APPENDIX 1

NATIONAL AGRICULTURAL RESEARCH ORGANISATION (NARO)

PERFORMANCE MANAGEMENT POLICY

December 2016

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Forward

It is often said that "*what gets measured gets done*" and that "*you cannot manage it if you cannot measure it*". It is against this backdrop that the performance management policy has been developed with the objective of driving performance improvement at the National Agricultural Research Organisation (NARO). It is premised upon the principle of work planning, setting of agreed performance targets, feedback and reporting. The policy provides a mechanism for employees to contribute to the achievement of NARO's objectives. It further facilitates communication between the employee and the immediate supervisor by providing a structure for feedback on performance.

It is my sincere hope that the successful implementation of the policy will lead to development of employee potential and improve communication relating to performance; improved productivity and reinforce the values of NARO; and inculcate a culture of high performance.

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Chairperson

NARO Governing Council

1.0 Introduction

National Agricultural Research Organisation (NARO) recognises performance management as a critical component of the overall human resource management function. It is upon this realisation that this Policy has been developed.

2.0 Scope

This policy applies to all contract employees of NARO.

3.0 Aim of the Policy

The aim of the policy is to establish a framework for managing institutional and individual level performances in NARO.

4.0 Objectives of the Policy

The Performance Management Policy is intended to prescribe a framework for:

4.1 Planning, monitoring and evaluating institutional performance,

4.2 Aligning individual performance expectations with the goals and objectives of NARO,

4.3 Providing feedback to employees on the accomplishment of core work values and performance expectations,

4.4 Ensuring a fair and equitable evaluation of work performed by employees and recognition for performance which exceeds expectations,

4.5 Identifying and addressing performance gaps; training and development needs of staff.

5.0 Principles of the Policy

The performance management policy is guided by the following principles:

5.1 Accountability: Every individual, Directorate/Institute, Department, Section and Unit is to be held accountable for achievement of predetermined performance targets and standards.

5.2 Transparency: The setting of performance expectations or targets at individual and institutional levels shall be based on a consultative process between the appraiser and appraisee. Similarly, assessment of outcomes should be discussed between the appraiser and appraisee and where necessary, divergent perceptions about performance should be recorded for review by designated organs.

5.3 Equity: Equity in the context of this Policy implies non-discrimination and consistency in the use and application of assessment standards and outcomes.

5.4 Ownership: The process and outcome of the assessment mechanism must be owned by the appraisee, appraiser and the organisation. Similarly, the appraiser and appraisee should set and agree on the targets, the assessment methods, the incentives/sanctions framework, and the personal development plan.

6.0 Policy Statements

Performance management in NARO shall be driven by the following statements:

6.1 Performance management shall be a management tool for meeting organisational goals.

6.2 Performance management shall be used to create a shared understanding of what is to be achieved and how it is to be achieved.

6.3 Performance management shall be viewed as both an approach and a system for managing people and other organisational resources.

6.4 Competences and targets shall drive the performance management process to achieve the desired results.

6.5 Performance results and progress shall be openly shared with employees and stakeholders.

6.6 Performance measurement results shall be used to effect continuous change and improvement at various levels of the organisation.

6.7 Incentives, rewards, recognition and sanctions shall be linked to performance.

7.0 The Performance Management Period

The performance year shall be based on a financial year (July to June) and the appraisal exercise shall be performed at least once every performance year.

8.0 Performance Management Process

Performance management in NARO shall consist of three stages namely performance planning, performance monitoring and appraisal.

8.1 Planning Performance

Performance planning shall take place at institutional and individual levels.

Institutional Level Performance Planning

(a) It is the responsibility of the Director General to manage the performance of NARO.

(b) NARO shall develop annual work plans which should be in line with its strategic plan and performance contracts.

(c) The annual work plan shall be cascaded to Directorates/Institutes, Departments, Sections, Units and individual employees.

Individual Level Performance Planning

(a) Every employee shall develop an annual work plan based on the annual work plan of the Directorate/Institute, Department, Section or Unit.

(b) The work plan should reflect the performance targets and specific activities against which the employee's performance will be monitored and measured.

(c) The targets should be aligned to the annual work plan of NARO and the Directorate's/Institute's, Department's, Section's or Unit's objectives.

(d) The targets shall be set by the supervisor and appraisee not later than 31st July of each year.

8.2 Performance Monitoring

There shall be monitoring of progress toward achieving the performance expectations.

Monitoring Performance at Institutional Level

The Director General shall ensure that the overall performance of NARO is monitored against the annual work plan which should be aligned to its Strategic Plan.

Monitoring Performance at Individual Level

(a) Appraisees shall submit quarterly performance reports to appraisers. The reports should reflect the cumulative achievements on agreed targets.

(b) It shall be the responsibility of an appraisee to prepare and submit quarterly performance reports to the appraiser/supervisor.

(c) Each supervisor should meet with each employee at least one time near the mid-point of his/her assessment period for a mid-term review of progress.

(d) The review should focus on what has been achieved; any constraints experienced, and whether there is need to vary the initial targets in order to accommodate unforeseen circumstances.

(e) Any changes, additions or removal of performance targets, should only be made in the event that there has been **significant** changes in the nature of functions carried out by the appraisee.

(f) Targets varied mid-year shall be discussed between the supervisor and appraisee and recorded on the mid-term review form.

(g) If the performance of an employee is not progressing as expected at the mid-term review, the appraiser and appraisee shall develop a plan to improve the employee's performance.

8.3 Performance Appraisal or Evaluation

Performance evaluation shall take place at institutional and individual levels.

Institutional Performance Evaluation

(a) The Director General shall ensure that the overall performance of NARO is evaluated against targets in the annual work plan.

(b) Annual performance reports shall be prepared at the end of financial year and shall outline the key achievements and challenges.

(c) Where performance targets have not been achieved, performance improvement initiatives should be inbuilt in the work plan for the subsequent year to address the identified challenges.

Individual End of Year Appraisal

(a) Towards or at the end of the assessment period, every supervisor shall meet with each supervisee to discuss the overall performance over the entire appraisal period.

(b) The supervisor shall evaluate the extent to which the appraisee has achieved the performance targets for the performance period and demonstrated the core competences, taking into account any unforeseen developments that may have affected performance during the period.

(c) The performance of the Director General and Directors at NARO Secretariat shall be evaluated by the Chairperson of the Council.

