

## APPENDIX 2: STAFF PERFORMANCE APPRAISAL FORM

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### 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 1<sup>st</sup>- July- 2017 To: 30<sup>th</sup> – June -2018

#### SECTION A-1: APPRAISEE PERSONAL INFORMATION

Title	Dr. <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other <input type="checkbox"/> (please specify)
Name (Full names in block letters)	MR. EREU OCHUGA SAMUEL
Personal File Number	EMP01685
Present Job Title/Position	RESEARCH TECHNICIAN
Department/Institute	OILCROPS/ NaSARRI- SERERE
Date of last Appointment	1 <sup>ST</sup> - JULY- 2016

#### SECTION: A-2: APPRAISER INFORMATION

Name of Appraiser	Dr. KALULE OKELLO DAVID
Position of Appraiser	SENIOR RESEARCH OFFICER/PROJECT LEADER

**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)

Outputs	Performance Indicators	Agreed Performance Targets	Performance Level					Comments on Performance
			1	2	3	4	5	
20 high yielding Advanced Breeding lines with multiple stress resistances identified	a) The fields for both 2017B and 2018B were identified, prepared, research materials prepared. b) Eight (8) District Variety Trials (DVTs) established on station c) Data collected	1. On station site identified, prepared and marked 2. Research materials (seeds) and other materials prepared for trials establishment 3. At least Four (4) District Variety Trial (DVTs) planted and managed on-station each having eight (8) test entries alongside two checks and replicated four times 4. Data collected checked and cleaned and submitted to the breeder				4		

**Part B (2): Performance Appraisal**  
(To be completed by the Supervisor at the end of the appraisal period)

	<p>a) Five (5) National Performance Trial Experiments established in Ngetta, Abi ZARDI, Nakabango, Bulindi and Rwebitaba for 2017B and 2018A</p> <p>b) Field and Postharvest data collected for 2017B</p> <p>c) From the DVTs 20 advanced lines identified and will further go NPT trials</p>	<ol style="list-style-type: none"> <li>Four (4) NPT sites selected and land prepared</li> <li>At least Four District Variety Trial (DVTs) planted at four (4) NPT sites each having eight (8) test entries alongside two checks and replicated four times on-station</li> <li>Data collected, checked, cleaned and submitted to the breeder for analysis</li> </ol>	4	<p>Sam worked hard and help identify advanced breeding lines both on-station and at NPT sites</p>
<p><b>Germplasm conserved both ex-situ and in situ Together with the breeder</b></p>	<p>a) 210 materials were taken for ex-situ at Entebbe</p> <p>b) Field conservation plots planted with 360 germplasm material in both 2017 and 2018A, were established and data on characterization collected</p>	<ol style="list-style-type: none"> <li>List of materials deposited for ex-situ conservation</li> <li>Germplasm characterization field on station and data on characterization</li> <li>120 materials deposited for ex-situ conservation at Entebbe Plant Genetic Conservation Centre</li> </ol>	5	<p>Sam was instrumental in sorting, assembling, coding and packing the germplasm which was then repatriated to Entebbe PGRC</p>
<p><b>Generation advancement of Early generation segregating Lines (F3- F6) done</b></p>	<p>180 lines from F3-F6 populations targeting various traits like seed colors/ sizes, oil contents, early/short maturity periods and resistances to major pests and diseases) are being advanced from the observation nurseries</p>	<ol style="list-style-type: none"> <li>Identify and prepare the site</li> <li>Organize the seed and other materials for establishment of the experiments</li> <li>On-station observation nursery generation advance of segregating population Selection made on superior and contrasting population for further advancement and selections</li> </ol>	4	<p>With Sam's help we were able to select for further advancements populations and stabilizing lines for the future yields trials</p>

<p><b>Farmers trained on quality groundnut production and value addition</b></p>	<p>More than 1500 farmers have been trained on quality groundnut production, value addition and commerce. We also trained local Seed Business groups and other farmer groups all over the country</p>	<p>At least 100 farmers trained in quality groundnut production, value addition and commerce</p>		5	<p>Together with Sam, we trained stakeholders along the groundnut value chain.</p>
<p><b>15 new Crosses made in the glass house on-station for groundnut desired traits</b></p>	<p>61 materials were successfully planted and crossed in the glass houses during 2017B and 2018A and 26 F1s are to advance to F2</p>	<ul style="list-style-type: none"> <li>Receive list of groundnuts parents from the breeder, ensure the planting, good management and the crossing of this materials</li> <li>Make atleast 15 contrasting crosses</li> </ul>		5	<p>We managed to have successful 61 F1s progenies from 61 contrasting crosses</p>
<p><b>Students have been guided/ supported and supervised during the internship period at the institute</b></p>	<p>Sixteen (16) Students (10-diploma and 6- certificate) supervised and guided as allocated from the intern coordinators office- NaSARRI</p>	<ul style="list-style-type: none"> <li>At least 5 students guided on groundnuts related disciplines within the project during their internship period</li> </ul>		5	<p>Sam mentored and supervised 16 students in the field</p>

