

REPUBLIC OF KENYA



## **THE COUNTY GOVERNMENT OF KISUMU**

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**Guide to the Performance Appraisal System in the County Government of Kisumu**

## GUIDE TO THE PERFORMANCE APPRAISAL SYSTEM

### INTRODUCTION

#### Preamble

1. The Performance Appraisal System (PAS) is a critical component of the overall human resource management function in the County Government of Kisumu. It's predicated upon the principle of work planning, setting of agreed performance targets, feedback and reporting. It is linked to other human resource management Systems and processes including recruitment, placement, staff development, career progression, incentives and sanctions
2. The overall objective of the PAS is to manage and improve performance of the County Government of Kisumu (CGK) staff by enabling a higher level of staff participation and involvement in planning, delivery and evaluation of work performance.
3. The specific objectives are to:
  - Link individual performance with County performance
  - Enable Supervisors and Appraisees to continuously assess work progress
  - Assess the learning and development needs of staff on a timely basis
  - Promote accountability in the County Government of Kisumu
  - Promote communication and encourage continuous feedback between Appraisee and Supervisor
  - Set the basis on which an officer's performance is monitored and evaluated as stipulated in the individual work plan
  - Improve the quality of work through better planning, on-going discussions and fair participatory appraisal
  - Provide information for decision making on administrative and human resource issues such as renewal of contracts, promotions, delegation of duties, training, deployment, rewards and sanctions.
4. The purpose of this guide is to assist the Appraising Officer (Supervisor) and the Appraisee in the effective implementation of the PAS in the County Government of Kisumu

#### Scope of Application

5. The PAS shall apply to all categories of staff in the County Government Kisumu
6. Form CGK/HRM/GN/38A will be completed by officers on Job Group 'H' and above in the Civil Service and officers in County Government of Kisumu in triplicate and distributed as follows after the evaluation process:
  - Original to the Secretary, County Public Service Board,
  - Duplicate to the Appraisee's file and
  - Triplicate to be retained by the Appraisee.Form CGK/HRM/GN/38B will be completed by officers on Job Group 'G' and below in the County Government of Kisumu in duplicate and distributed as follows after the evaluation process:
  - Original will be kept in the Appraisee's confidential file, while the
  - Duplicate shall be retained by the Appraisee.

**Note:** All newly employed/promoted/redeployed officers will be required to complete the relevant Performance Appraisal Forms within three (3) months of employment/promotion/redeployment.

7. The primary responsibility for implementing the PAS rests with the Chief Officer/Authorized officer.

## **PERFORMANCE APPRAISAL PROCESS**

8. The PAS process consists of the following:
  - Work planning and setting of performance targets
  - Values and competencies assessment
  - Monitoring and Evaluation
  - End of year appraisal
  - Rewards and sanctions.

### **(a) Work Planning and Setting of Performance Targets**

9. Prior to the beginning of the performance period, and in any case not later than 30th June, the departments in a County will prepare Departmental Work Plans based on the County Investment Development plan, Departmental Strategic plans and the Governors manifesto. Departmental Work Plans should include the Departmental priority objectives from which individual performance targets will be derived. Departmental Heads will meet with staff under their direct supervision to discuss and ensure that the objectives and performance targets of the department are understood.
10. Individual Work Plans will be derived from the Departmental Work Plans and the officer's job description. The work plan will briefly describe the performance targets or expected results on specific assignments and activities for which the staff member is responsible during the performance year. The Appraisee will hold discussions with the immediate Supervisor to agree on the work plan. The performance targets shall thereafter be set as agreed in the discussions by latest 31st July of each year. The expected results may include completion of projects/assignments during the period of assessment. For each assignment, there should be an indication of how success will be determined.
11. As part of the Staff Training and Development Plan, every staff member will indicate at least one professional development goal to be achieved in the reporting period as agreed with the supervisor. This may include special assignment, continuing education, on the job training, seminars, conferences and study tours.