(d) At PARI level, the performance of the Directors shall be evaluated by the Management Committee.

9.0 Special Circumstances

Below are some special cases which may arise with regard to staff performance appraisal.

9.1 Change in duties

Employees whose responsibilities and duties are changed either within their current position or by transfer shall have new targets established within thirty days of the new assignment.

9.2 Staff Transfer

(a) A performance appraisal shall be completed for employees who transfer within NARO, prior to their last day of work. The performance appraisal report and a copy of the transfer letter must be placed in the employee's personnel file and sent to the receiving station.

(b) An employee who has been transferred is eligible for a performance appraisal at the new work station in accordance with the assessment period.

(c) When an employee who has been transferred arrives at the new duty station, the supervisor may consider the level of performance documented in the appraisal report at the previous station along with the current performance level in the new duty station in determining the appropriate combined rating.

9.3 Change in Supervisor

To provide continuity and consistency of treatment when a supervisor changes, the supervisor shall appraise each appraisee prior to leaving the work unit.

9.4 Leave with Pay

Employees who were or who are on leave with pay during the performance assessment period may have their performance appraised if they have worked at least six months of the current assessment period.

10.0 Managing Poor Performance

(a) Employees who fail to meet their performance expectations or targets, due to factors outside their control, shall be helped to improve through training, mentoring, coaching, and attachment to other better performing employees, among others.

(b) Employees whose performance falls short of the expected standards, as a result of culpable behaviors, shall be sanctioned in accordance with the provisions of the Human Resource Manual.

11.0 Performance Improvement Plan

After a Performance Assessment has been done, both the appraiser and the appraisee shall be required to draw a comprehensive Performance Improvement Plan as a monitoring and assessment tool for the next appraisal. It shall cover among others areas of concern or gap(s), actions to be taken, responsible person, resources to be used, monitoring indicators, and time frame etc.

12.0 Appeal Process

Employees who are dissatisfied with their assessment shall appeal for redress as indicated below:

(a) In the event that an appraisee is not satisfied with the result of his/her assessment, he/she may appeal to the Director of Human Resources for a review of his/her case.

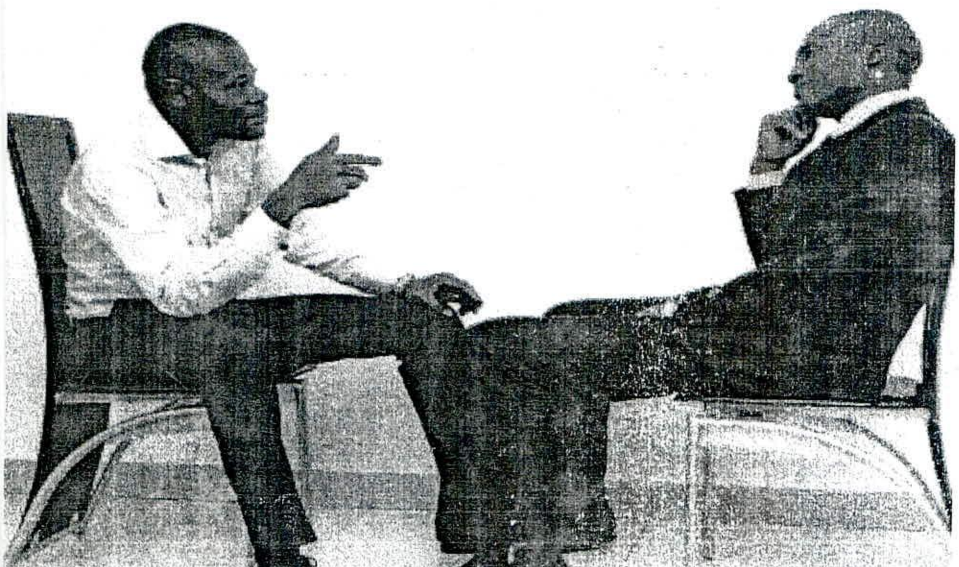
(b) In the event that he/she is not satisfied with the outcome, he/she may appeal to the Director General who may appoint an independent three member committee to review the case.

(c) If that fails, he/she may appeal to Council for redress. The Council may set up an independent panel which should be chaired by a member of Council to review the case.

(d) Staff whose performance is appraised by the Council or Management Committee may directly appeal to Council.

NATIONAL AGRICULTURAL RESEARCH ORGANISATION (NARO)

STAFF PERFORMANCE MANAGEMENT AND APPRAISAL GUIDELINES FOR APPRAISERS AND APPRAISEES



OCTOBER 2016

FORWARD

Government of Uganda introduced Results Oriented Management (ROM) as a performance management reform in 2000. The objective of ROM was to occasion a shift in resource allocation and management attention from activities to achievement of clear, measurable objectives, outputs and service standards within specific time and cost standards.

The National Agricultural Research Organisation (NARO) has deemed it necessary to introduce and institutionalised a performance management system that is aligned with the principles of ROM. The objectives of the new performance management system are to: (a) engender a performance culture at all levels in NARO, and (b) guarantee that every member of staff contributes to realisation of the mandate and strategic objectives of NARO.

Under the new performance management system, all staff will have to sign performance agreements with their supervisors at the beginning of the financial year to achieve results that contribute to the strategic goals of NARO. These agreements will specify the terms of reference (key result areas) for each post, develop targets on the basis of terms of reference, design performance indicators for each target, and specify the resources requirements. The targets in the performance agreements will be the basis for performance appraisal. Similarly, the results of performance appraisal will inform all administrative actions, including but not limited to confirmation in appointment, renewal of contract, promotion, and human resource development.

In view of the above, these Performance Management Guidelines are intended to assist Appraisers and Appraisees in implementing the performance management system. The Guidelines address, *inter alia*, roles of stakeholders in the performance management, stages and attendant steps in the performance management process, tips on how to handle each activity under the performance management process, and good and bad practices in conducting a performance appraisal meeting.

I therefore implore all the stakeholders to use this toolkit with a view to ensuring that the performance management system achieves its objective of enhancing the performance of staff in particular and NARO in general.

