

NATIONAL AUDIT OFFICE

GUIDE TO

OPEN STAFF PERFORMANCE

APPRAISAL SYSTEM

Foreword

It gives me pleasure to issue the open staff performance appraisal system that will be used for appraisals of staff in the National Audit Office starting from 2005. All members of staff will from now on be appraised on an annual basis.

The aim of the newly developed staff performance appraisal system is to carry out a fair and transparent assessment of the work done by all members of staff at the National Audit Office. The performance appraisals will in turn be used to identify staff training needs, to identify room for improvements where shortfalls are observed, and to correct wayward attitudes of members of staff. In due course, when the National Audit Office is expected to become an autonomous institution that is independent from the Malawi Civil Service, the appraisals will also be the main tool for identifying high performing staff for promotions, salary adjustments etc.

In order for a Staff Appraisal System to be successful, it is my firm belief that it must be fair, transparent and made applicable to all members of staff. To ensure that this goal is achieved, we have put in place procedures to ensure that all members of staff are adequately sensitized on how to use the appraisal system. The sensitization includes the production of this Guide to the Open Staff Performance Appraisal System, as well as courses that will be delivered at all NAO Offices in due course. In terms of transparency and fairness, the appraisal system ensures that appraisees will always be shown the written appraisals, and that there is a possibility of making a formal appeal if one feels the appraisal has been unfair or based on the wrong criteria's. As part of the annual appraisals, all members of staff will also be asked to appraise their closest manager (typically section head).

The NAO Open Staff Performance Appraisal System has been developed as part of the Institutional Cooperation Project between NAO and SNAO. It has been developed using a number of sources from home and abroad. The system has among other things been based on the similar systems in a number of other well reputed Supreme Audit Institutions around the world, as well as those used in other Malawi government institutions.

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Auditor General

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Chapter 1 Introduction

To deliver our work, to improve the quality of our products and our reputation, and to meet the challenges that we face in an increasingly complex and demanding environment, we need to maximize the calibre and contribution of our work force. We must therefore, manage and improve our performance and that of our teams, and our efforts to get the best from each other will help maximize everyone's contribution to our success.

The aim of the appraisal system is to contribute to the successful development of the NAO through establishing a system for fair, open, objective and transparent appraisals of all members of staff in the National Audit Office.

It is hoped that the introduction of the newly developed system for staff appraisals will bring a number of tangible benefits to the organization. These include:

1) Increased motivation of members of staff
2) Clarification to members of staff of what is expected of them
3) A system for better identifying individual, and office wide training needs
4) A method for giving fairer evaluations of the work done by both management and members of staff
5) A method for identifying, documenting and correcting wayward attitudes and underperformance
6) Recognition of achievements and encouragement of further success
7) A system for assigning promotions, wage salaries and new tasks to high performing members of staff.

The annual staff appraisals are applicable for all members of staff working on behalf of the National Audit Office

To ensure that the appraisals are carried out in a proper, efficient and correct manner, this document has been developed as a Guide to explain how the appraisal system is to be used.

This first chapter has given a brief introduction to the perceived benefits of the National Audit Office Open Appraisal System.

Chapter 2 explains all issues concerning the organization of the annual staff appraisals.

The third chapter looks briefly at the appraisal rating system that is to be used, before we in chapter four look specifically at appraisals of management.

In the fifth chapter, we explain in some detail all of the different forms that are to be used in the appraisal process. The actual forms can be found in the annexes to the Guide.

Chapter 6 deals with the procedures for appeals, before the last chapter is a "Questions & Answers" chapter, which contains questions you might have regarding the system with answers to these.

Chapter 2 Organization of Staff Appraisals

2.1 When shall Annual Staff Appraisals be performed ?

Staff appraisals are to be carried out annually. All staff appraisals are to be completed and submitted to the Human Resource Manager **by the end of January each year.**

2.2 Who are subject to annual staff appraisals ?

All members of staff in the National Audit Office who have **worked in the NAO for more than 3 months** are subject to annual staff appraisals.

All **auditors** in audit sections are to be appraised by their **Section Heads**

All **members of support staff**, except for those in IT and Accounts are to be appraised by the **Human Resource Manager**

Members of the IT Unit are to be appraised by the **Head of IT**

Staff in Accounts are to be appraised by the **Head of Accounts**

Section Heads are to be appraised by their **Divisional Heads/ Regional Heads**

Divisional Heads / Regional Heads are to be appraised by the **Deputy Auditor General**

The **Deputy Auditor General** will be appraised by the **Auditor General**

All appraisals are to be communicated to the Human Resource Manager **within 5 days of the appraisal, and within the month of January.**

2.3 What does the appraisal consist of ?

The appraisal consists of 4 standardized and obligatory forms.

The following forms will be used:

Form A- Preparatory Form/ Self Assessment

Form B- Evaluation of Members of Staff in the National Audit Office

Form C- Evaluation of Management in the National Audit Office

Form D- Summary, Goal and Development Plan

2.4 How will the appraisals be conducted ?

Members of staff will be appraised by their closest superior manager, in a one-on-one appraisal meeting. A minimum of 2 hours should be set aside for each appraisal. Prior to the appraisal, the appraisee is responsible for preparing Forms A (Preparatory form/ Self Assessment) and C (Evaluation of Management in the National Audit Office). The appraiser on the other hand, is responsible for preparing Form B (Evaluation of Members of Staff in the National Audit Office) prior to the appraisal meeting.

The appraisal meeting will start with the appraisee presenting Form A to the appraiser. This will be followed by a presentation of Form B by the appraiser. Care should be taken to clearly explain the reasons behind the assessment. Both participants must sign Form B to verify that the appraisee has seen the completed form.

Following this, the appraisee will present Form C to the appraiser. Care should again be taken to clearly explain the reasons behind the assessment. Both participants must sign Form C to verify that the manager has seen the completed form.

Form D sums up the appraisal and sets goals and targets for the forthcoming review period. This form shall always be completed together in the course of the evaluation. The form shall be signed by both parties.

2.5 Storage of appraisal files

All annual appraisals are to be placed on the personal employee files. It is the responsibility of the Human Resource Manager to ensure that all personal files are stored securely.

After an appraisal has been carried out, it is the responsibility of the appraiser to hand over all the appraisal files from his/her section.

The Human Resource Manager shall not allow managers access to files for the purpose of checking appraisal ratings in previous years before completing the appraisal in the current year. This is so to ensure a fair, objective and fresh appraisal every time.

2.6 Role of Human Resource Manager

The Human Resource Manager is responsible for following up that all appraisals are carried out on-time and in the manner prescribed in this Guide.

Other duties of the HR Manager include the safe storage of appraisals on employee files and the development of an Annual Appraisal Report for submission to the NAO Appraisal Committee.

The Annual Appraisal Report shall be completed within 1 month of the deadline and should contain the following information:

1) Information on the general timeliness and quality of the appraisal
2) The average grades given by each appraiser to his/her section
3) A list of high performing and underperforming managers
4) A list of members of staff in the top and bottom brackets
5) A list of identified training needs for each section
6) A summarized list of training needs for the whole office
7) All appeals that have been submitted
8) Any other relevant information or problems encountered

2.7 Establishment of NAO Appraisal Committee

The NAO will establish a Staff Appraisal Committee. The Committee will consist of eight members, namely: 1 representative for Top Management (Assistant Auditor General level and above), the Human Resource Manager, the Training Manager, 1 representative from audit staff in headquarters, 1 representative from support staff in headquarters and 1 representative from each of the Regional Offices. The Appraisal Committee is accountable to, and reports to the Deputy Auditor General.