<p><b>Breeder/ Early Generation Seeds multiplied on station</b></p>	<p>Serenut series 5-14R on a three-acre plot on station in both 2017B and 2018A planted and harvested 5tons of Serenuts 5-14 series produced on-station</p> <p>We also planted and harvested pre-released materials (DOKs 1R and 1T) which have passed DUS and are for bulking</p>	<ol style="list-style-type: none"> <li>1. Identify, prepare and mark the site</li> <li>2. Process/ prepare the seed, plant and manage both pre- harvest and post- harvest handling activities</li> <li>3. We plan on producing atleast 1ton of breeder seeds produced on-station</li> </ol>	<p>5</p>	<p>He participated in the production of breeders' seed</p>
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Contributed and participated during the outreach activities (shows and field days exhibitions)	<p>a) Actively participated in the exhibition of the NASARRI Technologies during the: Annual Agricultural show at Jinja in July 2017, World Food Day celebrations hosted at Kalengere in 16<sup>th</sup> - Oct-2017 and in Farm clinic hosted at NASARRI- Serere</p> <p>b) Prepared the exhibition materials for; World Food Day, Farm clinic and show at Jinja.</p> <p>Also participated in the preparation and exhibition of the groundnut technologies during farmer field days</p> <p>c) Planted the NARO groundnut demonstration technologies on station, Jinja show ground, Kalengere- Kabale and on farm fields in 2017</p>	<p>1) Exhibit the technologies (NASARRI technologies) during the annual trade show, world food day</p> <p>2) Prepare the exhibition materials</p> <p>3) Plant the demonstration plots for the show and world food day</p>	4	<p>Sam represented NASARRI and the groundnut department during the National Agricultural Trade show at Source of the Nile in Jinja, World food day in Kalengere, Kabale and in plant clinic at NASARRI.</p>
Groundnut information materials reprinted	<p>a) 11,000 factsheets (Aflatoxin management, groundnut releases</p>	<p>At least 1000 copies of groundnut fact sheets reprinted and distributed to the stakeholders</p>		<p>5</p> <p>Sam helped in identifying the sought after dissemination materials, raised the procurement forms and</p>

	<p>compendium, Rosette and Leafspots managements, Groundnut Department at a glance, growth stages and their managements) reprinted and distributed. A) b) 1,200 books reprinted that include; Aflatoxin management book, Groundnut Aronomy and Groundnut Seed Systems book.</p>			<p>were subsequently printed. We have distributed most of the reprints and he is already advising me for more reprints</p>
<p>Groundnut brochures Produced together with the groundnut team</p>	<p>a) Two brochures developed and printed that is; Groundnut production brochure and Groundnut leafminer brochure together with the groundnut team</p>	<p>Actively participate with the scientists in the production of at least one (1) production groundnut brochure</p>		<p>Leafminer and groundnut production brochures were produced. Sam played a key role during the drafting and final documents</p>
<p>The data for the identification of appropriate spacing for the candidate groundnut varieties collected</p>	<p>Agronomy spacing trials were set up on pre-releases (DOK, 1T and R<sub>1</sub>); onstation and in (Masindi, Amuria, Nakaseke, Pader and Dokolo in 2017B to test their plant density regime. Post-harvest data being analyzed</p>	<ol style="list-style-type: none"> <li>1) On-station field identified, prepared and marked</li> <li>2) Multi-location sites mapped/ identified and prepared</li> <li>3) Research materials prepared, experiments planted (on-station and multi-location)</li> <li>4) Data collected, checked and submitted to the research officer for analysis</li> </ol>	<p>3</p>	<p>Plant density data is being analyzed for these pre-released materials</p>

<p><b>Preliminary results on nutrients identified for groundnut kernel filling and kernel nutrient fortification (data collection and analysis still on)</b></p>	<p>a) A fertilizer response trial on six groundnut lines (SGV 0023, (II) ICGV 03950 (III) 3. 86715 X S.2 Red (DOK 1R), (IV) 86715 X S.2 Tan (DOK 1T), (V) SGV 07002 and (VI) SGV 0049) was conducted on station and in four others on farm sites (Masindi, Amuria, Nakaseke, Pader and Dokolo  b) Preliminary results showed that phosphorus fertilizer improved both the yield and seed quality of the six candidate groundnut lines.  Phosphorus fertilizer at 22.5kgPha-1 and 30kgPha-1 was found to reduce the number of shriveled seeds of DOK 1T and SGV 07002 above the control by 38% and 82% respectively</p>	<p>1) On-station field identified, prepared and marked  2) Multi-location sites mapped/ identified and prepared  3) Research materials prepared, experiments planted (on-station and multi-location)  4) Data collected, checked and submitted to the research officer for analysis</p>	<p>Nutrient requirement for the pre-released and advanced lines are being analyzed</p>
		<p>3</p>	

