

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

PERFORMANCE MANAGEMENT POLICY

2024

JARAMOGI OGINGA ODINGA UNIVERSITY OF SCIENCE AND TECHNOLOGY

Performance Management Policy, 2024

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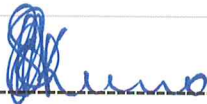
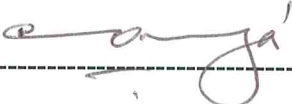
Policy Title:	Performance Management Policy
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ABBREVIATIONS AND ACRONYMS

CoK:	Constitution of Kenya
CPD:	Continued Professional Development
DVC (PAF):	Deputy Vice-Chancellor, Planning, Administration and Finance
HoD (s):	Head (s) of Departments
HoS (s):	Heads (s) of Sections
JOOUST:	Jaramogi Oginga Odinga University of Science and Technology
R(PA):	Registrar, Planning and Administration.
VC:	Vice-Chancellor
CBA:	Collective Bargaining Agreement
HR:	Human Resource
ISO:	International Standardization for Organizations
PC:	Performance Contract
PMS:	Performance Management System
PSC:	Public Service Commission
QMS:	Quality Management System
SRC:	Salaries and Remuneration Commission

DEFINITION OF TERMS:

Excellence:	Performance that exceeds the standards expected from the staff
PC Committee:	Committee in charge of Performance contracting in the University.
PM Committee:	Committee in charge of Performance Management in the University.
Indicator:	Specific observable and measurable characteristics of achievement of the output.
Output	The immediate results from an activity
Performance Period:	Period between the first and last financial year date.
Secretariat:	The team Co-ordinating Performance management and provides technical support to Performance units in the University.
Units	Cascaded Performance Implementing levels at the university
Reporting Units:	Units directly implementing and reporting on University-wide Performance targets
Supervisor	Immediate person to whom a staff report
Appraisal:	Formal assessment of the performance of a staff
Performance targets:	The objectives to be achieved.
Administrative Staff:	Members who are involved in the non-teaching duties and support services
Academic Staff:	Staff who are involved in the actual teaching
Staff:	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 acknowledges the importance of effective and efficient delivery of services to achieve its mandate. This can be actualized in an environment where optimal utilization of human and other resources is ensured. This policy therefore aims to enable the University to attain the expected performance level in all set activities. The policy seeks to create a comprehensive framework to guide all aspects of performance initiatives and activities in the University for clarity, synergy, uniformity consistency and cohesiveness in the processes. The steps covered include identification, planning and execution of performance assignments. The policy will encourage fostering creativity and innovation within the workforce and enhance the productivity rate. To remain nationally and globally competitive, the University through the policy objective will seek to ensure its workforce is adequately equipped with new knowledge, skills, attitudes and values to cope with the new demands arising from technological changes and other dynamics in the work environment.

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

The Policy will be implemented in line with the relevant statutory and regulatory requirements including Public Service Commission Performance Management regulations, Performance Contract guidelines in force, JOOUST Productivity Management Framework (PMF), JOOUST Strategic Plan in use, Constitution of Kenya, 2010, Public Staff Training and Development Policy. The others include 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 covers the policy theme, statement, scope, policy objectives; guiding principles, management tools and administration (roles and responsibilities of key persons; The policy also provides a timeline for its review.

1.1 Mission

To provide transformative university education through integrated quality training, research, innovation and community engagement for sustainable development.

1.2 Vision

A beacon of excellence in University Education, Research, innovation, and Community Engagement.

1.3 Core Values

- Customer focus
- Impartiality
- Professionalism
- Responsiveness
- Integrity
- Meritocracy

1.4 Philosophy

The University is anchored on the philosophy of a holistic approach to the service of humanity and other related areas of scholarship mediated through wisdom, science and technology.

1.5 Motto

Oasis of Knowledge

2.0 Policy

2.1 Purpose

To provide a framework for identification, planning, implementation, learning, monitoring, evaluation and reporting on the University's performance management activities and Targets to optimise the University's potential from a maximized performance level.

2.2 Policy Statement

The University is committed to the achievement of its strategic objectives by continuously and sustainably optimizing its performance for more efficient and effective service delivery. The result is to be reflected in the top performance of the University in all

regional, national and international benchmarking assessments, evaluations, or competitions.

