

SECTION 10: PERFORMANCE MANAGEMENT

10.1 Introduction

- a) This Section provides guidelines for Performance Management in KEPHIS for enhancement of efficiency and effectiveness in service delivery.
- b) The overall goal of the Service's Performance Management System (PMS) is to measure employee performance and ultimately the achievement of intended results for the organization. KEPHIS will therefore consider individual performance and reward employees for their contribution in a fair and equitable manner. The Performance Management System has therefore been designed to achieve this objective, among others.

10.2 Strategic Planning

- a) Strategic planning for the achievement of overall long-term goals of KEPHIS will be undertaken by Board of Directors.
- b) The strategic plans will be the basis for setting performance targets for the Service which shall be cascaded to the individual level.

10.3 Performance Contracting

- a) Performance contract shall be anchored on national development goals with clear linkage to the Service's strategic plan. It shall be cascaded to all Departments/ Divisions, levels and cadres of employees.
- b) It will be the responsibility of management to link the Performance Contracts with the Performance Appraisal System (PAS) and the Performance Rewards and Sanctions Framework.

10.4 Staff Performance Appraisal System

- a) Staff Performance Appraisal system (SPAS) is predicated upon the principle of work planning, setting of agreed performance targets, feedback and reporting. It is linked to other human resource systems and processes including employee development, career guidelines, placement, rewards and sanctions.

b) The Performance Management System will support the Service to attain the following, among others:

i. Attract qualified employees;

ii. Retain qualified employees;

iii. Motivate employees by rewarding good performance;

iv. Sanction poor performance;

v. Support management in the realization of the objectives of KEPHIS.

c) The system provides for setting of performance targets, work planning and evaluation of performance.

10.5 Objectives of Performance Appraisal

a) Staff Performance Appraisal is a critical component of the human resource management function. The overall objective of the appraisal system is to manage and improve performance by enabling a higher level of members of staff participation and involvement in planning, delivery and evaluation of work performance.

b) The specific objectives are to:

i. Link individual performance with organization's strategic objectives and work plans;

ii. Enable Supervisor and Appraisee to continuously assess work progress;

iii. Assess the learning and development needs of employee on timely basis;

iv. Promote accountability in KEPHIS;

v. Promote communication and encourage continuous feedback between Appraisee and supervisor;

- vi. Set the basis on which an employee's performance is monitored and evaluated as stipulated in the individual work plan.
- c) Improve the quality of work through better planning, ongoing discussions and fair participatory appraisal;
- d) Provide information for decision-making on administrative and human resource issues such as renewal of contracts, promotions, delegation of duties, training, deployment, reward and sanctions.

10.6 Performance Management Process

- a) Performance Management is based on the following underlying principles, and the need:
 - i. To identify individual / team objectives and performance measures linked to the Vision, Mission, Core Values and Strategic Objectives of KEPHIS;
 - ii. To promote employee career development by creating learning environment and ensuring quality improvement through training, coaching, counseling and mentoring;
 - iii. To provide open and honest periodic evaluation of an employee's performance;
 - iv. To link the annual salary increment to the employee's performance rating.
- b) Each employee will have a job description, outlining basic responsibilities. Job descriptions will be written in a simple language that clearly defines the scope and limitations of the job ensuring that:
 - i. Upon employment, an employee will be given a job description for appointed position;

- ii. An employee will be required to confirm receipt and attest to having read and understood the job description by signing a copy, which will be placed in his personal file;
- iii. All job descriptions will be approved by the immediate supervisor and the respective Heads of the various Departments.

c) Job description will contain the following basic information:

- i. Job title;
- ii. Location of job;
- iii. Reporting relationships;
- iv. Major responsibilities;
- v. Limits of an employee's Service.

- d) The job descriptions are not static and are subject to change from time to time in response to the Service's needs and individual employee competencies.

10.7 Work Planning and Setting of Performance Targets

- a) Prior to the beginning of the performance period, Departments will prepare work plans based on their strategic plan. The Departmental Work Plans should include the Departmental priority objectives from which individual performance targets will be derived. Departmental Heads will meet with employees under their direct supervision to discuss and ensure that the objectives and performance targets of the department are understood.

- b) The individual work plans will be derived from the Departmental Work plans and employee's job description. The work plan will briefly describe the performance targets or expected results on specific assignments and activities for which the employee is responsible during the performance year.

- c) 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. For each performance target to be assessed there will be performance indicators.
- d) As part of the Staff Training and Development Plan, every employee will indicate at least one training goal to be achieved in the reporting period as agreed with the supervisor. This may include special assignments, continuing education, on the job training, seminars, conferences or study tours.

10.8 Appraisal Period

The appraisal period will cover one (1) year with effect from 1st July to 30th June of the following year. The Performance Appraisal reflects the summation of the year's performance including quarterly and mid-year reviews.

10.9 Continuous Performance Appraisal

- a) 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.
- b) Employees serving on contract terms will be appraised every Quarter ($\frac{1}{4}$) during the first year of the contract. If the performance is unsatisfactory, the contract will be terminated in accordance with the contract document.

