



The African
Academy of Sciences

PERFORMANCE REVIEW AND DEVELOPMENT PLANNING TOOL

Adept Systems

Table of Contents

1.	Overview of the AAS Performance Management System.....	2
2.	Components of the AAS Performance Review and Development Planning (PRDP) Tool.....	2
2.1	Performance Objective Setting.....	2
2.2	Mid-Year Performance review.....	6
2.3	End Year Review.....	8
2.4	Performance Improvement Plan (PIP).....	15

1. Overview of the AAS Performance Management System

The Performance Management System will play a crucial role in the management of AAS affairs, building the bridge between its strategic direction and objectives and the day to day operations, tasks and behaviours of all staff. The performance management system is intended to be:

- **Strategic** - Concerned with long term goals.
- **Integrated** - Integrate all aspects of our operations, people management, individuals and teams.
- **Performance improvement**- Focus on performance improvement throughout the organisation, individuals and teams.
- **Continuous**- Emphasis on continuous development of individuals and teams.
- **Developmental**- Performance will not improve unless there is concerted effort towards continuous development of individuals and teams.
- **Managing behaviours**- Encourage behaviours that foster cohesion and better working relationships amongst individuals.

This Performance Review and Development Planning (PRDP) Tool provides a means to enhance transparency and to communicate organisation values and objectives to employees. It should enable a performance driven culture with emphasis on continuous feedback and employee development. It enables Managers/supervisors and the employee to identify the strengths and weaknesses, both in terms of objectives (what an employee does) and competencies (how it is done or behaviours that support the achievement of objectives). Thus, employees can build on their strengths and take whatever steps are necessary to develop weaker areas through Performance Improvement Planning.

2. Components of the AAS Performance Review and Development Planning (PRDP) Tool

The AAS PRDL encompasses the following key sections:

2.1 Performance Objective Setting

At the beginning of the performance period, the manager/supervisor and the employee will meet to discuss the objectives/KPI's that the employee is expected to achieve and ensure they are signed off. The objective setting discussion also provides managers/supervisors and employees with a clearer understanding of work priorities and what contributions they make towards the organization's overall success. This is important so that there is clarification of expectations prior to commencing the performance year and agreement on how performance will be measured and assessed. The process of objective/goal setting also helps staff to understand the context of their position, what interdependencies exist between their position and those of others, how they add value to the organisation and how their success will be measured.

The performance objective setting comprises of two forms:

- i. **AAS Performance Objective Setting Form** - This form will be used to record the Key Performance objectives and indicators for the year. the focus will be to ensure you have set SMART objectives for the next year, with reference to the relevant Section and Departmental objectives, and the employee performance over the previous year. The due date section will give an indication of when a delivery milestone is expected.
- ii. **Competencies and Development Planning Form** - This form is divided into two section; - the Competencies and the level to be demonstrated (Part I); and the Development / Learning Plan (Part II) is also to be completed. In completing these two sections, it is important to refer and leverage on the performance appraisal results of the previous performance period to identify and record the expected levels as well as the learning/development plan to be completed within the new year.

Below are the performance objectives setting forms:

i. Performance Objective Form

AAS PERFORMANCE OBJECTIVE SETTING FORM			
Appraisee (Employee)			
Name:		Function/Team:	
Level/Grade:		Review period:	
Job Title:			
Appraiser (Line Manager)			
Name:		Function/Team:	
Title:		Date of Review:	
Reviewer		Title:	
NO.	Performance Objectives	Performance Indicators (outputs)	Due Date
SIGN OFF			
Appraisee (Self):		Sign:	
Date:			
Appraiser (Supervisor):		Sign:	
Date:			
Reviewer:		Sign:	
Date:			