### **(b) Values and Competences Assessment**

12. Achievement of performance targets will also depend on possession of certain specific competences. Besides these competences, it is important to ensure that results in the County Government of Kisumu are realized through the observance of certain well defined values and ethics. A set of values and competences have therefore been included in the Performance Appraisal System to ensure that they are appraised alongside the performance targets.
13. It is necessary that the Supervisor discusses each competency and value with the Appraisee at the beginning of the appraisal period in order to be clear on their relevance on the performance of the Appraisee.

## **VALUES**

14. These are the shared Public Service standards, ethics and principles which guide the actions and behavior of staff. These values include:
  - i. **Integrity**
    - Demonstrates and upholds values as stipulated in the Public officer ethics act and the constitution of Kenya.
    - Acts without consideration of personal gain
    - Does not abuse power or authority
    - Takes prompt appropriate action in cases of unprofessional or unethical behaviour.

- ii. **Respect for National/Gender Diversity**
  - Works effectively with people from all backgrounds
  - Treats all people with dignity and respect
  - Shows respect for and understanding of diverse points of view and demonstrates this understanding in daily work and decision-making
  - Does not discriminate against an individual or group
  - Includes a gender perspective in substantive work
  - Recognizes the strengths in national diversity and takes measures to harness them
  - Appreciates cross-cultural uniqueness and recognizes differences in socio-economic status.
  
- iii. **Transparency and Accountability**
  - Demonstrates talent and competence/ability to perform
  - Putting systems in place where merit is recognized in accordance with people's abilities and achievements.
  
- iv. **Fairness, Equity and Social justice**
  - Treating all equally and reasonably.
  
- v. **Confidentiality**
  - Understands the classification of official documents and the principal of "the need to know".

### **CORE COMPETENCES**

15. These are the skills, behavior and work related attributes that are considered important for all staff regardless of their grades or functions:

- (i) **Customer/Citizen focus**
  - Identifies customers' needs and matches them to appropriate solutions
  - Conforms to the provisions of the County Government of Kisumu
  - Keeps customers informed on progress or setbacks in service delivery
  - Meets timelines for delivery of services to the customer.
  
- (ii) **Professionalism**
  - Demonstrates professional competence and mastery of subject matter
  - Shows pride in work and achievements
  - Is conscientious and efficient in meeting commitments, observing deadlines and achieving results
  - Is motivated by professional rather than personal concerns
  - Shows persistence when faced with difficult problems or challenges
  - Remains calm in stressful situations.
  
- (iii) **Technical Competency**
  - Command and use of relevant technical and job related knowledge and skills
  - Possession of the relevant technical knowledge and skills and the ability to use or apply them.
  
- (iv) **Communication**
  - Speaks and writes effectively
  - Listens to others, correctly interprets messages from others and responds appropriately
  - Engages in two-way communication
  - Tailors language, tone, style and format to match the audience
  - Demonstrates openness in sharing information and keeping people informed.
  
- (v) **Teamwork**
  - Works collaboratively with colleagues to achieve organizational goals
  - Solicits inputs by genuinely valuing others' ideas and expertise

- Willingness to learn from others
- Places team agenda before personal agenda
- Builds consensus for task purpose and direction with team members
- Supports and acts in accordance with final group decisions even when such decisions may not entirely reflect own position
- Shares credit for team accomplishments and accepts joint responsibility for team shortcomings.

**(vi) Time Management**

- Ability to work on schedule and to meet deadlines.

**(vii) Continuous Learning and Performance Improvement**

- Continuously seeks to develop oneself professionally
- Shows willingness to learn from others.

**MANAGERIAL AND SUPERVISORY COMPETENCES**

16. These are the skills, behavior and work related attributes that are considered essential for staff who have managerial and supervisory responsibilities and include:

**(i) Planning and Organizing**

- Sets clear objectives and works towards their achievement
- Establishes and adheres to realistic work plans and time tables
- Works within budgetary, policy and authority guidelines.

**(ii) Training and Development of Staff**

- Coaches and mentors staff to raise their level of competence
- Identifies staff performance gaps and recommends appropriate training programmes
- Offers guidance to staff to enable them take up more challenging assignments and responsibilities.
- To develop links with the national government for coordinating on capacity building of staff.