2.3 Scope

This policy shall apply to all performance management activities in the University and involve all members of the staff.

2.4 Policy Objectives

The primary objective of this policy is to improve the efficiency and effectiveness of service delivery by guiding planning, implementation, learning, monitoring, evaluation, and reporting on Performance in the University through a comprehensive performance management system.

Specific Objectives

The specific objectives of the policy include to:

- (i) Provide guidance identifying the performance activities in the University
- (ii) Provide guidelines on comprehensive annual planning, setting of targets and implementation framework for each of the performance initiatives within the University;
- (iii) Set the measurement criteria, monitoring, evaluation and reporting on performance.
- (iv) Outline the University performance strategies, results expected and standards to ensure achievement and compliance.
- (v) Provide a mechanism for holding staff to account for performance results through an objective appraisal of performance.

2.5 Guiding Principles

- (i) The University shall at the commencement of each financial year identify the various performance targets and sign the targets accordingly including Strategic Plans, Performance Contract, Productivity Metrics, Work Plans, Public Service Performance evaluations and others.
- (ii) The preparations for the Performance Management (PM) process shall commence not later than 15th June of each financial year.
- (iii) The performance targets shall be aligned to the approved budget estimates.

- (iv) The Performance targets are to be aligned to the Mandate of the University, Vision & Mission, Government development agenda, service delivery charter standards and other relevant performance guidelines issued by the PSC from time to time.
- (v) The performance targets should be growth-oriented and citizen-focused
- (vi) The University shall establish a Performance Management Committee and other relevant specific Committees.
- (vii) The University shall develop and implement a Strategic Plan which shall set the goals, objectives and targets for the performance of the University.
- (viii) All the various university-wide targets shall be published on the University website no later than 30th August of every year.
- (ix) Each Division/Department/Section/Unit shall develop an annual work plan for the implementation of all the performance targets through the cascaded processes.
- (x) Individual staff will be expected to sign the performance appraisal drawn from the respective performance tools including the job descriptions at the beginning of every financial year.
- (xi) Appraisal of staff performance shall only be done against the set targets and feedback given objectively.
- (xii) Results of appraisal will be beneficial in the allocation of rewards, sanctions, promotions, transfers and identify skill gaps as well as training needs.

2.6 Performance Management Process

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. Performance targets shall be planned, set and monitored at the University and individual levels to ensure the achievement of strategic objectives;

The University shall ensure continual improvement in performance through Training, feedback System, corrective action and fairness in staff evaluation.

2.7 Performance Management Tools

The university shall adopt and prepare all performance management tools required. The tools shall be processed and effectively implemented for maximization of the University and staff performance. The key performance tool will include the following; -

2.7.1 Strategic Planning

This is a planning framework for the achievement of the overall long-term goals of the University. The process for strategic planning includes;-

- (ii) The JOOUST Strategic Plan shall be developed accordingly and cascaded at all relevant levels for implementation.
- (iii) The Strategic Plan will be the main basis for setting annual University performance targets which shall eventually be cascaded to the individual level.
- (iv) A strategic Plan Implementation Committee (SPIC) shall be responsible for the effective implementation, monitoring, evaluation and reporting on the performance of the Strategic Plan
- (vi) There shall be quarterly, mid-year, annual, mid-term and end-term evaluation and reporting on the strategic plan according to the provision in the plan.

2.7.2 Performance Contracting

To improve service delivery, the University uses Performance Contracting as a key Performance and accountability tool. It is aimed at improving efficiency and effectiveness in the management of key University services. The process shall include the following; -

- (i) The University shall receive annual PC guidelines from the relevant government agency.
- (ii) The University on an annual basis shall develop performance contract targets from the Strategic Plan and annual work plan in line with the guidelines.
- (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 the Divisions, Schools, Departments, Sections, Units and all cadres of employees for 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.
- (vi) The cascading process and timelines will be as per the JOOUST Performance Contract Procedure.
- (vii) The performance contract Committee shall ensure the Performance Contract implementation, Monitoring, Reporting and Evaluation.

