



THE REPUBLIC OF UGANDA

# **STAFF PERFORMANCE APPRAISAL IN THE PUBLIC SERVICE**

## **Guidelines for Managers and Staff**

Ministry of Public Service

JULY 2007

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## 1.0 INTRODUCTION

Performance Appraisal is the assessment of performance of an individual in relation to the objectives, activities, outputs and targets of a job over a specific period of time. Good performance appraisal practice is beneficial to the organisation, the individual and the Public Service as a whole. Attainment of individual job objectives leads to attainment of organisational and overall Public Service objectives.

## 2.0 OBJECTIVES OF STAFF PERFORMANCE APPRAISAL

The objectives of staff performance appraisal are to:-

- (a) Determine the extent to which set performance targets are achieved;
- (b) Identify the development needs of the Appraisee with a view to developing his or her potential;
- (c) Increase officers' motivation;
- (d) Provide constructive feedback on performance; and
- (e) Improve staff performance.

## 3.0 PRINCIPLES OF STAFF PERFORMANCE APPRAISAL

The basic principles of the performance appraisal process for the Public

Service are:-

### (a) Fairness

The appraisal system shall be guided by impartial

and reasonable judgments or actions taken by the Appraisers and Appraisees devoid of personal biases.

- (b) **Transparency**  
The system shall be as open as possible giving room for explaining the reasons for the actions and inactions.
- (c) **Objectivity**  
Decisions on performance shall be based on facts and professional predictions rather than opinion.
- (d) **Openness and participatory**  
The process must be open and interactive to allow for the full involvement of the person being appraised.

#### **4.0 BENEFITS OF STAFF PERFORMANCE APPRAISAL**

- (a) Creates a link between organizational goals/objectives and the staff responsible for implementing them;
- (b) Enables the Ministry /Department /Local Government to identify current skills and actual performance gaps thus designing appropriate interventions;
- (c) Increases staff motivation, commitment to work and performance as a result of increased involvement and interaction between the Appraiser and Appraisee;
- (d) Enables the Appraiser and Appraisee to review past performance and plan for the future;

- (e) Offers an opportunity to the Appraisee to dialogue and obtain a feedback on performance;
- (f) Gives an opportunity to obtain objective information on performance which can be used in assignment of duties, promotion, training or rewarding good performers and remedial action for poor performance; and
- (g) Provides an opportunity to the Appraisee to openly discuss with the Appraiser the training and development requirements and other areas where further assistance is needed.

## **5.0 TO WHOM APPLICABLE**

The appraisal system applies to all Public Officers in the Central Government Public Service including Police, Prisons, Judicial Service, Health Service, Education Service as well as the Local Governments.

## **6.0 PERIOD OF ASSESSMENT**

This is the period for which performance is being assessed. This shall be 1<sup>st</sup> July to 30<sup>th</sup> June for confirmed officers in the Traditional Civil Service or every after six months for officers on probation or 1<sup>st</sup> January to 31<sup>st</sup> December for confirmed Teachers.

## **7.0 NUMBER OF COPIES**

Each Appraisee shall complete two copies of the form. For all staff in Central Ministries/Departments, a copy should be retained in the Ministry/Department and the other copy sent to the Ministry of Public Service. For all staff in a Local Government, one copy shall be retained in the Department and another kept in the Office of the Chief Administrative Officer or Town Clerk.

## **8.0 WHO QUALIFIES TO BE AN APPRAISER**

In order to be an Appraiser to any staff, one should have directly supervised him/her. In case the work situation does not provide for direct supervision, then one should have worked very closely with the Appraisee and has been authorised by the Head of Department or Responsible Officer to assess his/her performance.

## **9.0 DOCUMENTS TO BE REFERRED TO IN THE PERFORMANCE APPRAISAL PROCESS**

The documents to be referred to by both the Appraiser and Appraisee in the assessment process shall include the following:-

- (a) Policy Statement, strategic plan and performance plan for the Ministry, Department or Local Government;
- (b) Result Oriented Management (ROM) handbook;
- (c) Guidelines for Managers and Staff on performance appraisal;
- (d) The Performance Appraisal Forms;

- (e) The quarterly performance review forms;
- (f) The Performance Plan for the assessment period;
- (g) Previous year's completed Performance Appraisal Forms; and
- (h) Other documents the Appraiser and Appraisee may find necessary in obtaining facts, for example reports, minutes and memos.

## **10.0 THE PERFORMANCE APPRAISAL PROCESS**

The Performance appraisal process is divided into four major stages.

These are:-

- (a) Performance Planning
- (b) Performance Monitoring
- (c) Performance Assessment
- (d) Performance Improvement

### **10.1 Performance Planning (Setting Objectives, Outputs, Performance Indicators and Targets)**

#### **10.1.1 What is a Performance Plan?**

The performance plan establishes an officer's commitments for the assessment period. It is a record of the individual performance outputs, indicators and targets that contribute to the achievement of the organizational goals as set out in part B1 of the Performance Appraisal instrument. The performance plan offers the basis or framework against which individual performance outputs/ achievements shall be measured at the end of the assessment period.



Every public officer must have an individual performance plan, which shows clear link to the Ministry's/Department's/ Local Government's overall goals. The performance plan should be jointly developed and agreed between the Appraiser and Appraisee.

Public Officers shall use the format in Annex I to develop their performance plans.

### ***10.1.2 When to Develop a Performance Plan***

A performance plan shall be developed at the beginning of the assessment period immediately following the annual planning and budget cycle of the Ministry/Department/ Local Government for all Public Officers and within two weeks from the date of assumption of duty for newly deployed /recruited officers.

### ***10.1.3 Key Considerations when Developing a Performance Plan***

In developing an individual performance plan, consideration should be given to those elements that relate to one's area of responsibility, strategic objectives of the Department, Division, or Section and the available resources.

### ***10.1.4 Responsibility for Developing a Performance Plan***

The Appraisee shall develop an initial performance plan, which shall thereafter be jointly discussed and agreed upon with the Appraiser.

### **10.1.5 Key elements of the Performance Plan**

The key elements of the performance plan are:-

- (a) Job Descriptions (summary of duties);
- (b) Outputs;
- (c) Performance indicators;
- (d) Performance targets; and
- (e) The signatures of both the supervisor and supervisee

### **10.1.6 Elements of the key Outputs**

An output is a product or service delivered by an individual or organisation over which it has substantial control. The key outputs in the performance plan should:-

- (a) Meaningfully fit into the mandate and annual performance plan of the Ministry/Department/Local Government / Institution for that particular year;
- (b) Not be more than ten (10) and not less than five (5).
- (c) Reflect the obligations of the job and not the activities or duties;
- (d) Contain key words that describe: results, not means and or activities; and
- (e) Meet the **S.M.A.R.T** criteria.

**S - Specific – answers who, what, where, when, why, and how.**

**M - Measurable – establish concrete criteria. Ask questions like “how much? How many?” express the output either quantitatively or qualitatively so that achievement of the measure can be determined.**

**A - Achievable – the measure is challenging yet realistic and is within your capacity to accomplish. You have the responsibility, authority and resources to be accountable for the results.**

**R - Realistic or Result Oriented - the measure is stated primarily in terms of end results or outcomes, not just activities.**

**T - Time bound – must contain a time frame in which you desire a result.**

### ***10.1.7 Performance Indicator***

A performance indicator is a means to measure the progress of an individual over time towards achieving his/her output, usually expressed as an aspect of economy, efficiency or effectiveness.

