

3. INTRODUCTION TO PARTICIPANTS

Ask participants to introduce themselves individually by name and job title. Also ask them to answer the question "What are you most hoping to learn from the performance appraisal workshop?"

4. PARTICIPANTS' EXPECTATIONS AND CONCERNS

The main purpose of this activity is to assess alignment of participants' expectations with the workshop objectives as well as address their concerns. This is done by asking participants to write down on a card or piece of paper what they intended to accomplish by participating in the workshop and to list their concerns regarding the PA process and the workshop.

5. WORKSHOP OBJECTIVES AND OVERVIEW OF PROGRAM

Present the workshop objectives using PA overhead 1 or, if no projector is available, guide them through their workshop folders. Tell participants that they will find a copy of the workshop objectives in their folders.

Refer participants to the workshop program in their folders and briefly take them through each day's agenda.

Tell the participants that in each session they will be reviewing a case study example and then working to develop their tools and systems in a step-by-step manner following the case study.

PA OVERHEAD I

WORKSHOP LEARNING OBJECTIVES

By the completion of this module, participants will have an understanding of the six key steps to developing or revising a performance appraisal process and will have developed:

- Statements of the PA purpose and objectives for the organization
- A supervisory structure and map of the PA process for their organization
- PA tool outline and the start of PA tools
- A PA implementation plan
- A PA workshop outline and list of tools and skills needed to conduct the workshop
- PA performance indicators

SESSION 2: REVIEWING PA EXPERIENCE

SESSION OBJECTIVES

- Review the NWF experience initiating a PA process
- Provide an opportunity for the organization to discuss its own experience with PA
- Discuss challenges, concerns or priorities for the revised PA process

SESSION GUIDE

Topics	Format	Timing
1. Review of session objectives	Plenary presentation	5 min
2. Review Case Study Part 1: Starting Out, NWF's PA Experience	Group review of case study	20 min
3. Case study questions	Group discussion of case study questions	20 min
		Total: 45 min

MATERIALS

- Overhead projector
- Flipchart, stand and markers
- OH 2.1 – Session Objectives
- OH 2.2 – Case Study Questions and Activities

GROUP WORK AND DISCUSSION GUIDANCE

- If the group you are working with is eight people or fewer, have them go through the case study together. If it is more than eight people, split the group in two.
- Start by having someone read the case study questions. This will help guide the group to look for key issues as they read through the case.
- Ask the group to take turns reading the case study.
- Go through Questions 2 and 3: How is NWF's experience similar to and different from the organization's experience. Let the group talk openly about what issues or problems they have had, etc.
- Move to Question 4: Why do you think NWF encountered so many problems in its first attempt to implement a PA process? Possible answers include:
  - It is focused on the forms not the process
  - They didn't plan the process or define what they wanted to accomplish through the process
  - They didn't train supervisors or staff to implement the process
  - They used it to focus on punishment rather than on performance improvement and reward
  - No clear definition on employee performance objectives made it difficult to assess performance
- For Question 5: Ask the group what they might do differently from NWF. Possible answers include:
  - Define a clear purpose and objectives for the process: what does the organization want to achieve by implementing PA?
  - Focus on the whole process and not just the forms
  - Focus on the positive aspects of the process – how it can help the organization improve. It is true that PA can be valuable in documenting problems, but this should be a sub-objective and not one of the primary reasons for doing it. If focus is on sanctioning staff, staff will understand it as a punitive process and will resist doing it.
  - Train staff and supervisors to implement the process. PA discussion and setting of objectives are often difficult for staff and supervisors.
  - Define clear performance standards and objectives so there are objective measures of performance. To the greatest extent possible, these should be linked to organizational or program objectives and standards.

PA OVERHEAD 2.1

SESSION 2 OBJECTIVES

- Review the NWF experience initiating a PA process
- Provide an opportunity for the organization to discuss its own experience with PA
- Discuss challenges, concerns or priorities for the revised PA process

PA OVERHEAD 2.2

CASE STUDY PART 1: STARTING OUT, NWF'S PA EXPERIENCE ACTIVITIES AND DISCUSSION QUESTIONS

1. Review Part 1 of the case study
2. How is NWF's experience similar to your organization's experience?
3. How is NWF's experience different from your organization's experience?
4. Why do you think NWF encountered so many problems in its first attempt to implement a PA process?
5. How would you go about improving this process?
6. What concerns do you have about the development or revision of your own PA process and what are some of your priorities?

SESSION 3: DEFINING PA PURPOSE AND OBJECTIVES FOR YOUR ORGANIZATION

SESSION OBJECTIVES

- Review Step 1 of the case study: Defining PA purpose and objectives for your organization
- Define a PA purpose and objectives for the organization's own PA process

SESSION GUIDE

Topics	Format	Timing
1. Review of session objectives	Plenary presentation	5 min
2. Review case study Step 1: Defining PA purpose and objectives for Your Organization	Group review of case study	30 min
3. Activity: Defining PA purpose and objectives	Group work	55 min
		Total: 1 hr, 30min

MATERIALS

- Overhead projector
- Flipchart, stand and markers
- OH 3.1 – Session Objectives
- OH 3.2 – Case study questions and activities

GROUP WORK AND DISCUSSION GUIDANCE

- Follow the same group work approach as in Session 2 (all as one group or broken into two).
- Start by having someone read the case study questions. This will help guide the group to look for key issues as they read through the case.
- Ask the group to take turns reading the case study.
- When the case study has been read, ask the group: "Why do you think it was important that NWF define the purpose and objectives of its PA process?"
- Ask the group to work together to define the purpose and objectives of the PA process. Use Overhead 3.2 to help them think through the difference between the purpose and objectives. Give them 30 minutes to come up with a rough draft, which is ready to post on the flipchart paper. Then work with them for the remaining 25 minutes to help hone the statements, make them sharp and clear.

PA OVERHEAD 3.1

SESSION 3 OBJECTIVES

- Review Step 1 of the case study: Defining PA purpose and objectives for your organization
- Define a PA purpose and objectives for the organization's own PA process

PA OVERHEAD 3.2

CASE STUDY STEP 1: DEFINING PA PURPOSE AND OBJECTIVESYOU'RE YOUR ORGANIZATION

1. Review Step 1 of the case study

2. Use the time available to define a purpose and objectives for the PA process for your organization.

   Purpose: What is the ultimate usefulness of the PA process for your organization?

   Objectives: What do you hope to achieve through the application of a PA process?

SESSION 4: MAPPING THE PA PROCESS FOR YOUR ORGANIZATION

SESSION OBJECTIVES

- Review Step 2 of the case study: Mapping the Process for Your Organization
- Review and update the organization's organogram (supervisory structure)
- Follow the questions in the case study to outline the PA process for the organization
- Think about and discuss how the PA process can be linked to other processes such as supervision or quality improvement so that it enhances and does not duplicate these processes.

SESSION GUIDE

Topics	Format	Timing
1. Review of session objectives	Plenary presentation	5 min
2. Review case study Step 2: Mapping the Process for Your Organization	Group review of case study	40 min
3. Activity: Review and update the organogram or supervisory structure	Group work	25 min
4. Activity: Develop an outline of the PA process by answering Betty's questions listed at the beginning of Step 2 in the case study	Group work	25 min
5. Activity: List ways that the PA process will link to other processes such as supervision, quality improvement, pay increases etc.	Group work	10 min
		Total: 1 hr 45min

MATERIALS

- Overhead projector
- A copy of the organization's organogram
- Flipchart, stand and markers
- OH 4.1 – Session Objectives
- OH 4.2 – Case Study Questions and Activities

DISCUSSION GUIDANCE

Follow the same group work approach as in Sessions 2 and 3 (all as one group or broken in two).

- Start by having someone read the case study questions. This will help guide the group to look for key issues as they read through the case.
- Ask the group to take turns reading the case study.
- When the case study has been read, ask the group to pull out the organogram. Some organizations may be able to use their organogram for this exercise; others may need to map out a supervisory or staffing structure. Here's how you tell what you need: If the organogram lists every position in the organization, then you can probably use it for this exercise, but if the organogram lists only major departments, then it will not be suitable for this exercise. The purpose of reviewing the organogram is to make sure that supervisory responsibilities are clear for all staff in the organization. By reviewing and updating the organogram, the organization will have a clear map of who will do performance appraisal for whom.
- When the organogram has been reviewed it should either be updated then and there, or, if there are major issues to resolve, the updating of the organogram should be registered in the action plan framework included at the end of the workshop packet.
- Once the organogram has been reviewed, the group should return to the case study and revisit the questions Betty asked NWF at the start of Step 2. Ask the group how they would answer the questions for their own organization. They should write their responses on a sheet of flipchart paper.
- Finally, when the questions have been answered, the group should move on to the last question, how will the PA process link with other important organizational processes such as supervision, quality assurance, pay increases, orientation, etc. Suggestions include:
    - Require new staff to come up with performance objectives for their probationary period. Then do a PA at the end of the probationary period to document the new staff member's performance and highlight areas of need.
    - Include supervision forms or quality assurance forms, such as service delivery observations or supervision checklists, as part of the PA review. That way, changes in performance documented through supervision can be reviewed and discussed during PA meetings.
    - Link the PA period with the payment review period so that pay increases are linked to performance.