10.10 Mid-Year Performance Review

- a) 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 assignments agreed on at the beginning of the Appraisal period.
- b) The review which should be in the form of discussions, should be centered on what has been achieved, any constraints experienced and whether there is need to vary the initial assignments 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.
- c) The Supervisor should, after discussions with the Appraisee at the Mid-year Performance Review comment on the Appraisee's performance. In the event that the Supervisor leaves, The Supervisor will be required to appraise the performance of the Appraisee on pro-rata basis.

10.11 End of Year Appraisal Process

- a) The End of Year Appraisal will take place at the end of the reporting period.
- b) The Supervisor and Appraisee are required to meet at the end of the year to discuss the overall performance for the whole appraisal period.
- c) 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 Performance Year with clear performance indicators.
- d) After the meeting, an evaluation form will be signed and dated by both the Appraisee and appraiser and forwarded to respective Head of Functional Area and to the Managing Director for endorsement.
- e) In cases where the employee's performance is below acceptable standards, management will put in place a programme to help the employee improve.
- f) The responsibility to have the evaluations completed in time lies with both the appraiser and appraisee.

10.12 Performance Rating Levels

An employee's performance will be rated in accordance with prevailing Government practice.

10.13 Appeals

- a) If an employee disagrees with an evaluation and cannot resolve the disagreement with the supervisor, the employee may appeal to the

Managing Director through the HOFA responsible for Human Resource for another review of his performance.

- b) The appeal must be made in writing and submitted to the HOFA responsible for Human Resource within ten (10) days of the initial performance appraisal meeting. The Managing Director will appoint a sub-committee to review the appraisal.

10.14 Rewards and Sanctions

- a) The Service shall have an incentive scheme aimed at rewarding members of staff based on the value they are adding to the Service in relation to their performance, approved experience and professional skills/competence. This framework therefore establishes a basis for rewarding exemplary performance and administering sanctions for poor performance, motivating employees to have positive attitude to work and to enhance productivity in the Service.
- b) The Managing Director will be responsible for the administration of the rewards and sanctions policy through the advice of HRAC.
- c) HRAC will also handle cases of appeals referred by MD from the subcommittee after employees have exhausted all review mechanisms.
- d) Testimonials and letters of commendation may be awarded to employees by supervisors as a motivation for exemplary service.
- e) The rewards and sanctions shall be as set out in the Rewards and Sanctions Framework for The Servicer and will be composed of the following;
 - i. Compensation;
 - ii. Annual Bonus;
 - iii. Incentives;
 - iv. Awards;
 - v. Sanctions.

10.15 Appeals on employee Performance Appraisal process

Appeals on performance assessment shall be submitted to the HRAC for consideration.

10.16 Rules of Conduct for the HRAC

- a) Members of the HRAC shall be expected to perform their duties with diligence, integrity, impartiality and confidentiality.

- b) In the event that there is disagreement between the supervisor and an Appraiser on assessment of performance, the Committee will moderate the scores based on verifiable performance indicators and make recommendation to the Managing Director.

- c) Members of HRAC will not discuss or make recommendations in respect of their own performance reports. The Managing Director shall complete the Performance Appraisal reports for the members of the Committee and make appropriate recommendations to the Board of Directors.
- d) Members of the HRAC 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.
- e) The Managing Director shall be appraised by the Board of directors.

10.17 HRAC Recommendations

- a) Managing Director shall, on the recommendation of the HRAC and approval of the Board and the Government reward excellent performance and apply the appropriate intervention in accordance with the Rewards and Sanction Framework.
- b) The Supervisor may however, recommend other specific interventions depending on the insight gained during the appraisal.
- c) The performance appraisal report shall form the basis for placement, promotion, separation and mobility of employee within the Service.

SECTION 11: TRAINING AND DEVELOPMENT

11.1 Policy Statement

- a) Whilst KEPHIS will recruit competent personnel, it shall endeavor to continuously upgrade employee's core competencies, knowledge, skills and



KENYA PLANT HEALTH INSPECTORATE SERVICE

STANDARD OPERATING PROCEDURE

Department: Human Capital

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SOP FOR ANNUAL STAFF APPRAISAL

SOP/KEPHIS/HC/04

Issued by:

Deputy Director- Human Capital

Date: **31st January 2025**

Approved by:

Director Corporate Services

Date: **31st January 2025**



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1.0 PURPOSE

To ensure the performance of staff is monitored to the Corporation's expectations.

2.0 SCOPE

This procedure describes the process to be followed in conducting annual appraisals for staff in the corporation.

3.0 REFERENCES

- a) Dully filled staff appraisal forms
- b) Human Resource Policies and Procedural Manual
- c) ISO 9001: 2015 Standard
- d) ISO/IEC 27001: 2022

4.0 DEFINITIONS/ ABBREVIATIONS

- a) MD - Managing Director
- b) DDHC – Deputy, Director Human Capital
- c) DCS – Director, Corporate Service
- d) HRAC -Human Resource Advisory Committee
- e) Supervisor – The person an employee report to

5.0 Responsibilities



The Deputy Director, Human Capital shall be responsible for this procedure.