ii. Competence and Development Planning Form

COMPETENCIES AND DEVELOPMENT PLANNING FORM					
Select the competences and the level that best represents the extent to which the behaviour in question is to be displayed by the employee. Consider the role of the employee, including the level of seniority as these are bound to have a bearing on the manner in which the behaviour is displayed.					
PART 1 COMPETENCIES					
Category	Behaviour Name	Mark with an 'X' as appropriate the competencies of focus for this review period	Current Proficiency Level	Expected Proficiency Level	Behaviour Description
AAS Values					
	Integrity	x			
	Diversity	x			
	Excellence	x			
	Empathy	x			
Core Competencies					
	Communication	x			
	Teamwork	x			
	Planning and Organizing	x			
Functional Competencies (Select 4-5 Applicable)	Achieving Results	x			
	Leading and supervising	x	Level 2	Level 3	
	Analytical thinking				
	Knowledge sharing and learning	x	Level 2	Level 3	
	Judgement /decision making				
	Technical/scientific credibility	x	Level 2	Level 2	
	Change Management	x	Level 2	Level 3	
	Commitment to continuous process improvement				
	Partnership building	x	Level 2	Level 3	
	Stakeholder Focus				
	Persuasion and influencing				
Resilience					

PART 2 DEVELOPMENT / LEARNING PLAN

Indicate training/development actions required to overcome significant weaknesses or to support achievement of development goals in the new year

	Training/Development Actions	Delivery Method	Due Date
1			
2			
3			
4			
5			
6			
7			
8			

SIGN OFF

Appraisee (Self):	Sign	
Date:		
Appraiser (Supervisor):	Sign	
Date:		
Reviewer:	Sign	
Date:		

2.2 Mid-Year Performance review

The Mid-Year Performance Rating Form will be used for the mid-year review which is intended to determine the extent to which performance is on or off track and allow for remedial actions to be taken where needed.

The purpose of the mid-year review meeting is tracking performance by reviewing performance against objectives and to delete, amend or add objectives based on the prevailing circumstances. The manager/supervisor takes the opportunity to communicate or re-emphasize the performance standard of the employee.

The manager must be precise, constructive and continually refer to performance/measures. The review meeting also provides the manager/supervisor with an opportunity to offer coaching and any other support that may be required to enhance performance.

Overleaf is the AAS Mid-Year Performance Rating Form.

AAS Mid-Year Performance Rating Form

AAS Mid-Year Performance Rating Form					
Appraisee (Employee)					
Name:		Function/Team:			
Level/Grade:		Review period:			
Job Title:					
Appraiser (Line Manager)					
Name:		Function/Team:			
Title:		Date of Review:			
Reviewer		Title:			
MID-YEAR REVIEW: Assess employee's progress against each objective (key responsibility), making reference to the performance indicator and highlight areas where the performance is below expectations (Off Track). Discuss the areas of concern with the employee and agree an action plan.					
NO.	Performance Objectives	Performance Indicators (outputs)	Due Date	Performance Assessment	
				Performance Level	Comments
				Off Track	
Overall Assessment				On Track	
SIGN OFF					
Appraisee (Self):		Sign:			
Date:					
Appraiser (Supervisor):		Sign:			
Date:					
Reviewer:		Sign:			
Date:					

2.3 End Year Review

The end year review signifies the end of the performance period. Ideally, the previous year's performance and the objective setting forms will serve as a reference point for the current review. The review should focus on what has been achieved since the last review, examining reasons for successes and failures. The appraisee should be asked for his/her inputs and an agreement on actual levels of achievement reached. This should be followed by a discussion on what can be done to improve results and an agreement on future performance goals reached.