**(iii) Accountability in Managing Resources**

- Plans prudent utilization of scarce resources to meet goals and performance targets
- Organizes and oversees work processes to achieve quality results within budgetary provisions
- Takes responsibility for own actions and honors commitment
- Operates in compliance with organizational regulations and rules

**(iv) Risk Management**

- Anticipates and minimizes the possibility of damage, destruction or loss of properties in their possession.

**(v) Judgment and Objectivity**

- Identifies the key issues in a given situation
- Gathers relevant information
- Thinks quickly, logically and accurately in making a decision
- Makes timely decisions in the interest of the Service.

**(vi) Managing and Evaluating Performance**

- Sets clear objectives and targets and clarifies responsibilities and reporting lines to each staff member

- Delegates appropriate responsibility, accountability and decision making authority
- Allocates resources needed to accomplish tasks and matches tasks to skills
- Supports the development and career aspirations of staff
- Carries out regular staff performance appraisals.

**(vii) Promoting Use of Information Technology :**

- Takes an active role in introduction and application of Information and Communication Technology (ICT) at the workplace

**c. Performance Appraisal**

17. The appraisal period will be one (1) year, starting from 1st July to 30th June of the following year. The Performance Appraisal reflects the summation of the year's performance.

**(i) On-going Performance Appraisal:**

Performance appraisal is an on-going process throughout the performance period. Milestones over the review period should be documented and maintained in the Appraisee's personal file.

**(ii) Mid-Year Performance Review**

The main purpose of the mid-year Performance Review is to accord both the Supervisor and Appraisee the opportunity to jointly review the progress made by the Appraisee in accomplishing the tasks and assignments agreed on at the beginning of the appraisal period. Mid-year performance review sessions are mandatory.

18. The review, which should be in the form of discussions, should be centred on what has been achieved, any constraints experienced and whether there is need to vary the initial performance targets in order to accommodate any unforeseen circumstances. Any changes, additions or removal of performance targets should however, only be made in the event that there have been significant changes in the nature of functions carried out by the Appraisee, and which may necessitate revision of performance targets.

19. The Supervisor should, after discussions with the Appraisee at mid-year performance review, comment on the Appraisee's performance in so far as provided for in Section 6 of the Appraisal form.

20. In the event that the Supervisor leaves the department, he/she will be required to appraise the performance of the Appraisee(s) on pro-rata basis.

**d. Monitoring and Evaluation**

**(i) Reporting Frequency**

- The responsibility to prepare and submit quarterly performance reports lies with the Appraisee and it shall be mandatory
- Reports on performance will be on quarterly basis but reflecting cumulative achievements on agreed targets
- The report for the fourth quarter will be the end year report

**(ii) Reporting Format**

- The quarterly reports shall be in the following format:

**PAS FORM 1A: QUARTERLY INDIVIDUAL PERFORMANCE REPORT**

NAME.....DESIGNATION.....PERSONAL NO.....

DEPARTMENT/SECTION/UNIT/FACILITY.....

No	Performance indicator	Annual performance		.....Quarterly performance		Remarks
		Annual target	Annual achievements	Targets for the quarter	Achievements for the quarter	

**Overall Rating Score** in % (Ref Sec 3 of CGK/HRM/GN/38 A & B FORM)-.....

Appraisee’s Signature .....Date.....

Supervisors Name ..... Personal No.....

Designation.....Signature.....Date .....

**Note:** Every officer shall be required to submit four quarterly reports, if performance covers a complete year, or reports which cover the period served on a pro-rata basis. The four (4) quarters and the dates for submission of reports are as indicated here below:

- 1st quarter - 1st July to 30th September of each year. Reports to be submitted to Supervisors by 3rd October.
- 2nd quarter - 1st October to 31st December of each year. Reports to be submitted to Supervisors by 3rd January.
- 3rd quarter - 2nd January to 31st March of each year. Reports to be submitted to Supervisors by 3rd April.
- 4th quarter - 1st April to 30th June of each year. Reports to be submitted to Supervisors by 3rd July.