Types of Performance measures are: Quantity, Quality, Cost, and Time.

### ***10.1.8 Performance Target***

A performance target is a benchmark or standard expected to be derived from the performance plan. Targets should be stated in measurable terms such as volume, time, units, cost, clients handled, reports, meetings etc.

### **10.1.9 Amendment to the Performance Plan**

- (a) The performance plan may be amended at any time during the Performance Appraisal process. This may arise as a result of some changes in the job/ duties/ responsibilities/key outputs.
  
- (b) Disagreements between the Appraiser and Appraisee over the amendment to the performance plan should be referred to the supervisor of the Appraiser or the Head of Department.

In preparing their performance plans, Public Officers are advised to refer to Annex II for the examples of outputs, performance indicators and targets.

### **10.2 Performance Monitoring**

The Appraiser has the responsibility of monitoring performance on a continuous basis throughout the year to ensure that activities in line with the agreed performance plan are on track and to provide advice and take remedial action in case of need. The Appraisee should also seek guidance in case of doubt. Critical events or outputs over the assessment period should be noted, by recording them.

In addition to continuous monitoring, the Appraiser shall organize quarterly reviews to discuss:-

- a) The work progress;
- b) Competences;
- c) Personal developments; and

d) Any other issues related to performance.

To ensure that managers keep track of individual performance, Quarterly Review Forms shall be used to document all the results using the format in Annex III. Incidents related to the Performance that stand out and contribute in a big way to the achievements of the targets/goals shall be recorded. At the end of the assessment period, the Appraiser and Appraisee shall use the results obtained to make a final assessment. Performance Appraisal files can be used to record critical performance outputs.

During the quarterly review, the Appraisee starts by giving an oral self assessment of the progress. He/she should explain how he/she has used the competencies to achieve the agreed outputs/targets. In case of any slippages, he/she should explain the reasons responsible for this and suggest possible solutions. The Appraiser then gives his/her view of the Appraisee's progress. There after, both the Appraiser and Appraisee discuss and agree what learning and development plans are needed to improve performance.

### **10.3 Performance Assessment**

#### ***10.3.1 When should performance assessment take place?***

Performance assessment shall take place at the end of the assessment period as below:-

- (a) Once every financial year by 15<sup>th</sup> June in the case of confirmed officers;

- (b) Every six (6) months with effect from the date of assumption of duty for officers serving on probation;
- (c) Once at the end of calendar year, for teachers by 15<sup>th</sup> December; and
- (d) At the end of a period of twelve months for Officers serving on contract terms of appointment.

### **10.3.2 How to Complete the Staff Performance Appraisal Form**

The process of performance assessment shall be initiated by the individual Public Officer by filling section A and B1 of the Performance Appraisal Form at the end of the Assessment period.

The performance Appraisal form has the following features:-

#### **(a) Preamble**

The preamble states the objectives of staff performance appraisal in the public service. It emphasizes the need to read the guidelines before filling the form.

Period of assessment indicated in the preamble is the period for which performance is being assessed for example 1<sup>st</sup> July 2004 to 30<sup>th</sup> June 2005.

**(b) Section A – Personal Information**

- (i) Name of the Appraisee  
The Appraisee should fill in his / her proper name tallying with the information appearing on his / her letter of appointment and personal information form. In case of change of names, Public Officers should observe the provisions of Government Standing Orders relating to change of names.
- (ii) The date of birth should be consistent with the dates captured on PSC Form 3 (Application Form for Employment) and the Personal Information Form.
- (iii) The Job title/rank and salary scale, should be as they appear on the most recent letter of appointment.
- (iv) The date of present appointment should be the date when the Appraisee assumed duty in the present appointment.
- (v) Under terms of employment, the Officer should indicate the terms of appointment whether probation / permanent / contract as specified in the present appointment.
- (vi) Name of the Appraiser should be the name of the person directly supervising the Appraisee.

### **(c) Section B**

This section should be filled by both the Appraiser and the Appraisee. At the beginning of each assessment period, the Appraiser and Appraisee will agree on the key outputs for the assessment period. The means by which performance shall be measured (Performance Indicators) and the minimum level of performance (performance targets) for each output shall be agreed upon. If in the course of the assessment period, other activities are assigned to the Appraisee, the outputs related to the new activities should be agreed upon and included immediately or at least before the end of the assessment period. It is recommended that the maximum number of outputs for each assessment period should not exceed 10.

At the end of the assessment period, an appraisal meeting should be conducted by the Appraiser. The Appraisee completes part B (1), before the appraisal meeting, by indicating the key outputs, performance indicators and targets agreed upon in the performance plan at the beginning of the assessment period. The Appraiser should complete part B (2), after the appraisal meeting. The assessment should reflect the jointly agreed position.

The assessment of the Individual outputs shall be reflected as a performance level under section B(2), this will be supported by relevant comments on performance under the same section. The performance levels shall be described as Excellent, Very Good, Good, Fair and Poor. In order to quantify the assessment, the performance levels shall be



awarded scores namely; 5 for excellent, 4 for Very Good, 3 for Good, 2 for Fair and 1 for Poor.

During the appraisal meeting, the Appraiser and Appraisee shall discuss and review performance in light of the outputs, indicators and targets agreed on in Section B. They will clearly identify the strengths (competencies in Section C) that enabled the outputs and targets to be met or the weaknesses that hampered their attainment. The identified strengths and weaknesses shall be taken into consideration while agreeing on outputs, indicators and targets for the next review period.

In filling this part, the Appraisee and Appraiser should be guided by the worked out examples in Annex II.

#### **(d) Definition of Performance Levels**

The performance levels under section B of the Performance Appraisal Form provide guidance in identifying the appropriate performance rating for an officer from among the five performance levels. They are used in relation to the achievement of the key performance outputs, listed under section B (1). The maximum points per performance level is five (5), where 5 is excellent, 4 – Very Good, 3 – Good, 2 – Fair, 1 – Poor.

#### **Excellent (5)**

- (i) This rating is reserved for those employees who produce results of excellent quality and who demonstrate a high level of productivity and timeliness. The employee is a model of excellence in both the results achieved and the means by which they are achieved.
- (ii) Performance at this level indicates that the employee has gone beyond the plan, i.e. has consistently achieved results beyond expectations for all key performance outputs, unless a supporting rationale exists for failure to meet a key output which could not be predicted, e.g. funding for a project removed.
- (iii) The resulting products or outcomes from work done or projects worked on have exceeded Unit/Division/Department/Ministry/Local Government expectations and have resulted in improved results for the Unit/Division/Department/Ministry/Local Government. This include:
- Volunteering and commitment to work on organizational tasks/assignments/committees.
  - Mentoring/coaching new staff
  - Being a model for knowledge sharing and/or horizontal policy development/service delivery
  - Identifying and executing money-saving/time- saving efficiencies
- (iv) This may have been through developing streamlined or innovative processes, taking particular initiative

or excellent management of material, financial and human resources such that the impact went beyond the employee's expected sphere of influence.

- (v) Strong teamwork and leadership have contributed to achievement of a goal. This has led to ongoing positive working relationship with peers, subordinates, partners and clients in such a way that results for the Unit/Division/ Department/ Ministry/Local Government are enhanced.