6.0 Schematic Representation

Annual Staff Appraisal Operations						
Sources of Inputs	Inputs	Activities	Outputs	Receivers of Outputs	Risks	Checks/Controls
- Human Resource Policies and Procedures Manual, Staff Job Descriptions - Performance	- Supervisor - Staff - Time - Performance - Appraisal Forms	- Performance Targeting - Performance evaluation - Monitoring performance	- Appraisal Reports	- Staff Management - EACC, Courts & DCI	- Lack of resources for implementation of targets. - Subjectivity in appraisal	- Planning for required resources - Appeal for aggrieved employee - HRAC to deliberate on appeal

7.0 PROCEDURES

- 7.1 DDHC shall initiate the annual appraisal process at the end of the performance period.
- 7.2 The supervisor shall carry out the appraisal process as per the guidelines in the appraisal form and forward the duly completed forms to DDHC by 30 July of the same year. A copy of the duly filled appraisal form shall be filed in the individual files for staff working outside KEPHIS Headquarters.



- 7.3 The appraisal report shall be presented to MD through DCS by DDHC for approval.
- 7.4 Filing of Appraisal forms in individual employee's confidential files.

8.0 RECORDS

- 7.5 Performance Appraisal Report
- 7.6 Rewards and Sanctions Policy

9.0 APPENDIX

- 9.1 Performance Appraisal Form



PERFORMANCE APPRAISAL FORM

ASSESSMENT PERIOD:

Employee Name:	Staff No.:	Job Title:
Department:	Section:	Station:
Evaluator's Name:	Job Title:	
The purpose of conducting a performance appraisal is to develop better communication between the employee and the supervisor, improve the quality of work; increase productivity, and promote employee development.		



PERFORMANCE RATINGS

While rating performance, the Supervisor/Evaluator will Consider the employee's performance in each category and designate the level of performance that most accurately describes his/her job performance. The five tier performance ratings structure has been defined below to serve as guidance for supervisors to assess an employee's performance level. The purpose of the numerical scale is to facilitate the supervisor/Evaluator to determine the overall rating objectively. The performance rating structure has a numerical scale as follows:

Excellent (101 %+): Achievement of 101% and above of the agreed performance targets.

Very Good (100 %): Achievement up to 100% of the agreed performance targets.



Good (80% -99 %): Achievement between 80% to 99% of the agreed performance targets.

Fair (60% -79 %): Achievement between 60% to 79% of the agreed performance targets.

Poor (59 % and Below): Achievement up to 59% of the agreed performance targets.

Part A: Target Setting (to be filled at the beginning of the performance period)

Part A: Target Setting (to be filled at the beginning of the performance period)				Performance Rating	
No.	Targets set for the year	Weight	Unit of Measure / Performance Indicator	Self	Evaluator
Subtotal on Part A		85			



Part B: Personal Attributes (Subtotal for part B 15 Marks)

The employee will be rated on the basis of work interactions with the Supervisor on the following scales:

5=always (Employee consistently exceeds position expectations with virtually no detected/preventable/controllable errors and requires no Supervision).

4 =Most Times

3= Often

2= Sometimes

1= Rarely

	Performance Appraisal Attributes	5 Always	4 Most Times	3 Often	2 Sometimes	1 Rarely
1.	The employee demonstrates high standards of professional ethics.					
2.	The employee demonstrates efficient, effective and economic use of resources.					
3.	The employee is responsive, prompt, effective and impartial in provision of equitable services.					
4.	The employee demonstrates transparency and provision to the public of timely and accurate information.					
5.	The employee is accountable for administrative acts.					
6.	The employee is competent in performing job duties and has					



	good knowledge of or his/her area.						
7.	The employee maintains expected standards of performance						
8.	The employee takes the initiative to learn new things related to the work area and get things done.						
9.	The employee takes responsibility for work done or assigned.						
10.	The employee keeps me informed about work progress.						
11.	The employee follows work instructions well.						
12.	The employee is approachable, good team player, shares knowledge with other team members and supports others to get work done.						
13.	The employee is receptive to ideas and suggestions for new or different systems or approaches.						
14.	The employee is fair and consistent when dealing with others and bases relationships on mutual respect.						
15.	The employee supports corporate policies and initiatives.						
Total Score							



Part C: Training and Development need (to be identified jointly with Supervisor during target setting)

Training course	Duration	Comments by Supervisor (on staff training and development undertaken over the Appraisal period)-to be filled after appraisal.

Signature: Employee Date:

Signature: Supervisor..... Date:

Part D: Appraisal remarks (To be filled after appraisal)

Employees remarks on overall appraisal	Employee Signature: Date:
Evaluator's Remarks	Evaluator's Signature: Date:
Comments by Managing Director	Signature: Date:



REVISION DETAILS

REVISION SUMMARY	REASON	DATE	REVISED BY	ISSUE NUMBER	REVISION NUMBER
1. Change to comply with 9001:2015 Standard	Review of procedure to align it with provisions of the Human Resource Policies and Procedure Manual on Performance Appraisal.	02/01/2025	DDHC	1	1