PA OVERHEAD 4.1

SESSION 4 OBJECTIVES

- Review Step 2 of the case study: Mapping the Process for Your Organization
- Review and update the organization's organogram (supervisory structure)
- Follow the questions in the case study to outline the PA process for the organization
- Think about and discuss how the PA process can be linked to other processes such as supervision or quality improvement so that it enhances and does not duplicate these processes.

PA OVERHEAD 4.2

CASE STUDY STEP 2: MAPPING THE PA PROCESS FOR YOUR ORGANIZATION

Key questions:

1. How often would PA be conducted?
2. Which staff would have their performance reviewed?
3. Who would conduct performance reviews?
4. How should performance reviews be conducted (one-on-one, 360°, other)?
5. How would the information documented in the performance reviews be used and monitored?
6. How will the PA process be linked to other organizational processes such as the pay period, supervision, or quality assurance?
7. What training would supervisors and staff require to implement the process effectively?

SESSION 5: DEVELOPING THE TOOLS

SESSION OBJECTIVES

- Review Step 3 of the case study: Developing the Tools
- Outline PA tools for the organization based on the purpose and objectives defined in Step 1.
- Make or plan changes to the PA tools.

SESSION GUIDE

Topics	Format	Timing
1. Review of session objectives	Plenary presentation	5 min
2. Review case study Step 3: Developing the Tools	Group review of case study	55 min
3. Review of purpose and objectives and outlining of key tool content	Group work	30 min
4. Activity: Review of current and example PA tools to select and frame new tools	Group work	30 min
		Total: 2 hrs

MATERIALS

- Overhead projector
- PA purpose and objectives flipcharts developed in Session 3
- Copies of the organization's existing PA forms
- Copies of example PA forms
- Flipchart, stand and markers
- OH 5.1 – Session Objectives

DISCUSSION GUIDANCE

- Follow the same group work approach as in Sessions 2-4 (all as one group or broken into two groups).
- Start by having someone read the case study questions. This will help guide the group to look for key issues as they read through the case.
- Ask the group to take turns reading the case study.
- When the case study is complete, ask the group to examine the purpose and objectives they developed in Step 1. Then have them make an outline of what the PA tools need to include if they are going to effectively realize that purpose and objectives.
- When the outline is complete, have the group examine the existing PA forms (if applicable) to determine what works and should be kept and what else is needed.
- For ideas on what changes to make to the forms, the group can use the case study PA forms as well as the other example PA forms included in the packet.
- Things to be considered:
    - Will they be developing a single PA form for all staff or will different forms be needed to address different expectations for management, administration or field workers?
    - If multiple forms are desired, ask them to map out the differences, but to focus on developing one form for the time being
    - If additional forms will be needed, this, along with any additional work required to finish the PA forms, should be included on the action plan.

PA OVERHEAD 5.1

SESSION 5 OBJECTIVES

- Review Step 3 of the case study: Developing the Tools
- Outline PA tools for the organization based on the purpose and objectives defined in Step 1.
- Make or plan changes to the PA tools.

SESSION 6: ESTABLISHING A PA PLAN

SESSION OBJECTIVES

- Review Step 4 of the case study: Establishing a PA Plan
- Develop a plan for implementation of the PA process for the organization

SESSION GUIDE

Topics	Format	Timing
1. Review of session objectives	Plenary presentation	5 min
2. Review case study Step 4: Establishing a PA Plan	Group review of case study	25 min
3. Activity: Develop an implementation plan for the organization	Group work	30 min
		Total: 1 hr

MATERIALS

- Overhead projector
- Action plan framework
- Flipchart, stand and markers
- OH 6.1 – Session Objectives

DISCUSSION GUIDANCE

- Follow the same group work approach as in Sessions 2-5 (all as one group or broken in two).
- Start by having someone read the case study questions. This will help guide the group to look for key issues as they read through the case.
- Ask the group to take turns reading the case study.
- When the case study is complete, ask the group to use the PA action plan framework to develop a plan for its own PA process. The plan should be step by step, as in the case study.

PA OVERHEAD 6.1

SESSION 6 OBJECTIVES

- Review Step 4 of the case study: Establishing a PA Plan
- Develop a plan for implementation of the PA process for the organization

SESSION 7: TRAINING STAFF AND SUPERVISORS

SESSION OBJECTIVES

- Review Step 5 of the case study: Training Staff and Supervisors
- Review best practices in facilitating PA meetings
- Review guidelines for objective setting
- Develop a training outline for the PA process
- Develop a list of tools and training skills that will be needed to implement the training program

SESSION GUIDE

Topics	Format	Timing
1. Review of session objectives	Plenary presentation	5 min
2. Review case study Step 5: Training Staff and Supervisors	Group review of case study	1 hr, 10 min
3. Activity: Develop a training outline for the PA process	Group work	40 min
4. Activity: Develop a list of training tools and skills that will be needed to implement the training	Group work	20 min
		Total: 2 hr,15 min

MATERIALS

- Overhead projector
- Training outline framework
- Action plan framework
- Flipchart, stand and markers
- OH 7.1 – Session Objectives
- OH 7.2 – Training Outline Guiding Questions

DISCUSSION GUIDANCE

- Follow the same group work approach as in Sessions 2-7 (all as one group or broken in two).
- Start by having someone read the case study questions. This will help guide the group to look for key issues as they read through the case.
- Ask the group to take turns reading the case study.
- Encourage the group to take time looking through the training materials. Go over the performance evaluation facilitation guidance with the group. It may be useful to stimulate the group's thinking by asking the following questions:
    - What is different in this guidance than from their own understanding or practices of PA meetings?
    - What do they think is useful in this guidance?
    - What are their concerns?
- Then get the group to carefully work through the guidance on objective setting. Objective setting can often be the most challenging aspect of PA for supervisors and staff. If time is available, you may want to ask each member of the group to write one objective for him/herself and share it with the group. Does the objective meet all the SMART criteria?
- When a careful review of the case study and materials is complete, ask the group to work together to develop an outline for its own training program. Present them with the questions on PA overhead 7.2 to help guide them through the planning process.
- It is important to remind the group that the purpose of the training should be to build the skills of the staff or supervisors to implement the PA process effectively. Thus, training methods should be as hands-on as possible.

PA OVERHEAD 7.1

SESSION 7 OBJECTIVES

1. Review Step 5 of the case study: Training Staff and Supervisors
2. Review best practices in facilitating PA meetings
3. Review guidelines for objective setting
4. Develop a training outline for the PA process
5. Develop a list of tools and training skills that will be needed to implement the training program

PA OVERHEAD 7.2

SESSION 7: TRAINING OUTLINE GUIDING QUESTIONS

1. Who needs to be trained?
2. What should be the outcome of the training?
3. In what aspects of the PA process do they need to be trained: management, administration, conducting PA meetings, conducting self-evaluations, setting objectives?
4. What hands-on activities can be used to make the training a real skills building training and not just knowledge sharing?
5. Do we have all the tools, materials, and skills we need to do this training or will we need more materials or help conducting the training?
6. When does the training need to take place in order for the PA process to be implemented according to schedule?
7. How will we know the training was effective?