### **Very Good (4)**

- (i) Performance at this level indicates that the employee has met all key performance commitments, unless a supporting rationale exists for failure to meet a key commitment which could not be predicted e.g. funding for a project removed.
- (ii) This rating indicates that the employee consistently meet expectations for the results achieved and the means by which they are achieved.
- (iii) Performance meets expectations for quality and timelines, with attention to the impact on achievement of organizational results for the Unit/ Division/ Department/Ministry/Local Government taking into account both short- and long-term impacts. Demonstrates independence, i.e. not requiring ongoing direction or re-direction.
- (iv) Performance commitments have been carried out while maintaining positive working relationships

with peers, subordinates, partners and clients and with effective management of material, human and financial resources.

### **Good (3)**

- (i) While the employee may have met key performance commitments, he/she requires support in the means by which the commitments were met. For example:
- The employee has managed some, but not all, of the issues related to achievement of the result or product, e.g. ongoing management of the process or result may be difficult.
  - Demonstrates lower level of independence requiring higher than usual supervision, direction or re-direction.
  - While the employee has managed relationships well with clients/stakeholders for the most part, the clients/stakeholders are not fully engaged; ongoing coordination may not be fully effective.
  - The means by which results have been achieved are not well aligned with other work at the unit/Division/Department/Ministry/Local Government.
- (ii) Performance at this level indicates that the employee

has delivered on the majority of the key performance commitments expected for the position; however, the key performance commitment(s) not achieved do not have a supporting rationale for inability to meet the commitment(s). The employee has met most expectations in terms of the quality produced, has met most deadlines and for the most part has demonstrated effective management skills.

- (iii) The employee may be learning in a new position or adjusting to changed position expectations, and has not been able to achieve the results expected.

## **Fair (2)**

- (i) Performance at this level indicates that the employee has met some key performance commitments without a supporting rationale for inability to meet all commitments. Some indicators of performance at this level include:
  - Majority of the key performance commitments have not been met, without a supporting rationale, either as a result of inadequate results or lack of quality or timeliness.
  - Ineffective methods have been used in carrying out the project/work such that ineffective results were achieved or issues were not managed.
  - Work relationships with peers,

subordinates, partners and/or clients have been detrimental to the achievement of the project or organizational goals, or such that customer needs were not met.

### **Poor – (1)**

- (i) The Appraisee has not achieved most of the agreed targets and without supporting rationale for not achieving them. Some indicators of performance at this level include:-
- Almost all key performance commitments have not been met, without a supporting rationale.
    - Ineffective methods have been used in carrying out the work/project.
    - Work relationships with peers, subordinates, partners and/or clients have been detrimental to the achievement of results.

### **Overall Performance Assessment**

The scores at each performance level shall be added and the total divided by the total number of outputs. The average of the scores obtained shall be the overall assessment.

### **(e) Section C - Assessment of Competencies**

Competencies are specific and observable knowledge, skills and behaviors that are associated with effective functioning of the job.

This section is intended to measure the presence or absence of (and to what level) core competencies of an individual Public Officer that enable achievement of the performance plan in Section B.

Although this section is filled by the Appraiser, the Appraisee should be given an opportunity to assess his competencies during the Appraisal meeting.

The level of rating in this section should be used to determine the learning and development plan in Section D.

Appraisers should endeavour to indicate the work-related examples in the comments column to support their rating, for example, if an Appraisee is given 5 in integrity, an example should be indicated when the officer exhibited this competency.

## **(f)Section D – Action Plan to Improve Performance**

Under this Section, the Appraiser and Appraisee, taking into consideration the Appraisee's required job competencies and identified performance gaps, shall develop an action plan to improve performance.

The Action Plan sets out a course of action for getting the knowledge, skills and competencies, which the employee shall require to improve performance and achieve career objectives. The Action plans shall also reflect the needs of

Ministry/Department/Local Government and employees to address needs identified during quarterly performance reviews in order to achieve organisational goals.

The Action Plans shall include, but will not be limited to, coaching, training, attachments, mentoring and close supervision. The plans shall take into account competency profiles and schemes of service for specific jobs and shall be linked to the organisational goals.

**(g) Section E – Comments, Recommendations and Signatures**

This section is to be completed by the Appraisee, Appraiser and the Counter Signing Officers. It is a confirmation that the appraisal meeting took place and that there was agreement or if there was disagreement, it was resolved. It is also confirmation that the action plan to improve performance was discussed and agreed upon. The Appraisee / Appraiser / Countersigning Officer should use this section to comment about the job, career and any other relevant information.

**10.3.3 How to conduct the Performance Appraisal Meeting**

At the end of the assessment period, an appraisal meeting between the Appraisee and Appraiser shall be held. The objective of the appraisal meeting is to: -



- (a) Review performance in light of the objectives, outputs, targets and indicators, as agreed in the performance plan;
- (b) Identify the strengths that enabled the Appraisee achieve his/her targets and or the weaknesses that hampered their attainment; and
- (c) Develop an action plan to improve performance.

## **Dos and Don'ts during an Appraisal Meeting**

In conducting an appraisal meeting, there are practices, which are encouraged and those that are discouraged.

### **(a) Dos of the Appraiser**

- (i) Prepare and share with the Appraisee a copy of the Appraisal Form;
- (ii) Be honest and open to the Appraisee;
- (iii) Be familiar with the Appraisal Instrument and help the Appraisee;
- (iv) Provide a conducive climate for the appraisal meeting;
- (v) Make the appraisal a positive experience;
- (vi) Attack problems, not the Appraisee;
- (vii) Be a good listener;
- (viii) Seek the Appraisee's input;
- (ix) Agree on the performance plan and performance improvement plan with the Appraisee;

- (x) Help the Appraisee to improve performance; and
- (xi) Provide immediate constructive feed back on performance.

**(b) Don'ts of the Appraiser**

- (i) Become emotional and argumentative during the appraisal meeting;
- (ii) Use stereotype judgment;
- (iii) Dominate the appraisal meeting;
- (iv) Use the appraisal interview to settle a personal grudge with your subordinate;
- (v) Be afraid to draw attention to short comings, but do it in a constructive way;
- (vi) Push the process by treating it as an unwanted chore;
- (vii) Take the easy way out and rate every one as "average"; and
- (viii) Delay in completing the paper work.

**(c) The Dos of the Appraisee**

- (i) Prepare properly for the appraisal interview;
- (ii) Complete part of the Paper work;
- (iii) Draw to the attention of the Appraiser to any obstacles of performance;
- (iv) Ensure that an action plan to improve performance is drawn up;
- (v) Accept justifiable criticism;
- (vi) Be open and honest with the Appraiser, and
- (vii) Accept feedback on performance.

## **(d) Don'ts of the Appraisee**

- (i) Be defensive unnecessarily;
- (ii) Be driven by emotions;
- (iii) Be rude;
- (iv) Delay paper work;
- (v) Fear to seek for support from your Appraiser;  
and
- (vi) Be dishonest with yourself.

## **Actions after the Appraisal Meeting**

After the appraisal meeting, the Appraiser shall:-

- (a) Complete his/her part of the assessment form within one week following the appraisal meeting;
- (b) Send a copy to the Appraisee to read and sign and follow up with the Appraisee if agreement cannot be reached or a further meeting is needed to resolve any issues;
- (c) Arrange for the assessment form to be countersigned;
- (d) Ensure that the agreed assessment forms are delivered to the authorised Officer;
- (e) Ensure all training and development needs are planned and met. Integrate if other staff have similar training needs;
- (f) Continue to provide support to the appraisee in meeting his/her objectives; and

- (g) Agree on the performance plan for the next review period using the format at Annex I.