Dr. Ambrose Agona
DIRECTOR GENERAL

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CHAPTER ONE: INTRODUCTION

1.1 Introduction

This Manual contains Guidelines on performance management in NARO. NARO recognises performance management as a prerequisite for both individual and organisational performance improvement. Performance Management in NARO is intended to:

(a) ensure that all staff contribute to the mandate and strategic objectives of NARO;

(b) create a performance culture;

(c) keep staff informed of the areas where improvements are required;

(d) identify the means by which those improvements can be achieved;

(e) assess the overall performance of staff; and

(f) guide administrative decisions, including but not limited to, confirmation in appointment, renewal of contract, promotion, and human resource development.

The Guidelines, in addition to operationalising the Performance Management Policy in the Human Resources Manual of NARO, are intended to assist all stakeholders in the performance management process. The guidelines further aim at promoting consistency in the general application of the Performance Management System, as well as uniformity in the interpretation and evaluation of performance appraisal criteria.

1.2 Organisation of the Manual

The Guidelines comprise five Chapters with Chapter One serving as an **Introduction**. Chapter **Two** is a description of NARO's Performance Management System. On the other hand, Chapter **Three** provides appraisers and appraisees with guidance on how to formulate performance plans or agreements that are aligned with the goals and strategic objectives of NARO. Chapter **Four** provides stakeholders with tips on how to conduct a mid-term review of performance in relation to performance agreements. A description of the performance appraisal is presented in Chapter **Five**. Finally, Chapter **Six** provides guidance on how to develop performance improvement plans.

CHAPTER TWO: AN OVERVIEW OF NARO'S PERFORMANCE MANAGEMENT SYSTEM

2.1 Introduction

This Chapter provides a description of the Staff Performance Management System of NARO. It commences by presenting the objectives and benefits of the performance management system. This is followed by a description of the salient elements of the performance management system. Finally, the Chapter delineates the roles of various stakeholders in the performance management process.

2.2 Objectives and Benefits of NARO's Performance Management System (PMS)

The Staff Performance Management System (PMS) has been designed to ensure that all staff contributes to the realisation of the mandate and strategic objectives of NARO. NARO recognises that an **effective, efficient** and **affective** Performance Management System will achieve a number of important benefits, including the following:

(a) Provide an opportunity for the setting of performance standards (agreed and achievable minimum levels of performance) and targets (planned levels of performance).

(b) Provide supervisors with a method of objectively evaluating the performance of their staff and to give feedback.

(c) Provide an opportunity for staff to be given guidance and direction and to participate in the identification of training needs, as they relate to current jobs and career growth.

(d) Provide a framework for promoting a culture of **responsibility**, **accountability** and **transparency**.

The Performance Management System in these Guidelines is comprehensive, easy to administer and understand, and provides for formal appraisal of job performance against the required targets, standards and expectations. It based on the Learning Organisation Philosophy whose key tenet is continuous improvement in all aspects. In other words, the overarching idea is that "Today must be better than yesterday and tomorrow must be better than today". The philosophy also recognises the mistakes are not repeated. This is an indispensable philosophy given the high stakeholder expectations from NARO.

2.3 NARO'S Performance Management System

NARO's Performance Management System is consistent with the Results Oriented Management (ROM) philosophy (Refer to A-m of the Government of Uganda Standing Orders). In line with the objectives of ROM, the performance management system is intended to improve performance of NARO and to contribute to overall improvement of service delivery. The ROM methodology requires public sector entities to develop a results framework that should:

(a) specify the mission/purpose for which it exists;

(b) indicate the national and sector outcomes that the institution contributes to;

(c) outline the objectives that it aims to achieve;

(d) specify the key outputs and outcomes;

(e) define the performance indicators that will be used to measure how well the organization is performing and delivering the expected outputs.

In accordance with the requirements of strategic performance management, the ROM philosophy required public entities to develop annual performance plans at the beginning of every financial year. The annual performance plans should be consistent with the priorities in the national development plan, the sector plan, and the ministerial policy statement. The institutional performance plans form the basis for the individual performance plans.

Performance management in NARO is to follow a three step process: performance planning (or performance agreement), performance monitoring, and performance evaluation or appraisal. These steps are informed by the following philosophical underpinnings:

- Planning and performance management is a two way process involving the supervisee and supervisor.
- Appraisal of performance must be based on objective, job-related criteria developed and understood in advance by both the appraiser and appraisee.
- The appraisal of job performance is based on observable and measurable job behaviours and not on personality or other subjective factors.
- Setting objectives for future performance growth is as important as appraising performance.

2.4 Roles of Stakeholders in NARO's Performance Management System

Effective performance management hinges upon clarifying the roles and responsibilities of the different stakeholders in the performance management process. Below are the different stakeholders and their respective roles as far as performance management in NARO is concerned:

2.4.1 Director General

Responsible for the institutionalisation of performance management in NARO and ensuring that a strategic annual work plan is developed and cascaded to various levels in the agency.

2.4.2 Director of Human Resources

- Co-ordinates implementation of the performance management system within NARO
- Give guidance to staff on the performance management system
- Ensure that deadlines for handling each step of the performance management process are met

2.4.3 Heads of Institutes/Department /Sections

- Allocate tasks to staff
- Ensure that each jobholder is aware of NARO's/Institute's/Departmental/Sectional work plan and objectives
- Ensure development of individual work plans and setting of performance targets in the department / section
- Ensure compliance with set time frames in the performance management process

2.4.4 Supervisor

- Allocate tasks to all staff he/she supervises
- Ensure that each job holder knows and understands what he/she is accountable for and what needs to be done to succeed
- Monitor progress and manage the appraisee's performance by regularly providing feedback and communicating with the appraisee
- Ensure that supervisees prepare individual annual work plans that are aligned with the annual strategic work plan of NARO
- Meet with each supervisee and agree on individual performance targets

- Request and receive reports from supervisees at the specified timelines
- Ensure that resources as indicated in the supervisee's individual work plan are provided
- Coach and mentor supervisees as and when necessary
- Carry out mid-term staff performance appraisal
- Carry out end of year appraisal of supervisees' performance
- Report on training needs of all supervisees to the Directorate of Human Resources

2.4.5 Individual Officer

- Request for departmental work plan and objectives from the supervisor to be able to develop an individual work plan
- Specify the resources required to implement the individual work plan and discuss them with the supervisor
- Give regular feedback on his/her performance to the supervisor and point out any problems being encountered
- Discuss the departmental work plan with supervisor
- Develop an individual work plan
- Set and agree on performance targets with supervisor
- Keep record of work done
- Prepare performance reports and avail them to the supervisor as and when they are required

CHAPTER THREE: PERFORMANCE PLANNING (DESIGNING PERFORMANCE AGREEMENTS)

3.1 Introduction

This Chapter provides guidance on how to formulate performance agreements between appraisers and appraisees based on the broad framework of strategic objectives and goals of NARO.