SESSION 8: IMPLEMENTING AND MONITORING THE PA PROCESS

SESSION OBJECTIVES

- Review Step 6 of the case study: Implementing and Monitoring the PA Process
- Develop management performance indicators for the PA process
- Develop a monitoring plan for the PA process

SESSION GUIDE

Topics	Format	Timing
1. Review of session objectives	Plenary presentation	5min
2. Review case study Step 6: Implementing and Monitoring the PA Process	Group review of case study	55 min
3. Activity: Develop management performance indicators for the PA process	Group work	30 min
4. Activity: Develop a monitoring plan for the PA process	Group work	30 min
		Total: 2 hrs

MATERIALS

- Overhead projector
- Action plan framework
- Flipchart, stand, and markers
- OH 8.1 – Session Objectives

DISCUSSION GUIDANCE

- Follow the same group work approach as in Sessions 2-6 (all as one group or broken in groups).
- Start by having someone read the case study questions. This will help guide the group to look for key issues as they read through the case.
- Ask the group to take turns reading the case study.
- Question 2: Did the organization fully reach its PA objective?
    - No, it set out to have 100% of staff with completed PAs, but only achieved 85%
- Question 3: If not, how did they decide to address this issue?
    - To address the issue, the organization extended the PA period from four weeks to six weeks
- Question 4: How important was monitoring the PA process to the organization's ability to effectively implement and strengthen the PA process?
    - By setting a goal of 100% and measuring how many PAs were actually completed, the organization was able to identify a problem: supervisors felt they didn't have enough time and they came up with a solution before the problem escalated.
    - By doing a survey of the staff and supervisors, the organization was able to identify that they had addressed most of the staffs concerns, but that other issues remained, such as supervisors feeling they didn't have time. The results of the survey helped them address the issues (i.e. making sure that supervisors understood that PA wasn't an extra task, but was actually part of their work responsibility).
- Question 5: What did the supervisor do to help the staff member, Alfred?
    - Treated him with respect
    - Asked to see Alfred's objectives, pointed out what Alfred had done well first, then noted what needed to be done to make them good objectives
    - Worked with him to try and revise them – he didn't just send him away to try again, but actually worked through them with the staff member
    - Worked with Alfred to identify skills he needed to do his job well and came up with two solutions to help improve his skills: 1. A supervision checklist; and 2. A

training on HIV/AIDS counselling to build his technical capabilities

- Question 6: How did Alfred feel after his performance review meeting?
  - Empowered
  - Motivated and excited
  - Supported
  - Important part of and critical to the larger objectives of the organization (the bigger picture)
- Ask the group how it will monitor its own PA process. Get them to start thinking about this by developing some management performance indicators for PA. Examples include:
  - % of PA meetings taking place within X time period
  - % of staff with objectives that meet standards for objective setting (SMART)
  - % of staff who feel positive about the PA process (based on a survey)
- The group should use the PA action plan framework to document their monitoring activities and PA performance indicators. Ask them to look through the action plan and enter the monitoring and indicators where appropriate.

PA OVERHEAD 8.1

SESSION 8 OBJECTIVES

1. Review Step 6 of the case study: Implementing and Monitoring the PA Process
2. Develop management performance indicators for the PA process
3. Develop a monitoring plan for the PA process

SESSION 9: ACTION PLAN REVIEW AND MODULE COMPLETION

SESSION OBJECTIVES

- Review and finalize the PA action plan
- Clarify next steps
- Complete the PA module evaluation

SESSION GUIDE

Topics	Format	Timing
1. Review of session objectives	Plenary presentation	1 min
2. Review the PA action plan and make final edits	Group work	40 min
3. Clarify next steps	Group work	10 min
4. Complete the PA module evaluation	Individual work	9 min
		Total: 1 hr

MATERIALS

- Overhead projector
- Action plan framework
- Flipchart, stand, and markers
- OH 9.1 – Session Objectives
- Handout: PA Module Evaluation

DISCUSSION GUIDANCE

- Ask the group to review the action plan and fill in any gaps that remain. It is particularly important at this point that the performance indicators and TA needs be fully defined.
- When the action plan is complete. Ask the group what the next steps are to getting the performance appraisal process underway. Focus on the next four weeks. What needs to happen and who will do it?
- When the next four weeks are mapped out, ask them to list key activities for the next 6-to-12 months. These might include training of supervisors in performance appraisal, dates for start and completion of PA meetings, etc.
- Be sure to ask the group what additional support they may need from NuPITA. Some organizations may need additional technical assistance, resources, or reviews and support. For example, they may want NuPITA to do a review of their PA forms once drafted or assist them in providing training to their staff.
- Distribute the PA module evaluation and ask participants to complete the form. Note that the evaluation is anonymous and their feedback is important to helping NuPITA strengthen the module.

PA OVERHEAD 9.1

SESSION 9 OBJECTIVES

- Review and finalize the PA action plan
- Clarify next steps (next four weeks)
- Complete the PA module evaluation

PA MODULE EVALUATION

PART 1: WORKSHOP CONTENT AND STRUCTURE

1. Did this workshop meet your expectations? Yes No

2. Describe why or why not:

3. What was particularly useful in this workshop?

4. What should be changed to make this workshop more effective?

5. What other support do you feel you need from NuPITA to ensure you are able to effectively implement your PA process?

6. How would you rate the structure and content of this workshop overall?

Poor Fair Good Very Good Excellent

PART 2: FACILITATION QUALITY

7. How would you rate the quality of facilitation overall?

Poor Fair Good Very Good Excellent

8. Please note the facilitators greatest strengths and the areas s/he can improve:
   Strengths:

   Areas for improvement:

PERFORMANCE APPRAISAL CASE STUDY

PART 1: STARTING OUT, NWF'S PERFORMANCE APPRAISALS EXPERIENCE

Activities and Discussion Questions
1. Review Part 1 of the case study.
2. How is NWF's experience similar to your organization's experience?
3. How is NWFs experience different from your organization's experience?
4. Why do you think NWF encountered so many problems in its first attempt to implement a PA process?
5. How would you go about improving this process?
6. What concerns do you have about development or revision of your own PA process and what are some of your priorities?

In 2004, The New World Foundation (NWF) director and other key management staff agreed that it was time the organization initiated a performance appraisal process. The organization was reaching its five-year anniversary and had grown from just three to fifteen staff members, not including the twenty community health volunteers that worked for the organization. John, the director of finance and administration, who also handled most human resource management issues, was charged with developing a process. John had never developed a performance appraisal process before. He asked around and got some examples from his friends working in local banks and companies and he went on the web and downloaded some examples. In the end, he came up with a simple one-page form to rate employee performance and note strengths and weaknesses.

John called together the top management team to review and agree on the form. The management team had some comments, but in the end, they agreed that the form was good. John explained that each supervisor would be required to complete the form every June and then meet with the staff member individually to discuss the performance review. Reviews would be filed in personnel files. Employees with overall ratings of "needs improvement" or "poor" would be put on notice and told that they would need to improve or they would be let go.

NWF STAFF PERFORMANCE REVIEW (2004)

Employee Name ______________________________

Employee Title ______________________________

Date of Review ______________________________

Supervisor Name ______________________________

Rate the employee's performance in the following work areas:

	Excellent	Very Good	Good	Needs Imp.	Poor
1. Punctuality	4	3	2	1	0
2. Attendance	4	3	2	1	0
3. Quality of work	4	3	2	1	0
4. Technical knowledge	4	3	2	1	0
5. Relationship with colleagues	4	3	2	1	0
6. Written communication	4	3	2	1	0
7. Verbal communication	4	3	2	1	0
8. Decision making	4	3	2	1	0
9. Team work	4	3	2	1	0
10. Initiative	4	3	2	1	0
11. Judgment	4	3	2	1	0
Overall Performance Rating (Average 1 to 11)					

1. What did the employee do well this year?

2. What was the employee's greatest strength or area of contribution to the organization this year?

3. What new skills has the employee learned or shown improvement in this year?

4. Where could there be improvement in the employee's performance over the next year?

5. What are the employee's personal goals for the next year?

After two years, the NWF director felt that the process was not working. Few performance appraisals were actually conducted. Most supervisors completed forms, but meetings were not taking place; sometimes the forms were not even being shown to the staff and were just put in the files. Staff and supervisors complained about the performance appraisal process. Supervisors said they didn't have time; staff felt the process was unfair, noting that they rarely had an opportunity to voice their views of their own performance. When the director looked at the performance reviews, he found that almost all the staff had "excellent" ratings in everything. Supervisors felt uncomfortable giving anyone "bad marks." In the end, the director concluded that the process had simply become a bureaucratic exercise, but that it was not benefiting the organization in any way and might even be harming it by taking up peoples' time with busy work. Furthermore, no performance reviews were conducted for the community health volunteers (CHVs) and the director knew that the organization encountered some serious challenges with CHV performance.

The director called a meeting of the organization management and staff. He asked managers and staff how they felt about the process. Some said it was "fine," but eventually the discussion gained momentum and it became clear that no one really liked or understood the process. The director noted that as far as he could tell they had two choices: 1) Eliminate performance appraisal altogether; or 2) Review and change the process so it worked and benefited staff and the organization. They all agreed that it was worth another try. The director hired a consultant to help them revise the tools and process and he put together a team of senior managers and representatives of staff to work with the consultant to develop the process.

PART 2: DESIGNING/REVISING THE PA PROCESS STEP-BY-STEP

STEP 1: DEFINGING PA PRUPOSE AND OBJECTIVES FOR YOUR ORGANIZATION

Activities and Discussion Questions	
1.	Review Step 1 of the case study.
2.	Define a purpose and objectives for the PA process for your organization.

The first thing Betty, the consultant, asked the team was "What does NWF want to get out of the performance appraisal process? In other words, what are the objectives of this process?" The NWF team realized that although they had felt performance appraisal was important, they had never clearly defined what the organization wanted to get out of the process. They worked with Betty to define the following purpose and objectives.