2.7.3 Productivity Management Framework

Productivity management entails the development, implementation and adoption of strategies and interventions that enable the university to measure, manage and improve productivity and ultimately entrench a culture of productivity. This involves interventions on productivity awareness creation, measurement and improvement. It is a deliberate

assessment of the efficiency and efficacy of delivering University services. The tool aims to enable the University to measure the efficiency and effectiveness of resources (labour, capital, technology and systems) utilization in converting inputs into quality outputs.

The process for application of the tool shall include the following; -

- (i) The JOOUST productivity management framework shall be developed accordingly and cascaded at all relevant levels for implementation.
- (ii) The Framework will stipulate the University productivity measurement metrics.
 - (i) A successful implementation of the framework will ensure the development, implementation and adoption of strategies and interventions that enable the University to measure, manage and improve productivity and ultimately entrench a culture of productivity.
 - (ii) It provides a mechanism for measuring and improving productivity in line with the University's Strategic Plan.
 - (iii) The productivity metrics shall form one of the bases for setting annual University works plans which shall eventually be cascaded to the individual level.
 - (iv) A Productivity Management Committee (PMC) shall be responsible for the effective implementation, monitoring, evaluation and reporting on the performance of the framework.
 - (viii) There shall be quarterly, mid-year and annual evaluations and reporting on the productivity metrics according to the provision in the framework.

2.7.4 Annual Work Plans

The University will prepare annual works plans cascaded to all units in the University, as necessary. The process for the work plans shall be as follows; -

- (i) All functional Units shall develop draft work plans informed by the Strategic Plan, other relevant performance targets and annual operational requirements.
- (ii) The various Divisions shall ensure the formulation of the annual Divisional work plans from the relevant unit plans.
- (iii) The University's annual Work Plan shall be developed from the Divisional work plans and approved by the UMB and Council.
- (iv) The approved University work plan shall be cascaded to all functional Units for realignment on their respective draft and adoption for implementation, monitoring, evaluation and reporting.

- (v) The work plans shall form the main basis for setting activity targets in the staff appraisal system.
- (vii) The performance results of work plans for each unit shall be analysed and reported to the UMB for necessary action.

2.7.5 Quality Management Systems and Quality Objectives

- (i) The University shall formulate, communicate and ensure implementation of The University quality objectives in line with the University Strategic objectives and Iso 9001:2015 requirements.
- (ii) All functional heads shall ensure that quality objectives are set, implemented, measured, monitored and evaluated at the relevant levels. These objectives shall be communicated to all the staff members and reviewed annually /or as need arises.
- (iii) Internal and surveillance quality audits shall be undertaken as appropriate to determine the performance of the University on Quality Management Objectives as well as in the respective units.

2.7.6 Performance Appraisal

Performance Appraisal is the system used by the University to evaluate the level and quality of staff performance by linking their output with the University's objectives. It considers the day-to-day staff performance and professional development in line with the set targets. A rewards and incentives system is part of the performance appraisal system.

2.6.6.1 Appraisal process

- (i) The University shall develop and avail appropriate appraisal forms.
- (ii) All staff members shall complete the prescribed appraisal forms in consultation with their supervisors and peers.
- (iii) The appraisal forms shall be categorized as follows;-
 - Grade 1-15 Academic and Non-Academic staff
 - Grade 16-20 Senior management staff.
- (iv) Staff performance appraisal shall evaluate the contribution of an employee's performance to the overall achievement of the University's objectives.
- (v) The individual staff member shall give his/her self-appraisal after which he/she shall be expected to discuss the results with the supervisor.

- (vi) The supervisor and appraisee shall hold discussions centred on what has been achieved, the constraints experiences and the overall performance during the appraisal period.

In addition to staff appraisal, teaching staff shall undergo course evaluation as prescribed in the relevant University teaching and examination guidelines.

2.6.6.2 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 a summation of the year's quarterly and mid-year reports.

2.6.6.3 Setting Appraisal Targets

- (i) Performance targets shall be set by 31st July of each year.
- (ii) The cascaded and approved 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.

2.6.6.4 Frequency of Reviews

Performance appraisal is an ongoing process throughout the performance period. Milestones on review shall be documented and maintained in the appraisee's file.