The NAO Appraisal Committee will have the following tasks:

1) Review and recommend the Annual Appraisal Report for approval by the Deputy Auditor General
2) Compare the average ratings submitted for each section/unit with the guidelines concerning distribution of ratings. Follow up on appraisers who grade too high/ too low
3) Consider disciplinary action towards those who fall within the bottom bracket
4) Discuss measures regarding managers who have received weak ratings
5) Consider possible rewards for those falling within the top bracket

6) Discuss the identified training needs that have resulted from the appraisal, and ensure that the Training Manager takes account of these when organising future training
7) Discuss and resolve any appeals that may have been submitted. This process shall include interviews with both parts. The Committee must then establish whether they approve the rating that has been given or if it should be changed.
8) Make necessary amendments to the appraisal forms based on the experiences from the appraisals and feedback received

Chapter 3 Rating System

Ratings are used for Forms B (evaluation of appraisees) and C (evaluation of appraisees closest manager). The grade system encompasses five possible ratings for each question asked.

1- Poor
2- Unsatisfactory
3- Satisfactory
4- Exceeds expectations
5- Exceptional

A rating shall be assigned to each question raised within the different categories.

At the end of Forms B and C respectively, there is a box for "Overall Performance" where the average grade shall be entered. The average grade is reached through adding all the scores and dividing it by the number of questions. The higher the average score, the higher the rating.

3.1 Interpretation of Ratings

It is important that all members of staff have a uniform perception of how each rating should be interpreted. The following thus provides broad guidelines on how the various grades should be interpreted.

1- Poor

The appraisee has delivered poor performances in all, or most of, the categories he/she has been evaluated in.

Showed serious lack of reliability, performance and effort during the review period

Need much more management support and supervision than his/her colleagues in order to perform and deliver

Has shown minimal or no personal and professional development during the last review period

Has committed a serious breach of the Code of Ethics or other rules and regulations (not necessary to be evaluated as poor, but any serious breach should automatically lead to a "poor" rating.)

2- Unsatisfactory

The appraisee has delivered an acceptable performance in some of the categories while performing poorly in others, or has performed unsatisfactory across all or most of the categories

Has not shown the expected dedication to duty, reliability, performance or efforts

Needs more management support and supervision than most of his/her colleagues in order to perform and deliver

Has shown some, although very limited, personal and professional development during the review period

3- Satisfactory

The appraisee has consistently delivered a reliable and acceptable performance across the categories he/she has been assessed on.

Has consistently delivered a standard and quality of performance that is acceptable, and has shown the expected reliability and efforts in the conduct of his/her work.

Delivered a standard and quality of performance similar to the majority of his/her colleagues

Has shown visible personal and professional development during the review period

4- Exceeds Expectations

The appraisee has consistently delivered good performances across all the categories he/she has been assessed on

He/She has excelled in some of the categories

Consistently delivered a good performance against a wide range of challenging objectives such as quality and timeliness of work, contribution to the team, communication skills and integrity and loyalty

Needs little management support and supervision in carrying out tasks

Has shown strong personal and professional development during the review period

Has generally exceeded the expectations in terms of work for his/her grade

Has the potential for promotion

5- Exceptional

The appraisee has consistently delivered an impressive performance across all the categories he/she has been assessed on

He/She has excelled in all, or almost all, of the categories.

Consistently delivered an impressive performance against a wide range of challenging objectives such as quality and timeliness of work, contribution to the team, communication skills and integrity and loyalty

Needs minimal or no management support and supervision in carrying out tasks

Has shown exceptional personal and professional development during the review period

Has generally performed much better than what should be expected from his/her grade

Is a very strong candidate for promotion

3.2 Distribution of Ratings

In order for an Appraisal System to be fair and to be carried out equally within different parts of the organization, there is a need for guidelines on the proportions of staff who receive particular ratings. Even though there will be natural variations according to the distribution of talent, training and performance, generally the proportion of staff receiving the rating should fall roughly within the following pattern:

Average Rating	**Rating Classification**	**Expected % to fall within range**
1.0-1.5	Poor	5-10%
1.6-2.5	Unsatisfactory	25-35%
2.6-3.5	Satisfactory	40-50%
3.5-4.5	Exceeds Expectations	25-35%

4.6-5.0	Excellent	5-10%

This means that for the NAO as a whole, and for each individual section, it is for instance expected that between 40 and 50% of appraisees receive a rating of "Satisfactory" and between 25 and 35% receive the rating of "Very Good" etc.

This distribution will not be applicable to the assignments assigned to closest superior managers by appraisees. This is so due to the fact that there is only one manager appraised for each section. Developing an expected distribution rating for one person is impossible.

Chapter 4 Management Appraisal

Management, in both this Guide and in the actual appraisal forms, refers to all Heads of Units, Sections, Divisions and the Deputy Auditor General.

The appraisal of management is viewed as particularly important, as skilled and high performing managers that motivate their staff are essential for the success of the NAO. The appraisal of managers is however somewhat different from the appraisal of other members of staff, as managers both get appraised by their subordinates and superiors. This is opposed to other members of staff that only are appraised by their closest superior manager.

The main reason for this is that managers both manage upwards and downwards in the organization and must interact and work closely with both superior managers and subordinate staff. It is also seen as important, that also subordinate members of staff have an opportunity to advise their manager on how he/she should improve the performance, as the manager's performance strongly affects the performance of the section as a whole.

As such, both superior managers and subordinate staff should be in a very good position to point out the managers strong points and areas that need improvements. The two sets of appraisals should therefore be seen to be complimentary, as they come from two different, but equally important, sources.

Appraisals of all members of management by their superiors should be carried out after the manager has appraised all members of his/her section (but within the deadline)

The manager shall bring copies of all the management appraisals from the section (Form C) to the appraisal with his/her closest superior manager. The same forms will be used for management in their appraisals as in all other appraisals, but the feedback from the managers subordinates (Form C) shall also be discussed during the meeting.

When giving an overall rating to the manager in Form D, both the appraisals from the superior manager and those from subordinate staff shall be used. The final rating on Form D shall be derived at by adding the average rating received by his/her section (Form C) and that received form the superior manager (Form B) and dividing this by two. The score shall be entered in the

box titled “Total Management Score”. This box shall not be used for appraisals of members of staff other than managers. Managers have the same right of filing an appeal as other members of staff.

Chapter 5 Introduction to Appraisal Forms

In this chapter, the forms that are used in the appraisal process will be explained.

The following forms are used during this process:

Form A- Preparatory Form/ Self Assessment

Form B- Evaluation of Members of Staff in the National Audit Office

Form C- Evaluation of Management in the National Audit Office

Form D- Summary, Goal and Development Plan

5.1 Form A - Preparatory Form/ Self Assessment

The Preparatory Form/ Self Assessment is to be completed by the appraisee **prior to** the Annual Appraisal. The content shall be explained in detail to the appraiser.

The form serves two purposes:

1) establishes basic data about the appraisee
2) includes a self assessment of performance over the last review period and plans and goals for the next review period

Form A can be found in Annex 1

5.1.1 Basic Data about the Appraisee

The following information has to be completed:

Surname:

First Name(s):

Title of Post: (e.g. Assistant Auditor or Principal Auditor)

Grade of Post: (e.g. EO or SEO or P8)

Date 1st appointment NAO: (information on when you joined the NAO)

Date for appointment to current post: (information on when you were appointed to your current position)

Academic/ Professional Qualifications: This refers to all studies/ professional courses undertaken that have led to the attainment of a degree, diploma or equivalent. If you are currently undertaking academic/ professional qualifications this should be included (but include that this has not yet been completed).