Purpose: The purpose of the NWF PA process is to strengthen the organization by fostering improved individual performance and enhancing and reinforcing the link between individual performance and success and the performance and success of the organization.

Objectives: The objectives of the NWF performance appraisal process are to:

1. Review and update the employee's job description, clarify the supervisor's expectations and the employee's understanding of their responsibilities to ensure maximum performance and high productivity
2. Open a dialogue between the employee and the supervisor regarding the employee's expertise and performance in fundamental job competencies necessary for success in the employee's position
3. Identify and troubleshoot problems and/or constraints faced by the employee in completing objectives and meeting performance expectations
4. Identify professional development needs or desires (training, skills building, etc.)
5. Establish and agree upon performance objectives for each employee's work during the upcoming year

Agreeing on the purpose and objectives took time, but Betty explained to the team that it was essential to designing the PA process and to helping staff and the organization understand and monitor the process.

STEP 2: MAPPING THE PROCESS FOR YOUR ORGANIZATION

Activities and Discussion Questions
1. Review Step 2 of the case study. 2. Review your organogram or supervisor structure to ensure that lines of responsibilities and supervision are clear for every employee. 3. Map out your own PA process by answering Betty's questions (presented in the beginning of the case study) for your organization. 4. How will you link PA to other processes so that it builds on supervision, QA or other important organizational processes?

Next, Betty encouraged the NWF management to map out the process.

1. How often would PA be conducted?
2. Which staff would have their performance reviewed?
3. Who would conduct performance reviews?
4. How should performance reviews be conducted (one-on-one, 360°, other)?
5. How would the information documented in the performance reviews be used and monitored?
6. How will the PA process be linked to other organizational processes such as the pay period, supervision, or quality assurance?
7. What training would supervisors and staffs need to implement the process effectively?

The NWF team agreed that PA should be done once a year. They would try that out for two years and then think about adding a six-month short review. Upon Betty's suggestion, they moved the performance review date to December; that way results of performance reviews could be linked to pay increases that would be offered in January for staff who met the conditions.

They also agreed that all staff, including CHVs, should have a performance review. Some of the staff raised some reservations about how to do performance reviews with the community health volunteers since many of them weren't very comfortable writing or reading. The team agreed that while the objectives should stay the same, the forms and approach used for CHVs and some other staff, such as the drivers and the cleaners, might need to be simplified.

The team also decided that immediate supervisors should do reviews of each staff member, but the staff on the team expressed some concern. They noted that sometimes personality differences between a supervisor and a specific staff member may cloud objectivity and the supervisor can use the process to express his personal views rather than a professional assessment. Betty noted that this was an important concern. She suggested two ways of dealing with this: 1) Supervisors needed appropriate training so they could handle performance reviews as professionally as possible; and 2) NWF might want to consider integrating a 360° review into the PA process. In other words, they could keep the one-on-one meeting, but also have peers, subordinates and other managers complete simple review forms that would then contribute to the performance assessment. The team liked this idea and said they would like to try it out.

Betty asked the team to review the organization's organogram (supervisory structure) and to ensure that each staff member was accounted for on the organogram. She asked them to look carefully and make sure that supervisory responsibilities were clear. The team found that three of their field staff reported to both the HIV program manager and the maternal and child health program manager. They talked about how to handle the performance reviews in these cases and decided that the program managers could work together to do a joint review for each of these three field staff. Other than that, reporting and supervisory lines were clear.

The team decided that the reviews would be filed and a copy would be provided to each staff member so the staff member would have the results and the objectives to guide his/her work. They also noted that they wanted any professional development needs to be tracked. John agreed to start a computer file for each year, where professional development needs could be noted. The director said they would have a meeting each January to plan how to fulfil professional development needs. They also decided to start a register to track the completion of performance reviews, with the expectation that 100% of staff would have a PA completed by December 31 each year.

Linking PA to supervision and quality assurance was important for the organization. Each staff member was to be supervised on a quarterly basis. Supervision reports would be reviewed by the supervisor to help him/her assess performance throughout the year. For CHVs, the organization could use service delivery observations conducted during supervision visits to assess technical knowledge and performance in the future. Observations would also help to ensure that the quality of service provided by the CHVs was part of how their performance was assessed. CHV supervisors could also be assessed by the level of quality that the CHVs achieved based on annual or bi-annual spot checks conducted by the organization's HIV and AIDS project manager.

Finally, the team agreed that everyone would need training to apply the process appropriately. They would have two trainings, one for supervisors that would cover completing the form and setting individual performance objectives, but also conducting a performance appraisal meeting; and a second for staff on how to complete the forms, set individual performance objectives and what to expect during a PA meeting. Both groups would be trained on the purpose and objectives of the PA process.

STEP 3: DEVELOPING THE TOOLS

Activities and Discussion Questions
1. Review Step 3 of the case study. 2. Examine the objectives you defined in Step 1 and develop an outline for designing PA tools that meet your new objectives. 3. Review your current PA tools (if applicable). Do they currently meet your new objectives? If not, what will need to change? 4. Review the case study PA tools and the other example tools provided by the NPI technical advisor to come up with a revised design for your PA tools.

Betty helped the NWF team develop their PA tools. The first thing they did was compare the existing tools to the new PA objectives. They noted that few of the objectives could be realized using the existing form.

The new forms needed:

A. Main form for supervisor and supervisee

   1) A section addressing review and updating of job description or tasks
   2) Performance review section by supervisor and by employee
      a. A review/rating of employee performance in key competency areas
      b. A section reviewing achievements of performance objectives for the previous year
      c. 360° summary
   3) A section documenting problems or challenges faced by the employee
   4) A section documenting the employee's professional development needs or desires
   5) A section on individual performance objectives for the coming year

B. Supplemental 360° form for peers and other colleagues

FORM 1: SUPERVISOR EVALUATION

Division/Department:	Location:
Employee Name:	Employee Position:
Supervisor Name:	Supervisor Position:
Year/Period Covered:	Appraisal Date (dd/mm/yyyy):

SECTION 1: EMPLOYEE PERFORMANC EVALUATION BY SUPERVISOR

PART1: JOB DESCRIPTION REVIEW

Does the job description accurately describe the employee's primary responsibilities? Yes No

Are there duties that should be added or deleted from the job description? Yes No

If yes, please explain and/or attach the job description with suggested revisions or edits:

PART 2: PERFORMANCE EVALUATION

A. Achievements: Review the performance objectives for the previous period. Was the employee able to achieve all objectives?

   a. Please explain how the employee met the performance objectives established for this year.

   b. Please indicate what areas of improvement are still needed to successfully meet performance objectives.

B. Performance in key criteria**:** Use the 360° performance review document to rate the employee's performance. Average your assessment with the assessments submitted by the employee's peers, colleagues and others. If your assessment differs greatly from that provided by other colleagues, you may share your assessment and note why you feel differently about the employee's performance from his/her other colleagues.

Criterion	**Average Score**					
	Unacceptable	**Needs Imp.**	**Good**	**Very Good**	**Excellent**	**Not Applicable**
	<1	**1-1.9**	**2-2.9**	**3-3.9**	**4**	**NA**
Job knowledge and skills						**NA**
Dependability						**NA**
Independence						**NA**
Productivity						**NA**
Communication						**NA**
Teamwork						**NA**
Professionalism						**NA**
Self-assessment						**NA**
Ability to supervise						**NA**
Managerial skills						**NA**
Average overall performance						

C. Summarize key areas of strength noted in the 360° reviews:

D. Summarize improvement suggestions noted in the 360° reviews:

E. Supervisor's comments on the employee's overall performance last year.

EMPLOYEE FEEDBACK ON THE ASSESSMENT:
(Employee: Use this space to note any comments you have about the assessment process and the supervisor and 360° evaluations):

SIGNATURES

This review and its subsequent rating have been discussed with me. Employee's signature does not necessarily imply agreement with the rating or the contents of the review.

Supervisor's Signature and Date ______________________________ ________________________

Employee's Signature and Date ______________________________ ________________________

FORM 2: SELF EVALUATION

Division/Department:	Location:
Employee Name:	Employee Position:
Supervisor Name:	Supervisor Position:
Year/Period Covered:	Appraisal Date (dd/mm/yyyy):

INSTRUCTIONS: Complete the form and share it with your supervisor during your performance appraisal meeting. Come to consensus with your supervisor on job description revisions or updates and performance objectives for next year. Use the outcome of this discussion to complete your performance plan for the coming year.

PART 1: JOB DESCRIPTION REVIEW

Does the job description accurately describe your primary responsibilities? Yes No

Are there duties that should be added or deleted from the job description? Yes No

If yes, please explain and/or attach the job description with suggested revisions or edits:

PART 2: PERFORMANCE REVIEW

A. Achievements and Constraints: List the performance objectives for the previous period and note which were completed and which were not. In the far right column list any obstacles or constraints that inhibited your ability to realize the objective in part or full.