In the context of NARO, performance agreement is synonymous with performance planning and hence the two concepts are used interchangeably in these Guidelines. As already alluded to in **Chapter One**, NARO's performance management system comprises five distinct but complementary phases: performance planning, mid-term/ progress review (or performance monitoring); appraisal; and decision making.

3.2 Macro Performance planning

Every financial year, the top management of NARO shall develop a strategic annual work plan from the corporate strategic plan. The annual work plan should clearly define key result areas (KRAs), key performance indicators (KPIs), targets (planned levels of performance), and specify the required resources.

The top management team shall communicate plans to lower levels to undergo the same planning process. After management has completed the planning process, supervisors shall complete the process with individual members of their teams by agreeing on the terms of reference (key deliverables), setting the targets and defining the key performance indicators, and specifying the resource requirements.

3.3 Individual Performance Planning (Performance Agreements)

A performance agreement specifies the expectations. It MUST stipulate, among others, the outputs (key results), targets, performance indicators and the necessary resources. Performance planning for individuals should be undertaken in the month of June of every year for confirmed staff and at the commencement of employment for new employees and should be aligned with NARO's annual work plan. Performance planning should be done on **Part B (1)** of **Section B** of the Performance Appraisal form. This Section is reproduced in Table 1 below:

Table 1: Performance Planning/Agreement Form

Part B(1): Performance Planning **Key Outputs, Performance Indicators & Performance Targets** (To be completed by the Staff and Supervisor at the beginning of the assessment period)			**Part B(2): Performance Appraisal** (To be completed by the Supervisor at the end of the appraisal period)					
Outputs	**Performance Indicators**	**Agreed Performance Targets**	**Performance Level**					**Comments on Performance**
			1	2	3	4	5	

NOTE: At the stage of developing performance agreements, appraisees and supervisors should identify the key competences to be developed in order to achieve the targets. The following questions should guide supervisors in identifying these competences: *what competences (knowledge, skills, abilities and values) are required to achieve the targets? Which of these competences do you have? Which competences need to be developed*? The competences that need to be developed should inform the personal development plan. The supervisor should ensure that both technical and generic competences are addressed early during the appraisal period and prior to the performance appraisal meeting.

3.4 Components of the Performance Agreement

The following issues should be considered while formulating performance agreements:

(a) Agreeing on the ***terms of reference***, key deliverables or key result areas for each job holder during the performance period. For example, in the case of Research Scientists, the key result areas MUST include *technology generation, technology/packages publication, technology dissemination, production of dissemination packages*, etc.

(b) Setting the ***performance targets*** (planned performance for each term of reference). Targets are indispensable in performance management. Targets specify the level of performance to aim at. They also form the basis for objective performance appraisal or assessment. No objective performance appraisal is possible in absence of pre-determined targets. The number of targets should correspond with the terms of reference or key result areas. It is recommended that **NOT** more than 10 targets should be set for each appraisee. For emphasis, the targets should be set through mutual agreement between the supervisor and supervisee and should be SMARTER (i.e., Specific, Measurable, Realistic/Result Oriented, Time-Framed, Exciting, and Recorded).

- ***Specific***- a target must be clear and unambiguous. Put differently, words which express vagueness rather than concrete results should as much as possible be avoided;
- ***Measurable***-establish the concrete criteria. A target could be expressed quantitatively or qualitatively. For qualitative targets ask questions such as 'how much, how many, how often, how soon'. Where it is not possible to quantify a target, it is advisable that you use a performance standard. For example, were cannot realistically tell the number of customer inquiries that will be channeled to NARO. However, we can have a standard relating to redressing customer complaints e.g., "*To address each customer complaint with two working days from the date of receipt*".
- ***Achievable***- a target should be challenging and yet achievable by a committed and competent person. It should be informed by past performance and the ability levels of individuals. A target that cannot be achieved has potential to demotivate an employee. On the other hand, targets should be challenging since challenging targets call for more effort.
- ***Realistic/Result Oriented***. It should be stated in terms of end results, not just activities or processes.
- ***Time-Framed***. Targets must contain the time frame in which you desire a result or the completion date. Use words such as "By" or "On" e.g., "*To develop a strategic plan for the Institute by...*"
- ***Exciting.*** Good targets should stimulate enthusiasm on the part of the employee.
- ***Recorded.*** Targets should be written down so that the appraisees and appraisers can refer to them when necessary. Recording is the only evidence that targets were set and that they were set through a participatory manner.

NOTE: For each target, describe the end result and indicate quality, quantity, time-frame, percentages or other measures as illustrated in the tables below:

Table 2: Worked Example of Outputs and Targets for Research Scientists

No	*Output(s)*	*Target*
1.	Technologies generated	To generate one technology in financial year....(*specify*)
2.	Technology packages/published	To produce one conference paper and one article in a refereed journal by...(*specify the date*)
3.	Technology disseminated	To hold one television and one radio presentation per quarter in financial year...(*specify*)
4.	Dissemination packages developed	To produce a video on ...(specify) technology by...(*specify the date*)

Table 3: Worked Example of Outputs and Targets for PARI Directors

No	*Output(s)*	*Target*
1.	Policy advise on technologies provided	To prepare one policy brief on appropriate technologies per quarter in...(*specify the year*)
2.	Financial resources mobilized	To mobilise UGX 200,000,000 in financial year...
3.	Strategic plan developed	To develop a strategic plan for the Institute by 31 December...
4.	Budget developed	To ensure that the budget for the Institute is in place by...
5.	Advice tendered	To tender advice to the Management Committee within one working day from the date of request of advice
6.	Communication, publicity and advocacy programmes developed	To have communication, publicity and advocacy programmes in place by... (*specify date*)
7.	Financial reports submitted	To ensure that a financial report for the quarter is prepared and submitted before and/or on the 5th day of the next quarter

NOTE*:* Avoid developing targets which are not clear. The Table below shows unclear and clear targets/objectives.

