

IICA



PERFORMANCE APPRAISAL FOR PROFESSIONAL PERSONNEL

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DIRECTORATE OF HUMAN RESOURCES

2

ADMINISTRATIVE DOCUMENTS SERIES



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INTER-AMERICAN INSTITUTE FOR COOPERATION ON AGRICULTURE
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I N D E X

| | | |
|------|---|----|
| I. | INTRODUCTION | 1 |
| II. | DESCRIPTION OF THE SYSTEM'S COMPONENTS, FACTORS AND SUBFACTORS | 4 |
| III. | APPLICATION OF THE SYSTEM | |
| | Levels | 22 |
| | Rating Procedure | 24 |
| IV. | FORMS | |
| | General evaluation | 29 |
| | Periodic Performance Review | 31 |

APPRAISAL SYSTEM FOR PROFESSIONAL PERSONNEL AT IICA

I. INTRODUCTION

Systems for regular appraisal or rating of personnel have the following goals: 1) to make the best possible use of personnel skills, and 2) to ensure personnel mobility in each category, placing individuals in positions for which they are most qualified.

The above-mentioned goals indicate a direct correlation between the appraisal and classification of personnel. These are two distinct categories: classification takes into consideration what the individual is and at what level they should be compensated, while the appraisal is concerned with what the individual does. The performance appraisal system should not be used to attempt to augment salary when salary levels fall below the market.

More specifically, an appraisal is concerned with what the individual has done in a particular period, compared with what is normally expected of a capable person in a similar position. The classification serves as a point of departure and frame of reference from which to determine whether the work being evaluated has been satisfactory, and to what degree.

This type of general picture is useful to a certain point. However, it is clearly inadequate for discovering the possible causes of poor or good performance and for suggesting appropriate corrective measures or ways to motivate - sanctions and awards.

A modern appraisal system analyzes job performance by breaking it down into discreet components. The nature of the components depends on the characteristics and functions of the organization using the system. The different components are evaluated independently, according to previously determined criteria. A mechanism (which in certain cases can be very complex) is then used to put together a comprehensive rating expressed in terms of particular parameters.

IICA has designed a system which separates performance into four principal components. Each component is sub-divided into two or three factors. These factors are in turn divided into subfactors, in accordance with the following scheme:

I. Ability to prepare

A - Familiarity with conditions surrounding the work

A.1 Understanding of standards and regulations

A.2 Understanding of the working environment

B - Planning and organization

B.1 Planning

B.2 Organization

II. Job performance

C - Discharge of duties

C.1 Activities (quality and timing)

C.2 Results (quality)

D - Reporting

D.1 Production and punctuality

D.2 Usefulness (quality)

D.3 Oral communication

E - Technical Skills

E.1 Development of technical knowledge and skills

E.2 Accuracy in the application of technical knowledge and skills

E.3 Thoroughness in the application of technical knowledge and skills

III. Attitude

F - Attitude toward work

F.1 Interest

F.2 Initiative

G - Attitude toward IICA

G.1 Discipline (respect for rules)

IV. Working relations

H - Cooperativeness

H.1 Ability to take advice and redirect his or her work

H.2 Teamwork

H.3 Motivation

I - Supervision or direction

I.1 Organization and effectiveness of the work of subordinates

I.2 Attitude of subordinates toward the staff member

All of these components, factors and subfactors should be considered and evaluated according to the individual's real actions, which comprise overall job performance. A major difficulty for the appraisal is to develop a truly objective judgement on each separate factor. To facilitate this task, Chapter II provides detailed descriptions of each component, factor and subfactor.

Subfactors are evaluated using the following four categories:

U: Unsatisfactory

The staff member's job performance does not meet the minimum requirements of the job category, the job description, or the expectations for the group in which he or she works. (If this rating is given for key factors or for several subfactors, it could call for a revision of the staff member's classification and work assignment. If it is not possible to place the person in a position more compatible with his or her aptitudes, he or she may be dismissed from IICA's professional personnel).

A: Acceptable, subject to improvement

The staff member's performance is the bare minimum acceptable for a person in his or her category and work group. (With this rating, it can be recommended that the employee remain in his or her present position, subject to substantial and short-term improvement. Otherwise, it will be considered the equivalent of U, with the corresponding consequences. If a staff member's weak points are minor, they should be discussed with him or her, so that improvements can be made and an S can be given).

S: Satisfactory

The staff member's performance is adequate considering his or her category and the expectations for someone in that position, and is in line with the overall quality of the group in which he or she works.

VG: Very Good

The staff member's job performance is considered superior to what is expected of someone with his or her category and job description. He or she performs most aspects of his job in a consistently excellent manner, but does not meet the level of performance required for outstanding performance.

O: Outstanding

The staff member always makes consistently outstanding contributions towards meeting the goals of IICA and the group with which he or she works.

To achieve greater objectivity, the description of each subfactor is presented with a description of each rating on the scale.

Chapter III contains instructions and suggestions for the application of the system.

II. DESCRIPTION OF THE SYSTEM'S COMPONENTS, FACTORS AND SUBFACTORS

I. Ability to prepare

Any type of work beyond a certain level requires preparation on the part of the person who will do the work, and formulation of plans and programs. The lack of adequate preparation can lead to failure, and should be identified and distinguished from other causes of failure. This principal component is divided into two factors:

A - Familiarity with conditions surrounding the work

This factor evaluates the person's aptitude and preparation for doing the job. This does not include academic preparation or technical expertise, which are reflected in the classification. This factor is divided into two subfactors:

A.1 Understanding of standards and regulations

This subfactor refers to IICA's internal rules, contained in manuals and executive orders, which the employee is expected to know in implementing his or her work. The rating scale for this subfactor is as follows:

- U: The staff member does not know the rules, or knows them, but does not abide by them, thus jeopardizing the outcome of the work and introducing the risk of internal or external conflicts for IICA. (This is obviously a rare situation, and generally speaking, becomes acute only if it is recurrent. In the case of an isolated instance which does not produce grave consequences, the U rating is not appropriate).
- A: The staff member has committed repeated errors because he or she does not fully understand the rules in the manuals and executive orders, misinterprets them, or interprets them too narrowly. (This is more serious in the case of senior staff and particularly when dealing with long-standing regulations. In the case of new staff members, new rules, or circumstances of little consequence, errors are allowable without giving the A rating).
- S: The staff member correctly obeys the rules applicable to his or her job.
- VG: Does not apply in this case. (There is no other way of observing rules except in a satisfactory manner, and, therefore, the rating cannot be more than satisfactory.)
- O: Does not apply in this case. (There is no other way of observing rules except in a satisfactory manner, and, therefore, the rating cannot be more than satisfactory.)

