



**JARAMOGI OGINGA ODINGA UNIVERSITY
OF SCIENCE AND TECHNOLOGY**

STAFF PERFORMANCE REVIEW POLICY

MARCH, 2016

JARAMOGI OGINGA ODINGA UNIVERSITY OF SCIENCE AND TECHNOLOGY

STAFF PERFORMANCE REVIEW POLICY, 2016

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Policy Title: Staff Performance Review Policy

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Policy Contact: Deputy Vice Chancellor
(Planning, Administration and Finance)

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Signed:

Vice-Chancellor and Secretary to Council
Prof. Stephen G. Agong'

Date

15th April 2016

Chairman of Council
Dr. Bonface J. Mwandotto

Date

TABLE OF CONTENTS

ABBREVIATIONS AND ACRONYMS.....v

DEFINITION OF TERMSvi

1.0 Introduction 1

2.0 Purpose 1

3.0 Policy Statement 1

4.0 Scope 1

5.0 Policy Objectives..... 2

6.0 Role and Responsibilities 2

6.1 University Council 2

6.2 Vice-Chancellor 2

6.3 Deputy Vice-Chancellor (PAF)..... 2

6.4 Heads of Department..... 3

6.5 Employees..... 3

7.0 Guiding Principles 3

8.0 Performance Management Process..... 4

8.1 Performance Management Tools 4

8.2 Strategic Planning..... 4

8.3 Performance Contracting 4

8.4 Annual Work Plans 4

8.5 Quality Management Systems and Quality Objectives..... 5

8.6 Performance Appraisal 5

8.6.1 Appraisal Tools 5

8.6.2 Appraisal Period. 5

8.6.3 Setting Appraisal Targets..... 5

8.6.4 Appraisal Process..... 6

8.7 Frequency of Reviews..... 6

8.7.1 Quarterly Reviews 6

8.7.2 End- year Appraisal Process..... 6

9.0 Implementation 7

10.0 Effective Date 7

11.0 Review..... 7

ABBREVIATIONS AND ACRONYMS

CBA:	Collective Bargaining Agreement
DVC (PAF):	Deputy Vice-Chancellor Planning, Administration and Finance
HOD:	Head of Department.
HR:	Human Resource
ISO:	International Standardization for Organizations
JOUST:	Jaramogi Oginga Odinga University of Science and Technology
PC:	Performance Contract
PMS:	Performance Management System
PSC:	Public Service Commission
QMS:	Quality Management System
R(PA)	Registrar, Planning and Administration.
SRC:	Salaries and Remuneration Commission
VC	Vice-Chancellor

DEFINITION OF TERMS

Appraisal:	Formal assessment of performance or an employee.
Performance targets:	The objectives to be achieved.
Non –Teaching Staff:	Members who are involved in the administrative duties and support services
Teaching Staff:	Staff who are involved in the actual teaching
Employees:	All Persons gainfully contracted to deliver services for the University to achieve its mandate within respective cadres and contract types.
University:	Jaramogi Oginga Odinga University of Science and Technology
Council:	University Council

1.0 Introduction

The University is committed to the achievements of its strategic objectives. This policy outlines a performance management system intended to yield better results for the University. The Performance Management System (PMS) in the policy is intended to achieve results by managing performance within an agreed framework of planned goals, objectives and standards. It emphasizes setting mutually agreed targets between the supervisor and the employee based on jointly planned goals, standards and competencies/skills requirements. The policy stresses a shared understanding about what is to be achieved and formulating a plan for developing the capacities of the staff to enable them attain the set targets.

Performance management is guided by relevant statutory and regulatory requirements including the Employment Act 2007, PSC and SRC Guidelines, JOOUST Criteria for Appointments and Promotions, Terms and Conditions of Service and CBAs for various staff cadres. It shall be undertaken with reference to the University Strategic Plan 2016-2021, Annual Performance Contract, JOOUST Quality Management System requirements based on ISO 9001: 2008 Standard and Staff Performance Appraisal System (SPAS) guidelines.

This policy covers the purpose of development, the policy statement, scope, overall and specific policy objectives; roles and responsibilities of key persons in policy implementation and the various guiding principles entailed in staff performance management. The policy also provides a framework for implementation, overall responsibility and policy review.

