



REPUBLIC OF KENYA



PUBLIC SERVICE COMMISSION



**Guidelines
to the
Staff Performance Appraisal
System (SPAS)
in the Public Service**

May, 2016

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1.0 INTRODUCTION

The Staff Performance Appraisal System (SPAS) is a critical component of the overall human resource management function in the public service. It is 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, training and development, career progression, rewards and sanctions. The Performance Appraisal process provides a mechanism for employees to contribute to the achievement of organizational objectives. It facilitates communication between the employee and the immediate supervisor by providing a structure for feedback on performance.

The successful implementation of the process will lead to development of employee potential and improve communication relating to performance; improved productivity and reinforce the values and principles of public service; and inculcate a culture of high performance in the service.

Objectives

The overall objective of the SPAS is to manage and improve performance of the public service by enabling a higher level of staff participation and involvement in planning, delivery and evaluation of work performance.

The specific objectives are to:

- (i) Link individual performance targets with organizational strategic objectives and workplan;

- (ii) Promote communication between Appraisee and Supervisor with continuous feedback on work progress;
- (iii) Set the basis on which an officer's performance is monitored and evaluated as stipulated in the individual work plan;
- (iv) Align operational and financial performance targets with budgetary provisions;
- (v) Assess the learning and development needs of staff on a timely basis;
- (vi) 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.

2.0 Scope and Application

- 2.1 A separate performance appraisal form (PSC 37A) will be completed by officers in Job Group 'J' and above and equivalent grades in the public service. Officers in Job Groups 'H and below and equivalent grades will complete a separate appraisal form (PSC 37B).
- 2.2 The primary responsibility for implementing the SPAS rests with the authorized officer.
- 2.3 All newly employed / promoted / redeployed officers will be required to complete the relevant SPAS Report within three (3) months of employment / promotion / redeployment.
- 2.4 Officers promoted on common establishment will not be required to fill a new SPAS Report.

3.0 Staff Performance Appraisal Form

3.1 Employment Details:

At the beginning of the appraisal period, an employee will be expected to complete section 1 of the SPAS Report on employment details.

3.2 Strategic Objectives, Departmental Objectives and Targets.

The strategic objectives will be derived from the Ministry's Strategic Plan and performance contract and cascaded to the department, directorate, divisions, sections, units and individual employees. Each department / directorate / division / section / unit shall develop its annual work plan based on the ministry's strategic objectives.

3.3 Work planning and setting of performance targets

- (i) Every employee shall develop an individual work plan derived from the Departmental / Directorate / Division / Section/ Unit / Supervisor's Annual Work Plan.
- (ii) The work plan will reflect the performance targets and specific activities against which each employee's performance will be measured.
- (iii) The targets shall be set as agreed in discussions with the supervisor by latest 31st July of each year.
- (iv) The appraisee and the supervisor will set SMART

targets aligned to the Ministerial / Departmental / Directorate / Division/ Section / Unit objectives as indicated in the annual work plan.

- (v) Section 2 of the SPAS Report is subdivided into four (4) columns A to D. These columns shall be filled by the Appraiser in consultation with the Supervisor: A and B at the beginning of the appraisal period; and C and D at the end of the appraisal period.

3.4 Performance Evaluation

Rating Scale: The following rating shall be used to indicate the level of performance by an Appraiser. Table 1 provides for the performance levels and percentage score which form the basis for evaluating level of achievement of targets for individual employee.

Table 1 - Rating Scale

Achievement of Performance Targets	Rating Scale	
Achievement higher than 100% of the agreed performance targets.	Excellent	101% +
Achievement up to 100% of the agreed performance targets.	Very Good	100%
Achievement between 80% and 99% of the agreed performance targets.	Good	80% — 99%
Achievement between 60% and 79% of the agreed performance targets.	Fair	60% — 79%
Achievement upto 59% of the agreed performance targets.	Poor	59% and Below

The five performance evaluation rating scales are: "Excellent", "Very good", "Good", "Fair" and "Poor".