A.2 Understanding of the working environment

The staff member should have adequate knowledge of the environment pertinent to the job, and the medium and conditions in which the work must take place. Depending on the nature of the job, this awareness should include familiarity with one or more of the following: key persons in institutions related to the work, institutions with which he or she works (how they are organized, their functions, problems, etc.), and the condition of the agricultural

sector of the country or countries where the work takes place. The ratings for this subfactor are:

- U: The staff member does not understand and is not concerned with understanding the medium in which he or she works, causing errors or wasted effort.
- A: The staff member has incomplete knowledge of his or her work medium, and is not capable of identifying problem situations without help.
- S: The staff member's work reflects adequate understanding of the surrounding environment.
- VG: The staff member has an above average understanding of the environment and usually uses that level of understanding to impact his or her work.
- O: The staff member has an outstanding grasp of the environment and is well known and respected, and is, therefore, strikingly influential.

B. Planning and organization

This involves the tasks required of the staff member for discharging the job efficiently. This factor has two subfactors:

B.1 Planning

This covers all the staff member's efforts to see that proposed activities have budgetary support and are included in the Plan of Operation. Depending on the staff member's level, these tasks can range from participation in the programming of activities, to the complete preparation of programs or projects. The ratings for this subfactor are:

- U: The staff member habitually fails to complete the necessary planning (or completes it in an unacceptable manner), or does not appear in the Plan of Operation as responsible or co-responsible for activities and only "a posteriori" begins to find a place in the implementation of activities programmed by others, or becomes involved with implementing non-programmed activities.

- A: His or her planning is either flawed or frequently delayed, he or she constantly needs help, encouragement and correction for this type of work, or repeatedly plans work that either far exceed his or her capacity, or leaves him or her idle.
- S: The staff member's planning is usually completed correctly and on time. He or she programs tasks in a manner suitable to his or her work capacity and to the time available.
- VG: The majority of the time the staff member consistently plans his or her work so that it can be completed correctly and on time.
- O: The staff member goes out of the way to achieve planning tasks correctly and on time. This, he or she always does with great anticipation of needs, with clarity and total understanding, identifying the relevant objectives and setting easily measurable goals.

B.2 Organization

This is the staff member's ability to anticipate the necessities of his or her work, make early contact with persons and institutions that might be important in future activities, request authorization and tickets for programmed trips, prepare reports and documents for meetings and seminars, etc. The positions on this scale are:

- U: The staff member does not usually anticipate correctly the needs of the work, resulting in last-moment improvising. The staff member constantly seeks outside help and sometimes fails to complete programmed tasks. In either case, the work is negatively affected.
- A: The staff member constantly fails to anticipate needs, leading to tensions, both internal and with the technical or auxiliary personnel involved in the work. Nevertheless, he or she is capable of resolving such situations in a satisfactory manner without affecting the final result of the work in any noticeable way.
- S: The staff member anticipates the requirements for the work and manages to develop it smoothly, without unnecessary tension.

- VG: The staff member has an above average ability to anticipate alternatives and circumstances that could affect the work and he or she frequently has effective solutions at hand for situations that might arise.
- O: The staff member has an outstanding ability to anticipate alternatives and circumstances that could affect the work and he or she almost always has effective solutions at hand for situations that might arise. Rarely do unexpected, humanly foreseeable situations undermine his or her work program. He or she manages time in an extremely efficient manner, always maximizing the use of time.

II. Job performance

This component evaluates the quality and quantity of the staff member's job performance, considering two factors:

C - Discharge of duties

This factor relates to work done by the staff member in pursuit of approved programs. It contains two subfactors:

C.1 Activities (quality and timing)

This subfactor concerns the actual performance of programmed tasks (quantity). The positions on the scale are:

- U: For reasons imputable to the staff member, he or she has not been able to complete the majority of the programmed activities, or his or her portion thereof. This has not been offset by corrective or compensatory actions by the staff member.
- A: Non-performance of activities is frequent because of the staff member's errors or shortcomings, but these errors are not serious.
- S: The staff member regularly completes assigned tasks and activities. Any case of nonfulfillment is usually due to circumstances difficult to anticipate or resolve.
- VG: The staff member regularly completes his or her activities and tasks, frequently taking advantage of additional opportunities that facilitate or complement

goal achievement. When faced with unforeseen obstacles or circumstances threatening to hamper or block a program or activity, the staff member frequently finds a way to take corrective or compensatory action.

- O: The staff member fails to complete his or her activities and tasks only under very rare and exceptional circumstances. The final product reflects taking full advantage of additional opportunities that facilitate or complement goal achievement. When faced with unforeseen obstacles or circumstances threatening to hamper or block a program or activity, the staff member always finds a way to take corrective or compensatory action.

C.2 Results (quality)

This subfactor looks beyond formal task achievement, to measure the effectiveness of work done (quality). The scale contains the following positions:

- U: For reasons imputable to the staff member, the final outcome of the work does not lead to attainment of IICA's objectives, is counterproductive to them, or is damaging to the Institute's relationships with the governments or organizations of the Member States, or with national institutions or individuals with which it has key dealings.
- A: The staff member's work did not meet goals, and this could not be attributed to any particular unfavorable circumstance. At least part of the result is due to action (or inaction) by the technician.
- S: Goals have been reached in a satisfactory manner. Instances when goals were not fully met were due to circumstances clearly beyond the control of the staff member.
- VG: The majority of the goals have been reached in an above satisfactory manner. In some instances there have been unexpected gains helpful to long term goal achievement. Instances when goals were not reached in an above satisfactory manner, this was due to circumstances clearly beyond the control of the staff member.
- O: Goals were fully met, and major unforeseen obstacles were overcome. In some instances there have been unexpected gains helpful to long term goal achievement.

These are clearly the results of the staff member's effective action.

D - Reporting

IICA's effective operations require more than just on-the-job performance. It is also necessary for information detailing the completed work to be made available through the established internal information system. The staff member's success in meeting reporting requirements is determined by three subfactors:

D.1 Production and punctuality

This refers to the formal and timely completion of reports required by the system. The scale is as follows:

U: The staff member regularly and deliberately ignores deadlines established for the presentation of reports. He or she either fails to present them or does so with considerable, unjustifiable delay. (This rating is used only if the failing is clearly intentional and habitual).

A: The staff member frequently fails to meet reporting obligations or does so with unjustifiable delay, only after frequent reminders.

S: The staff member usually completes the required reports. This rating allows for occasional delays, as long as they are brief and the reasons are totally justifiable and beyond the staff member's control.

VG: The staff member almost always completes the required reports without delays.

O: This rating is not applicable.