Key result area	Specific objective	Objective achieved: yes, no, partially	Constraints faced

B. Performance in key criteria: Rate your own performance according to the criteria below

Criterion	Definition	Unacceptable	Needs Imp.	Good	Very Good	Excellent	Not Applicable
Job knowledge and skills	Demonstrates required administrative, technical and program competencies; Keeps up-to-date with trends in his/her field Knowledgeable about the goals and objectives of the organization, department and/or project	**0**	**1**	**2**	**3**	**4**	**NA**
Dependability	Regularly comes to work as scheduled; Completes assignments or tasks as agreed	**0**	**1**	**2**	**3**	**4**	**NA**
Independence	Works according to his/her job description and objectives will minimal oversight; Demonstrates interest in work and desire to take on responsibilities	**0**	**1**	**2**	**3**	**4**	**NA**
Productivity	Effectively plans, organizes and delegates work to achieve objectives and desired results; Manages competing demands with appropriate flexibility and judgment; Effectively applies knowledge and skills to work situations	**0**	**1**	**2**	**3**	**4**	**NA**
Communication	Effectively expresses words and thoughts verbally and written (as applicable); Exhibits good listening and comprehension skills; Uses necessary and appropriate communication skills to keep others informed	**0**	**1**	**2**	**3**	**4**	**NA**
Teamwork	Works cooperatively and effectively with peers, supervisors and other staff to achieve goals and objectives; Accepts and offers constructive feedback from (to) supervisors, peers and other staff; Exercises responsibility, courtesy, dependability and responsibility in work teams	**0**	**1**	**2**	**3**	**4**	**NA**
Professionalism	Honest, reliable, dependable and conscientious; Successfully builds positive relationships with clients and colleagues; Upholds a high standard of ethical and personal conduct	**0**	**1**	**2**	**3**	**4**	**NA**
Self-assessment	Willing make honest and critical assessments of own performance; Open to change and improvement	**0**	**1**	**2**	**3**	**4**	**NA**
Ability to supervise	Able to complete all supervision visits; Provides constructive and supportive feedback to staff; Effectively engages staff in problem solving; Effectively mentors, coaches, counsels, & provides development of staff; encourages career development, as appropriate	**0**	**1**	**2**	**3**	**4**	**NA**
Managerial skills	Effectively leads staff to fulfil organization and/or program activities and objectives; Demonstrates good judgment, critically evaluates information, weighs alternative courses of action and anticipates the impact of decisions on staff and the organization; Enables and empowers staff to succeed	**0**	**1**	**2**	**3**	**4**	**NA**
Overall performance rating	Average the scores of the criteria above to determine your average overall performance rating (total score/10 = Average)						

1. What do you think are your key areas of strength?

2. What do you think you can improve on in the next year?

PART 3: PERFORMANCE PLAN: OBJECTIVES FOR COMING PERIOD

Key result area Should relate to program, organizational result areas or key objectives	**Specific objective(s)** Document individual's specific objectives

PART 4: PROFESSIONAL DEVELOPOMENT

What professional development activities would you like to participate in during the upcoming year?

What equipment or materials do you need to do your job better?

How can your supervisor provide assistance to you in your job?

PART 5: EMPLOYEE FEEDBACK

Are you satisfied with the supervision and support you have been getting over the last year?

Yes No

Please describe why you are or are not satisfied.

FORM 3: EMPLOYEE PERFORMANCE PLAN

Employee Name:
Supervisor Name:
Year/Period Covered:

This section is to be completed after the supervisor evaluation and the employee self-assessment are reviewed and discussed. The job description, objectives, and professional development activities noted here are those that have been agreed upon and finalized by the employee and his/her supervisor

PART 1 JOB DESCRIPTION: Attach the revised and agreed job description.

PART 2 PERFORMANCE GOALS: Document the agreed performance goals for the upcoming time period below.

Org./Program Key Result Area or Objective	Individual Performance Objective	Criteria for Measurement

PART 3: PROFESSIONAL DEVELOPMENT

List the agreed professional development activities sought for the year (note: fulfilment of these professional development activities is based upon organizational priorities and available funding).

SIGNATURES

We have discussed and agreed upon this performance plan in a joint meeting.

______________________________ ________________________

Supervisor's Signature Date

______________________________ ________________________

Employee's Signature Date

FORM 4: 360° PERFORMANCE EVALUATION

Employee name:
Supervisor of employee under review:
Reviewer name (for supervisor use only):
Year/period covered:

This form is to be used to assess the performance of fellow staff and colleagues. The results recorded here will be averaged with those presented by others and shared with the employee only in aggregate. Please keep in mind that this review should be honest and fair. Comments in Sections B and C should be clear and constructive. When you have completed this form, please submit it directly to the employee's supervisor.

Criterion	**Definition**	**Unacceptable**	**Needs Imp.**	**Good**	**Very Good**	**Excellent**	**N/A**
Job knowledge and skills	Demonstrates required administrative, technical and program competencies; keeps up-to-date with trends in his/her field; knowledgeable about the goals and objectives of the organization, department and/or project	**0**	**1**	**2**	**3**	**4**	**NA**
Dependability	Regularly comes to work as scheduled; completes assignments or tasks as assigned	**0**	**1**	**2**	**3**	**4**	**NA**
Independence	Works according to his/her job description and objectives with minimal oversight; demonstrates interest in work and desire to take on responsibilities	**0**	**1**	**2**	**3**	**4**	**NA**
Productivity	Effectively plans, organizes and delegates work to achieve objectives and desired results; manages competing demands with appropriate flexibility and judgment; effectively applies knowledge and skills to work situations	**0**	**1**	**2**	**3**	**4**	**NA**
Communication	Effectively expresses words and thoughts verbally and written (as applicable); Exhibits good listening and comprehension skills; Uses necessary and appropriate communication skills to keep others informed	**0**	**1**	**2**	**3**	**4**	**NA**
Teamwork	Works cooperatively and effectively with peers, supervisors and other staff to achieve goals and objectives; accepts and offers constructive	**0**	**1**	**2**	**3**	**4**	**NA**

Criterion	Definition	Unacceptable	Needs Imp.	Good	Very Good	Excellent	N/A
	feedback from (to) supervisors, peers and other staff; exercises responsibility, courtesy, dependability and responsibility when working with a group						
Professionalism	Honest, reliable, dependable and conscientious; successfully builds positive relationships with clients and colleagues; upholds a high standard of ethical and personal conduct	**0**	**1**	**2**	**3**	**4**	**NA**
Self-assessment	Willing make honest and critical assessments of own performance; open to change and improvement	**0**	**1**	**2**	**3**	**4**	**NA**
Ability to supervise	Able to complete all supervision visits; provides constructive and supportive feedback to staff; effectively engages staff in problem solving; effectively mentors, coaches, counsels, & provides development of staff; encourages career development, as appropriate	**0**	**1**	**2**	**3**	**4**	**NA**
Managerial skills	Effectively leads staff to fulfil organization and/or program activities and objectives; demonstrates good judgment, critically evaluates information, weighs alternative courses of action and anticipates the impact of decisions on staff and the organization; enables and empowers staff to succeed	**0**	**1**	**2**	**3**	**4**	**NA**

1. What do you think are the employee's key areas of strength?

2. What suggestions can you make to the employee to help him or her improve in the next year?

STEP 4: ESTABLISHING THE PLAN

Activities and Discussion Questions
1. Review Step 4 of the case study.
2. Develop an implementation plan for your PA process.

When the new forms were drafted, the team reviewed them and agreed on them. They realized that they would be trying these out for the first time and that revisions would be likely. They also realized that they would need to be simplified for staff with lower literacy levels. The team decided that they would begin the process with professional-level HQ staff in year 1. That would give them time to get experience and control in the process before expanding it to the community health volunteers and cleaners. They also realized that the development of performance plans for year 1 for each employee was the starting point. It was currently March. To move things along the organization put together the following plan.

Activity	Timeline	Responsibility
Train supervisors and professional HQ staff in the PA process	April and May	John/Betty
All professional staff develop performance plans for the last six months of the year	June	John
Team reviews selection of plans to see how staff are doing with objective setting	July/August	Mary
Refresher training on objective setting and performance plan development provided as needed	November	John/Betty
HQ professional staff and supervisors do first formal performance evaluation based on the second six months of the year	December	John
Performance plans set for the following year	December	John
Staff and supervisor satisfaction survey to assess if the process is acceptable and gather suggestions for changes and information on any additional training required	January	Moses

They agreed that form revisions and training for community volunteers and non-professional staff would take place in the spring of the following year and that this next group would start the PA process a year after the professional staff.