The end year review comprises of the following forms:

i. End Year Performance Rating form

This form is used to conduct end of year assessments. It is similar to the mid-year development review page, except that in this instance, instead of tracking performance, it measures the level of achievement against the objectives that were set prior to the period under review. Appraisees are required to complete this section prior to the formal appraisal meeting with the appraiser. This section enables the appraiser to understand the appraisee's perspective prior to the review meeting. The evaluation and comments sections are completed immediately after the review period. Detailed instructions on how to complete the section are included in the guidelines.

ii. Competencies & Development Plan Assessment Form

There are two main sections of this form;

- Competencies Assessment - there are three components to this assessment; - the AAS Values; the 4 Core Competencies; and the departmental/sectional Functional Competencies. No matter how well an employee has performed in delivering his/her key performance indicators, failure to live up to the AAS values will be remedied as it reflects badly on the organization. The core and functional competencies are considered critical skills for success in an admin or managerial capacity within the organization. Assessing these categories of employees against these is therefore critical to ensure a competent and high performing team. In competencies assessment, selected peers can be welcomed to provide feedback on an individuals' performance (on the peer 1/ peer 2 columns). These are ideally individuals an employee works with who can provide credible feedback.
- Development / Learning Plan Assessment – this form will be used to measure the set training/development actions which are to be completed within the year.

iii. Development and Career Planning Form

This section allows for career development goals to be identified and training and development plans to be developed. The appraiser and the appraisee are expected to agree on the future plans and what need to be done to attain them e.g. attend a specialized short-term or long-term course; secondment to another department, etc. Space is provided for both the employee and the Supervisor to make final comments on the appraisal process, before signing off. These development plans will feed into the Development Plan Assessment Form for the next performance period.

iv. Summary of End Year Performance Results

This form captures the summary of the performance assessment, comments and recommendation following and end of year performance review. It provides an overview of the results and actions on an individuals' performance. It is a dashboard for HR department and the executive management for decision making.

i. End of Year Performance Rating Form

AAS END YEAR PERFORMANCE RATING FORM							
Appraisee (Employee)							
Name:		Function/Team:					
Level/Grade:		Review period:					
Job Title:							
Appraiser (Line Manager)							
Name:		Function/Team:					
Title:		Date of Review:					
Reviewer		Title:					
END YEAR REVIEW: measure the performance against each objective (key responsibility). Score within the box (4, 3, 2, or 1) depending upon performance, and enter relevant comments. Include factors or special circumstances that may have influenced the performance.							
Rating Key	1 - Poor: Performance falls considerably below standard. 49% or less of objectives achieved fully. 2 - Needs Improvement: Partially achieved. 50% - 69% of all objective(s) set have been achieved fully 3 - Meets expectations: Effectively delivered on at least 70% of set objective(s) fully 4 - Exceeds expectations: Exemplary delivery on set objective(s) fully. In addition, successfully undertook additional tasks, assigned or otherwise or supported others to deliver on theirs.						
NO.	Performance Objectives	Performance Indicators (outputs)	Due Date	Performance Assessment			
				Appraisee Self Rating	Appraiser Rating	Agreed Rating	Comments
				2	3	2	
				3	2	3	
				2	2	2	
Overall Assessment (Average of the Scores Above)						3	

SIGN OFF								
Appraisee (Self):		Sign:						
Date:								
Appraiser (Supervisor):		Sign:						
Date:								
Reviewer:		Sign:						
Date:								

ii. Competencies & Development Plan Assessment Form

COMPETENCIES & DEVELOPMENT PLAN ASSESSMENT FORM											
To be completed by the Appraisee, Appraiser and Two Peers by selecting the level that best represents the extent to which the behaviour in question is displayed by the employee. The rating scale runs from 1 to 4 with a score of (1) meaning that the behaviour in question is never displayed, a (2) representing a rare display of the behaviour in question, a (3) representing a frequent display of the behaviour while a (4) rating means that the indicated behaviour is displayed all the time. In making the assessment, the Assessor will be expected to consider the role of the employee, including the level of seniority as these are bound to have a bearing on the way the behaviour is displayed.											
RATING KEY		1 = Never 2 = Rarely 3 = Often 4 = Always									
PART 1 COMPETENCIES ASSESSMENT						Year-End Review				Comments	
Category	Competency Name	Marked with an 'X' as appropriate for this review period	Current Proficiency Level	Expected Proficiency Level	Behaviour Description	Self- Rating (Appraisee)	Appraiser Rating	Peer 1	Peer 2	Agreed Rating	Overall remarks
AAS Values											
	Integrity					1				1	
	Diversity					2				2	
	Excellence					3				3	
	Empathy					4				4	
Core Competencies											
	Communication					2				2	
	Teamwork					2				2	
	Planning and Organizing		Level 1			2				2	
	Achieving Results					2				2	
Functional Competencies											
	Leading and supervising						2			2	
	Analytical thinking						2			2	
	Knowledge sharing and learning						3			3	
	Judgement /decision making						2			2	
	Technical/scientific credibility						2			2	