Table 4: Examples of Clear and Unclear Targets

No	**Unclear Targets/objectives**	**Clear Targets/Objectives**
1.	Increase the number of conference papers	To increase the number of conference papers from 10 to 20 percent in....(*specify year*)
2.	Reduce labour turnover	To reduce labour turnover from 7 percent per annum to 3 percent per annum in...(*specify year*)
3.	Increase the number of new technologies	To increase the number of new technologies from...to...by...
4.	Increase uptake of new technologies	Increase uptake of new technologies from...to...by...
5.	Increase the number of TV programmes	To increase the number of radio programme from one per quarter in 2015 to three per quarter in 2016
6.	Answer the telephone promptly	To answer the telephone after three consecutive rings

Table 5: Worked Example of Targets and accompanying Performance Indicators for PARI Directors

No	Target(s)	Performance Indicators
1.	To prepare one policy brief on appropriate technologies per quarter in…	Number of policy briefs prepared per quarter Number of policy briefs prepared against the target Degree to which policy briefs comply with the structure and format Comprehensiveness of the policy briefs
2.	To mobilise at least UGX 200,000,000 in financial year…	Amount mobilised against the target Unit cost per shilling mobilised
3.	To develop a strategic plan for the Institute by 31 December 2016	A strategic plan in place Extent to which the strategic plan addresses the priority areas of NARO Degree of alignment of the strategic plan with the sector investment plan
4.	To ensure that the budget for the Institute is in place by…..	A budget in place Degree of consistency between the budget and the strategic plan Level of compliance with the budgeting guidelines
5.	To tender advice to the management committee within one working day from the date of request	Average time taken to tender advice Quality of advice tendered
6.	To put communication, publicity and advocacy programmes in place by…	Programmes in place Extent to which the programmes are based on a sound situational analysis Comprehensiveness of each programme
7.	To ensure that a financial report for the quarter is prepared and submitted before and/or on the 5th day of the following quarter	Percentage of financial reports submitted on time Level of accuracy of financial reports

Table 6: Worked Example of Targets and accompanying Performance Indicators for Research Scientists

No	*Target(s)*	*Performance Indicators*
1.	To generate one technology in financial year….(*specify*)	• A new technology in place • Appropriateness of the new technology • Cost of generating the technology against the budget
2.	To produce one conference paper and one article in a refereed journal by…	• A conference paper and an article in a refereed journal in place • Number of conference papers/ articles produced/published
3.	To hold one television and one radio presentation per quarter in financial year…(specify)	• Number of presentations made per quarter against the target • Average cost of a radio/television presentation
4.	To produce a video on …(specify) technology by…(specify the date)	• A video in place • Comprehensiveness of the video • Level of clarity of the video

(d) Determining the ***resources required*** to achieve performance targets. In line with the principles of output oriented budgeting (OOB), appraisers must ensure that the resources are available to facilitate achievement of the targets. It is the responsibility of the appraiser to provide the requisite resources.

NOTE: When (a) to (d) above have been done, we can say that a performance agreement has been entered into.

3.5 Tips for Handling the Performance Planning/Contracting Phase

The stages and accompanying steps below may be helpful during the performance planning phase:

Stage 1	**Before the Meeting**
Steps 1:	Appraiser and appraisee agree on the terms of reference/key deliverables which are aligned with the strategic annual work plan of NARO and/or the departmental annual work plan.
Step 2:	Appraiser and appraisee identify the outputs and performance targets from the terms of reference/key deliverables.
Step 3:	Appraiser and appraisee should exchange notes prior to the meeting.
Stage 2:	**During the Meeting**
Step 1:	Appraiser and appraisee discuss and agree on the key deliverables or outputs from terms of reference.
Step 2:	Appraiser and appraisee discuss and agree on the performance targets and accompanying performance indicators.
Step 4:	Appraiser and appraisee discuss the resources required for the attainment of performance targets.
Stage 3:	**After the Meeting**
Step 1:	Appraiser fills out the performance planning form
Step 2:	Appraiser and appraisee sign the performance planning form and a copy of the signed form given to the appraisee and the original signed document returned to the Directorate of Human Resources.

CHAPTER FOUR: PERFORMANCE MONITORING AND MID-TERM/PROGRESS REVIEW

In addition to the continuous monitoring of performance, the appraiser shall organise a mid-term/progress review of performance in December of each year for all confirmed staff and half-way the assessment period for staff serving on probation. The purpose of the mid-term performance review is to accord both the appraiser and appraisee the opportunity to jointly review the progress made by the appraisee in accomplishing the performance targets agreed upon at the beginning of the performance management period. It also provides the appraiser and appraisee with an opportunity to gauge progress towards the achievement of targets and can trigger remedial action.

The appraiser must give at least a week's notice to the appraisee specifying the date, time and place of the meeting. The mid-term review form should be filled during the mid-term evaluation of performance (see Table 7) and should focus on progress towards achievement of targets and demonstration of competences by the appraisee.

Table 7: Mid-term Review form

No.	Target	Progress Review	Remarks

General comments

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

Appraiser's Signature...................................Date...

Appraisee's Signature.....................................Date...

The mid-term review process should be as follows:

a) Appraiser and appraisee discuss the progress of work in relation to the performance targets that were set. If conclusions reached at the meeting necessitate changes or adjustments in the targets, these modifications should be specified on the mid-term review form;

b) Appraiser and appraisee discuss the extent to which core the competences in **Section C** of the appraisal form are being applied or demonstrated or lacking;

c) Appraiser and appraisee agree on the additions and deletions to targets and modifications where necessary;

d) Appraiser records the changes, if any, and comments on the mid-term review form;

e) Appraiser and appraisee sign the mid-term review form; and

f) Appraiser and appraisee keep copies of the signed mid-term review form and the original document sent back to the Directorate of Human Resources.

CHAPTER FIVE: THE END OF CYCLE/YEAR PERFORMANCE APPRAISAL PROCESS

The End-of-Cycle Review and Appraisal Process shall span from 1-31 June of every year for confirmed staff and at the end of six month for staff serving on probation. The process is in three parts namely: before the appraisal meeting, during the appraisal meeting and after the appraisal meeting. Appraisers and Appraisees are advised to reflect on the do's and don'ts of appraisers and appraisees in **Section 5.2** of these Guidelines before embarking on performance appraisal.

The end of cycle performance appraisal involves filling **Part B (2)** of **Section B** and **C** of the performance management form. **Part B (2)** of **Section B** is reproduced in these Guidelines as *Table 8*. Please refer to guidance on scoring performance in **Sections 5.3** and **5.4** of these Guidelines.