D:2 Usefulness (quality)

There is a difference between producing reports that meet requirements, and producing reports that are useful. The usefulness of reports is the concern of this subfactor, according to the following scale:

- U: The staff member's reports are a poor representation of the work achieved, frequently distorting the facts to give a false picture of the individual's participation, giving him or her undeserved credit or covering up severe shortcomings. They may contain biased opinions which could lead IICA to adopt undesirable courses of action. Overall these reports deliberately falsify reality and could be harmful to IICA. (This rating reflects the full conviction that the person acted with malicious intent).
- A: The staff member's reports do not accurately represent the work achieved. They are insubstantial and give no opinions or do not back them up. Consequently, they are of little use for evaluating the work achieved, identifying or correcting possible flaws, making improvements for future work, or confirming the correctness of the approach taken.
- S: The staff member's reports are clear, concrete and very useful for guiding future work.
- VG: The staff member's reports are above satisfactory. They are substantial and give solid opinions. They are of above satisfactory value in providing important criteria helpful to higher level management.
- O: The staff member's reports are far-reaching and of outstanding depth. They are always useful for guiding higher level management in determining the general orientation of IICA's work and in impacting, hemispherically, the work in the pertinent field.

D.3 Oral communication

In the instances where technical supervision is different from administrative, day-to-day supervision, such as in multinational programs where the technical supervisor is physically at a different duty station than that of the staff member, the completion of this factor by the technical supervisor is optional.

- U: The staff member does not inform his or her subordinates, colleagues or superiors about conversations, meetings or contacts. When the information is made known to others, it is usually in an indirect and unexpected manner, frustrating for IICA.
- A: The staff member frequently forgets to inform his or her subordinates, colleagues and superiors of contacts, conversations, meetings or work plans with other people, even though they are important for IICA. The resulting lack of information causes embarrassing problems and situations for IICA.
- S: The staff member maintains subordinates, colleagues and superiors up to date on this type of information.
- VG: The staff member keeps everyone informed and seeks to improve internal communication. Meetings are frequently held with other interested parties, and resulting information is then transmitted to the group to discuss its importance for individual or team work.
- O: The staff member almost always independently perceives the need and takes the initiative to keep subordinates, colleagues up-to-date and totally informed. He or she anticipates the needs for meetings and internal communications as well as the type of information needed by superiors, and, upon independent initiative, keeps them informed.

E. Technical Skills

This factor evaluates basically the technical knowledge and skills of the staff member as well the accuracy and thoroughness in their application.

E.1 Development of Technical Knowledge and Skill

This subfactor relates to how the staff member has developed his/her skills in his/her field of work.

- U: Has not developed an acceptable level of knowledge and skill to perform job.

- A: Has developed knowledge and skill below level required to adequately perform job.
- S: Competent for matters dealt with. Has developed ability to adequately identify and analyze issues and develop alternatives. Has ability to apply agreed upon planning approaches and methodologies.
- VG: Has developed an excellent competence in his/her field of work. Has ability to anticipate audience need for technical information and to prepare technical papers and/or design publications accepted without complaint.
- O: Has developed an unusually thorough and comprehensive competence in his or her field of work. Is held in high esteem for contributions to field of work.

E.2 Accuracy in the application of technical knowledge and skills

This refers to how accurate the staff member has been in the applying of his/her technical knowledge and skills.

- U: Application of knowledge and skill in the performance of his or her job is unacceptable because of the lack of accuracy.
- A: Degree of accuracy in the application of knowledge and skill in the performance of his or her job is below level required to adequately perform job.
- S: Accuracy in the application of technical knowledge and skills is competent for matters dealt with. Adequately identifies and analyzes issues and usually develops alternatives. Accurately applies agreed upon planning approaches and methodologies.
- VG: Application of knowledge and skills in his or her field of competence is almost always excellent and very accurate. Almost always anticipates audience need for technical information and prepares accurate technical papers and/or designs clear and accurate, informative publications.

O: Thorough and comprehensive knowledge in his or her field of competence is consistently applied to all of the demands placed on him or her. Contributions in his or her field of competence are highly recognized and respected for their accuracy.

E.3 Thoroughness in the application of technical knowledge and skills

This subfactor evaluates how thoroughly the staff member identifies and analyses issues to develop alternatives.

U: Application of knowledge and skill in the performance of his or her job is obviously lacking in thoroughness and, thus, is unacceptable.

A: Thoroughness in the application of knowledge and skill in the performance of his or her job is below level required to adequately perform job.

S: Application of technical knowledge and skills is generally thoroughly competent for matters dealt with. Adequately identifies and thoroughly analyzes issues and usually develops alternatives. Applies agreed upon planning approaches and methodologies reflecting a thorough knowledge of his field.

VG: Application of knowledge and skills in his or her field of competence is very thorough. Almost always anticipates audience need for technical information and prepares thorough analytical technical papers and/or designs publications accepted without complaint.

O: Thorough and comprehensive knowledge in his or her field of competence is consistently applied to all of the demands placed on him or her. Work developed is clearly understandable, well organized, succinctly presented and has a highly positive impact on the work of the Institute. Contributions in field of competence are recognized and are highly respected.

III. Attitude

Technical competence is only one of several factors that determine effective job performance. The staff member's personal attitude, enthusiasm and conviction are very important items that must also be considered.

F. Attitude toward work

This factor determines the degree of enthusiasm the staff member has for the work. It is divided in two subfactors:

F.1 Interest

This reflects the level of priority the staff member gives to his or her work, over other concerns. The scale for this subfactor is:

- U: The staff member constantly procrastinates for trivial, unjustified reasons. He or she is not concerned with meeting commitments, even superficially, devoting his or her time to personal matters. This causes IICA to look like an unreliable institution which does not meet its obligation.
- A: The staff member fulfills job requirements, but is frequently delayed for unjustifiable or personal reasons.
- S: The staff member usually completes all tasks and delays them only in cases of extreme importance or for reasons beyond his or her control. Even when delayed, he or she seeks a replacement or makes provisions for the work to be postponed until a later time, without detracting from effectiveness.
- VG: The staff member always completes all tasks. Cause for delays or the possibility thereof are anticipated well in advance, alternatives are identified and provisions are made so that the work can be completed on schedule and without negative impact to the quality and effectiveness.
- O: The staff member places his or her work above many other considerations that would normally constitute justifiable causes for delay. He or she makes real personal sacrifices to complete the work as effectively as possible, and, therefore, is a very trustworthy employee.

F.2 Initiative

This subfactor reflects, above all, the importance the staff member ascribes to the outcome of the work and his or her concern with the work and use of creative solutions to maximize efficiency. The following scale is used:

- U: The staff member is totally unconcerned with the results of his or her work and is satisfied to meet minimum superficial requirements, at the very most. As a result of this attitude, the implementation of programmed tasks either fails to lead toward goal achievement, or actually detracts from it. The staff member fails to notice possibilities for corrective or preventive action that might ward off the resulting problems.
- A: The staff member has the capacity of altering his or her work to ensure better results. Nevertheless, he or she frequently forgets to take simple precautions or commits minor errors by failing to consult with colleagues or superiors.
- S: The staff member is usually aware of goals and objectives and is capable of tailoring his or her activities to achieve them. Usually, he or she does not hesitate to seek necessary advice for reprogramming actions and for finding a more appropriate approach.
- VG: The staff member is always aware of goals and objectives and is constantly tailoring his or her activities to achieve them. He or she usually independently identifies the necessity for reprogramming actions and finding a more appropriate approach.
- O: The staff member is strikingly alert to every consideration that might help in achieving, or even surpassing, set goals. He or she is highly skilled in turning situations and occasions to this purpose. When not authorized, he or she promptly consults with colleagues and superiors, proposes the change, and obtains acceptance.