Courses undertaken: This should refer to relevant courses undertaken. Examples include: Train the trainer courses, subject specific courses on auditing/ human resources, courses on IT etc.

Period of review: This is the period your performance appraisal is based upon. It should typically be the last year (for instance 01.01.05 – 31.12.05). If you joined the NAO less than a year ago, the appraisal period should be from your time of joining until the appraisal date

Name of appraiser: Here you state the name of the person conducting the appraisal. This is your closest superior manager (typically Head of Section/Unit or Division)

5.1.2 Self Evaluation of Results and Development in previous review period and Plans and Goals for next review period

This part of Form A should be used by the appraisee to give an honest account of how he/she views the efforts, results and development achieved during the review period, and to outline the goals and wishes for the forthcoming year. This will, in combination with Form B, form the basis for the Goal and Development Plan in Form D.

The appraisee is expected to fill in the form comprehensively and to explain the content clearly to the appraiser during the Annual Appraisal.

The first part refers to evaluation of tasks, results and development during the review period.

Outline major duties performed during the review period

This will typically include information on work carried out over the last year, it should among other things include information on what assignments you have carried out, if tasks outside the job description have been undertaken, if you have had any team leader roles, if you have been involved in any particularly challenging assignments (such as a highly complex audit), if you have performed new tasks (such as IT, Investigative and Performance Audits), if you have had to deputize for superiors etc.

Did you reach your work goals during the previous period? If not, why?

This refers to among other things if you managed to successfully complete your assignments the last year, if they were completed on time, whether you attained the expected results and improvements identified in Form D from last years appraisal, whether you managed to perform your duties in line with or exceeding the expectations outlined in your job description.

If the answer to any of these questions is no, outline the reason why this was the case.

How do you evaluate your own effort and quality of work during the review period?

Here you should give a frank evaluation of whether you during the last period have made the necessary personal effort to perform your job in the best possible manner, and to evaluate whether the products you have produced (such as audits that have been carried out and reported on) have been of the expected quality.

If you feel that your own effort and quality of work has been weaker than you would like, please outline the reasons for this.

Did you have the necessary competence to carry out the tasks assigned to you? If not, what areas need improvement?

Here you must make a self-assessment of whether you had the skills needed for the assignments you carried out during the review period. There could for instance be cases where you were expected to perform analysis that you felt unqualified for, that you did not have the necessary competences to develop an audit report to the required standards, or that a lack of computer skills slowed down the progress of your work.

If you feel that you lacked necessary competence to do the required job, you should list the areas that need improvement in order for you to perform at the expected level.

Did you undertake any initiative to improve your performance during the review period (formal or informal) ?

This refers to whether you during the last year have taken any active steps to improve your skills and performance. This could cover a wide range of initiatives such as: formal training, self study, seek feedback on areas for improvement by superiors, becoming more familiar with using computers, actively sought to learn from more senior team members etc

Have there been any specific office or domestic disturbances that have affected your performance during the period under review?

If you feel that your performance has been below your expectations, there might be a number of reasons for this. Some of the reasons could be within your control (such as effort made) while other factors could be outside of your control. Here you should state any (if there are any)

office or domestic disturbances that has adversely affected your performance during the last period. These factors could for example encompass such things as disagreement with colleagues in your section, harassment or discrimination from superiors, marital problems, personal problems with alcohol etc. Only if such problems are identified, can steps be taken to try to solve them.

Have you made any special contributions to the NAO during the review period ?

This refers to achievements that are outside the expectations outlined in your job description. It could include both subject specific issues and/or more general issues. Examples of subject specific issues could be: Deputising in an impressive manner for your Section Head, deliver courses on subject specific issues, contribute to the development of new types of auditing in the NAO, training new entrants into the NAO etc. General issues could include active participation in welfare initiatives and initiatives that improve the work environment (such as active contributions on the HIV/AIDS Committee, the Training Committee etc)

What parts of your job do you enjoy the most and least, and why?

Here you should outline your favourite and least favourite parts of the job, and give reasons for this. For an auditor for example, the favourite part might be the planning and carrying out of the audit, while he/she might dislike performing interviews of clients. For staff working with transport, they might enjoy driving the vehicles and dislike performing minor repairs.
You should also state the reasons for this. For instance, a member of transport staff might feel that he/she does not have the skills to perform the repairs in an adequate manner and therefore dislikes or avoids that part of the job.

Part two of the self-evaluation refers to the appraisees plans, goals and wishes for the forthcoming review period.

Would you like to change your current work tasks (work methods, area of work, degree of independence in performing the task, job rotation etc) and why?

Changes in work could include changes in the field of work (e.g. work with Performance Auditing or Parastatal Auditing rather than Financial Auditing of Ministries), changing location of work (e.g. from Lilongwe Office to Mzuzu Office), if you feel a different approach should be taken to the current tasks (for instance using more innovative audit approaches), if you feel you should have a different role in the audit team, and if you think you should be involved in the audit of different entities. Again, make sure you include reasons for your answer.

Is there a need for further training in order to perform your current job or prepare for new tasks? If so, what type of training?

Here you should outline what, if any, type of training you feel is necessary for you to raise your performance. Any needs expressed must be explained.

What are your professional objectives for the forthcoming review period?

Here you should outline which areas of performance you aim to improve, and how you plan to go about it. One example could be that you want to improve your ability to use computers in your daily work, and the way you want to improve on it is to practice daily on using Word and Excel. Another example could be that an auditor wants to improve his skills in sampling, and tries to get information on this through either using the internet, sourcing books or asking more experience staff members to teach him sampling techniques. The professional objectives could also be more general, such as improving the timelines of submission of reports, or to generally increase the efforts made in the job.

5.2 Form B – Evaluation of Members of Staff in the National Audit Office

This form shall be completed by the appraiser prior to the appraisal. If necessary, the appraiser can make amendments to the form during the appraisal. The form shall be signed by both parties, to verify that it has been discussed and that the appraisee has seen his/her ratings.

The appraisee shall also be allocated a copy of the finalized Form B.

Form B can be found in Annex 2

The appraiser should assign a rating on each of the 15 questions by ticking the box corresponding to the grade he/she wants to assign.

All marks should be accompanied by an explanation for that particular rating. This is particularly important if very high or low ratings are assigned.

The appraiser must ensure that the ratings given, and the reasons thereof, are explained orally in a clear and honest manner to the appraisee.

Form B includes 4 categories on which all members of staff will be assessed.
Each category starts with a statement on how the NAO would like their staff to conduct themselves. The questions in that category then seeks to establish the degree to which the apraisee in his/her work and conduct act in accordance with the given statement.

5.2.1 Staff work effectively and efficiently, have the necessary technical skills, good work habits and produce high quality work

This category of questions seeks to measure the actual work that has been conducted by the appraisee during the review period. It seeks to measure the quality of work, the timeliness of submissions of work, the effort and productivity of the employee and the attitude shown towards work.

It goes without saying, that this category is important, and that compliance with the principles of good work habits, high quality of work and effectiveness and efficiency are vital components in improving the performance of the National Audit Office.