2.0 Purpose

To provide a framework for setting targets, evaluating employees based on the set targets annually and providing regular feedback of their performance.

3.0 Policy Statement

The University is committed to achieve its objectives through a performance management system intended to yield better results from team and individual staff hence it emphasizes mutual agreed targets between the supervisor and the employee based on jointly planned goals, standards and competencies.

4.0 Scope

This policy applies to all staff in the University.

5.0 Policy Objectives

To manage and improve performance of individual staff by understanding the process and what is expected of them.

Specific objectives is to:

- (i) Provide employees with a clear understanding of job expectations: regular feedback about performance: advice and steps for performance; reward for good performance and sanctions for poor performance.
- (ii) Link individual performance with organizational performance, continuously assess work progress and promote accountability.
- (iii) Enhance communication and encourage continuous feedback between employees and supervisor.
- (iv) Set basis for individual performance monitoring and evaluation.
- (v) Provide information for decision making on administrative and human resources issues such as renewal of contracts, promotions, delegation of duties, deployment, rewards and sections.
- (vi) Encourage and foster continual professional development

6.0 Role and Responsibilities

The University Council, the Vice-chancellor, Deputy Vice-Chancellor (Planning Administration and Finance), Heads of departments and employees have various roles and responsibilities to play in the successful implementation of this policy as indicated below:

6.1 University Council

The Council shall approve the policy for implementation

6.2 Vice-Chancellor

The Vice-Chancellor shall support and recommend the policy to Council for approval

6.3 Deputy Vice-Chancellor (PAF)

The DVC (PAF) shall:

- (i) Ensure that the policy is effectively implemented and that employees are aware of the policy and adhere to it.

- (ii) Ensure implementation of results of appraisal through facilitating capacity building initiatives, rewards and sanctions as applicable

6.4 Heads of Department

- (i) Participate in setting University, Divisional and Section/Departmental goals
- (ii) Discuss the targets with staff and interpret the scores
- (iii) Administer the appraisal forms
- (iv) Negotiate targets freely with the staff.
- (v) Sign the negotiated targets with the employee before implementation.
- (vi) Regularly review implementation and evaluate staff at the end of the appraisal period.
- (vii) Give feedback to Management and staff on performance

6.5 Employees

- (i) Familiarize themselves with the policy and comply with performance review policy
- (ii) Participate actively in implementing University /Sectional/Departmental goals.
- (iii) Negotiate freely during target setting and understand the expectations in the staff Appraisal forms.
- (iv) Agree and Sign the targets with your supervisor before implementation.
- (v) Implement the agreed targets and participate in regular reviews and evaluation during and at the end of the appraisal period.
- (vi) Accept feedback on your performance, this facilitates growth and improves productivity

7.0 Guiding Principles

The following guiding principles shall inform policy implementation:

- (i) Performance targets shall be established through work plans, performance contract and job descriptions and communicated in good time
- (ii) Expected results and time frames shall be described in detail the for the achievement of the targets
- (iii) Targets and expectations shall be regularly reviewed, based on changes in processes as appropriate.
- (iv) Appraisal of performance shall be only be done against the set targets and feedback given objectively.
- (v) Results of appraisal will be beneficial in allocation of rewards, sanctions, promotions, transfers and identify skill gaps as well as training needs.
- (vi) The appraisal process shall be evaluated to ensure its efficiency and effectiveness.

8.0 Performance Management Process

- (i) The University shall outline the performance management system to ensure that all faculties, departments, sections and individual staff clearly understand the process and what is expected of them.
- (ii) Performance targets shall be planned, set and monitored at corporate and individual level to ensure successful achievement of strategic objectives;
- (i) The University shall ensure continual improvement in performance through Training, feedback System, corrective action and fairness in staff evaluation

8.1 Performance Management Tools

Performance management tools are processes and actions used for maximization of performance of employees.

8.2 Strategic Planning

- (i) This is a process planning for achievement of overall long-term goals of the University.
- (ii) The Strategic Plan shall be developed and reviewed by the relevant Division
- (iii) The strategic plan will be the basis for setting performance targets for the University which shall be cascaded to the individual level.