STEP 5: TRAINGING STAFF AND SUPERVISORS

Activities and Discussion Questions
1. Review Step 5 of the case study.
2. Go over the guidance for facilitating performance appraisal meetings.
3. Review guidelines for objective setting.
4. What will your training program need?
5. Reflecting on the case study, develop a training outline for your own PA process.
6. Make a list of tools or training skills you may need to conduct this training successfully.

As noted in their plan, NWF conducted a training of supervisors and then another of non-supervisory staff in April and May. They allowed plenty of time and included practical exercises on objective setting, since this is typically an area of difficulty for supervisors and staff. They used the guidance on conducting performance reviews and on objective setting to help them train the supervisors and staff. They also spent a lot of time with supervisors discussing and practicing methods for constructive performance discussions and for communicating issues or problems in a clear but sensitive manner.

TRAINING OUTLINE FOR SUPERVISORS AND STAFF

Time Management	Supervisor Training Outline	Staff Training Outline
9:00AM: Welcome	• Welcome, introductions and training objectives	• Welcome, introductions and training objectives
9:15AM to 9:45AM: Introduction	• Introduction to the PA process • Objectives of PA • Forms and process • Rollout plan	• Introduction to the PA process • Objectives of PA • Forms and process • Rollout plan
9:45AM to 10:45AM: Form Review	• Overview of forms • Staff break into groups to review and discuss • Staff do own self-assessment as practice • Self-assessment debriefing	• Overview of forms • Staff break into groups to review and discuss • Staff do own self-assessment as practice • Self-assessment debriefing
10:45AM to		

11:00AM: Break		
11:00AM to 12:30PM: PA meeting overview	• How to lead performance appraisal meetings • Meeting Roleplay 1 • Roleplay 1 debriefing • Meeting Roleplay 2 • Roleplay 2 debriefing	• What to expect from your supervisor? • How to take feedback or criticism? • Meeting Roleplay • Roleplay debriefing
12:30PM to 1:30PM: Lunch		
1:30PM to 4:30PM: Objective Setting	• Overview using guidance • Object setting practicum • Presentation of objectives to group and group feedback	• Overview using guidance • Object setting practicum • Presentation of objectives to group and group feedback

PERFORMANCE EVALUATION FACILITATION[1]

HOW TO FACILITATE EMPLOYEE PERSORMANCE APRAISAL MEETINGS

1. Welcome the employee.
2. Explain how the evaluation meeting will take place.
3. Invite the employee to share his/her self-evaluation.
4. Listen.
5. Congratulate employee on things done well or on things s/he is proud of.
6. Share your evaluation of the employee, stressing strengths first and then talking about improvements that can be made.
7. Be clear about strengths and problems.
8. Tell the employee you are there to support him/her. Ask how you can help address problems.
9. Work with the employee to develop the performance plan.

HOW TO GIVE EMPLOYEE FEEDBACK

- The purpose of feedback is not simply to provide information—to tell the employee how s/he is doing. The purpose of feedback is to get the employee to act in the future.
- Supervisors need to communicate job standards and other expectations to the employee so s/he can clearly understand what constitutes good performance.

STARTING THE CONVERSATION

- Start by explaining the facts. Describe the problem in a friendly manner.
- How you say things is important. Use a frank but supportive tone. An aggressive or angry tone will lead the employee to get upset and fail to hear your message.
- Emphasize positive constructive feedback, but be clear on points that need improvement.

GIVING FEEDBACK

- Use simple language to clearly describe an observed incident or behavior.
- Be specific and give examples.
- Focus on the problem, not the person. Refer to actions that can be changed not personality traits.

Example: **DO say:** "I noticed several errors in the weekly report that you submitted."

DON'T say: "You are a sloppy worker."

[1] Adapted from Inside NGO. 2009. *Human Resources: Key Concepts and Practices, Reference Manual*. InsideNGO. Washington DC.

- Focus on actions, not intent. "Supervisors cannot prove that an employee is not trying; they can only prove that an employee is not succeeding." (Jonathan A Segal, Society for Human Resources).
- Avoid the words "always" and "never."
- Acknowledge people's emotions. Example: "I see that you are unhappy."
- Avoid becoming defensive if the employee does not agree with your feedback.
- Give positive feedback as well as negative. Let someone know when s/he has done a good job.

LISTENING

- Encourage the supervisee to talk.
- Listen carefully to what s/he has to say.
- Listen actively, don't think of your next question while s/he is talking.
- Read body language.
- Pause after the person talks to think about what s/he has said.
- Maintain eye contact.
- Have an open mind, withhold judgment.
- Repeat a comment or restate the response to make sure you understand what the employee is saying.
- You don't need to avoid disagreement, but don't let it get personal.

CLOSE THE MEETING

- Focus on solutions rather than defending positions.
- Involve the employee in developing solutions. If s/he comes up with a solution, try to use it.
- In all cases, show your interest in the employee's progress and your willingness to take up the discussion again.
- Decide on specific actions to take and discuss specific steps.
- Ensure there is mutual understanding even if there isn't agreement.

SETTING INDIVIDUAL PERFORMANCE OBJECTIVE

DEFINITION: Performance objectives are the specific activities to be performed by the employee over a designated period of time. These are agreed to by the employee and the supervisor together and generally cover a six- to twelve-month time period.

INDIVIDUAL PERFORMANCE OBJECTIVES

- Performance objectives are central to the practice of good supervision and also to performance evaluation.
- They specify what the employee will do and serve as the basis of regular performance reviews.
- The results of performance reviews influence compensation decisions, promotions, and other work assignments.
- Performance objectives set agreed expectations for the employees work and, by providing clear direction, can increase the employee's self-motivation and self-evaluation.
- Effective performance objectives are developed from the employee's key responsibilities and link to the key result areas and objectives of the employee's department, program or the organization as a whole, and effective performance objectives describe specific activities that the employee will do to meet their responsibilities under their "key results areas."
- Collectively, the performance objectives of all the employees in an organization are the activities which need to be successfully achieved in order for the organization to meet its goals.

TYPES OF OBJECTIVES

1. Routine	Describe regular, ongoing activities
2. Challenging	Describe activities designed to address specific problems, such as reaching hard-to-reach populations
3. Innovative	Describe activities that will create or expand activities, such as a new project or department
4. Professional development	Describe activities that will enhance an individual's skills, knowledge or experience

INDIVIDUAL PERFORMANCE OBJECTIVES SHOULD BE SMART

SPECIFIC Objectives must communicate the activity exactly and clearly. They should specify what is to be done, when it is to be done, who is to accomplish it, and how much is to be accomplished. Some words which are open to a range of interpretations should be avoided, for example: to know, to appreciate, to participate.

MEASURABLE The outcome of the objective is measureable (number of visits or information sessions, reduction of post-operative infections from X to Y).

ACHIEVABLE Objectives must be attainable, matching the level of complexity and difficulty with the employee's experience and capability. If they are too easy, the employee will be bored, if they are too difficult, the employee can lose confidence and not succeed.

REALISTIC The objectives can be achieved within the time stated and with the resources available.

TIME BOUND The objectives are set to be completed in a specified time period, usually six months to one year.

STRONG OBJECTIVES ADDRESS

1. WHO will carry out the objective
2. WHAT specifically will be done
3. WHEN will the objective be achieved
4. CRITERIA that will be used to measure the achievement of the objective

Examples of Objectives

General Objective or Key Result Area	Specific Objective
Provide improved health care services to elderly residents of the community	1. Make monthly home visits to all elderly community members in the hospital catchment area 2. Ensure that a file is created for each elderly community member and that the file is kept up to date.
Improve community understanding of AIDS prevention	Conduct monthly (12 per year) meeting on AIDS prevention, following national standards guidelines, in each community (5) in my region.

STEP 6: IMPLEMENTING THE PERFORMANCE APPRAISAL PROCESS

Activities and Discussion Questions
1. Review Step 6 of the case study.
2. Did the organization fully reach its PA objectives?
3. If not, how did they decide to address this?
4. How important was monitoring the PA process to the organization's ability to effectively implement and strengthen the PA process?
5. What did the supervisor do to help the staff member Alfred?
6. How did Alfred feel after his performance review meeting?
7. How will you monitor your PA process?
8. Develop some management performance indicators, such as % of staff who have completed PA plans and/or review meetings, to help you assess implementation success.
9. How do you want your staff to feel after completing their PA meetings and how will you monitor this?

The team implemented the performance appraisal process according to plan. They found that even after training staff and supervisors struggled with objective setting. The team arranged for a refresher training on objective setting in November so that staff would be more prepared and confident when it came time to do their annual plans in December. By the end of December, 85% of staff included in the first phase of the PA process had completed a performance review.