Does the appraisee plan and organize the work in an effective manner, so as to contribute to effectiveness and timeliness of work?

The score given should among other things include an assessment of:

Does he/she
- recognize the critical issues to cover in the assignment ahead?
- develop realistic and high quality assignment plans?
- identify key priorities and realistic and appropriate deadlines in planning?
- manage to realistically estimate the workload?
- manage to create audit objectives and audit criteria and develop audit programme?
- seek feedback on plans from management and colleagues?
- act promptly so that plans are put into practice?
- carry out the tasks within the scheduled time?
- monitor progress and give early warnings of possible time overruns?
- avoid time and cost overruns which are not due to unforeseen circumstances?
- organize assignments to keep costs to a minimum?
- organize work to keep time spent on a task to a minimum without compromising the quality?
- make the best use of the financial and human resources (time and competence) available?
- follow NAO Auditing Standards and Audit Manuals in audit planning?

Does the appraisee have the necessary technical skills?

The score given should among other things include an assessment of (these examples mainly refer to audit staff, different skills needed for other categories of staff):

Does he/she
- have an understanding of the natural steps in the audit process?
- have the necessary knowledge of the NAO Auditing Standards and Audit Manuals?
- have the necessary computer skills to carry out the work effectively?
- know and use effective and efficient interviewing techniques?
- know how to use statistical sampling in the work?
- know how to use computer tools such as Excel for analysing and interpreting numeric data?
- document all work in working papers?
- produce high quality working papers?
- ensure that all work is referenced correctly and stored safely?
- have the ability to develop written documents (e.g. audit reports, minutes etc) of high quality?
- have the necessary language skills to communicate effectively both orally and in writing?
- have good writing skills?

Is the appraise productive (i.e. producing quality products within a satisfactory period of time) and does he/she produce high quality work?

The score given should among other things include an assessment of:

Does he/she
- strike the right balance between quality and detail?
- produce work that does not require re-doing?
- produce work that is virtually error free?
- produce work and evidence that withstands challenges from managers within the audit entity?
- provide sufficient evidence to support statements in reports
- clarify the purpose of the analysis or the complexity of the problem?
- seek all relevant information and ask pertinent questions?
- apply sound criteria, models or techniques on which to make a judgement?
- identify the critical issues in complex situations?
- seek the views from colleagues and clients?
- show resilience in overcoming obstacles?
- follow NAO Auditing Standards and Audit Manuals in planning, execution and reporting?
- demonstrate integrity and rigour in decision making, utilising best available evidence and analysis?

Is the appraisee capable of meeting targets and carrying out assigned tasks?

The score given should among other things include an assessment of:

Does he/she
- demonstrate the ability to carry out all assignments in accordance with expectations ?
- have the necessary skills to carry out the tasks at hand?
- show interest in developing the skills necessary for carrying out assignments?
- show signs of gradually improving and moving closer to the expected quality of work?
- train and teach more junior team members on how tasks should be conducted?

Does the appraisee have a positive attitude towards the job and is he/she devoted to the duty?

The score given should among other things include an assessment of:

Does he/she
- display eagerness towards work, and take pride in his/her quality of work?
- take ownership of work?
- show determination in achieving results?
- let outside factors unduly affect the work?
- communicate a sense of purpose and commitment to fellow team members?
- set standards to strive for and act as a role model?
- give timely, honest and constructive feedback to both managers and fellow team members?
- attempt to update the range of technical and professional skills and knowledge?
- show awareness of own strengths and weaknesses and takes action to improve?

- show willingness to take on new and challenging types of work?

5.2.2 Staff have good communication skills

This category of questions aims to measure the communication skills of members of staff. Communication skills are important, and affect productivity, quality of audits and relations within the NAO as well as relations with audit clients and other stakeholders. Staff are expected to be respectful and courteous in their relations with fellow staff and audit clients, to have the ability to instruct co-workers, to be able to present issues and to be prepared to raise identified problems. Clear and effective communication is expected from all members of staff, and the development of good communication skills throughout the organization is highly important for getting the "best out of" staff. The term "communication" should be viewed widely, and encompasses such things as relations with audit clients and within the NAO, the ability to instruct and advise colleagues, to be prepared and able to raise issues of concern, to give honest but constructive feedback, to get messages across clearly etc.

Does the appraisee demonstrate good written and oral communication skills in the work?

The score given should among other things include an assessment of:

Does he/she
- produce written reports, minutes and other work of a high standard?
- use drafting skills that are appropriate to the style of written communication?
- have a good command of written English?
- have the ability to use computers for production of written documents?
- get the message across sufficiently in written documentation?
- give clear and concise oral messages to colleagues?
- use face to face communication whenever possible to keep people informed?
- present orally well structured and confident presentations to a range of audiences?
- through his/her communication with stakeholders portray a positive and professional image of the NAO?
- use communication skills to inspire cooperation from audit clients?

Does the appraisee show due care and respect in relations with staff and audit clients?

The score given should among other things include an assessment of:

Does he/she
- project a confident, well spoken and courteous person when communicating with others internally and externally?
- demonstrate the highest levels of integrity and propriety in dealings with others?
- discuss issues assertively when challenged but listens to reasoned arguments?
- make a point of keeping audit clients and other stakeholders informed of the process and results?
- actively seek the views of others?

- avoid speaking badly and rudely of others?
- use constructive criticism to get messages across rather than aggressive and inappropriate forms of communication?
- have listening skills, and the ability to take on board the advice and views of others?
- demonstrate the ability to work well with other members of the team?

Does the appraisee raise issues of concern, actively provide constructive criticism and deliver input and ideas concerning work at hand?

The score given should among other things include an assessment of:

Does he/she
- raise problems with appropriate members of staff when necessary and seek to resolve them?
- actively try to resolve conflicts within the NAO?
- have the confidence necessary to question and constructively criticise management decisions?
- have the ability to give praise when things have been done well?
- show initiative and actively seek to positively influence decision making?
- put forward innovative ideas and work methods?

Does the appraisee understand messages received and duties delegated to him/her?

The score given should among other things include an assessment of:

Does he/she
- promptly follow up on messages and instructions received?
- demonstrate that he/she understood the communication received?
- ask if he/she did not understand the message clearly?
- tend to forget messages and instructions received?
- show eagerness to have duties delegated to him/her?
- have the ability to delegate issues when appropriate?

5.2.3 Staff conduct themselves with a high degree of integrity and loyalty

This category of questions seeks to assess the integrity and loyalty shown by the appraisee during the review period.

As a watchdog over public resources, the demand on NAO staff concerning ethical standards and integrity is particularly high. All staff are expected to know and strictly adhere to the NAO Code of Ethics, to show the highest degree of integrity in the conduct of their work, to under no circumstances jeopardize their independence or receive any gifts or services which could be perceived as improper, and to be loyal to the goals and policies governing the NAO.

Does the appraisee know the requirements stipulated in the Code of Ethics, and act in accordance with the outlined principles concerning independence, truthfulness, political neutrality and respect?

The score given should among other things include an assessment of:

Does he/she
- know and understand the NAO Code of Ethics?
- appear to be politically neutral in both his/her professional and personal life?
- show due respect for colleagues, subordinates and managers?
- show truthfulness in all financial, professional and personal dealings?
- avoid close personal relations with audit clients which can compromise or be perceived to compromise the independence of the NAO?
- deal with all cases of uncovered irregularities in the course of audits in the prescribed manner?