## **10.4 Performance Improvement**

### **10.4.1 Managing Individual Performance Gaps**

When the Appraiser realizes that one of the expected results defined in the Appraisee's performance plan was not achieved, the Appraiser must first determine if non achievement is a result of Appraisee's individual performance or general organizational factors, such as changes in priorities, reorganization or restructuring initiatives.

In the context of individual performance appraisal, if non achievement is the result of an organizational factor, it does not constitute a performance gap. Only non achievements that result from individual performance and where circumstances impacting achievement were within the Appraisee's control constitute a performance gap that the Appraiser should explore and address.

### **10.4.2 Key Issues to Managing Performance Gaps**

- There is need for the Appraiser to carry out an analysis to: -
- (a) Confirm whether the disparity between the set performance target and actual achievement constitute a real performance gap;
  - (b) Determine whether the performance gap is significant and relevant;
  - (c) Identify the root cause of non performance;

- (d) Confirm whether non performance is the result of culpable or non culpable behavior;
- (e) Find out the legal or policy requirements / implications of the identified source of non performance. Every time a performance gap is identified, the Appraiser should consult the Personnel Office and consider all the regulations that may have an impact on the Appraiser's course of action.

Once a performance gap has been identified: -

- (a) The Appraiser and the Appraisee should sit and agree upon a remedial measure which may include coaching, training and motivation.
- (b) The Appraiser should implement improvement initiatives, provide ongoing monitoring and support to the Appraisee.
- (c) The Appraiser should discuss any problems of poor performance with the Appraisee as soon as he/she notices it and work with the Appraisee to resolve it by exploring the source of the problem and trying to resolve it. The quality of performance or performance level should be part of the regular periodic review during the assessment period. The Appraisee and Appraiser should avoid a situation where issues of poor performance are raised at the end of the assessment period.
- (d) Initiatives or a programme to improve performance should be developed and integrated into the action plan. The Appraiser should ensure that the

necessary follow up actions are undertaken to ensure performance improvement.

- (e) The Appraiser should avoid pointing out only faults but should also point out the appraisees' strong points and encourage him / her to even do better.

### **10.4.3 Causes of Poor / Non performance**

Causes of non performance may vary, but in general can be categorized into two basic categories, the non-culpable and culpable behavior.

#### **(a) Culpable behaviors**

Culpable behavior applies to an Appraiser who, while possessing the ability, qualifications, training, knowledge of rules and performance standards, is unwilling to meet the required standard of performance and conduct for his/her position. Appraisees who exhibit negative culpable behaviors shall be subject to progressive discipline as a means to correct their unwanted behavior and improve their performance. Examples of culpable behavior include:-

- (i) Insubordination;
- (ii) Disorderly conduct /assault;
- (iii) Absenteeism / Absence from duty without due permission;
- (iv) Late coming;
- (v) Misappropriation of government assets / properties;
- (vi) Destruction of property;
- (vii) Reporting for duty when drunk;
- (viii) Moonlighting;

- (ix) Unwilling to meet performance standards; and
- (x) Theft.

Appraisees whose performance falls short of expected standards as a result of culpable behaviors also require support and guidance from the Appraiser in order to improve performance, but are subject to different levels of discipline. In situations where an Appraisee fails to meet the performance standards, the culpable behavior should be addressed following the disciplinary procedures for the Public Service.

## **(b) Non culpable behaviors**

Non culpable behaviors apply to an Appraisee who, despite all his/ her effort at improving performance or conduct, is genuinely unable to meet the required performance standards due to factors outside his/her control. An Appraisee whose failure to perform is non culpable is not subject to progressive discipline. Rather such employees should receive all the help the Appraiser is able to provide, such as training, mentoring, coaching, attachments, provision of resources, rotation etc. Examples of non culpable behavior include:-

- (i) Illness;
- (ii) Disability;
- (iii) Lack of skills;
- (iv) Lack of resources;
- (v) Lack of training; and
- (vi) Personal problems.

In cases where non culpable behavior is a result of a disability, the Appraiser is obliged to provide the Appraisee with the necessary support and also to define the performance standards in accordance with the particular circumstances of the Appraisee.

## **11.0 FEEDBACK AND FOLLOW UP ACTION**

At the end of the assessment period, the Head of Personnel section should notify all staff as to whether their appraisal forms have been completed, received, and filed. He/she may, from time to time, access the folder in case of need to analyse the information for purposes of Human Resource Development or for any follow up action. The appraisal files will also be used in making relevant recommendations to relevant Service Commissions. In that regard, individual staff should be informed of the movement of their folders.

## **12.0 SENDING TO RELEVANT AUTHORITIES AND ENSURING SAFE CUSTODY**

After the form has been signed off, the Head of Personnel Section in the Ministry / Department / Local Government should ensure that a copy is sent to the relevant authority, in this case the Ministry of Public Service. The copy for the Ministry or Local Government should be filed in the Performance Appraisal Report Folder of the individual Officer and securely kept in lockable filing cabinets.



## 13.0 ROLES AND RESPONSIBILITIES IN THE PERFORMANCE APPRAISAL PROCESS

### 13.1 The Appraisee

- (a) Participate in the development of a Performance Plan;
- (b) Execute his/her duties in line with the agreed performance plan and the relevant regulations and the Code of Conduct and Ethics for the Public Service;
- (c) Seek guidance and or clarification whenever needed;
- (d) Prepare for the appraisal meeting by completing the Appraisee section of the Performance Appraisal form, referring in particular to the previous year's jointly agreed objectives and action plan;
- (e) Make notes of issues he/she wishes covered during the appraisal meetings;
- (f) Effectively participate in the appraisal meetings;
- (g) Agree with the Appraiser on the performance plan of the following assessment period;
- (h) Ensure that he/she receives the final assessment forms, reads through and; signs and return to the Appraiser if in full agreement. (If agreement cannot be reached the Appraiser's line manager should be consulted);
- (i) Ensure that all agreed training and development objectives are met; and

- (j) Objectively determine any competency gaps that need to be addressed.

## **13.2 The Appraiser**

- (a) Develop a Performance plan;
- (b) Offer guidance, coach and mentor the Appraisee;
- (c) Provide the Appraisee with relevant resources and documentation;
- (d) Conduct periodic performance review meetings, make notes on Appraisee's achievements, areas of improvement and circumstances that may have affected performance;
- (e) Guide the Appraisee in filling the staff performance appraisal form;
  
- (f) Invest enough time and effort in managing performance throughout the year – not just at the quarterly reviews;
  
- (g) Encourage Appraisee to take ownership of his/her own performance and development, and provide support as needed;
  
- (h) Give regular, honest and constructive feedback on the Job Holder's performance, by recognizing good performance and challenging and managing poor or unacceptable performance as they occur;
  
- (i) Keep the line manager informed of the Appraisee's performance;

- (j) Hold career discussions with the Appraisee as needed;
- (k) Schedule the appraisal meeting well in advance to ensure that both Appraiser and Appraisee have time to prepare;
- (l) Identify a convenient place to hold the appraisal meetings with Appraisee and ensuring that the environment is suitable and there will be no interruptions; and
- (m) Evaluate performance based on relevant and specific examples for discussion.