Senior management reported back to supervisors and staff that only 85% of PA had been completed by December 31st. The organization had set out to complete 100%. Management and staff talked about this process. Supervisors and staff noted that they had had some trouble finding time to meet without interrupting their activities related to program implementation. To address this issue, management agreed to make the PA period six instead of four weeks so that supervisors and staff would have a greater degree of flexibility and would be able to get their performance appraisals done.

The team also conducted a survey to learn how staff felt about the process. Overall, both staff and supervisors felt the process was motivating and constructive. Staff ere appreciative that they had a voice in the new process and everyone felt that the integration of the 360° review created a degree of fairness that did not exist before. Staff and supervisors were concerned about the work that went into the process and some supervisors complained that they still didn't have adequate time to do the reviews. Managers were careful to review all supervisor job descriptions during their performance reviews to ensure that PA was part of their roles and responsibilities.

The team then got to work preparing for the second phase of the rollout. They met to talk about how to simplify the forms and how PA could be conducted with staff who weren't as comfortable with reading and writing. Working together, as they did before, they came up with an approach, understanding that if they had a clear strategy and everyone understood they were starting something new and would make improvements and changes they could give it a try and make adjustments later.

STAFF EXPERIENCE

Alfred had been with NWF as a field officer for four years. Although he knew the organization had a performance appraisal process, he had never met with his supervisor to discuss his performance. When his supervisor visited he told him he was doing fine, and this made Alfred feel good. Alfred was nervous about the new appraisal process. He understood it would be tied to the annual pay period and he worried that his supervisor might use the process to put pressure on him to do more. Alfred also had trouble setting his performance objectives and he worried what his supervisor would think. What he found was quite different though.

During his meeting his supervisor treated him with respect and really tried to assist him. When Alfred explained that he was confused by the objective setting process, his supervisor asked to see what he had done. Alfred showed him his performance objectives.

Key Result Area Should relate to program or organizational result areas or key objectives	**Specific Objective(s)** Document individual's specific objectives
Supervision of community health volunteers conducted	Conduct supervision of 10 community health volunteers
Mobilize community groups	Hold meetings with community groups to get them invested in HIV prevention activities
Increase the % of community members getting tested for HIV from 5% of adults 15-49 to 50% in 2009	Coordinate community counselling and testing sessions.

The supervisor pointed out where Alfred had done a good job, but noted that they had to work on making the objectives more measureable and ensuring that Alfred's objectives were in line with the project's objectives. Together they worked on revising the objectives until they were both happy with them. This is what they came up with:

Key Result Area Should relate to program or organizational result areas or key objectives	**Specific Objective(s)** Document individual's specific objectives
Provide counselling and testing services to 20,000 community members between the ages of 15 to 49 in 2009	Coordinate 2 community counselling and testing mobile clinics in each of the 6 communities per year
	Supervise 10 community health volunteers by conducting quarterly visits to each, conducting service delivery observations using an observation checklist and identifying technical skills, materials or support needed. Submit quarterly supervision reports for each CHV.
	Collect counselling and testing data from CHV and C and T mobile clinic register books on a monthly basis and submit reports to HQ before the 15th of the following month.
Increase community awareness about HIV prevention from 50% of adults 15-49 understanding major modes of transmission to 100% by the end of 2010	Conduct quarterly community information sessions on HIV/AIDS prevention in all 6 (24 total) communities using the NWF community HIV prevention awareness module.
	Mobilize community leaders in each of the 6 communities to organize an annual HIV prevention day each year.

Alfred and his supervisor also reviewed Alfred's job description and noted that although Alfred had taken on responsibility for supervising 10 community health workers in the last year, this responsibility and the activities associated with it had not been integrated into his job description.

Alfred noted that although he was supervising the new CHWs, he didn't feel very comfortable with what he was supposed to do and he had never provided counselling and testing services himself. He was primarily a community mobilizer. The new HIV and AIDS program required new technical knowledge. The supervisor agreed that Alfred had "good" supervision skills and technical knowledge but they could be much stronger. Together they decided that it was really important for Alfred to:

1. Have a clear supervision checklist that would guide him through supervision tasks including CHW service delivery observations.

2. Attend training on HIV counselling and testing so he could have the knowledge he needed to be an effective supervisor.

Alfred left the PA meeting feeling empowered and really excited about his job. Instead of feeling bad about getting "good" instead of "excellent" for supervision and technical knowledge, he felt like his supervisor and the organization wanted to help him to become excellent and this excited him. He had also never really looked at his own role in relation to the greater project objectives. Defining his objectives in line with his project objectives made him understand how important he was to the project's success and how he needed to really work with the CHVs to make sure they achieved their objectives.

Action Plan Framework

Action/Activity	Action Steps	Person Responsible	Monitoring Strategy	Performance Indicator	Assistance Required	Timeline	Completion Date

EXAMPLE PA FORMS

Performance Review

Name ______________________________________ Date of Review____________________

Job Title ____ Department____________________________

Date Appointed to this Position_________________________ Review Period____ _____________

Supervisor's Name and Title____

Section I—Major Areas of Responsibility

Performance Ratings:

Outstanding – Consistently far exceeds expectations.

Above Expectations - Consistently meets and frequently exceeds expectations.

Meets Expectations - Consistently meets and occasionally exceeds expectations.

Below Expectations - Occasionally fails to meet expectations.

Needs Improvement - Frequently fails to meet expectations.

Major Areas of Responsibility/Goals—These typically relate to the major activities that the employee performs on the job and/or the goals that have been discussed and established by the manager. This is also an opportunity to describe noteworthy accomplishments. (Note: the job description should be reviewed and updated, if necessary, as part of the performance review process.)

Primary Performance Expectations: Responsibilities/Goals	**Notes/Comments on Achievements & Areas for Improvement**	Outstanding Above expectations Met expectations Below expectations Needs improvement

Section II—Performance Competencies (skills and behaviors)

Supervisor rates employee across these standard competency areas; providing additional comments and notes as is appropriate. Additional skills and behaviors may be added if appropriate.

Competency Area	Notes/Comments on competency areas and suggestions for improvement	Outstanding Above expectations Met expectations Below expectations Needs improvement
Taking Responsibility: Completes assignments in a thorough, accurate, and timely manner that achieves expected outcomes; exhibits concern for the goals and needs of the department and others that depend on services or work products; handles multiple responsibilities in an effective manner; uses work time productively.		
Client Focused: Is dedicated to meeting the expectations and requirements of internal and external customers; acts with customers in mind; establishes and maintains effective relationships with customers and gains their trust and respect; goes above and beyond to anticipate customer needs and respond accordingly.		
Problem Solving/Creativity: Identifies and analyzes problems; formulates alternative solutions; takes or recommends appropriate actions; follows up to ensure problems are resolved.		
Collaboration/Teamwork: Uses diplomacy and tact to maintain harmonious and effective work relationships with co-workers and constituents; adapts to changing priorities and demands; shares information and resources with others to promote positive and collaborative work relationships; supports diversity initiatives by demonstrating respect for all individuals.		
Communication/Interpersonal Skills: Is able to effectively communicate and to influence others in order to meet organizational goals; shares information openly; relates well to all kinds of people; is able to speak well and write effectively.		

Section III—OVERALL ASSESSMENT

Summary Comments:	**Overall Rating:** ___ **Outstanding** ___ **Above expectations** ___ **Met expectations** ___ **Below expectations** ___ **Needs improvement**

Staff Signature ____ **Date** ________________

I have read this appraisal and it has been discussed with me. I understand that signing this appraisal does not necessarily mean that I agree with all of the information in it.

Comments (optional):

Supervisor's Signature ________________________________ **Date** ____________

Section IV—Growth and Development Plan

To be completed by the employee: Describe two or three of your top strengths and one or two development needs. Provide this to your supervisor for discussion and review.

Strengths:	
Growth/Development Opportunities:	
What will the employee do? (This can be as simple as reading a book, serving on a team, observing someone who does it well, asking for feedback on a behavior that you're trying to change, etc.)	
What can the supervisor do to support this?	

Section V—Performance Goals & Expectations (for next review period)

Name: ______________________________________Review Period Start Date: ______________

Job Title: ____Supervisor's Name: _____________

Goals for Next Review Period (to be completed by the employee and then discussed and agreed upon with the supervisor). Identify three to five goals to be accomplished during the next review period by thinking of the major activities related to your job. At the end of the review period, rate how well these goals were achieved. Keep in mind that during the review period, goals and evaluation criteria may be revised, added, or deleted in order to best meet changing organizational needs. This form should be helpful in completing next year's performance review.

SMART Goal (Specific, Measurable, Attainable, Realistic, Timely)	**How we know it was achieved**

Knowledge, Skills and Abilities for Business and Financial Managers

The following skills that are applicable can be incorporated into the Major Areas of Responsibility Section 1 and/or the Performance Competencies Section 2.