Does the appraisee act with high integrity in all professional and personal dealings?

The score given should among other things include an assessment of:

Does he/she
- avoid personal behaviour outside the office that can bring the NAO into disrepute?
- avoid leaking <u>any</u> information uncovered in the work to outsiders
- refuse to compromise his/her independence and integrity under all circumstances (even in the face of offers of bribes or other corruptive practices)?
- actively try to discourage other members of staff from breaking the Code of Ethics and applicable laws?
- report any breaches of the Code of Ethics and laws and regulations governing Malawi that come to light?

Does the appraisee demonstrate loyalty to the organizational policies and decisions taken by the NAO. Does he/she put the interests of the NAO ahead of personal interests?

The score given should among other things include an assessment of:

Does he/she
- actively try to express his/her view on issues that are to be decided upon, but loyally follow up on decisions that are taken by the NAO?
- avoid using his/her position in the NAO for personal interests and gains?
- follow strictly all rules, regulations and policies governing the NAO?
- make sure that he/she is updated on the policy framework, strategic goals and changes taking place within the NAO?

5.2.4 Staff show initiative and have desirable personal characteristics

Members of staff are expected to show initiative and drive in carrying out their job, and be in possession of positive personality traits.

Does the appraisee show initiative in carrying out the job, and show interest in and ability to develop his/her skills?

The score given should among other things include an assessment of:

Does he/she
- contribute suggestions and ideas?
- improve ways of doing things?
- develop a vision of how things could be better?
- try to stay updated about international subject specific developments in the field of work?
- try to actively learn from colleagues while at work?
- undertake personal initiatives to develop his/her professional skills?
- perform well in any formal training he/she is undertaking?
- have the ability to do the work with minimal supervision?

Does the appraisee demonstrate good judgment in his/her work?

The score given should among other things include an assessment of:

Does he/she
- have the intellectual capacity and skills to solve complex issues?
- seem able to identify the critical information from a wide source of information?
- seem able to understand and interpret information quickly and logically?
- take a wider view and spot links and trends?
- establish what is required and why?
- pick up discrepancies and inconsistencies?
- draw the right conclusions?
- back up conclusions with reliable audit evidence?

Is the appraisee a hard worker and a person who seeks responsibility?

The score given should among other things include an assessment of:

Does he/she
- show eagerness to take on responsibilities?
- actively seek new challenges within the NAO?
- have the ambition of raising in the ranks of the organization, and to do so through hard work and dedication to the duty?
- always put in the necessary effort to secure timely and high quality work?
- seem willing to work during the evening and weekends when necessary?
- demonstrate effective time management?
- avoid distractions of a non-work nature?
- demonstrate punctuality in terms of turning up for work in time, and not leaving before the end of the working day?
- make completion of assignments on time a high priority?

5.3 Form C - Evaluation of Management in the National Audit Office

This form shall be completed by the appraisee prior to the appraisal. If necessary, the appraisee can make amendments to the form during the appraisal. The form shall be signed by both parties, to verify that it has been discussed and that the appraiser has seen his/her ratings.

Form C can be found in Annex 3.

The appraisee shall give a rating on each of the 14 questions by ticking the box corresponding to the grade he/she wants to assign.

All ratings should be accompanied by an explanation for the particular mark. This is particularly important if very high or low ratings are assigned.

The appraisee must ensure that the ratings given, and the reasons thereof, are explained orally to the appraiser in a clear and honest manner.

Form C includes 3 categories on which management is assessed.
Each category starts with a statement on how the NAO would like their managers to conduct themselves. The questions in that category then seeks to establish the degree to which the manager in his/her work and conduct act in accordance with the given statement.

5.3.1 Managers at the NAO are goal and result oriented

This category of questions refer to managements ability to deliver results and reach the goals of the NAO.

The performance and reputation of the NAO depends on good management at all levels. If the NAO is to be perceived as a competent, objective and independent organization, it is vital that management follow up on their staff and clarify goals and tasks. In addition, management must make the necessary efforts to get the best out of their members of staff so as to maximize the performance of the NAO.

Does your manager plan and organize the work in a way that contributes to effective and high quality audit operations as well as cost efficiency ?

The score given should among other things include an assessment of:

Does he/she
- emphasise the need for, and purpose of, sound and comprehensive planning of assignments?
- develop realistic and high quality assignment plans for his/her area of responsibility?
- encourage staff to define key priorities and to use realistic and appropriate deadlines in planning?
- seek feedback on section and/or divisional plans from superiors and subordinates?
- follow up that the teams are performing the job in accordance with plans?

- monitor progress of the work of staff under his/her supervision?
- encourage efficiency and financial prudence (in conduct of work) among his/her staff?
- organize work to keep costs to a minimum?
- organize work to keep time spent to a minimum without compromising the quality?
- emphasise the need to base audit planning on the NAO Auditing Standards and Audit Manuals?
- evaluate the results produced by his/her staff against their plans?

Does your manager contribute to improvements in, and innovation of, work methods?

The score given should among other things include an assessment of:

Does he/she
- have the necessary knowledge of the relevant subject issue (such as e.g. auditing or accounting)
- take steps to try to follow the international developments in his/her field of work?
- encourage staff to propose innovative and new techniques or approaches to work?
- take account of and make use of such proposals?
- try to introduce new ways of thinking and working in the section?
- promote new ideas to his/her superior managers?

Does your manager take the necessary decisions (even if they are unpopular)?

The score given should among other things include an assessment of:

Does he/she
- apply sound criteria and logic when making decisions?
- draw on knowledge of professional issues and latest developments when making decisions?
- seek the views of colleagues before making important decisions?
- keep his/her team informed about decisions that have been taken?
- manage to take difficult and sometimes unpopular decisions when necessary (such as disciplining a team member, or to take a decision which could turn out to be unpopular amongst top management)?
- display fairness in his/her decision making?
- explain all important decisions and the rationale behind them to those concerned?

Does your manager make clear expectations to staff under his/her leadership?

The score given should among other things include an assessment of:

Does he/she
- give clear, direct and understandable instructions to staff at the start of an assignment?
- clarify responsibilities and authorities?
- make realistic expectations to his/her staff regarding quality, time and costs of an assignment?
- make sure that the task and expectations have been understood by asking follow-up questions?
- closely follow up his/her team during the assignment?

- have a post-assignment meeting with the team where the assignment is discussed and analysed and where the team members receive feedback on the work they have done (praise and constructive criticism)?

Does your manager sensitize staff on the visions and policies of the NAO, inform them of new developments, and act in accordance with these?

The score given should among other things include an assessment of:

Does he/she
- keep up with developments and thinking at the NAO?
- understand how his/her own role fits into the work of the office?
- have the necessary knowledge of developments within the organization and major strategies and policies that are in place (such as Code of Ethics, Strategic Plan, Training Strategy etc)
- act in accordance with important strategies and policies within the NAO?
- make the necessary effort to explain and sensitize his/her staff of the existence and contents of these documents?
- make efforts to provide accessibility of key strategic documents to his/her staff and encourage them to familiarize them with relevant documents (for instance rotating copies of the Public Audit Act, the NAO Strategic Plan etc)?

5.3.2 Managers motivate staff

Managers in the NAO are important role-models and sources of guidance for their staff. They should be visible, available and supportive of their staff. For staff to develop successfully, they are highly dependent on capable and skilled managers who have the attitude that staff development and getting the maximum potential out of staff is probably the most important aspect of management. To do so, managers should devote a considerable proportion of their time to staff development, provide support and inspiration for their staff, delegate and hand out increasingly challenging assignments and give timely, honest and constructive feedback.