8.3 Performance Contracting

- (i) The University on an annual basis shall develop performance contract targets from the Strategic Plan
- (ii) The developed Performance contract shall be negotiated, vetted and signed between the University Council and the relevant Government agencies
- (iii) The Vice-Chancellor shall sign the performance contract with Council on behalf of the University Management Board.
- (iv) The VC shall ensure the PC is cascaded to Divisions, Schools, Departments, Sections, Units and cadres of employees for the purpose of complete integration of the process
- (v) The integration will include linking the Performance contract with the Performance Appraisal System (PAS) and the performance rewards and sanctions framework

8.4 Annual Work Plans

- (i) The Deputy Vice-Chancellors shall ensure formulation of the annual Divisional work plans in line with the Strategic Plan and Annual Performance Targets (Performance Contract)
- (ii) The work plan and targets shall then be cascaded to all functional units.

8.5 Quality Management Systems and Quality Objectives

- (i) The University Management Board shall formulate, communicate and ensure implementation of University wide quality objectives in line with the University Strategic objectives.
- (ii) All functional Heads shall ensure that quality objectives are set, implemented, monitored and evaluated at the relevant levels. These objectives shall be communicated to all the staff members and reviewed annually /or as need arises.

8.6 Performance Appraisal

Performance Appraisal is a formal system that evaluates the quality of an employee's performance by linking performance management systems such as organizational objectives, day to day performance, professional development and rewards and incentives system.

8.6.1 Appraisal Tools

- (i) The prescribed appraisal forms shall be completed by all members of staff in consultation with their respect supervisors and peers.
- (ii) The appraisal forms shall be categorized as follows”
 - Grade 1-4
 - Grade 5-10
 - Grade 11-15 Non -Teaching staff
 - Grade 11-15 Teaching staff.

8.6.2 Appraisal Period.

The appraisal period will cover one (1) financial year starting from 1st July to 30th June of the following year. The performance appraisal report shall be summation of the year's report.

8.6.3 Setting Appraisal Targets

- (i) Performance targets shall be set by 31st July of each year.
- (ii) Departmental work plans shall include departmental priority objectives from which individual performance targets will be derived.
- (iii) Supervisors shall describe and discuss with the appraisee the performance targets

or expected results on specific assignments and activities during the performance year.

8.6.4 Appraisal Process

- (i) Staff performance appraisal is a process of evaluating the contribution of an employee's performance to overall achievement of the University's objectives.
- (ii) The individual staff member shall give his/her own self-appraisal after which he/she shall be expected to discuss the results with the supervisor.
- (iii) The supervisor and appraisee shall hold discussions centered on what has been achieved, the constraints experiences and the overall performance during the appraisal period.
- (iv) In addition to staff appraisal, teaching staff shall undergo course evaluation as prescribed in the relevant University teaching and examination guidelines.

8.7 Frequency of Reviews

Performance appraisal is an on-going process throughout the performance period.

Milestone on review shall be documented and maintained in the appraisee personal file.

8.7.1 Quarterly Reviews

- (i) Quarterly performance review shall be carried out to accord both the Supervisor and appraisee the opportunity to jointly review the [progress made by the appraisee in accomplishing the assignments agreed on at the beginning of the appraisal period.
- (ii) Any changes, additions or removal of performance targets shall 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.
- (iii) In the event that the supervisor leaves the functional unit, he/she will be required to appraise the performance of the appraisee(s) on pro-rata basis

8.7.2 End- year Appraisal Process.

- (i) The end of the year appraisal shall be place at the end of the appraisal period.
- (ii) The supervisor and the Appraisee at the end of the year shall discuss the overall performance for the whole appraisal period.
- (iii) Prior to the meeting the appraisee should prepare a preliminary report on the extent to which set targets were achieved as agreed at the beginning of the

9.0 Implementation

The overall responsibility and effective implementation of this policy shall be vested in the office of the Deputy Vice-Chancellor (PAF)

10.0 Effective Date

This policy takes effect upon the date of approval by the University Council.

11.0 Review

The Policy shall be reviewed after every three (3) years for suitability and/or as the need arises.