G - Attitude toward IICA

In the instances where technical supervision is different from administrative, day-to-day supervision, such as in multilateral

programs where the technical supervisor is physically at a different duty station than that of the staff member, the completion of this factor by the technical supervisor is optional.

G.1 Discipline (respect for rules)

This subfactor gauges the individual's compliance with the rules of the organization. The scale is as follows:

- U: The staff member resists applying certain rules, and is openly critical, both inside and outside IICA, without contributing positive suggestions. His or her attitude sets a bad example for colleagues, is a headache for superiors and a discredit to IICA.
- A: The staff member transgresses the internal rules because of ignorance or imperfect knowledge of these rules, and not because of a deliberate hostile resistance to them.
- S: The individual satisfactorily abides by established rules, always making sure they are correctly interpreted. (This rating allows for minor transgressions as long as they are infrequent and unimportant.)
- VG: This classification is not applicable.
- O: This classification is not applicable.

IV. Work relations

The factors and subfactors included in this component are pertinent to only a few IICA staff members. The evaluator should decide on a case by case basis whether or not these factors or subfactors are to be taken into consideration.

H - Cooperativeness

This factor refers to relationships, passive or active, between the staff member and his or her colleagues, subordinates or superiors.

H.1 Ability to take advice and redirect work

The title of this subfactor is self-explanatory. It applies to all personnel, with only rare exceptions. The scale is as follows:

- U: The staff member resists all kinds of suggestions, reacting to them with excessive annoyance and refusing to accept them or even weigh them.
- A: The staff member listens to suggestions, but rarely accepts them, even when clearly useful, almost always preferring a customary, routine course of action. He or she tolerates changes only when they are of personal benefit or when they do not imply any kind of additional effort.
- S: He or she willingly accepts and weighs suggestions and adopts appropriate changes.
- VG: The staff member listens to suggestions and willingly accepts them, adopting changes when truly convinced they are advantageous for attaining the goals and objectives proposed.
- O: The staff member willingly accepts suggestions, studies them carefully and evaluates their impact on attaining the goals and objectives. When truly convinced they are advantageous for attaining the goals and objectives proposed, he or she adopts them. He or she does this with striking success regardless of the effort this may require.

H.2 Teamwork

This applies only to personnel who work on teams. This subfactor refers basically to the individual's capacity to fit into a group of people pursuing a common goal, and his or her ability to participate loyally in the group to attain said goal. The scale is as follows:

- U: He or she is incapable of adjusting to the pace of other peoples' work or accepting the limitations implied by a group effort, and resists the group's work, If obligated to work in a group, he or she suffers a severe decline in efficiency, resulting in frequent tensions and conflicts within the group.

- A: He or she unwillingly accepts working on a team but is able to fit in. Personal efficiency and productivity fall to the same level as that of the slowest member. There are occasional tensions and conflicts in the group.
- S: He or she fits in with the group and works productively.
- VG: The person easily fits into the team and usually proves to be a positive force, motivating other members of the group to improve their work.
- O: The person easily fits into the team and works well with all members of the team. He or she always proves to be a very positive force, independently assuming responsibility to motivate the whole group to improve its work.

H.3 Motivation

This subfactor takes into consideration the individual's motivation inside and outside IICA. It fundamentally deals with his or her ability to increase the interest and commitment of others to initiate activities that will advance IICA'S general goals. The positions on the scale are the following:

- U: The staff member is incapable of motivating his or her co-workers or others involved in projects under his or her responsibility. Moreover, his or her attitude seems to reduce or eliminate the motivation other people may feel for their work.
- A: His or her behavior and approach rarely motivate co-workers, producing only average results. Nevertheless, he or she does not reduce the motivation of others.
- S: His or her positive attitude motivates co-workers inside and outside of IICA, furthering the causes for which he or she works.
- VG: He or she has a very positive attitude and is an above average motivator who works hard at being a source of inspiration to others. His or her enthusiasm is a source of encouragement for co-workers.

- O: He or she is an outstanding motivator who always inspires enthusiasm and furthers any cause. His or her extremely positive attitude is a constant source of inspiration and encouragement for all co-workers.

I - Supervision or direction

This factor applies to those supervising a team (national office directors, directors and supervisors of groups of staff members) It is determined by the following subfactors:

I.1 Organization and effectiveness of the work of subordinates

This subfactor is judged, as stated in the title, by the results achieved by the team under the staff member's charge, to the extent that they are attributable to his or her supervision efforts. The scale is as follows:

- U: Even when not faced with insurmountable interference, his or her group (made up of unquestionably capable people) is not able to function efficiently as a team. The group generally produces little, and what it does produce is of little significance.
- A: The group he or she commands functions with relative efficiency. Some of the group members seem more efficient than the group as a whole, and in spite of their good personal qualities, are not productive or committed.
- S: The group under his or her charge works as a unit and performs at the expected levels.
- VG: The group under his or her charge displays very good cohesion and coordination. It is efficient and functions like a real team whose group output is superior to the combined productivity of the individual members.
- O: The group under his or her charge displays great cohesion and coordination. It is extremely efficient and functions as an exceptional team whose group output is strikingly superior.

I.2 Attitude of subordinates toward the staff member

Good leadership is the ability to motivate subordinates and win their good will. It is through the attitude of subordinates that the real authority of a superior can be judged. The scale is as follows:

- U: The subordinates do not identify with their superior, nor do they trust his or her judgement or intentions. They question his or her technical ability and leadership skills. Their attitude can be characterized as one of resistance.
- A: The subordinates have a clear perception of the positive and negative personal qualities of their superior, but rarely take him or her into consideration when planning their work or carrying it out. The general attitude is of camaraderie or imposed discipline, rarely is it one of cooperation.
- S: The subordinates respect their superior, with whom they have good relations. The general attitude can be described as "friendly",
- VG: The subordinates respect their superior, but sometimes with initial resistance. This means that their respect is due more to conviction than to personal empathy. Their attitude is one of respect for superior judgement and personality, and not of forced or affected submission.
- O: The subordinates have total respect for their superior, having arrived at this attitude through independent intellectual evaluation of the positive impact of the superior judgement and personality of the individual. In other words, there is an intellectual and personal admiration, as opposed to an unconditional friendliness or deference.