Does your manager closely follow up on and supervise the work of his/her staff?

The score given should among other things include an assessment of:

Does he/she
- show interest in the quality of work carried out by his/her staff?
- make it a point of frequently following up the work conducted, while at the same time allowing the team ownership of their tasks?
- discuss alterations to work rather than instruct them?
- quality assure all work after it has been completed?
- conduct the quality assurance within reasonable time?
- give feedback to staff on the quality assurance?
- give praise where appropriate, and timely, honest and constructive feedback where necessary?
- explain the reasons for changes to reports, plans etc.

Does your manager show due respect for subordinate staff and provide constructive criticism and praise where appropriate. Does he/she treat staff equally?

The score given should among other things include an assessment of:

Does he/she
- demonstrate the highest levels of professional integrity and propriety in dealing with staff?
- thank staff when assignments have been done well?
- take action to eliminate poor performance, but do so in a fair way?
- provide constructive criticism and suggestions where appropriate?
- set standards to strive for and act as a good role model when it comes to treating people with respect and courtesy?
- treat colleagues and stakeholders as equals and encourage their differences?
- recognize and capitalise on the diversity of the section/team and draws on different ways of working?
- treat all members of staff under his/her leadership equally, and provide equal opportunities to them?
- make it clear that any form of discrimination and biases based on race, gender, sexuality, tribe, religion, geographical location or any other factor is unacceptable and will not be tolerated within the section or the NAO as a whole?
- refrain from any such discrimination?

Does your manager take the necessary steps to develop his/her own management skills?

The score given should among other things include an assessment of:

Does he/she
- have the necessary skills concerning management issues such as for example; delegation, staff development, provision of feedback, inclusive decision making, change management etc?
- take steps to improve his/her managerial skills through formal training or informal initiatives (such as reading literature on the subject)
- actively seek feedback and constructive criticism of his/her management skills from staff?
- encourage open exchange of opinion regarding his/her leadership?
- take account of such feedback received?

Does your manager contribute to the personal development and the realization of the potential of staff. Does he/she delegate interesting tasks to staff and try to teach new skills to staff?

The score given should among other things include an assessment of:

Does he/she
- delegate challenging but manageable work to release potential?
- try to gradually increase the complexity and difficulty of tasks assigned to team members to gradually improve their competencies?
- try to introduce new and innovative approaches?
- inspire team and colleagues to achieve their best?

- encourage staff to learn from each other and effectively utilise “on-the-job training”?
- devote a considerable amount of his/her time to training staff under his/her leadership?
- encourage staff to locate and read subject specific literature and pursue professional qualifications and relevant courses?
- discuss career paths with his/her team and give advice on how the employee’s skills and competencies can best be improved?
- encourage the use of standards and manuals where applicable (such as NAO Auditing Standards and Manuals)
- encourage team members to carefully study the NAO Standards and Manuals, and to discuss issues that are unclear?
- develop good morale and motivation within the teams?

Does your manager act as a good role model ?

The score given should among other things include an assessment of:

Does he/she
- show resilience in overcoming obstacles and crises?
- act in strict accordance with the Code of Ethics and with a high degree of integrity, independence, respect, truthfulness and courtesy?
- encourage open communication and frank exchange of views and feedback?
- encourage and actively promote the development of staff?
- set a good example when it comes to being punctual in turning up for work and keeping deadlines?
- show loyalty to the NAO?
- attempt to carry out assignments to the highest quality using a minimum of time and costs?
- stay informed about developments in the NAO and share this information?
- keep updated on his/her subject area?
- have good management skills, and know how to deal with people?
- promote equality, a flat leadership structure and respect?
- have the ability to take the necessary decisions?

5.3.3 Managers at the NAO contribute to cooperation, open communication and a good work environment

Managers at the NAO should have good communication and co-operational skills. They should contribute to a good working environment in the NAO and be loyal to the organization.

Does your manager contribute to team spirit and openness in the organization?

The score given should among other things include an assessment of:

Does he/she
- use face to face communication whenever possible to keep people informed?

- encourage open exchange of views in the NAO and transparency and accountability in internal decision making?
- openly convey his/her opinions both upwards and downwards within the organisation?
- encourage teamwork and try to develop skills in teamwork?
- try to increase motivation of staff and team spirit by encouraging them, providing praise where appropriate and provide criticism in a constructive, polite and clear way?
- increase motivation by notifying top management about high performing staff under his/her leadership?
- increase team spirit by creating ownership of work and encouraging staff to take pride in their work?

Does your manager encourage members of staff to share their views (even if they disagree with the manager) and allow them to have a say in decision making?

The score given should among other things include an assessment of:

Does he/she
- adopt a leadership style where staff under his/her leadership develop their confidence and feel comfortable in sharing their views with their manager?
- encourage staff to give their frank opinions on issues, even if they disagree with him/her?
- actively seek the views of others?
- take account of views expressed when making decisions?
- adopt a style of consultative leadership, where members of the section are consulted in the decision making progress?

Does your manager take the necessary steps to resolve conflicts, and obey by high standards of ethics and integrity?

The score given should among other things include an assessment of:

Does he/she
- take firm action to resolve any conflicts among staff?
- try to resolve such conflicts in a fair way?
- know and understand the NAO Code of Ethics?
- appear to be politically neutral in both his/her professional and personal life?
- show due respect for colleagues, subordinates and superiors?
- show truthfulness in all financial, professional and personal dealings?
- avoid close personal relations with audit clients which can compromise or be perceived to compromise the independence of the NAO?
- avoid personal behaviour outside the office that can bring the NAO into disrepute?
- avoid leaking any information uncovered in the work to outsiders?
- refuse to compromise his/her independence and integrity under all circumstances (even in the face of offers of bribes or other corruptive practices)?
- actively try to discourage other members of staff from breaking the Code of Ethics and applicable laws?
- report any breaches of the Code of Ethics and laws and regulations governing Malawi that come to light?

Does your manager show loyalty to the decisions of top management, and make the necessary efforts to reach the goals and objectives of the NAO?

The score given should among other things include an assessment of:

Does he/she
- actively try to be involved in decision making and sharing his/her view?
- represent the view of staff under his/her leadership in high level decision making?
- loyally follow decisions made by NAO, even if he/she originally disagreed with them?
- show loyalty both to top management and staff under his/her supervision?
- put the interest of the NAO ahead of personal gains and interests?

5.4 Form D – Summary, Goal and Development Plan

This form should be always be completed during the actual appraisal. The form shall be signed by both parties.

The appraisee shall be allocated a copy of the finalized Form D.

Form D can be found in Annex 4.

Form D has two purposes. It shall firstly give a very brief summary of the results of the annual appraisal of the appraisee. Secondly, it shall outline the necessary steps that must be taken to improve performance during the next review period.

This form first summarizes the average score from Form B.
The average score from Form B shall be entered into the box named “Overall Rating for the review period” on Form D.

The box concerning “Total Management Score” shall only be completed for appraisals of managers. This score shall be the average of the average rating received from staff under his/her leadership and the average rating received by the closest superior manager. A more detailed description of how to do this can be found in Chapter 4.