### **13.3 The Head of Department**

- (a) Ensure that there is a designed, relevant and implemented performance plan for each officer in the department;
- (b) Assist in resolving disputes between Appraiser and Appraisee;
- (c) Review the Performance Plan whenever necessary;
- (d) Ensure that the different levels of performance are recognized; and
- (e) Hold career discussions with the Appraisee and Appraiser as need may arise.

### **13.4 The Head of Personnel Section in a Ministry / Department/Local Government**

All Ministries/Departments/Local Governments should have a Senior Officer who acts as the Performance Appraisal Coordinator. This should be the Head of the Personnel Section of a Ministry /Department or Local Government. Among other roles, his/her responsibilities should include:

-

- (a) Focal Point Officer and ensuring that all staff are trained in Staff Performance Appraisal;
- (b) Establishing a timetable within the Ministry / Department or Local Government for the completion of the appraisal forms and to provide the Appraisers and Appraisees with the appropriate documentation;
- (c) Maintaining an up to date record of the process, tracking the movement of forms and following up staff and Managers who fail to complete the appraisal on time;
- (d) Ensuring that the performance appraisal process is completed within the agreed timetable and that all the necessary paperwork is properly filed;
- (e) Providing training and guidance on Performance appraisal as and when it may be required; for example for newly promoted, deployed and recruited Officers;

- (f) Ensuring that the training needs for the Ministry/ Department / Local Government as reflected in the individual action plans are collated for appropriate action; and
- (g) Acting as the liaison person between the Ministry / Department / Local Government and the Ministry of Public Service, which has corporate responsibility for managing performance of Public Officers.

### **13.5 The Responsible Officer**

As the Chief Executive of a Ministry / Department or Local Government, the Permanent Secretary or Chief Administrative Officer / Town Clerk has the overall responsibility of ensuring that the objectives and outputs of the Ministry or Local Government are met. He/she should also ensure that all staff are appraised in terms of their individual contribution to the attainment of those objectives and outputs. The Responsible Officer is therefore expected to:

- (a) Ensure that realistic overall Annual objectives, targets and outputs are set;
- (b) Monitor overall progress of activities and ensure fair and equitable facilitation of all Departments;
- (c) Ensure availability of Appraisal Instrument;
- (d) Assess the performance of Senior Staff, directly under

his/her supervision in the Ministry/Department / Local Government;

- (e) Countersign forms for all the Officers in a Ministry / Department or Local Government or appropriately delegate the responsibility;
- (f) Ensure that appraisal forms for all officers in the Ministry / Department and Local Government are completed by 31<sup>st</sup> July every Financial Year in the case of Officers in the traditional Public Service and 31<sup>st</sup> January in the case of teachers and every end of twelve (12) months for Officers on Contract. And that the completed forms are sent to the relevant Service Commissions as and when required;
- (g) Ensure that all Appraisers and Appraisees are trained in performance appraisal;
- (h) Ensure that good performance is recognized and rewarded appropriately and remedial action is taken in case of poor performance; and
- (i) Seek clarification from the Ministry of Public Service on any emerging issues on staff performance appraisal.

### **13.6 The Ministry of Public Service**

The Ministry of Public Service has overall responsibility in monitoring and evaluating the management of the performance appraisal system in the Public Service. It will specifically undertake the following:-

- (a) Keep the framework of principles and other documentation under review and suggest any necessary changes to improve the system, in consultation with other stakeholders;
- (b) Sensitizing Public Officers on the need to carry out Performance Appraisal;
- (c) Monitor the management of the appraisal process and paperwork in all Ministries and Local Governments so as to ensure that it is in accordance with the basic Principles;
- (d) Offering Technical support and assistance when ever necessary;
- (e) Training Public Officers in conducting Performance Appraisal; and
- (f) Offering clarification on any emerging issues

## 14.0 REWARDS AND SANCTIONS

The Performance Appraisal assessment shall be used in rewarding good performance and disciplining poor performance in the Public Service. It is the role of Appraisers and line managers to ensure that employees are well facilitated in order to perform their duties with the highest standards of professional and ethical competence and integrity. Officers shall be rewarded for outstanding contribution towards achievement of corporate goals or innovation in accordance with the Reward and Recognition Scheme for the Public Service. Officers who will not perform to the agreed standards will be subjected to disciplinary action in line with the relevant regulations for the Public Service.

## 15.0 FREQUENTLY ASKED QUESTIONS

### (a) **What happens when there is a disagreement between the Appraiser and Appraisee?**

If the Appraiser and the Appraisee disagree about any element of the appraisal, the Appraiser's line manager should be consulted to help resolve the issue. If the line manager is not able to resolve the issue, it should be forwarded to the supervisor of that line manager and finally to the Responsible Officer for the Ministry/ Department or Local Government who should conclude the matter. In case the disagreement is between the Chief Executive of a Ministry / Department or Local



Government and a Head of Department or Director, arbitration may be sought from the Head of Public Service. In case the disagreement is between the Chief Administrative Officer or Town Clerk and the Head of Department, arbitration may be sought from the Chairperson of the District Service Commission. In either case the disagreement should be clearly documented.

**(b) What happens when the Appraisee is transferred?**

An Appraisee who is transferred after three months, should have a formal performance review with the former Appraiser within four weeks of leaving, following the Performance Appraisal Form. If the Appraisee has served 9 months or more, the performance review stands as final one for that reporting year. The performance review for the new post will cover the period from the start of the job until the end of the next reporting period, which will be more than twelve months.

**(c) What happens when the Appraiser is transferred or Leaves the Service?**

An Appraiser, who is transferred or leaves the job after at least three months' of the review period, should complete a formal Performance Appraisal process for all staff before leaving (and at least within four weeks of leaving). If the review period is 9 months or more,

the performance review stands as the final one for that reporting year. The new Appraiser's Performance review will cover the period from the change of the Appraiser until the end of the next review period which will often be more than twelve months.

**(d) What happens if the Reporting period is less than three months?**

If the reporting period is less than 3 months, the departing officer should carry out formal performance reviews before leaving and ensure a record is made using the Periodic Review Form in Annex III. Both Appraisers' comments shall be used in the End – Year Performance Appraisal.

**(e) What happens when the Appraisee is on study leave or leave without pay?**

The Appraisee is not expected to fill the performance appraisal instrument. However, the Appraisee should submit progressive reports on his/her study or work while on leave without pay. On return, the officer should agree on a performance plan with the Appraiser within two weeks of reporting.

**GOVERNMENT OF UGANDA**

*(This form should be filled at the beginning of the assessment period)*



**PERFORMANCE PLAN**

Period of Assessment..... to.....

Name of Appraisee.....

Job Title/Rank..... Salary Scale.....

Job Description (summary) .....

.....

| OUTPUT | PERFORMANCE INDICATORS | PERFORMANCE TARGETS |
|--------|------------------------|---------------------|
| 1      |                        |                     |
| 2      |                        |                     |
| 3      |                        |                     |
| 4      |                        |                     |
| 5      |                        |                     |
| 6      |                        |                     |
| 7      |                        |                     |
| 8      |                        |                     |
| 9      |                        |                     |
| 10     |                        |                     |

Signature of Appraisee ..... Date .....

Name and Signature of Appraiser.....Date.....