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 if there have been significant changes like functions carried out by the appraisee, and which may necessitate revision of performance targets.
- (iii) If the supervisor leaves the functional unit, he/she will be required to appraise the performance of the appraisee(s) on a pro-rata basis

End-year Appraisal Process.

- (i) The end-of-the-year appraisal shall take place at the end of the appraisal period.

- (ii) The supervisor and the Appraiser at the end of the year shall discuss the overall performance for the whole appraisal period.
- (iii) Before the meeting the appraiser should prepare a preliminary report on the extent to which set targets were achieved as agreed at the beginning of the financial year.

2.7.7 Other Performance Management Tools

Other risk management tools that are not regular include among others: -

- (i) Regular CUE Audits
- (ii) Public Service Performance evaluation

3.0 Administration (Role and Responsibilities)

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

3.1 University Council

The Council shall consider and approve the policy for implementation.

3.2 Vice-Chancellor

The Vice-Chancellor shall ensure the development and implementation of the policy.

3.3 Deputy Vice-Chancellor (PAF)

The DVC (PAF) shall oversee operationalization, implementation, monitoring and reporting on the policy.

The DVC will also ensure staff are aware of the policy and are adhering to it and guarantee that the results of the appraisal are applied by facilitating the necessary capacity-building initiatives, rewards, and sanctions as applicable.

3.4 Respective Performance Management Committees

The University shall establish the various Performance Management committees (Strategic Plan Implementation Committee, Performance Contracting Committee, Productivity Mainstreaming Committee, etc) for the various performance systems (tools) as required in the respective guidelines.

- (i) The Vice-Chancellor shall ensure the composition of the committee members are as required.
- (ii) The functions and terms of Reference (ToR) of the Committee shall be indicated in the appointment letters.
- (iii) The general TORs shall include;-
 - Coordinate Performance management processes in the University
 - Co-ordinate the achievement of the University performance targets
 - Monitor and evaluate the University's annual performance targets and
 - Prepare the University performance reports.

Note: The Vice-Chancellor shall ensure that no more than two-thirds of the members of the Performance Contracting Committee are of the same gender.

3.5 Registrar (PA)

The Registrar, Planning and Administration shall supervise performance management processes.

3.6 Coordinator Performance Management (Strategic Planning, Performance Contracting, Productivity Management)

The Coordinator performance management shall coordinate the development, approval, implementation, monitoring, evaluation, and reporting of performance management frameworks and tools including any other performance management processes assigned.

3.7 Human Resource Manager

Human Resources shall coordinate the development, approval, implementation, monitoring, evaluation, and reporting of the staff appraisal system.

3.7 Performance Management Secretariat

Performance Management Secretariat shall coordinate the performance management system in the university, provide technical support to the respective performance management Committees and units, monitor performance in the units, build the capacity of the units, submit draft quarterly reports to the UMB for approval and the approved reports to relevant agencies.

3.8 Heads of Departments

Heads of Department shall be responsible for the implementation of the policy which includes:

- (i) Ensure all staff in their sections familiarize themselves with the policy.

- (ii) Participate in setting University, Divisional and Section/Departmental goals
- (iii) Discuss the targets with staff and interpret the scores
- (iv) Sign the negotiated targets with the employee before implementation.
- (v) Effectively participate in the implementation of departmental performance activities and targets as appropriate.
- (vi) Demand high-level performance from staff members under their supervision
- (vii) To monitor, evaluate and give necessary reports as required
- (viii) Provide necessary feedback for improvement

3.9 Members of staff

Staff shall:

- (i) Familiarize themselves with the policy, and its relevant procedures and comply.
- (ii) Participate in the performance activities as applicable
- (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) Deploy creative and innovative ways to deliver the highest level of performance in all set targets.
- (vi) Implement the agreed targets and participate in regular reviews and evaluations during and at the end of the appraisal period.
- (vii) Give feedback on the process to the department for managerial decision-making.
- (viii) Accept feedback on your performance, this facilitates growth and improves productivity

4.0 Implementation

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

4.1 Effective Date

This policy takes effect upon approval by the University Council.

5.0 Review

The Policy shall be reviewed after every four (4) years for suitability and/or as the need arises.