Table 8: End of Cycle Performance Appraisal Form

Part B(1): Performance Planning Key Outputs, Performance Indicators & Performance Targets (To be completed by the Staff and Supervisor at the beginning of the assessment period)			**Part B(2): Performance Appraisal** (To be completed by the Supervisor at the end of the appraisal period)					
Outputs	**Performance Indicators**	**Agreed Performance Targets**	**Performance Level**					**Comments on Performance**
			1	2	3	4	5	

5.1 Stages and Steps of Performance Appraisal

The following stages and accompanying steps should be followed while handling the performance appraisal phase:

Stage 1:	**Before the End-of-Cycle Appraisal Meeting**
Step 1:	Appraiser should give at least one week notice to the appraisee
Step 2:	Both the appraisee and appraiser should write down on a separate sheet the appraisee's performance in relation to the targets achieved and targets not achieved. Reasons must be stated.
Step 3:	Appraiser should write down the appraisee's performance in terms of competences demonstrated and not demonstrated with reason(s).
Step 4:	The appraisee should review his/her performance and list the main achievements.
Step 5:	The appraisee should prepare for the discussion with the appraiser.
Stage 2:	**During the Meeting**
Step 1:	The appraiser should welcome the appraisee and state the purpose of the meeting.
Step 2:	The appraiser should discuss the targets achieved one after the other.
Step 3:	The appraiser should discuss the targets not achieved one after the other.
Step 4:	The appraiser should discuss the competences demonstrated one after the other.
Step 5:	The appraiser should discuss the competences not demonstrated one after the other and agree on the improvement plans.
Step 6:	The appraiser should summarize the discussion.
Step 7:	The appraiser should communicate the overall performance rating to the appraisee.
Stage 3:	**After the Meeting**
Step 1:	The appraiser fills the form within three working days
Step 2:	The appraiser invites the appraisee to read, provide comments on the appraisal and sign the End-of-Cycle Section (Section G-2).

To guarantee objectivity, it is recommended that the appraisal is done by panels as has been the practice. Nevertheless, the filling of the appraisal form should be done by the immediate supervisor after the panel meeting.

5.2 DO's and DON'Ts During and Appraisal Meeting

In conducting an appraisal meeting, there are practices, which are encouraged and those that are discouraged. Below is a compendium of positive and negative practices for both appraisers and appraisees

Do's of the Appraiser

- Prepare and share with the appraiser a copy of the appraisal form.

- Be honest and open to the appraisee
- Be familiar with the appraisal form
- Provide a conducive climate for the appraisal meeting
- Make the appraisal a positive experience
- Attack problems, not the supervisee
- Be a good listener
- Seek the appraisee's input
- Agree on the performance plan and performance improvement plan with the appraisee
- Help the appraisee to improve performance
- Provide immediate constructive feedback on performance

Don'ts of the Appraiser

During the appraisal meeting do not:

- Become emotional and argumentative during the appraisal meeting
- Use stereotype judgment
- Dominate the appraisal meeting
- Use the appraisal meeting to settle a personal grudge with your subordinate
- Be afraid to draw attention to short comings, but do it in a constructive way; Push the process by treating it as an unwanted chore
- Take the easy way out and rate every one as 'average'
- Delay in completing the paper work.

The Do's of the Appraisee

As an appraise, you need to:

- Prepare adequately for the appraisal meeting

- Complete part of the paper work
- Draw to the attention of the Appraiser any obstacles of performance
- Ensure that the Performance Improvement Plan (PIP) is drawn up
- Accept justifiable criticism
- Be open and honest with the Appraiser
- Accept feedback on performance

Don'ts of the Appraisee

During the appraisal meeting, do not:

- Be defensive unnecessarily
- Be driven by emotions
- Be rude
- Delay paper work
- Fear to seek for support from your Appraiser
- Be dishonest with yourself

5.3 The Performance Appraisal Process

The appraisal process in NARO considers two (2) key areas of performance with weights assigned against them:

Table 9: Performance Areas and their respective Weights

Performance Area	Weight
Performance Targets	80%
Core Competences	20%

5.4 Assessment of Targets (Scoring of Targets in Section D of the Appraisal Form)

Each performance target **MUST** be assigned a level based on the rating scale provided in the appraisal form. To ensure objectivity, the performance level against each target must be justified by a few comments in the last column of **Section B**. To compute the scores obtained on the targets, a scale of One (1) to Five (5) is provided for the ratings.

- **Outstanding (5):** Results achieved **far exceeded** targets (*Exceeded all targets*)
- **Very Good (4)**: Results **fully met** all targets and **sometimes exceeded** targets (*Meet all targets and exceeded several*)
- **Good (3):** Results **met all** targets in key result areas (*Met most targets and exceeded some*)
- **Fair (2):** Results were **below targets (***Did not meet many targets***)**
- **Poor (1):** Results **did not meet any of the targets (***Did not meet most targets***)**

Each target should be assigned a scale. For example, if the target was *"To collect UGX: 200,000,000 in a financial year*" and the appraisee collected UGX: 250,000,000, then the appropriate scale would be **5** (*Results achieved exceeded target*). Conversely, if the appraisee collected UGX: 200,000,000, then he/she would be given a **4**.

To compute the score obtained on the targets:

- Find the sum score on performance targets
- Divide the sum by the number of targets considered
- Divide the average score by the highest level of the rating scale (5) and multiply it by a factor of, i.e. 0.8 .This reduces the score to 80.0% of 100

5.5 Assessment of Core Competences (Scoring of Core Competences in Section C of the Appraisal Form)

To compute score obtained on core competences, a scale of five (5) is provided for rating the competency area. All employees should be assessed on general competences. Assessment of the supervisory and managerial competences should be reserved for staff holding managerial positions. Each competence should be assigned a level and justified by comments in the last column of the Table in Section C. The overall score for core competences should be arrived at by getting the sum of all competences and dividing it by Five (5). The resultant score should be multiplied by a factor of 0.2.

5.6 Overall Rating

The overall rating on target and core competences should be arrived at by getting the percentage sum of **Section B** and **C**. For example, if the percentage score for targets is **58%** and the one for core competences is **11%**, then the overall rating would be **69%**. The resultant rating would be Very Good Performance (See ***Section D*** of the Performance Appraisal Form).