3.4.1 Excellent—This rating is reserved for the individual whose work performance is clearly and consistently superior to the standards required for the position. This caliber of performance is easily recognized by others in related areas as well as outside of the individual's own group or function. The individual is successful in unusual and adverse situations, meets extraordinary organization strategic challenges with little or no guidance, and sets a positive example for others. Achievement is higher than 100% of the agreed performance targets.

3.4.2 Very Good—this rating demonstrates a level of accomplishment that goes beyond reasonable and demanding standards, particularly in key knowledge, skills and abilities. Performance is characterized by achievement up to 100% of the agreed performance targets and the individual demonstrates planning and execution of all routine functions and most major functions with minimal guidance.

3.4.3 Good—this individual demonstrates a level of accomplishment that clearly fulfills expectations. It reflects good, solid and consistent performance achievement between 80% and 99% of the agreed performance targets. The employee demonstrates ability to execute and control routine functions and several major functions with occasional guidance.

3.4.4 Fair—this individual demonstrates a level of accomplishment that is below the standards of

performance and does not meet or marginally meets the requirements. He/she demonstrates an inconsistent level of achievement between 60% and 79% of the agreed performance targets and requires more direction and guidance than normally expected for routine functions.

3.4.5 Poor—this individual demonstrates unsatisfactory performance; achievement upto 59% of the agreed performance targets.

3.5 Staff Training and Development Needs

Appraisee's training and development needs shall be identified and agreed between appraisee and supervisor based on performance gaps. The supervisor and employee will jointly assess training needs and development based on assignments or activities of the review period to help in the job and career growth. Focus should be on the benefits from the training and how it will be applied to the job; activities that will enhance the employee's current performance and prepare the employee for greater challenges or career advancement. Training and/or development can be internal or external and on or off-the-job.

3.6 Appraisee Commitment

The Appraisee shall commit to achieve the agreed individual performance targets by signing on the SPAS Report upon setting the targets in consultation with the supervisor.

3.7 Mid-Year Review

- (i) The main purpose of the Mid-Year Review is to accord both the Supervisor and Appraisee the opportunity to jointly review the progress made

by the Appraisee in accomplishing the performance targets agreed on at the beginning of the appraisal period.

- (ii) Targets varied mid-year shall be discussed between the Supervisor and Appraisee and recorded in the respective sections of the appraisal report.
- (iii) The review which should be in the form of discussions should be focused 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.
- (iv) 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.
- (v) In the event that the Supervisor or Appraisee leaves the institution/department, he/she will be required to appraise or be appraised as the case may be on pro-rata basis.

4.0 Monitoring and Evaluation

4.1 Reporting Frequency

- (i) Reports on performance will be done on quarterly basis, but reflecting cumulative achievements on agreed targets. The quarterly report shall be recorded in SPAS FORM 2.

- (ii) The responsibility to prepare and submit quarterly performance reports lies with the Appraisee.
- (iii) The end year appraisal reports shall be formally recorded in SPAS FORM 1A and forwarded to the MPMC/CHRAC for deliberations and decisions on rewards and sanctions.

Sample SPAS FORM 2 is provided as Appendix II

4.2 End of the Year Appraisal

The End of Year Appraisal shall take place at the end of the reporting period. The following will constitute the end of year evaluation process:

- (i) The Supervisor and Appraisee are required to meet at the end of the year to discuss the overall performance over the whole appraisal period.
- (ii) The Supervisor will evaluate 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.
- (iii) The Supervisor may recommend other specific interventions other than sanctions depending on insight gained during the appraisal.
- (iv) For National Government staff serving in the counties, the County Human Resource Advisory Committee (CHRAC) shall handle all performance management matters.

- (v) Where the appraisee is not satisfied with the SPAS evaluation, he/she may appeal to the MPMC/CHRAC in writing through the Secretary, MPMC/CHRAC. Documentary evidence to support the appeal shall be attached.