**(e) End of the Year Appraisal**

21. The end of year Appraisal takes place at the end of the reporting period. The following WILL constitute the end of year evaluation process:

- The Supervisor and Appraisee are required to meet at the end of the year to discuss the overall performance over the whole appraisal period.
- Prior to the meeting, the Appraisee should prepare a preliminary report on the extent to which the set performance targets were achieved as agreed at the beginning of the Performance Year with clear performance indicators to support performance.
- The Supervisor will assess the extent to which the Appraisee has achieved the performance targets, taking into account any unforeseen developments that may have affected performance during the period

- The Supervisor is also required to assess the Appraisee’s core competences and values.

The Supervisor will use the following five (5) ratings:

- (i) Excellent Performance** - All Performance Targets consistently exceeded (101 %-130%).  
This assessment describes performance that fully meets all the targets and exceeds them in several areas. Besides eliciting a reward, performance at this level should trigger setting of higher and more challenging targets for the officer in the following performance year.
- (ii) Very Good Performance** - All Performance Targets fully met (100%). This assessment describes performance that fully meets all the targets agreed upon in the work plan, and represents acceptable level of performance. However, an appraisee at this level should be encouraged and assisted in the following year to exceed set targets to qualify for excellent performance.
- (iii) Good performance** – Some performance targets fully met and some partially met (**80%-99%**) The assessment describes performance that fully meets some targets agreed upon in the work plan and partially meets some targets agreed upon,an appraisee should be encouraged and assisted in the following year to meet all the targets set to qualify for the very good performance or excellent performance
- (iv) Fair Performance** - Performance Targets partially met (**50% - 79%**) Performance at this level may call for training and development intervention to address the appraisee’s shortcomings. This assessment describes performance that partially meets some of the targets agreed upon in the work plan. Officers performing at this level should be informed in their cautionary and warning letters of the more serious consequences of continued poor performance. Causes of poor Performance should be identified and appropriate action taken to address them.
- (v) Poor Performance** – Performance Targets not met (**0%-49%**).This assessment means that the officer has not met the performance targets detailed in the work plan. The officer should be informed in the Warning letter of the risk of separation should the poor performance recur in the following year. The Supervisor will be required to identify the reasons for this type of performance and to communicate the same to the Department’s Performance Management Committee for consideration.

- All officers in Job Group “H” and above in County Government of Kisumu will be appraised in all areas of CGK/HRM/GN/38A and those on JG “G” and below will be appraised in areas of CGK/HRM/GN/38B
- Departmental Heads will in turn compile Departmental reports using PAS form IB. This will cover all officers in their respective Division, Unit, Section or Facilities. The reports will then be forwarded to the respective Heads of Human Resource Management Division together with a summary of the number of officers scoring in each of the above five (5) ratings.

**FORM 1 B : DEPARTMENT/SECTION /UNIT EVALUATION REPORTING FORMAT**

DEPARTMENT/SECTION/UNIT/FACILITY.....QUARTER.....YEAR.....

S/No.	Name of Officer	P/no.	Designation	JG	Name of supervisor	Designation of supervisor	JG	Rating score out of 100%

**HEAD OF DEPARTMENT**



NAME .....SIGNATURE .....DATE.....

**Rewards and Sanction**

22. Authorized Officers shall, on the recommendation of the County Department Performance Management Committees reward excellent performance and apply the appropriate sanction for poor and very poor performance in accordance with the existing Service Regulations. The Supervisor may however recommend other specific intervention depending on insight gained during the appraisal. In addition, the PAS will form the basis for placement, promotion and mobility of staff within and across the County Government of Kisumu. In respect to recommendations for rewards for excellent performance, care should be taken to avoid overrating of performance in order to safeguard the integrity of the evaluation process

**Rewards:**

- Excellent performance will attract an award as recommended by the Department Performance management Committee
- Very Good performance will not attract any reward as it will be performance to the expected standards for which an officer earns salary. Nevertheless, for purposes of the new Performance Management and Performance Appraisal policy, good performance is regarded as acceptable and a good basis for achievement of excellent performance in the following year.

**Sanctions:**

- While fair performance will be exempted from sanctions, officers performing at this level should be alerted on the consequences of deterioration of performance.
- Fair performance will attract a cautionary letter for the 1st year, a warning letter in the 2nd year and separation in the 3rd year.
- Poor performance will attract a warning letter in the 1st year and separation in the 2nd year