	Change Management						1			1	
	Commitment to continuous process improvement						2			2	
	Partnership building						2			2	
	Stakeholder Focus						2			2	
	Persuasion and influencing						2			2	
	Resilience						2			2	
AVERAGE SCORE										2.1	

PART 2 DEVELOPMENT / LEARNING PLAN ASSESSMENT

Indicate training/development actions Completed within the Year

Training/Development Actions	Delivery Method	Due Date	Learning Hours	Status (mid-year review)	Status (end year review)	Comments
1						
2						
3						
4						
5						
6						
7						
8						
Total Hours			-			

SIGN OFF

Appraisee (Self):	Sign	
Date:		
Appraiser (Supervisor):	Sign	
Date:		
Reviewer:	Sign	
Date:		

iii. Development and Career Planning Form

DEVELOPMENT & CAREER PLANNING FORM	
<p>This section is a guide for you to think about your own development. Note areas of strength and where you feel you need improvement. At the end of the exercise, fill in the development plan with your supervisor. Also, considering your career interests, please consider where you want to be in the future at AAS. The development needs listed in this section will be used by HR in drafting the annual training plan.</p>	
Career Development Goals	Key Strengths
<i>Outline career aspirations, indicating related timelines.</i>	<i>Specify core strengths that support the achievement of indicated career goals:</i>
Areas for Further Development	Development Plan
<i>Specify significant weaknesses that could undermine the achievement of career (competency, behaviour, attitude, etc.)</i>	<i>Indicate training/development actions required to overcome significant weaknesses or to support achievement of development goals.</i>

iv. AAS Summary of End Year Performance Results

AAS SUMMARY OF END YEAR PERFORMANCE RESULTS							
Appraisee (Employee)							
Name:		Function/Team:					
Level/Grade:		Review period:					
Job Title:							
Appraiser (Line Manager)							
Name:		Function/Team:					
Title:		Date of Review:					
Reviewer		Title:					
Performance Rating	End of Year Rating				Weighted Score	Weight	Comments on performance
	1 Poor	2 Needs Improvement	3 Meets Expectations	4 Exceeds Expectations			
Overall rating against performance objectives						70%	
Overall rating against competencies						30%	
Weighted Average Score						100%	
Recommended Actions							
General Comments							

2.4 Performance Improvement Plan (PIP)

In instances where the appraisal review reveals significant shortfall on the part of the appraisee's performance objectives, values or competencies, the Appraiser is required to complete the PIP form, clearly indicating the issue to be addressed and the action required to address it as well as the time-line. Overleaf is the AAS PIP form.

AAS Performance Improvement Plan (PIP)

AAS PERFORMANCE IMPROVEMENT PLAN (PIP) FORM			
Employee			
Name:		Function/Team:	
Job Title:			
Line Manager			
Name:		Title:	
<p>This is a joint process between manager and employee, with the supervision and coordination from the Human Resource Department, meant to establish a concrete plan of improvement as a consequence of the feedback during the probation or performance review process. The PIP focuses of</p> <p>A. Performance Issue - List the specific performance issues that need to be addressed.</p> <p>B. Action Required - List all tasks or actions required to improve the stated performance area.</p> <p>C. Timeline – Set a timeline/due date for when each task/action will be completed.</p>			
Performance Issue		Action Required	Timeline
Notes			
SIGN OFF			
Employee			Sign:
Date:			
Line Manager			Sign:
Date:			
Human Resource			Sign:
Date:			