## Annex II

### WORKED EXAMPLES OF OUTPUTS, PERFORMANCE INDICATORS AND PERFORMANCE TARGETS FOR SELECTED POSTS IN THE PUBLIC SERVICE

**Annex II** contains worked examples of outputs, performance indicators and performance targets for selected jobs in the Public Service. This should work as a guide to the Appraiser and Appraisee during performance planning. Individual officers should develop job specific performance outputs, indicators and targets that conform to the standards and regulations of their various sectors.

| <b>SENIOR ASSISTANT SECRETARY, SCALEU3</b> |   |  |
|--|---|--|
| <b>Outputs</b>                             | <b>Performance Indicators</b>   | <b>Performance Targets</b>   |
| Periodic reports prepared and submitted.   | Time taken to produce and submit report(s).<br>Number of reports prepared against plan.<br>Quality of reports prepared and submitted. | Periodic reports prepared and submitted 1 week after completion of the activity.<br>All reports conform to the given format. |
| Staff performance assessed.                | Staff performance assessed by a given date.<br>Number of staff expressing satisfaction with the appraisal process.                    | All staff assessed by end of each assessment period.<br>All staff satisfied with the appraisal process.                      |
| Minutes of staff meetings taken.           | Time taken to compile minutes.  | Minutes compiled and submitted 3 days after the end of each meeting.   |
| Data for public speeches compiled.         | Completeness of the data collected.<br>Time taken to compile data.  | Data for public speeches collected and integrated into the speech 3 days before date for presentation.                       |
| Government policies implemented.           | Policies implemented by a given date.   | Policies implemented within the set time frame.  |

|   |   |   |
|---|---|---|
| Public funds and other resources accounted for. | Accountabilities made by a given date. Completeness and correctness of the accountabilities.  | Complete accountability for funds made 2 weeks after the completion of the planned activities. Nil audit queries.   |
| Technical advice tendered.                      | % of the public satisfied with the technical advice.<br>Time taken to offer technical advice. | 100% of the public satisfied with the technical advice.<br>Technical advice of a verbal nature offered within 30 minutes.<br>Technical advice of a written nature offered within 5 days from date of receipt. |
| <b>SENIOR ENGINEER, SCALE U3</b>                |   |   |
| <b>Outputs</b>                                  | <b>Performance Indicators</b>   | <b>Performance Targets</b>  |
| Bills of quantities compiled.                   | The BOQ produced conforms to the set standards.<br>BOQs produced by a set date.               | All BOQs produced according to set standards and produced 1 week before the set deadline.   |
| Roads, bridges and others structures designed.  | Roads, bridges and other structures designed in accordance with the agreed standards.         | All roads, bridges and other structure designed according to set standards (specify the standards).   |
| Bid documents prepared.                         | Bid documents prepared by a given date.<br>Bid documents conform to the given standards.      | All bid documents prepared by the set deadline (specify).<br>All bid documents conform to the standards (specify)   |

|   |   |   |
|---|---|---|
| Tender documents evaluated.                 | Evaluation done by a set date.<br>Evaluation based on the agreed standards.                 | All evaluation done by the set date and based on the agreed standards.                          |
| Construction work inspected and supervised. | Construction work conform to the set standards  | All construction work conforms to the set standards.  |
| Quarterly activity reports compiled.        | Reports compiled by a given date  | All reports compiled 1 week after the end of each quarter.                                      |
| Staff trained                               | Number of staff trained against plan and budget.<br>% of staff satisfied with the training. | Number of staff trained against plan and budget.<br>All staff satisfied the training delivered. |

| <b>MEDICAL OFFICER, SCALE U4</b>       |  |   |
|--|--|---|
| <b>Outputs</b>                         | <b>Performance Indicators</b>  | <b>Performance Targets</b>  |
| Patients diagnosed and treated.        | Percentage of patients treated according to the treatment plan.<br>Diagnosis and treatment meets the set standards.<br>Patient waiting time. | 90% of patients diagnosed and treated according to the treatment plan.<br><br>Patients attended to within 30 minutes from time of arrival.        |
| Work plans and budgets prepared.       | Work plans and budgets prepared by a set date.<br>Work plans and budgets based on the agreed format and standard.                            | Work plans and budgets prepared and submitted 1 week before the set deadline.<br>Work plans approved.   |
| Patients counselled.                   | Number of patients counselled.<br>% of patients expressing satisfaction with the counselling sessions  | All patients who seek counselling services are attended to within the set time frame.<br>90% of patients satisfied with the counselling services. |
| Health workers trained.                | Number of health workers trained against plan.   | Health workers trained in accordance with plan and budget.<br>80% of the Health Workers satisfied with the training.                              |
| Medical data collected and analyzed.   | Completeness, timelines and correctness of the data.   | A complete medical data in place two weeks after data collection and analysis.  |
| Health education outreach carried out. | Number of health outreaches conducted according to plan.   | All health outreaches conducted.  |

|   |  |   |
|---|--|---|
| Performance of health workers assessed.       | Staff performance assessed by a given date.<br>Number of staff satisfied with the appraisal process. | 95% of staff assessed by the end of assessment period.<br>All staff satisfied with the appraisal process.<br>90% of the work plans implemented. |
| <b>ACCOUNTANT, SCALE U4</b>                   |  |   |
| <b>Outputs</b>                                | <b>Performance Indicators</b>  | <b>Performance Targets</b>  |
| Cash flow statements prepared.                | Cash flows prepared in line with agreed format.<br>Time taken to prepare cash flow statements.       | Cash flow statements prepared by agreed format and a set date.  |
| Monthly and quarterly reports produced.       | Reports produced by at set dates.<br>Quality of the reports conform to the set standards             | Reports produced 1 week after the end of each month and quarter.<br>All reports conform to the set standard.                                    |
| Audit queries answered.                       | Audit queries answered within a set time frame.  | Audit queries answered within two weeks of receipt.   |
| Departmental work plans and budgets prepared. | Work plans and budgets prepared by a given date.   | Work plans and budgets prepared and submitted 1 week before the set deadline.<br>Work plans reflect the priorities of the department.           |
| Payment vouchers prepared.                    | Time take to prepare payment vouchers.<br>Completeness of the payment vouchers.                      | Vouchers prepared 1 week before payment date.<br>Error free vouchers  |



|   |   |   |
|---|---|---|
| Final accounts produced.                                | Final accounts produced by a set date.<br>Final accounts based on an agreed format. | Final accounts produced and submitted within the 1 <sup>st</sup> quarter of the new financial year.<br>Final accounts conform to agreed format. |
| <b>PERSONAL SECRETARY, SCALE U4</b>                     |   |   |
| <b>Outputs</b>  | <b>Performance Indicators</b>   | <b>Performance Targets</b>  |
| Accurate and error-free work presented.                 | Time taken to present the error-free work.  | Error-free work produced within 1 hour.   |
| Office diary kept up-to date.                           | Appointments followed up in line with the diary.                                    | All appointments fulfilled in accordance with the diary up date.  |
| Mail and other correspondences received and dispatched. | Time taken to despatch mail.  | Correspondences despatched within 1 day from the date of signature.   |
| Records managed.  | Time taken to retrieve and forward records to action officers.                      | Records retrieved and forwarded for action within 10 minutes.   |
| Letters of routine nature drafted.                      | Time taken to draft letters.<br>Quality of the letters drafted.                     | Letters of routine nature drafted within 10 minutes.<br>The supervisor satisfied with all drafts.   |