4.3 Reporting Format

4.3.1 Departmental/Directorate/Divisional Evaluation Reporting Format

1. Departmental/Directorate Heads will:

- (i) Compile officers SPAS Reports using SPAS FORM 1A for all officers in their respective departments, directorates, divisions, sections and units.
- (ii) Forward SPAS FORM 1A together with individual officers SPAS Reports to the Chairperson of the Ministerial Performance Management Committee (MPMC) through the respective Head of Human Resource Management.

2. Ministerial Performance Management Committee (MPMC) will:

- (i) Recommend rewards or sanctions as appropriate to the Authorized officer.
- (ii) Complete SPAS FORM 1B and forward to the authorized officer for approval and submission to the Public Service Commission.

Sample SPAS FORM 1A and SPAS FORM 1B are provided as Appendix I.

5.0 Administration of Rewards and Sanctions

- (i) Based on the performance evaluation reports, rewards or sanctions will be recommended by the MPMC as per the provisions of rewards and sanctions framework issued by the Public Service Commission (PSC) from time to time. The authorized officer shall approve all the rewards and sanctions for submission to PSC before implementation.
- (ii) Members of the MPMC may also be eligible for the awards, provided that they excuse themselves from participating in any decision-making regarding any award for which they are being considered.

6.0 Conclusion

The overall objective of performance management is to improve service delivery and enhance productivity. Therefore, the guiding principle should be to support the employee to enable them maximize their full potential. Care must be taken to ensure that the administration of the performance management system shall be in line with the existing Labour Laws.

APPENDIX I

SPAS FORM 1A

SUMMARY OF SPAS REPORTS TO THE MPMC

Ministry:

Directorate / Department / Division / Section / Unit:

S/No.	Personal No.	Name of Officer	Designation	Job Group/ Scale/ Pay Grade	Name of Supervisor	Designation of Supervisor	Rating %

Name of Head - Directorate / Department / Division / Section / Unit

.....

Remarks:

.....

.....

Name:

Signature *Date*

SPAS FORM 1B

RECOMMENDATIONS TO THE PUBLIC SERVICE COMMISSION

This form is to be submitted to the PSC at the end of the appraisal period.

Ministry / Department / Agency

Total Number of Staff:

Number of officers appraised:

Number of officers recommended for rewards:

Number of officers recommended for sanctions:

S/No.	Personal No.	Name of Officer (recommended for reward/sanction)	Designation	Job Group/ Scale/ Pay Grade	Score (%)	Recommendation by the MPMC	Remarks

(Attach Copy of the Staff Performance Appraisal Forms and MPMC Minutes)

Authorized Officer: Approved / Not Approved

.....
.....
.....
.....

Name:

Signature *Date*

APPENDIX II**SPAS FORM 2****STAFF PERFORMANCE APPRAISAL SYSTEM (SPAS)****INDIVIDUAL QUARTERLY PERFORMANCE REPORT**

Ministry / State Department

Directorate / Department / Division.....

Section / Unit.....

..... QUARTER, FINANCIAL YEAR/.....

Agreed Performance Targets	 Quarter Achievements	Cumulative Achievements
1.		
2.		
3.		
4.		

Additional Assignments

1.

2.

3.

Name of Appraisee

Signature *Date*

Supervisor's Name

Signature *Date*

The background of the page features the coat of arms of Kenya. It consists of two golden lions standing on a red shield, holding spears. The shield is divided into four quadrants: top-left is red, top-right is green, bottom-left is white, and bottom-right is black. A white rooster is in the center. Below the shield is a red banner with the word 'HARAMBEE' in white. The text of the document is overlaid on this background.

Contacts

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Mission

To transform the public service to be dynamic,
professional, efficient and effective for the realization
of national development goals

Vision

To be the lead Service Commission in the provision,
Management and development of competent
human resource in the public service.

Core Values

Integrity
Professionalism
Equity and Diversity
Team Spirit
Transparency and Accountability
Creativity and
Continual Improvement