This is followed by a box that is titled:

Brief summary of strengths and weaknesses identified

Here, a brief mention should be made of the strengths concerning the appraisee that were identified on the basis of Forms A and B (and for management: Forms A, B and C).
These could for example include:
“The appraisee has demonstrated a high degree of integrity in his work, he shows great eagerness to develop his skills and has made considerable progress over the year in the fields of

auditing planning and report writing" (This was of course just one of many examples we could have used).

Having completed a summary of the candidates strong points, we need to summarize the areas that need improvement. This should be done in the same manner as above. One example could be: "The appraisee has however time and again during shown a lack of punctuality as he always turns up later than 07.30 in the morning. The appraisee has also failed to complete a number of his assignments within the deadline. More so, he did not inform his manager that delays would occur before the deadline had passed" (again, just one of many examples).

Having summarized the appraisal, it is time to look forward to how the performance can be improved in the next review period.

Training needs for forthcoming period (that can be provided for by NAO)

Steps should be taken to try to correct the weaknesses identified. One such step (but far from the only one) is to undertake courses and other forms of formal training. Based on the appraisal therefore, the appraiser should here, after agreeing with the appraisee, enter the training that the appraisee needs to raise his/her performance. For some members of staff, this box might include a number of training needs, while for others the number of identified training needs might be lower. There is of course no guarantee that the NAO will be able to meet the identified training needs within the forthcoming period (due to financial constraints), but the identified training needs will be prioritized when planning and carrying out training.

Personal initiatives that should be taken to improve competence and performance for forthcoming period

Another and very effective way of coming to terms with identified weaknesses is to take personal initiatives to correct them. Personal initiatives encompass a wide range of activities and could for instance include self study, actively seeking advice and competence from colleagues, decide to change disruptive behaviour and bad work habits, decide to use a more inclusive style of management etc. The difference from formal training is that these are initiatives that you must initiate and where you are solely responsible for achieving the change. One example could be that you have identified weaknesses in your ability to perform minor repairs on vehicles (for transport staff) or in your ability to use computers. You can try to learn both these traits by looking at manuals, trying to learn from experienced colleagues or try to practice daily on your computer.

In this box, any personal initiatives that the appraisee is planning to undertake during the next review period should be entered.

The final box on Form D is called:

Expected results and improvements in the next review period

Here you should agree on a set of targets for improvement that should be achieved within the next year. These should be realistic goals that the appraisee will aim to reach, with the support of his/her manager and the NAO. At the next annual appraisal you will be assessed on how successful you have been in reaching these goals. We have below included some examples of such goals:

1) make more realistic plans
2) improve knowledge of statistical sampling through self study
3) become more confident and better at giving input regarding how the work should be conducted
4) treat colleagues with more respect and in a more courteous way
5) become better at giving staff praise when they do a good job
6) improve skills in using computers by training intensively on this and by trying to use the computer for all audit work
7) increasingly try to delegate interesting tasks to team members
8) become more punctual in turning up for work

Chapter 6 Guidance on Appeal Procedure

Even though considerable effort has been made to develop a fair and transparent system for staff appraisals which should be seen as a tool for improvements rather than one for punishment, it will not be possible to completely eliminate the dangers of subjectivity and personal biases. Due to this fact, the appraisal system must be complimented with an appeals system.

The appeal procedure system should only be used in exceptional cases, and you should first try to resolve any queries or complaints by raising them with your appraiser during the appraisal meeting. Most, if not all, queries should be resolved this way. If , after your discussion, you still feel you have sufficiently strong grounds for appeal against your annual appraisal rating you should file a formal appeal. Your appeal must be completed within 10 working days of the appraisal meeting and shall be addressed to the NAO Appraisal Committee (through the HR Manager if you are not working under his/her supervision). The appeal should consist of a brief letter, not normally longer than 2 pages, where you outline your grounds of appeal.
Grounds of appeal might include the following:

- The appraisal process was not carried out in the correct manner and this had a significant adverse effect on your appraisal
- Significant aspects of work or performance have not been included in the assessment
- The appraisers record of the appraisal meeting is factually incorrect
- Major factors beyond your control have affected your ability to perform well but these factors have not been taken into account
- You believe you have been unfairly discriminated against by the appraiser

The appraiser should be asked to formulate an answer to the appeal that also is to be submitted to the Appraisal Committee. The appeal will be heard by the Appraisal Committee within 3 weeks of receiving the appeal. Both parties to the case should be called to explain themselves.

The Appraisal Committee will make the decision on whether to keep the appraisal as it was, or to make changes. If there is disagreement within the Appraisal Committee, majority voting will be used to reach a decision. Decisions made by the Appraisal Committee can not be appealed.

Chapter 7 Questions & Answers

In this final chapter we have included some questions and answers that you typically could have regarding the appraisal process.

Q1 Should everyone have a formal appraisal and appraisal rating?

Yes, all members of staff (with the exception of the Auditor General) who have worked in the NAO for more than 3 months during the review period shall be appraised. This includes support staff and all managers.

Q2 Must I do a self-assessment prior to do the appraisal?

Yes. All appraisees should complete Form A prior to the appraisal meeting. Form A also includes the self-assessment. It is important that we carefully consider our own performance, progress and areas where we need improvements. This ensures that we do the necessary preparations for the appraisal meeting.

Q3 Who is responsible for arranging the appraisal meeting?

It is the Section/Divisional/Unit head who is responsible for finding a date and time for the meeting and for carrying it out. If the appraiser for some reason does not request the meeting, you should remind him/her of it. The HR Manager should also supervise that all appraisal meetings are carried out on time.

Q4 Is there a link between appraisal and pay and position?

There will be no direct link between good appraisals and pay and promotions before the NAO becomes an autonomous institution. When that happens however, the appraisal will be the most important mechanism for assigning pay and promotions to high performing staff. Until then however, high scores in the appraisals will still mean that you can be assigned to more challenging tasks, receive a greater degree of responsibility, that there is a higher probability that you will be asked to represent the NAO in various forums, and that you could be perceived as having potential for future promotions and management positions.

Q5 Where can I find the appraisal forms?

The appraisal forms can be sourced using various methods. You could photocopy all the forms that are annexes in this Guide. If you are working in the Lilongwe Office, you could ask the HR Manager to provide you with the forms, or you can print them out from the computer network

(when established). If you are working in any of the regional offices, your Regional Head should provide you with the forms.

Q6 Who should appraise my performance if I have changed sections during the review period?

You should be appraised by the manager who you have reported to for the longest period during the last review period (the last 12 months).

Q7 Can poor appraisal ratings lead to disciplinary action?

Yes. If you perform very poorly in the appraisal you could be liable for disciplinary action. In most cases, a formal warning will be given if your score is considered unacceptably low. If the poor performance continues, more drastic measures can be taken.

Q8 If I receive a poor rating, what should I do?

If you have received a rating that is below the average, this means that the NAO is of the opinion that you should take immediate action to improve your efforts, skills and performance. Your manager should support you in this and the NAO should try to offer you appropriate opportunities to improve your skills. Succeeding in improving your performance can however not be achieved by anyone other than yourself! This means that it is up to you to show the desire and initiative to improve your performance.

Q9 I would like to aspire to a career as manager in the NAO, what kind of ratings should I be getting to be in contention for management posts?

As of yet the NAO does not determine the grades of its staff. This will however be the case in the near future when the NAO becomes an autonomous institution. In that scenario, those being promoted to management positions should generally fall within the top two brackets. There will however also be other criteria that influence such decisions.

Q10 Will poor ratings for management have consequences?