5.7 Rating Errors to Avoid

Performance appraisal should be as objective as possible. Therefore, appraisers should be mindful of the following errors and try to avoid them:

Table 10: Common Performance Appraisal Errors

Error	**Description**
The Halo Effect	Letting a positive area prevent you from providing constructive feedback in another area
Recency Effect	Considering only recent performance rather than the entire review period
Leniency	Finding it difficult to give poor rating
Similar-to-me	Giving a more favorable rating to someone perceived as being similar to him or her
Central Tendency	Rating all employees as average

5.8 Decision Making Process

The decision making process shall be in three parts:

Stage 1: Vetting of Forms

This shall be undertaken by the Directorate of Human Resources to ensure that all scorings have been done fairly in accordance with the Guidelines and are devoid of subjectivity.

Stage 2: Grievance Resolution, if any

Grievance resolution process is initiated to resolve any identified grievance(s) that may have arisen in the course of the appraisal process. Any employee aggrieved with the assessment of his/her performance, if he/she wishes, may use the Grievance Handling Procedure in Chapter 13 of the Human Resources Manual of NARO Staff Terms and Conditions of Service (June, 2009) to settle it.

CHAPTER SIX: PERFORMANCE IMPROVEMENT PLANNNING: DEVELOPING A PERFORMANCE IMPROVEMENT PLAN

Performance improvement is the objective of performance management in NARO.Therefore, performance improvement plans should be designed to address cases of unsatisfactory performance. The performance improvement plan may be an outcome of performance appraisal or may be developed as soon as a supervisor notices unsatisfactory performance.

Failing to address poor performance means that the organisation is sending a clear message to other employees that they need not meet their performance expectations and they should not expect any consequences for their unacceptable behaviour. Poor performance normally gets worse over time-rarely does it correct itself without action on the part of the manager or supervisor. Supervisors should initiate action as soon as they notice that the performance of an employee is below expectation and should not wait until the time for performance appraisal.

Supervisors who notice or suspect that an employee is performing poorly should, at the earliest opportunity, arrange a meeting with the employee concerned. The purpose of the meeting should be to:

(a) Inform the employee that his/her work does not meet the required performance standards or expectations;
(b) Explain to the employee the performance standard required;
(c) Determine the reasons for the poor work performance; and
(d) Determine the manner in which poor work performance should be addressed including practical steps that need to be taken by both parties. This is the performance improvement plan. The performance improvement plan is reproduced in Table 8 below.

Table 11: Performance Improvement Plan

Competency to be addressed	Agreed Course of Action	Time Frame	Expected Outcome
Qualitative data analysis	Training	March 2016	Enhanced capacity to analyze qualitative data
Publishing	Mentoring	June-September 2016	Publications in peer reviewed journals
Proposal writing	Training	February 2016	Increased number of proposals that are accepted for funding
Interpersonal skills	Training	March 2016	Increased ability to work with and get along with others
Teambuilding	Training	November 2016	Increase team cohesion and output

The following steps are helpful in designing a performance improvement plan:

(a) Initial meeting

Explain to the employee the reasons why his/her performance is not meeting the required standards. The standards expected from the employee may be derived from a job description, norms or standards of NARO. Illustrate this by using examples which may include, but not limited to, the following situations:

- Where the employee did not meet deadlines;
- Cases where the employee's work was of poor quality; and
- Where the employee's work was not done at all, etc.

Allow the employee to respond to the situations presented on him/her.

NOTE: *Remain objective-you may not make a judgement until you have all the facts, including the employee's response.*

After going through the reasons for the poor performance with the employee, the supervisor should discuss a course of action to address the problem. This may be during the same meeting or in a subsequent meeting. This is largely for the manager to decide-it may be necessary to first investigate the reasons offered by the employee. Remedial actions may include: coaching, counseling, mentoring, attachment, training, and provision of necessary resources.

NOTE: *The employee must be given reasonable time to improve his/her work* *performance. The period of time given to the employee may differ from case to case and this may be dependent on aspects such as the complexity of the employee's work, the nature of remedial steps required and the performance improvements expected.*

(b) Follow Up Meeting

A number of regular follow up meetings may be necessary to track the employee's performance. These meetings may be scheduled for once a month or as regular as the supervisor may deem appropriate. How often the supervisor conducts meetings will depend on the seriousness of the work performance, the ability of the employee to improve, the time required to improve, the nature of remedial steps required as well as the employee's tasks. Supervisors should make it clear to the employee during the course of follow up meetings whether performance is improving or not.

The performance of the employee may or may not improve during the period he/she is on a performance improvement plan:

If performance does not improve

If the employee's performance does not improve during the time allocated, the supervisor should arrange a final meeting with the employee. The purpose of this meeting is to give the employee a written report on the outcomes of the process followed so far; and to map out strategies for improving performance.

In some cases, the organisation may decide to dismiss an employee on account of misconduct/inefficiency stemming from continued poor performance. This should be regarded as a last resort. All appropriate remedies must be exhausted and the employee's work performance must not have improved to the extent of meeting the required standards.

APPENDIX 1: TIMELINE FOR PERFORMANCE MANAGEMENT

Table 12: Timelines for Performance Management

No.	Activity	Timelines
1	Performance Planning	June
2	Mid-term Performance Review	December of the appraisal year
3	End of Cycle Performance Appraisal	June

NB: Performance planning and end of cycle performance appraisal should take place at the same time. The two exercises should last not less than 90 minutes for each individual member of staff.

APPENDIX 2: STAFF PERFORMANCE APPRAISAL FORM

STAFF PERFORMANCE APPRAISAL FORM (SPAF)

Preamble
This Staff Performance Appraisal Form is an instrument for evaluating the performance of staff in relation to their contribution to the achievement of the goals and objectives of NARO. The overall objective of the Performance Management System (PMS) is to manage and improve the performance of NARO by enabling a higher level of staff participation and involvement in planning, delivery and evaluation of work performance. Staff Performance Appraisal in NARO offers an opportunity to a member of staff (Appraisee) to dialogue with the supervisor (Appraiser) and to obtain feedback on his/her performance. It is further intended help the Secretariat to ascertain skills and performance gaps and thereby design appropriate interventions to improve individual performance.

Appraisers and the Appraisees should read the detailed Guidelines before completing the Staff Performance Appraisal Form.

Period of Assessment
From (DD/MM/YYYY)........................To: (DD/MM/YYYY)....................................