### 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 / 5 x 80 = (4.42 / 5) x 80 = 70.66%

### 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**-Behavioral competence consistently far exceeded expectations  
**4: Exceeded Expectations**-Behavioral competence exceeded expectations

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

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

**1: Unacceptable**: Behavioral 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	
<b>Professional and Technical Knowledge:</b> Has adequate professional and technical knowledge to perform duties diligently and efficiently		4				Sam is a professional and technical in line of duty and needs further development
<b>Result Orientation:</b> Delivers results of desired quality within available resource and specified time frames		4				He delivers results for further synthesis
<b>Communication:</b> Has ability to express himself/herself clearly both orally and in writing	5					Sam communicates well both orally and in writing
<b>Judgment and Decision-Making:</b> Develops appropriate solutions and takes Action		4				Sam tries as much as possible to judge and make decisions though some of them are still challenging

<p><b>Information Technology:</b> Is able to use ICT to produce planned outputs and objectives of NARO</p>			3		<p>Sam is able to use some ICT components when generating outputs and NARO's Objectives. He needs further help in this area</p>
<p><b>Time Management:</b> Adheres to schedules; manages his/her time well; completes work assignments on time</p>			4		<p>Sam endeavors to manage time</p>
<p><b>Interpersonal Relations:</b> Exhibits a good level of interpersonal skills and has a good working relationship</p>			5		<p>Sam blends well with the entire NaSARRI Community including visitors, students and interns</p>
<p><b>Quality Improvement:</b> Strives for efficient, effective, high quality performance in self and in the Institute/Department/Section</p>			4		<p>Sam strives to perform at a high level always</p>
<p><b>Initiative:</b> Generates ideas that provide new insights</p>				3	<p>Sam provides ideas which improve the program. However, he needs further mentoring and attendance of tailored made courses in areas of proposal development and attracting resources</p>
<p><b>Integrity:</b> Upholds and demonstrates professional and NARO's values and ethics</p>			5		<p>Sam is professional in line of duty</p>
<p><b>Team Work:</b> Cooperates and collaborates with colleagues as appropriate; works in partnership with others</p>			5		<p>He blends well with the staff and the entire NaSARRI Community</p>

<b>Commitment to Own Personal Development and Training:</b> Is eager for self-development; has inner drive to supplement training from NARO						Sam is committed at work and yearn for personal career improvement. I strongly recommend him for further development in this area
<b>Personal Appearance:</b> Always neat and pleasant, well-groomed and presentable	5					Sam is smart and always presentable
<b>Enthusiasm and Drive:</b> Highly self-motivated; anxious to make progress in the face of difficulties, setbacks or pressure of work	4					Sam is enthusiastic and self driven

**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	
<b>Leadership Ability:</b> Organizes, motivates and leads staff to achieve desired results		4				Sam is good leader who is further growing
<b>Financial Management:</b> Compiles budgets, knows the and applies financial policies and procedures; is familiar with the overall financial management processes		4				He manages the Project finances well
<b>Managing People:</b> Coaches, evaluates, develops people; sets expectations, recognizes achievement, manages conflicts, aligns performance goals with NAROs goals, provides feedback; delegates		4				He is a good manager and still growing and learning. He needs support in this area as well amidst program /Project grooming
<b>Team Building:</b> Promotes team spirit		4				He manages people well

Overall Rating of Competences: Average Score of Applicable Competences/  
 Average score =  $74/18 = 4.11$   
 Overall rating =  $4.11/5 \times 20 = 16.44\%$

**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 = 70.66 + 16.44 = 87.1%**.....

Tick as appropriate	Overall performance rating	Explanation
<input checked="" type="checkbox"/>	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
ICT capacity building	He need training in ICT related skills	Now up to June 2019	ICT compliant
Data management	Training in digitalizing Data capture and management using tablets and Breeding Management systems (BMS)	Continuous through out the financial year	Adopted digital data capture, storage, analyses and management in BMS

**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**

SAM IS ACTIVE IN THE PROJECT AND HELP OUT ALOT. HE IS AN ASSET TO THE PROGRAMME AND WISH TO CONTINUE WORKING WITH HIM

Supervisor's Name DR KALULE OKEZO DAVID

Signature [Signature] Date 9TH JULY 2018

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

General comments on your performance, if any  
I do agree with the outcome of the appraisal process.

Appraisee's Signature: [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

Very good performance. Keep up the good work. Be ready for forward. Please work in areas of ICT and data management.

Signature [Signature] Date 13.07.18

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

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Name..... Signature.....