Yes. They will have the same consequences as for other members of staff. Weaknesses that have been identified should be corrected and improved upon. Poor performances and wayward attitudes among managers over time can lead to disciplinary action and to persons being relieved of their management position.

Q11 Should the appraisals only focus on areas that need improvements/weaknesses?

No, most certainly not. It is just as important to include and present the appraisees strong sides. The strong sides should be reinforced while the weaker sides should be improved upon.

Q12 I have some suggestions regarding how the appraisal forms could be improved, how can I communicate them to the correct recipients?

Any ideas for improvements would be most welcome. They should be forwarded to the Appraisal Committee through the HR Manager

Q13 I have given my manager a poor rating, and he/she refuses to accept it and to pass it on to the HR Manager?

If this happens (or if any threats are made), your manager is in serious breach of a number of rules and regulations and should be disciplined. Such behaviour will not be tolerated, and you should report the incident to the Appraisal Committee and/or the Auditor General and Deputy Auditor General.

Appendix 1 Form A

Form A

Preparatory Form/ Self Assessment

(To be completed by appraisee prior to appraisal meeting)

1) Basic data about the appraisee

Surname:…… First Name(s):…….

Title of Post:…….. Grade of Post……..
Date 1st appointment NAO: ……
Date for appointment to current post: ……

Academic/ Professional Qualifications: …….
…….
…….
…….
…….
…….
…….
Courses undertaken: …….
…….
…….
…….
…….
Period of review:

Name of appraiser:

Self evaluation of results and development during the review period

Outline major duties performed during the review period

Did you reach your work goals during the previous period? If not, why?

How do you evaluate your own effort and quality of work during the review period?

Did you have the necessary competence to carry out the tasks assigned to you? *If not, what areas need improvement?*

Did you undertake any initiative to improve your performance during the review period (formal or informal)?

Have there been any specific office or domestic circumstances that have affected your performance during the period under review ?

Have you made any special contributions to the NAO during the review period?

What parts of your job do you enjoy most and least, and why?

Plans and goals for the next review period

Would you like to change your current work tasks (work methods, area of work, degree of independence in performing the task, job rotation etc) and why?

Is there a need for further training in order to perform your current job or prepare for new tasks? If so, what type of training?

What are your professional objectives for the forthcoming review period?

Appendix 2 Form B

Form B

Evaluation of Members of Staff in the National Audit Office

Signature of Appraisee:…… Signature of Appraiser:……

Tick the box that corresponds to the rating you want to give:
1 – Poor 2 – Unsatisfactory 3- Satisfactory
4 – Exceeds Expectations 5 - Excellent

Staff work effectively and efficiently, have good work habits and produce high- quality work					
Does/ is the appraisee:	**1**	**2**	**3**	**4**	**5**
1) plan and organize the work in an effective manner, so as to contribute to effectiveness and timeliness of work?					
Explain:					
2) have the necessary technical skills?					
Explain:					
3) productive (i.e. producing quality products within a satisfactory period of time) and does he/she produce high quality work?					
Explain:					
4) capable of meeting targets and carrying out assigned tasks?					
Explain:					

5) have a positive attitude towards the job and is he/she devoted to the duty?					
Explain:					

Staff have good communications skills					
Does/is the appraisee:	**1**	**2**	**3**	**4**	**5**
6) demonstrate good written and oral communication skills in the work?					
Explain:					
7) show due care and respect in relations with staff and audit clients?					
Explain:					
8) raise issues of concern, actively provide constructive criticism and deliver input and ideas concerning work at hand?					
Explain:					
9) understand messages received and duties delegated to him/her?					
Explain:					

Staff conduct themselves with a high degree of integrity and loyalty					
Does/is the appraisee:	**1**	**2**	**3**	**4**	**5**
10) know the requirements stipulated in the Code of Ethics, and act in accordance with the outlined principles concerning independence, truthfulness, political neutrality and respect?					
Explain:					
11) act with high integrity in all professional and personal dealings?					
Explain:					
12) demonstrate loyalty to the organizational policies and decisions that have been taken by the NAO. Does he/she put the interests of the NAO ahead of personal interests?					
Explain:					

Staff show initiative and have desirable personal characteristics					
Does/is the appraisee:	**1**	**2**	**3**	**4**	**5**
13) show initiative in carrying out his/her job, and show interest in and ability to develop his/her skills?					
Explain:					

14) demonstrate good judgment in his/her work?					
Explain:					
15) a hard worker and a person who seeks responsibility?					
Explain:					

Overall Performance:

The overall performance is arrived at by adding the numbers in each box and dividing the total by the number of questions asked (15).

Average mark: ☐

Appendix 3 Form C

Form C

Evaluation of Management in the National Audit Office

Signature of Appraisee:……Signature of Manager:……...

Tick the box that corresponds to the rating you want to give:
1 – Poor 2 – Unsatisfactory 3- Satisfactory
4 – Exceeds Expectations 5 - Excellent

Managers at the NAO are goal and result oriented					
Does your manager:	**1**	**2**	**3**	**4**	**5**
1) organize and plan the work in a way that contributes to effective and high quality audit operations as well as cost efficiency ?					
Explain:					
2) contribute to improvements in, and innovation of, work methods?					
Explain:					
3) take the necessary decisions (even if they are unpopular)?					
Explain:					
4) make clear his/her expectations to subordinates?					
Explain:					

5) sensitize staff on the visions and policies of the NAO, inform them of new developments, and act in accordance with these?					
Explain:					

Managers motivate and inspire their staff					
Does your manager:	**1**	**2**	**3**	**4**	**5**
6) closely follow up on and supervise the work of his/her staff?					
Explain:					
7) show due respect for subordinate staff and provide constructive criticism and praise where appropriate. Does he/she treat staff equally?					
Explain:					
8) take the necessary steps to develop his/her own management skills?					
Explain:					

9) contribute to the personal development and realization of the potential staff. Does he/she delegate interesting tasks to staff and try to teach new skills to staff?					
Explain:					
10) act as a good role model?					
Explain:					

Managers at the NAO contribute to cooperation, open communication and a good work environment					
Does your manager:	**1**	**2**	**3**	**4**	**5**
11) contribute to team spirit and openness in the organization?					
Explain:					
12) encourage members of staff to share their views (even if they disagree with the views of the manager) and allow them to have a say in decision making?					
Explain:					

13) take the necessary steps to resolve conflicts, and obey by high standards of ethics and integrity?					
Explain:					
14) show loyalty to the decisions of top management, and make necessary efforts to reach the goals and objectives of the NAO?					
Explain:					

Overall Performance:

The overall performance is arrived at by adding the numbers in each box and dividing the total by the number of questions asked (14).

Average mark:

Appendix 4 Form D

Form D

Summary, Goal and Development Plan

(To be completed by appraiser and appraisee during the annual appraisal)

Name of appraisee	Position	Section/Division

Overall mark for the review period (from Form B): ☐

1-1.5 Poor 1.6-2.5 Unsatisfactory 2.6-3.5 Satisfactory 3.6-4.5 Exceeds Expectations 4.6-5.0 Excellent

Total Management Score*: ☐
Only for management. See chapter 4 of Guide for explanation

Brief summary of strengths and weaknesses identified

Training needs for forthcoming review period (that can be provided by NAO)

Personal initiatives that should be undertaken to improve competence and performance for forthcoming review period

Expected results and improvements in the next review period

Signature Appraisee: ……. Signature Appraiser: ……