SECTION A-1: APPRAISEE PERSONAL INFORMATION

Title	**Dr.** ☐ **Mr.** ☐ **Mrs.** ☐ **Ms.** ☐ **Others** ☐ **(please specify).........**
Name (Full names in block letters)	
Personal File Number	
Present Job Title/Position	
Department/Institute	
Date of last Appointment	

SECTION: A-2: APPRAISER INFORMATION

Name of Appraiser	
Position of Appraiser	

SECTION B: PERFORMANCE PLANNING (AGREEMENT) AND REVIEW FORM

Part B (1) of this Section should be completed by the appraiser and appraisee at the beginning of the assessment period. **Part B (2)** of the Section should be completed in June every year by the Appraiser and Appraisee for confirmed staff and after six months for staff serving on probation. The assessment of individual performance in **Part B (2)** should be reflected as a Performance Level based on the Rating Scale below:

Rating Scale

a) **Outstanding (5):** Results achieved **exceeded** target
b) **Very Good (4)**: Results **fully met** target
c) **Good (3):** Results **almost** met the target
d) **Fair (2):** Achieved some results
e) **Poor (1):** Did not achieve any results

Part B(1): Performance Planning **Key Outputs, Performance Indicators & Performance Targets** (To be completed by the Staff and Supervisor at the beginning of the assessment period)			**Part B(2): Performance Appraisal** (To be completed by the Supervisor at the end of the appraisal period)					
Outputs	**Performance Indicators**	**Agreed Performance Targets**	**Performance Level**					**Comments on Performance**
			1	2	3	4	5	

Overall Performance Assessment on Targets

Overall assessment of performance on targets should be derived by adding the scores at each Performance Level and dividing the resultant total by the number of targets. The average of the score obtained shall be the overall assessment for targets.

Overall Score on Performance Targets=Average Score on Targets/5x80=.... %

SECTION C: APPRAISAL OF CORE COMPETENCES

This section should be completed by the Appraiser after a discussion with the Appraisee.

Rating and Explanation

5: **Exceptional-***Behavioural competence consistently far exceeded expectations*

4: Exceeded Expectations-*Behavioural competence exceeded expectations*

3: Met all Expectations-*Behavioural competence fully met expectations*

2: **Below Expectations**: *Behavioural competence did not consistently meet expectations*

1: Unacceptable: *Behavioural competence was consistently below expectations*

Tick the most appropriate rating for each competence

SECTION C-1: GENERAL COMPETENCES

Competence(s)	**Assessment**					**Comment(s)**
	5	4	3	2	1	
Professional and Technical Knowledge : Has adequate professional and technical knowledge to perform duties diligently and efficiently						
Result Orientation : Delivers results of desired quality within available resource and specified time frames						
Communication : Has ability to express himself/herself clearly both orally and in writing						
Judgment and Decision-Making: Develops appropriate solutions and takes action						
Information Technology: Is able to use ICT to produce planned outputs and objectives of NARO						
Time Management: Adheres to schedules; manages his/her time well; completes work assignments on time						
Interpersonal Relations: Exhibits a good level of interpersonal skills and has a good working relationship						
Quality Improvement: Strives for efficient, effective, high quality performance in self and in the Institute/Department/Section						
Initiative: Generates ideas that provide new insights						
Integrity: Upholds and demonstrates professional and NARO's values and ethics						
Team Work: Cooperates and collaborates with colleagues as appropriate; works in partnership with others						
Commitment to Own Personal Development and Training: Is eager for self-development; has inner drive to supplement training from NARO						
Personal Appearance: Always neat and pleasant, well groomed and presentable						
Enthusiasm and Drive: Highly self-motivated; anxious to make progress in the face of difficulties, setbacks or pressure of work						

SECTION C-2: MANAGERIAL AND SUPERVISORY COMPETENCES

(This section applies to staff who have managerial and supervisory responsibilities)

Competence(s)	Assessment					Comments
	5	4	3	2	1	
Leadership Ability: Organises, motivates and leads staff to achieve desired results						
Financial Management: Compiles budgets, knows and applies the basic financial policies and procedures; is familiar with the overall financial management processes						
Managing People: Coaches, evaluates, develops people; sets expectations, recognizes achievement, manages conflicts, aligns performance goals with NAROs goals, provides feedback; delegates						
Team Building : Promotes team spirit						

Overall Rating of Competences: Average Score of Applicable Competences/5 X 20=.....%

SECTION D: OVERALL PERFORMANCE RATING

Use the scale below to interpret the overall performance of the appraisee. The overall rating should be the percentage sum for **Section B** and **C**.

B+C=...

Tick as appropriate	Overall performance rating	Explanation
	Outstanding Performance **(80% & above)**	Employee has in all areas exceeded agreed expectation
	Very Good Performance **(79-65%)**	Employee has met all expectations
	Satisfactory /Acceptable Performance **(64-50%)**	Employee has met most expectations
	Needs Improvement **(49-41%)**	Employee has not met most expectations
	Unsatisfactory/Unacceptable Performance **(40% & below)**	Employee has failed to meet expectations

SECTION E: PERFORMANCE IMPROVEMENT PLAN

The plan should take into account the Appraisee's required job competences and the identified performance gaps. The proposed actions may involve training, coaching, mentoring, attachment, job rotation and counseling, etc.

Competency to be addressed	Agreed Course of Action	Time Frame	Expected Outcome

SECTION F: OVERALL COMMENTS AND RECOMMENDATIONS

Overall comments on the appraisee's performance such as strengths, skills or qualities which he/she has, including recommendations such as confirmation, extension of probationary period, reward, training, renewal of contract, termination of contract etc.

SECTION F-1: COMMENTS BY IMMEDIATE SUPERVISOR

....

....

....

Supervisor's Name...

Signature .... Date ....

SECTION F-2: APPRAISEE'S COMMENTS ON APPRAISAL BY THE SUPERVISOR

General comments on your performance, if any

....

....

Appraisee's Signature: ....

SECTION F-3: COMMENTS ON APPRAISAL BY HEAD OF INSTITUTE/ DEPARTMENT

These should focus on the consistency and reasonableness of the assessment and comments given by the supervisor on the appraisee's performance

....

....

....

Signature.. **Date**................................

SECTION F-4: COMMENTS BY THE DIRECTOR GENERAL OF HIS/HER DESIGNEE

....

....

....

Name.. **Signature**.............................