Competencies/Skills	Notes/Comments on Competency Areas and Suggestions for Improvement *(optional but strongly encouraged)*	Outstanding Above expectations Met expectations Below expectations Needs improvement
Financial Acumen: Demonstrates knowledge of and effectively implements GAAP; demonstrates knowledge of and effectively implements internal finance/accounting policies and procedures; meets university deadlines.		
Business Knowledge: Demonstrates through accuracy; understands the department's mission; plans for short term goals as well as longer term financial planning; understands the roles of central staff and supports company needs for financial reporting; contributes to university work groups to develop and enhance business practices and policies.		
HR, Payroll, Oracle, SIS systems: Ability to understand and integrate related program or process changes into the unit; reviews & assesses programs for effectiveness.		
Managing and measuring work: Clearly assigns responsibility for tasks and decisions; sets clear objectives and measures; monitors process, progress and results; provides feedback (both up and		

Competencies/Skills	Notes/Comments on Competency Areas and Suggestions for Improvement *(optional but strongly encouraged)*	Outstanding Above expectations Met expectations Below expectations Needs improvement
down).		
Hiring and Staffing: Is a good judge of talent; recruits & hires the best people available from inside or outside the organization; is not afraid of selecting strong people; assembles and orients talented staffs.		
Delegating: Comfortably and effectively delegates both routine and important tasks and decisions; broadly shares both responsibility and accountability; tends to trust people to perform; lets direct reports finish their own work.		
Fostering Diversity and Inclusiveness: Manages a diverse group of people equitably; hires variety and diversity without regard to class; supports equal and fair treatment and opportunity for all.		
Developing Self: Shows evidence of personal development (e.g. software skills enhancement, financial training); completes specialized training as appropriate (e.g. research, compliance, etc.); identifies ways to improve efficiency and accuracy.		

Competencies/Skills	Notes/Comments on Competency Areas and Suggestions for Improvement *(optional but strongly encouraged)*	**Outstanding** **Above expectations** **Met expectations** **Below expectations** **Needs improvement**
Developing Others: Provides challenging tasks and assignments; holds frequent development discussions, completes performance reviews, etc.; is aware of each direct report's career goals; constructs compelling development plans and executes them; pushes direct reports to accept developmental moves; provides mentoring; is a people builder.		

360° PA EXAMPLE

The example 360° performance form included in the performance appraisal case study is simple and generic (meaning it could apply to all categories of staff). However, many organizations find it useful to have 360° feedback forms that are tailored to the skills required for particular positions. Such forms would require a greater investment from the organization in terms of administrative time and management, but could provide employees with more robust feedback.

To tailor a 360° degree form, use the framework below to define the key skill areas, specific skills, and rating criteria for each category of staff. Remember that key skill areas may relate to the specific skills required for the job, but should also reflect the values, mission and objectives of the organization.

Example Position: Executive Director

Key Skill Area	Specific Skills	Rating				
		Unacceptable	Needs work	Good	Very Good	Excellent
Communication	Listens effectively					
	Writes clearly and effectively					
Leadership	Inspires staff					
	Communicates reasons for changes and decisions					
Staff Development	Gives feedback accurately and fairly					
	Provides opportunities for developing new skills					

What do you think are the employee's key strengths?

What areas do you think are most important for the employee to improve?

Position: ____

Key Skill Area	Specific Skills	Rating				

Additional, open-ended questions:

PRE-PA WORKSHOP QUESTIONNAIRE

Your organization has requested assistance in developing a performance appraisal system. In order to better serve you and ensure that our training materials meet your needs, we request that you respond to the following questions and return this questionnaire to ______________________________ at the following email address _________________________________. If you are unable to respond to any of the questions, leave them blank.

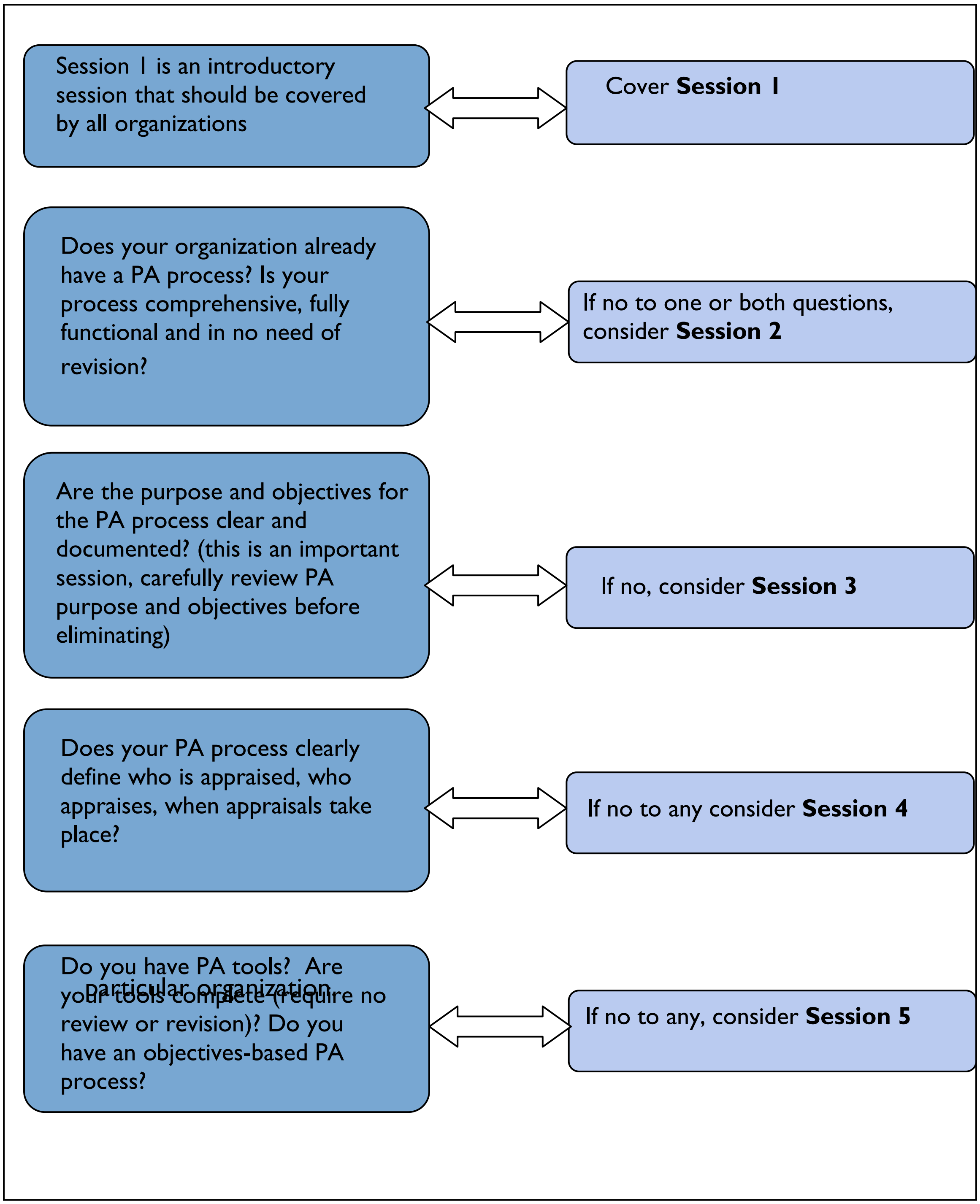
1. Does your organization currently have PA tools and a PA process? Yes No

   (if no, skip to question 10)
2. If yes, please send a copy of the PA tools with this form.
3. If yes, how often is your PA process conducted?
4. What are the goals and objectives of your PA process?
5. Which categories of staff participate in performance appraisal?
6. Who oversees the PA process?
7. What has worked well with your existing PA process?
8. What problems or challenges have you encountered with this process?
9. What changes do you want to make to your PA system?
10. What are your expectations for the PA workshop?

NUPITA PA MODULE SESSION DECISION MAP

DETERMINGING ORGANIZATIONAL NEEDS

The following grid may be helpful for determining which performance appraisal sessions your organization may find the most useful. Before eliminating a session, look carefully at your PA process and documentation to determine if your process and systems are comprehensive.



Is there an implementation plan that includes staff training, supervisor training, objective setting, and the PA cycle to go along with your PA process?

If no, consider **Session 6**

Does your organization have a clear PA training program for staff and supervisors?

If no, consider **Session 7**

Does your organization have a system for monitoring the PA process? Are you able to determine and document if PA is being done and the extent to which it is being done? Are you able to check the quality of objectives and forms and assess PA training needs?

If no to any, consider **Session 8**

Has your organization developed PA process indicators such as % of PA conducted, % of staff with SMART objectives, % of review meetings completed?

If no, consider **Session 9**