III. APPLICATION OF THE SYSTEM

A. Levels

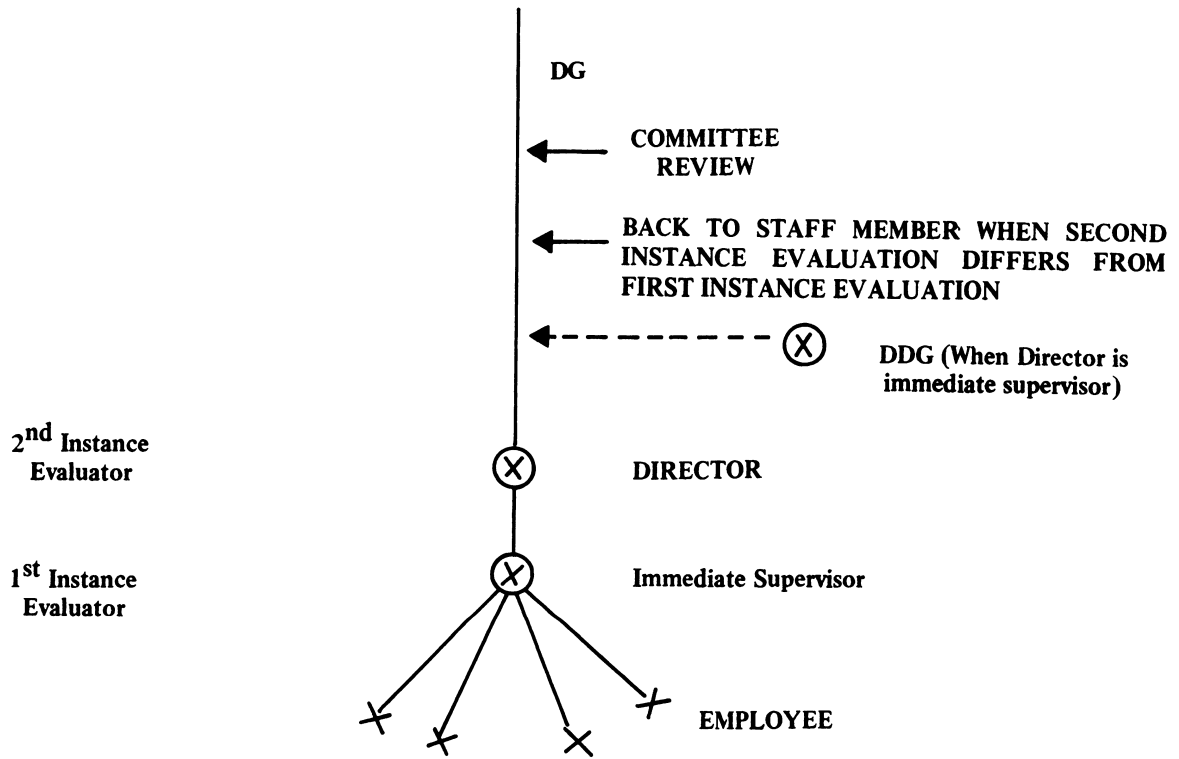
All staff appraisal systems are prone to subjectivity. When the institution's organizational structure or size make it impossible for all staff to be evaluated by one person, distortions commonly occur. They may have a favorable or unfavorable impact on certain groups, hindering a "fair" or "equitable" application of the system.

As a means of correcting this problem, the system may include collective evaluation, appraisals by more than one person, or a combination of the two.

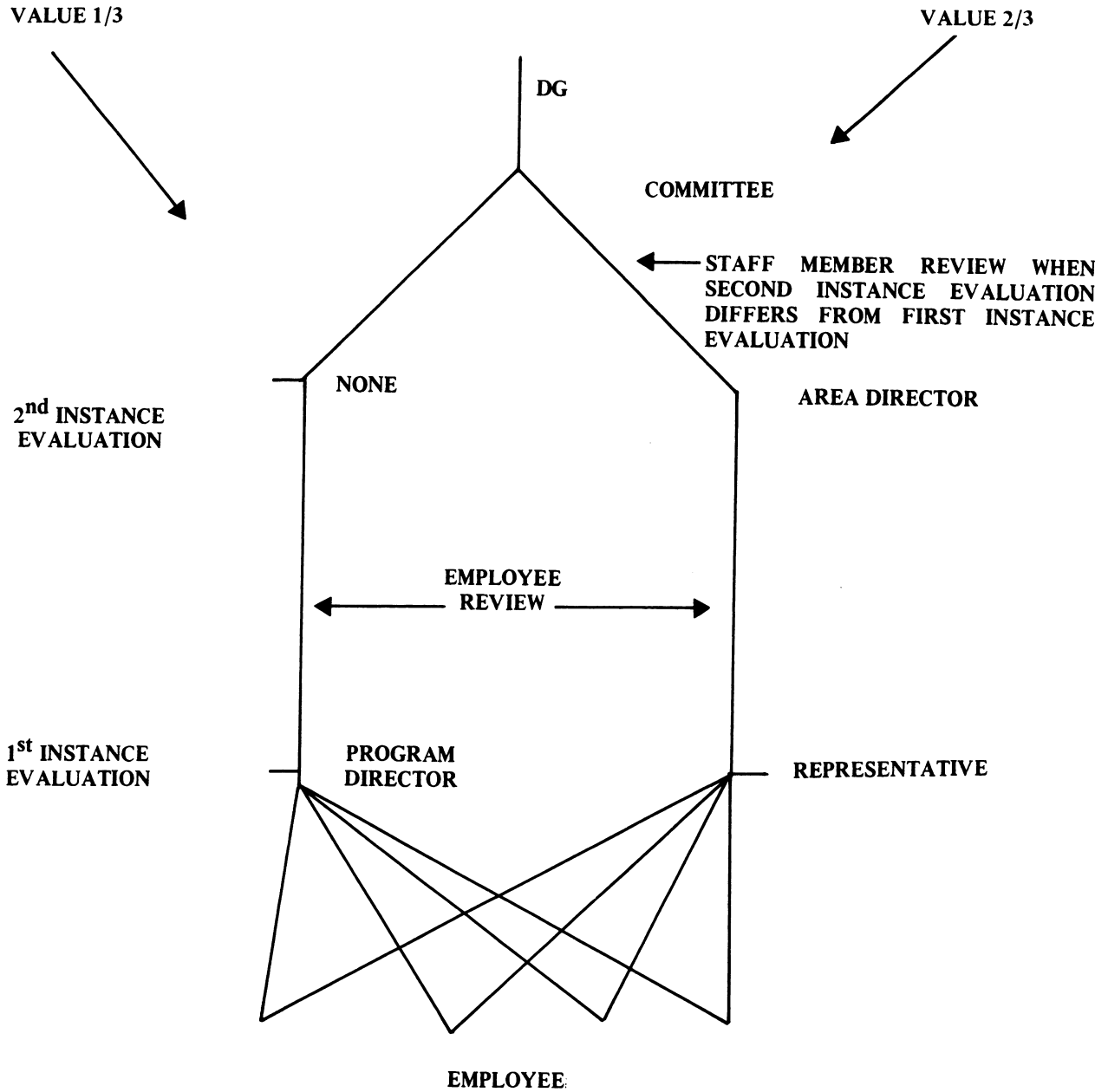
As a decentralized organization, IICA requires an appraisal system that operates at succeeding levels. The following process is to be followed:

| Staff Member Evaluated | 1st Instance Evaluator | 2nd. Instance Evaluator | Value |
|---|----------------------------|----------------------------|-------|
| 1. COUNTRY OFFICES | | | |
| a) Staff of country Offices: | Representative | Area Director | 100% |
| b) Project Staff of Country Offices: | | | |
| Project Chief | (1) Representative | Area Director | 2/3 |
| | (2) Program Director | None | 1/3 |
| - National Projects | (1) Project Chief | Representative | 2/3 |
| | (2) Program Director | None | 1/3 |
| - National Projects when there is no Project Chief: | (1) Representative | Area Director | 2/3 |
| | (2) Program Director | None | 1/3 |
| - Multi-national Projects | (1) Representative | Area Director | 1/3 |
| | (2) Reg. Prog. Spec. or | Program Director | |
| | (3) Program Director | None | 2/3 |
| c) Representative: | Area Director | DDG Operations | 100% |
| 2. PROJECT STAFF | | | |
| a) National Projects | (1) Project Chief | Representative | 2/3 |
| | (2) Program Director | None | 1/3 |
| b) National Projects Chief or National Projects when there is no Project Chief: | (1) Representative | Area Director | 2/3 |
| | (2) Program Director | None | 1/3 |
| c) Multi-national Projects | (1) Representative | Area Director | 1/3 |
| | (2) Reg. Prog. Spec. or | Program Director | |
| | (3) Program Director | None | 2/3 |
| d) Reg. Prog. Spec. | Program Director | None | 100% |
| e) Multi-National Project Chief | (1) Program Director | DDG | 100% |
| 3. HEADQUARTERS | | | |
| a) Headquarters Staff: | Immediate Super. | Director | 100% |
| b) Headquarters Staff if Immediate Super. is Director level: | Director | DDG | 100% |
| c) Headquarters Staff under DDG Oper.: | Director or Area Dir. | DDG Operations | 100% |
| d) Hdqtrs. Directors under Operations | DDG Operations | DDG | 100% |
| e) All other Hdqtrs. Directors: | DDG | None | 100% |
| 4. DDG Operations | DDG | None | 100% |