|   |  |   |
|---|--|---|
| Documents for meetings and speeches produced.       | Documents produced within set time frame.  | Documents produced and circulated 1 day before the meeting.   |
| Stationery and equipment requisitioned and managed. | Stationery and equipment requisitioned within the set time frame   | All requisitions made within 2 weeks.   |
| Clients attended to.                                | Time taken to attend to clients.<br>Quality of customer care   | Callers attended to in person or on telephone within 15 minutes.<br>Callers attended to with courtesy                         |
| <b>ASSISTANT EDUCATION OFFICER, SCALE U5</b>        |  |   |
| Schemes of work (SOW) prepared.                     | Time taken to prepare schemes of work.<br>Quality of the schemes of work prepared and submitted.                 | SOW prepared and submitted within the first week of January.<br>Schemes of work conform to the given format.                  |
| Teaching aids prepared.                             | Time taken to prepare teaching aids.   | Teaching aids prepared at least 1 day before lessons are conducted  |
| Lessons plans prepared.                             | Time taken to prepare lesson plans.<br>Lesson plans based on the agreed format.                                  | Lessons plans prepared before each lesson is conducted.   |
| Lessons conducted                                   | Time taken to conduct lessons.<br>No. of lessons conducted vs plan.<br>% of students satisfied with the lessons. | Lessons conducted within the set time<br>All lessons conducted according to plan<br>All students satisfied with the teaching. |

|   |  |  |
|---|--|--|
| <p>Career Guidance and counselling services provided.</p> | <p>% of students expressing satisfaction with the guidance and counselling services.<br/>Number of students offered career guidance and counselling.</p> | <p>90% of students satisfied with guidance and counselling services.<br/>All students seeking guidance and counselling services attended to within the set time frame.</p> |
| <p>Evaluate learning by students</p>                      | <p>Student learning evaluated according to set standards.</p>  | <p>All learning promptly evaluated.</p>  |
| <p><b>DRIVER, SCALE U8</b></p>                            |  |  |
| <p>Vehicle driven as assigned.</p>                        | <p>Vehicle driven in line with the time schedule</p>   | <p>Consistent and clean driving record.<br/>Supervisors satisfied.</p>   |
| <p>Vehicle maintained and minor repairs carried out.</p>  | <p>Quality of the repairs and maintenance carried out.</p>   | <p>Vehicle maintained according to set standards.</p>  |
| <p>Major mechanical faults reported.</p>                  | <p>Time taken to report major mechanical faults.<br/>Condition of the vehicle.</p>   | <p>Major mechanical faults reported within 1 hour from discovery.<br/>Vehicle kept in sound mechanical condition</p>   |
| <p>Basic vehicle records maintained.</p>                  | <p>Records maintained according to the set standards.</p>  | <p>All records maintained according to set standards.</p>  |
| <p>Vehicle kept clean.</p>                                | <p>Cleanliness of the vehicle.</p>   | <p>Vehicle kept clean and tidy at all times.</p>   |

**QUARTERLY REVIEW FORM**

Period of Assessment.....

Name of Appraisee.....

Name of Appraiser.....

| <b>Output</b> | <b>Performance Indicator</b> | <b>Targets</b> | <b>Progress made since the last meeting</b> | <b>Consensus/<br/>Areas for Improvement</b> |
|---------------|------------------------------|----------------|---|---|
|               |                              |                |   |   |

Signature of Appraisee..... Date.....

Signature of Appraiser..... Date.....



THE REPUBLIC OF UGANDA

STAFF PERFORMANCE APPRAISAL FORM FOR THE PUBLIC SERVICE
Uganda Government Standing Orders Section A-e

Preamble

Staff Performance Appraisal is part of the Performance Management System for the Public Service of Uganda. It is used as a management tool for establishing the extent to which set targets within overall goals of the organization are achieved.

The Appraiser and Appraisee are therefore, advised to read the detailed guidelines before filling this form.1

Period of Assessment: [DD][MM][YY] To [DD][MM][YY]
From [ ][ ][ ][ ][ ][ ]

SECTION A: PERSONAL INFORMATION (To be filled by the Appraisee)

Name of the Appraisee .....

Date of Birth [DD][MM][YY]
[ ][ ][ ][ ][ ][ ]

Job Title/Rank..... Salary scale .....

Date of present appointment [DD][MM][YY]
[ ][ ][ ][ ][ ][ ]

Terms of employment (Probation, Permanent, Contract.....

Name of the Appraiser .....

JobTitle/Rank.....Salaryscale .....

Ministry/ Department/ Local Government/Institution .....

Department.....Division.....

## SECTION B: ASSESSMENT OF THE LEVEL OF ACHIEVEMENT

This section should be filled by both the Appraiser and the Appraisee. At the beginning of each assessment period, the Appraiser and Appraisee will agree on the key outputs for the assessment period. The means by which performance shall be measured (Performance Indicators) and the minimum level of performance (performance targets) for each output shall be agreed upon. If in the course of the assessment period, other activities are assigned to the Appraisee, the outputs related to the new activities should be agreed upon and included immediately or at least before the end of the assessment period. It is recommended that the maximum number of outputs for each assessment period should not exceed 10.

At the end of the assessment period, an appraisal meeting should be conducted by the Appraiser. The Appraisee completes part B (1), before the appraisal meeting, by indicating the key outputs, performance indicators and targets agreed upon in the performance plan at the beginning of the assessment period. The Appraiser should complete part B (2), after the appraisal meeting. The assessment should reflect the jointly agreed position.

The assessment of the individual outputs shall be reflected as a performance level under section B(2), this will be supported by relevant comments on performance under the same section. The performance levels shall be described as Excellent, Very Good, Good, Fair and Poor. In order to quantify the assessment the performance levels shall be awarded scores namely; 5 for excellent, 4 for Very Good, 3 for Good, 2 for Fair and 1 for Poor. Right after the table below is a detailed description of the performance levels.

| <b>B(1) Agreed Key Outputs, Performance Indicators and Targets</b> |   | <b>B(2) Agreed Assessment of Performance between the Appraiser and the Appraisee</b> |                          |                                |
|--|---|--|--------------------------|--------------------------------|
| <b>Key Outputs</b>   | <b>Performance Indicators</b><br>(How will results be measured) | <b>Performance targets</b> (An agreed minimum level of performance)                  | <b>Performance Level</b> | <b>Comments on Performance</b> |
|  |   |  |                          |                                |

### **Definition of the Performance Levels**

- Excellent (5):** The Appraisee has exceeded the agreed targets and has consistently produced results of excellent quality and demonstrated a high level of productivity and timeliness. The Appraisee is a model of excellence in both the results achieved and the means by which they are achieved.
- Very good (4):** The Appraisee achieved all the agreed outputs in line with the agreed targets. The Appraisee consistently meets expectations for the outputs achieved and the means by which they are achieved.
- Good (3):** The Appraisee achieved most, but not all the agreed outputs in line with the agreed targets, and there is no supporting rationale for not meeting the other commitments.
- Fair (2):** The Appraisee has achieved minimal outputs in line with the agreed targets and without a supporting rationale for inability to meet the commitments.
- Poor (1):** The Appraisee has not achieved most of the agreed targets and without supporting rationale for not achieving them.

### **Overall Assessment of Performance**

Overall assessment of performance should be derived by adding the scores at each performance level and the total divided by the total number of outputs. The average of the scores obtained shall be the overall assessment.