GENERAL EVALUATION PROCESS



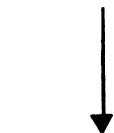
EVALUATION PROCESS
NATIONAL PROJECTS



EVALUATION PROCESS MULTI-NATIONAL PROJECT

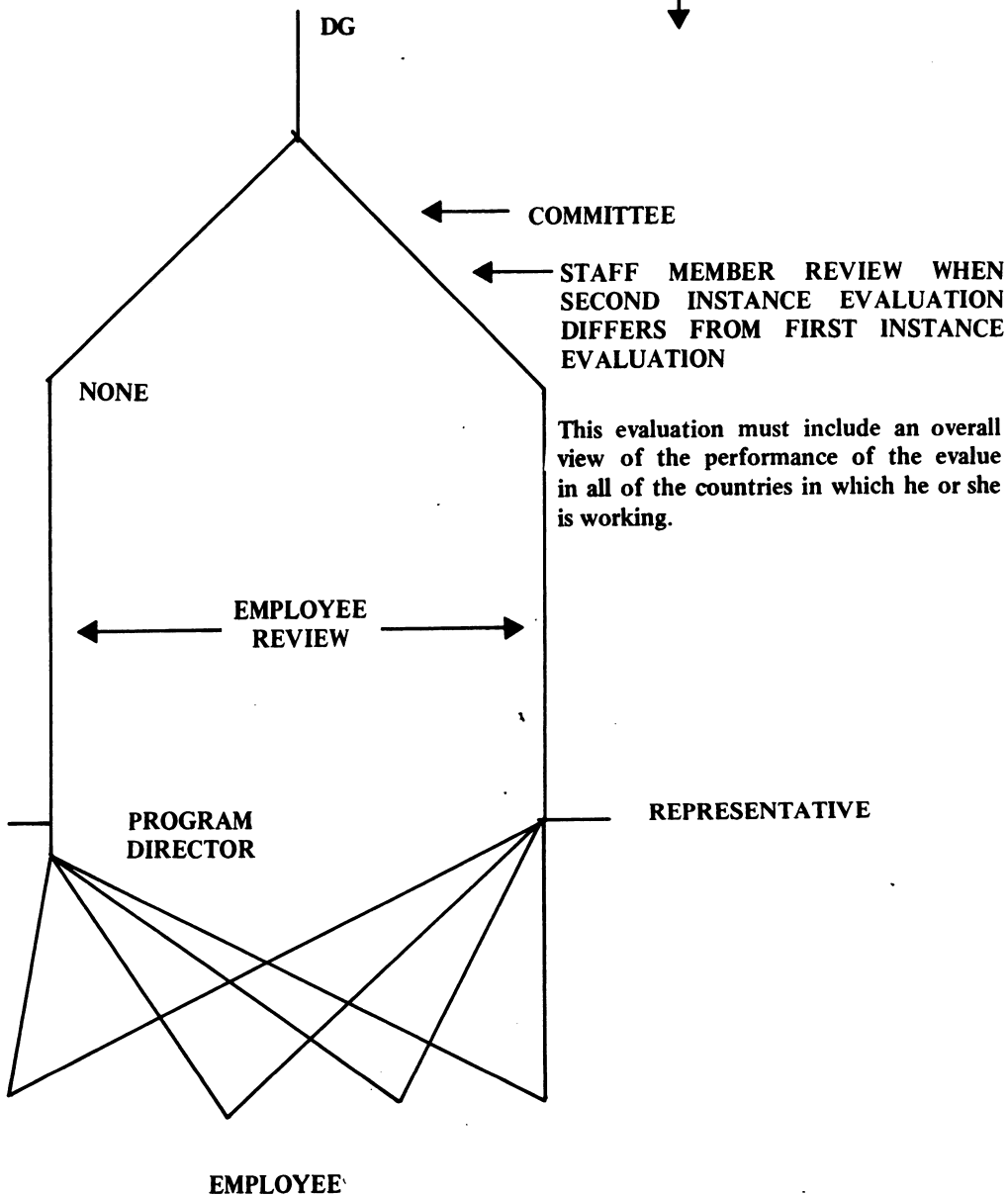
VALUE 2/3

1/3 VALUE

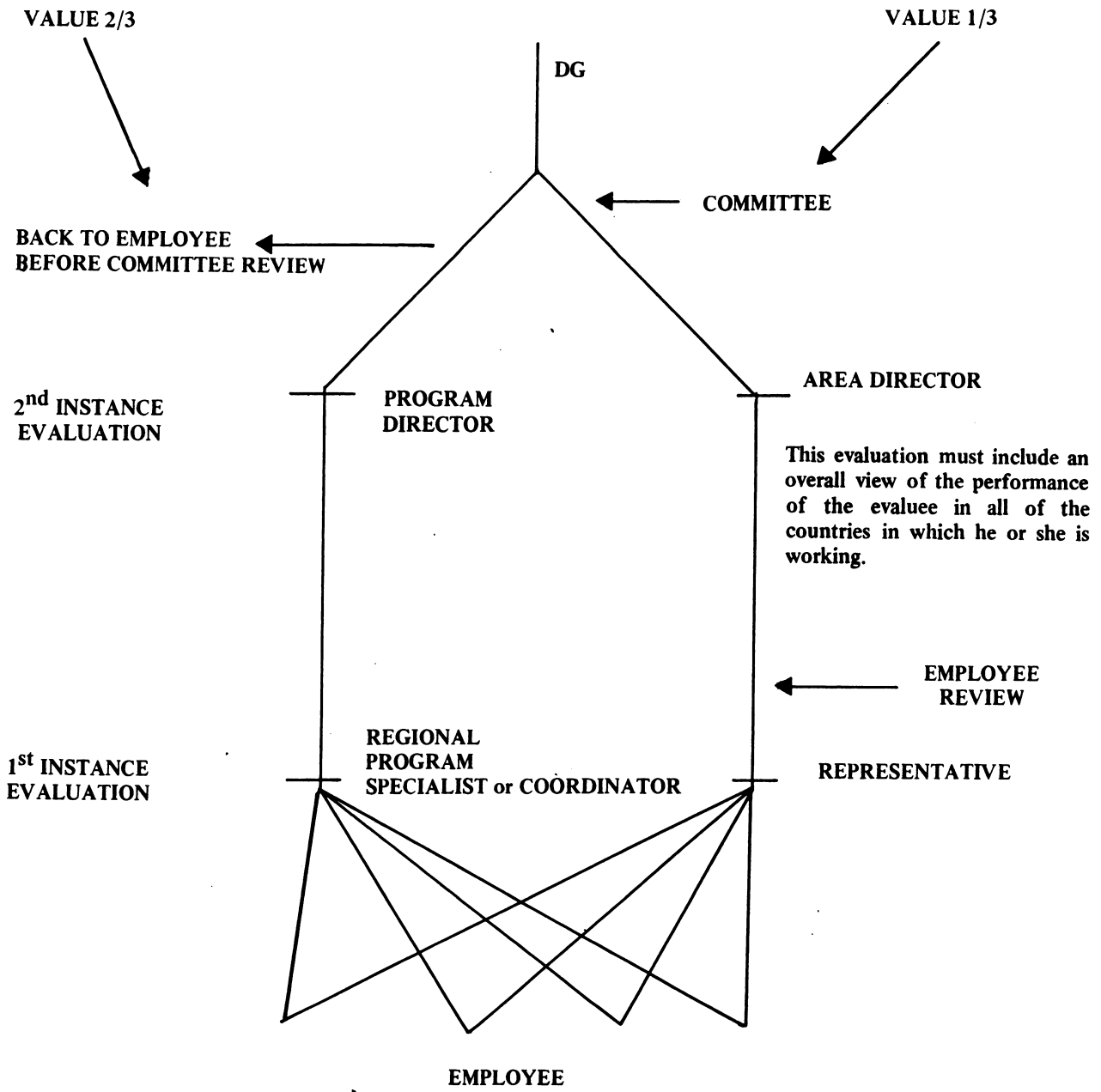


2nd INSTANCE
EVALUATION

1st INSTANCE
EVALUATION



EVALUATION PROCESS
MULTI-NATIONAL PROJECTS WITH REGIONAL PROGRAM SPECIALIST



Persons responsible for either appraisal may choose whether to perform the evaluation personally or to obtain assistance from permanent or temporary advisors, without detriment to their own responsibility. If the second choice is made, more than one advisor is used at the same time.

The second instance evaluator is empowered to make specific or general changes in the ratings given by the first evaluator. If this is done, written justification must be presented.

After the first instance evaluation is completed, the evaluator will discuss the evaluation with the staff member being evaluated and then allow the staff member the opportunity to sign the evaluation and comment on it if he or she so desires. The form is then submitted directly to the second instance evaluator. If the second instance evaluation differs from the first instance evaluation, the form shall be returned to the staff member for review.

When the individual responsible for the technical assignments and overall technical supervision of the staff member is someone other than the day-to-day supervisor, he or she is responsible for the evaluation of the technical performance of the staff member and, thus, an independent technical evaluation must be completed by this technical supervisor. This evaluation should be completed after the evaluation of the second instance supervisor but before the evaluation is resubmitted to the staff member for comment. Section II. E. of the Evaluation Form designed for the technical evaluation should be used for this purpose.

All ratings, once they have been approved or modified by the second evaluator, are forwarded to the Human Resources Directorate, which will request the Technical Evaluation and review the completed evaluation and the comments of the staff member before presenting them to the Personnel Committee along with a recommendation. The final recommendation shall be presented to the Director General by the Personnel Committee, in the form of the "aide memoir", with the "agreements"" of the Committee.

B. Rating Procedure

In accordance with the provisions of Article 33 of the Rules of Procedure of the General Directorate, staff members are to be evaluated at least every two years. Professional staff members will be evaluated upon completion of one year of continuous service and every two years thereafter.

The Directorate of Human Resources sends the forms included in the attached appendix to the person in charge of the duty station where the staff member is assigned, observing established deadlines identified in this document and in the Staff Rules. At Headquarters the forms will be sent to the Directorate to which the staff member is assigned.

All available information should be considered in the ratings, with special emphasis on regular or special reports that have been produced by the staff member during the period under consideration.

The first instance evaluator examines the candidate's background and, taking into account the general criteria described on pages 2 and 3 and the rating scales for each subfactor, records an opinion by marking an X in the box given on the form for each subfactor. For any subfactor that is not pertinent, a written explanation should be made on the line given.

Extreme ratings ("U" UNSATISFACTORY or "O" OUTSTANDING) must be justified in writing in the space provided or on attached sheets, with concrete, specific reasons to support the opinion.

Finally, under "Additional Comments", the evaluator must give an overall opinion and any other information considered pertinent concerning the performance of the staff member during the period under study, indicating whether he or she should be warned of the need to improve performance.

UNSATISFACTORY

A NEGATIVE evaluation will be given in the presence of two or more ratings in the "U" UNSATISFACTORY category, one of which should correspond to the subfactors under component two.

Under the provisions of Staff Rule 5.8.8, "An unsatisfactory performance appraisal is grounds for termination under Staff rule 9.5.2(g)."

ACCEPTABLE, SUBJECT TO IMPROVEMENT

An ACCEPTABLE, SUBJECT TO IMPROVEMENT evaluation will be given in the presence of two or more ratings in the "A" ACCEPTABLE, SUBJECT TO IMPROVEMENT category.

A staff member receiving an acceptable, subject to improvement evaluation will receive a letter advising him or her of such with a period specified time frame for expected improvement and re-evaluation.

SATISFACTORY

A SATISFACTORY evaluation will be given in the presence of no more than one subfactor rating in category "A" and two or more ratings in the "S" SATISFACTORY category or above, one of which should correspond to the subfactors under component two.

A SATISFACTORY evaluation does not allow for a sanction or an increase.

VERY GOOD

A VERY GOOD evaluation will be given in the presence of no more than one subfactor rating in category "A" (this "A" can not be in any of the subfactors under component two) and ratings in all other subfactors at the level of SATISFACTORY or above. At least two of the subfactors must correspond with ratings under component two at the VERY GOOD level.

A VERY GOOD evaluation will provide for consideration of an increase of one step.

OUTSTANDING

An OUTSTANDING evaluation will be given in the presence of ratings in all subfactors at the level of SATISFACTORY or above. At least two of the subfactors must correspond with ratings under component two at the OUTSTANDING level and two at the VERY GOOD level.

An OUTSTANDING evaluation will provide for consideration of an increase of two steps.

(It should be noted that a VERY GOOD or an OUTSTANDING rating alone is not enough to justify changes in the level of the staff member, therefore, the written explanations must provide important additional information if the staff member is to be considered for a higher level).

The first instance evaluator fills out the form, sends the original and a duplicate to the second instance evaluator, and keeps the triplicate in the confidential file of the duty station.

The second evaluator uses the same forms to give his or her opinion.

In order to make changes in the ratings given at the first instance level, the second instance evaluator initials the boxes that reflect his or her opinion for the subfactors which have been changed. In the space given below, he or she gives reasons to justify the proposed changes. The "Additional Comments" provide an opportunity to express agreement with the overall opinion and the proposal made at the first level, or to express disagreement, suggest changes, and give reasons.

If the first and second instance evaluators believe that it is useful and appropriate, they may attach to the form any additional documents, exhibits, personal reports, or other items that cast further light on the performance of the staff member under evaluation. This material will become part of the original form, and is sent confidentially to the Director of Human Resources.

After the second instance evaluation is completed the form should be returned to the Human Resources Directorate for review. If the second instance evaluation differs from the first instance evaluation, Human Resources will return the evaluation to the staff member for review. In cases where the technical evaluation is conducted by someone other than the first or second instance evaluator, after receiving the second instance evaluation, Human Resources will submit the evaluation form to the technical supervisor for completion of the section designed specifically for the independent technical evaluation. Once this is completed, the evaluation should be returned to Human Resources, who shall forward it to the staff member for review of the second instance evaluation and the technical evaluation. The Human Resources Directorate will then convoke a Committee meeting and present the evaluation to the Committee with a recommendation based on the first and second level evaluations and the technical evaluation, when applicable. The Director of the area of supervision of the staff member may be called upon to present additional information to the Committee.

The Human Resources Committee, if it appears necessary, may request that the opinions and information presented by the first or second level evaluators be expanded upon or clarified. Once all the pertinent data are at hand, a decision can be made and indicated in the space given for this purpose. The decision may be for continuation or termination of the appointment. Continuation is made with or without changes in the duty station (transfer), in the job description, or in the staff member's classification (change of category or step). The Committee's recommendation is then presented to the Director General by the Directorate of Human Resources.

The Director General's decision is conveyed to the staff member using the mechanisms established for this purpose (S.R. 5.8.4). The staff member is also informed at this time of his or her final rating, observing the same deadlines and using confidential and personal mail, through direct communication with the first evaluator.

If the staff member has been advised of the decision and believes it unfair, he or she has five working days to request reconsideration of the appraisal. The request for reconsideration should be made in writing, and should set forth all the reasons why the staff member feels that the request for reconsideration is justified.

The request for reconsideration is handled confidentially and as quickly as possible by the same evaluators, each one of whom has three working days to act. This period can be extended only for reasons of force majeure. The resulting decision shall be final and irreversible, and before it is made, the Director General may request the staff member to expand upon or clarify his or her arguments, either in writing or verbally.

In addition to the regular biennial evaluation, each supervisor will be required to meet with each individual staff member a minimum of one year following the date of the latest biennial review to discuss his or her performance. The meeting will serve to indicate to the staff member what changes have been observed in his or her performance since the previous biennial review. The form provided to report on this review is attached as pages 31 and 32.

Special appraisals are required under the following circumstances.

1. At any time, by order of the Director General or at the request of the second evaluator, when a position has been reclassified and a category change has been made.

2. One year after the regular appraisal, by order of the Director General, or at the request of the interested staff member or the first evaluator.

- a. When a request for reconsideration was made (regardless of the outcome),
- b. when the regular appraisal contained an A for any subfactor of component 2 or for more than one of any other subfactors, or
- c. when a staff member's performance has changed substantially (for better or for worse) and is no longer accurately reflected in the appraisal made for the previous period.

Special appraisals are made and processed using the same procedures as regular evaluations, and have the same possible outcomes, the difference lies in the time the appraisal is performed.

1. First Instance Evaluation

Justification of extreme ratings: _____

Date: _____ Name: _____ Signature: _____
(First instance evaluator)

2. Second Instance Evaluation

Justification of modifications: _____

Date: _____ Name: _____ Signature: _____
(Second instance Evaluator)

3. Staff Members Response to Second Instance Evaluation

In Agreement ___ Informed ___ Date _____ Signature _____

4. Technical Evaluation

Justification of modifications: _____

Date: _____ Name: _____ Signature: _____

5. Staff Members Response to Technical Evaluation

In Agreement ___ Informed ___ Date _____ Signature _____

6. Approval

Date: _____ Signed _____
(Director General)

Distribution: Original Human Resources Directorate
Duplicate (yellow) Staff Member
Triplicate (green) Operating Unit

PERIODIC PERFORMANCE REVIEW

NAME: _____ EMPLOYEE No.: _____

POSITION TITLE: _____

ORGANIZATIONAL LOCATION: _____
(Office, Department, Unit, etc.)

DATE OF DISCUSSION: _____

1. Summary of last performance evaluation.

What was the overall rating of the last biennial performance evaluation?
(Inserte number of each category below from the last biennial evaluation form).

| | |
|----------------------------------|-------|
| Unsatisfactory ratings | _____ |
| Acceptable but needs improvement | _____ |
| Satisfactory | _____ |
| Very Good | _____ |
| Outstanding | _____ |

2. Changes in Performance since last evaluation.

In order of importance, identify areas in which the performance of the staff member has changed since the last performance evaluation

a. Improvements:

b. Negative Changes:

3. Corrective action to be taken

a. What should staff member do to improve upon the areas of negative rating levels?

b. List the individual's personal and professional strengths on which she or he can build to improve performance level.

c. What should supervisor do to help staff member improve?

4. Date for next session if follow-up review session is necessary before next biennial review of staff member.

5. Staff Member's response.

In Agreement _____ Informed _____ Date _____

Signature _____

6. Supervisor response

Date _____ Named _____

Signature _____

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