**Overall Performance Level**

**Tick the relevant box**

| Excellent<br>5 | Very Good<br>4 | Good<br>3 | Fair<br>2 | Poor<br>1 |
|----------------|----------------|-----------|-----------|-----------|
|                |                |           |           |           |

### **SECTION C: ASSESSMENT OF CORE COMPETENCIES**

This section should be filled by the Appraiser after joint discussions between the Appraiser and Appraisee. The assessment will help establish any areas where some training or development is necessary. The Appraisee should be rated only in areas, which are relevant to his/her job. The maximum points per competence are 5, where 5 is for Excellent, 4 - Very Good, 3 - Good, 2 - Fair, 1 – Poor, N/A - Not Applicable. The Appraiser should give work related examples under comments, to justify their rating.

| COMPETENCE  | ASSESSMENT                                  |   |   |   |   |     | COMMENTS |
|---|---|---|---|---|---|-----|----------|
|   | Performance level attained<br>(Please tick) |   |   |   |   |     |          |
|   | 5   | 4 | 3 | 2 | 1 | N/A |          |
| <p><b>Professional knowledge/ skills</b></p> <p>Draws on own experience, knowledge and expertise to demonstrate good judgment; relates professional knowledge to work.</p>  |   |   |   |   |   |     |          |
| <p><b>Planning, organizing and coordinating</b></p> <p>Prioritizes own work, develops and implements plans; rationally allocates resources, builds group capacity for effective planning and executing of work. Has ability to meet deadlines.</p>              |   |   |   |   |   |     |          |
| <p><b>Leadership</b></p> <p>Keeps people informed; models and encourages personal accountability; uses power and authority fairly; demonstrates credible leadership, champions new initiatives; reinforces and communicates a compelling vision for change.</p> |   |   |   |   |   |     |          |



|  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|
| <p><b>Decision Making</b><br/>         Makes logical analysis of relevant information and factors; develops appropriate solutions and takes action, generates ideas that provide new insight; provides reasons for decision or actions, is objective.</p>  |  |  |  |  |  |  |  |
| <p><b>Team work</b><br/>         Works cooperatively and collaboratively; builds strong teams; shares information and develops processes to improve the efficiency of the Team.</p>  |  |  |  |  |  |  |  |
| <p><b>Initiative</b><br/>         Shows persistence by addressing current problems; acts proactively, plans for the future and implements comprehensive plans.<br/>         Is open to new ideas; curious about and actively explores new possibilities; identifies how to create more value for customers; takes action on innovative ideas and champions innovation.</p> |  |  |  |  |  |  |  |
| <p><b>Communication</b><br/>         Actively listens and speaks respectfully; seeks to send clear oral and written messages; understands the impact of messages on others.</p>  |  |  |  |  |  |  |  |

|  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|
| <p><b>Result Orientation</b><br/>Takes up duty willingly and produces results.</p>   |  |  |  |  |  |  |  |
| <p><b>Integrity</b><br/>Communicates values to others, monitors own actions for consistency with values and beliefs, takes pride in being trust worthy; is open and honest and provides quality services without need for inducements.</p>   |  |  |  |  |  |  |  |
| <p><b>Human Resource Management</b><br/>Works effectively with people to achieve organizational goals. Motivates the supervisees, focuses on the knowledge, skills and attitudes and the general work environment that affects their efficiency and effectiveness. Trains, mentors, coaches, inspires, motivates the supervisees, delegates effectively and are able to build a strong working team.</p> |  |  |  |  |  |  |  |
| <p><b>Financial Management</b><br/>Knows the basic financial policies and procedures; familiar with the overall financial management processes.</p>  |  |  |  |  |  |  |  |

|  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|
| <p><b>Management of other resources (equipment &amp; facilities)</b><br/>Effectively and efficiently uses resources to accomplish tasks.</p>   |  |  |  |  |  |  |  |
| <p><b>Time Management</b><br/>Always in time and accomplishes tasks in time required and maximizes the use of time to achieve set targets.</p> |  |  |  |  |  |  |  |
| <p><b>Customer care</b><br/>Responds well and attends to clients. Reflects a good image for the Public service.</p>                            |  |  |  |  |  |  |  |
| <p><b>Loyalty</b><br/>Complies with lawful instructions of Supervisor and is able to provide on going support to Supervisors.</p>              |  |  |  |  |  |  |  |
| <p>Any other relevant Competence</p>   |  |  |  |  |  |  |  |

**SECTION D: ACTION PLAN TO IMPROVE PERFORMANCE**

The Action Plan shall be jointly agreed during the performance appraisal meeting, taking into consideration the Appraisee’s required job competences and the identified performance gaps.

The action plan to improve performance may include; Training, Coaching, mentoring, attachment, job rotation, counseling and or provision of other facilities and resources.

Where the plan (s) involves formal training of the Appraisee, the record should be forwarded to the Training Committee.

| <b>Performance Gap</b> | <b>Agreed Action</b> | <b>Time frame</b> |
|------------------------|----------------------|-------------------|
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**SECTION E: COMMENTS, RECOMMENDATIONS (IF ANY) AND SIGNATURES**

This section is to be completed by the Appraisee, Appraiser and the counter signing Officers. It is a confirmation that the appraisal meeting took place and that there was agreement or if there was disagreement, it was resolved. It is also confirmation that the action plan to improve performance was discussed and agreed upon. The Appraisee / Appraiser / countersigning officer should use this section to comment about the job, career and any other relevant information.

**COMMENTS OF THE APPRAISEE**

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Signature ..... 

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**COMMENTS OF THE APPRAISER**

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Signature ..... 

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**COMMENTS OF THE COUNTERSIGNING OFFICER/SUPERVISOR OF APPRAISER**

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Name of Countersigning Officer .....

Job Title .....

Signature ..... 

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| MM |
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**COMMENTS OF THE RESPONSIBLE OFFICER**

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Name .....

Job Title .....

Signature ..... 

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**KEY MILESTONES OF THE APPRAISAL PROCESS**

|    | <b>ACTIVITY</b>                                     | <b>TIMEFRAME</b>  | <b>RESPONSIBILITY CENTRE</b>         |
|----|---|---|--------------------------------------|
| 1. | Developing Performance plan                         | <ul style="list-style-type: none"> <li>• During the month of July</li> <li>• Within one month on assumption of duty</li> <li>• During the month of January for the teacher</li> </ul> | Appraisee, Appraiser                 |
| 2. | <i>Performance monitoring</i>                       | <ul style="list-style-type: none"> <li>• Throughout the year</li> </ul>   | Appraiser, supported by line manager |
| 3. | <i>Hold performance reviews, and record reviews</i> | Regularly throughout the year, preferably quarterly   | Appraiser, Appraisee                 |
| 4. | Filling of the form by the Appraisee                | <ul style="list-style-type: none"> <li>• Two weeks to the appraisal meeting.</li> </ul>   | Appraisee                            |
| 5. | Performance appraisal meeting                       | <ul style="list-style-type: none"> <li>• During the month of June for other Public Officers</li> <li>• During the month of November for the teachers.</li> </ul>                      | Appraiser/Appraisee                  |

|    |   |   |                          |
|----|---|---|--------------------------|
| 6. | Filling of the form by the Appraiser            | Within two weeks after the appraisal interview. | Appraiser                |
| 7. | Signing off of the form by the Appraisee        | Within one month after the appraisal interview  | Appraisee                |
| 8. | Signing off the form by counter-signing officer | By August 31 <sup>st</sup>                      | Counter signing officers |

# Guidelines for Managers and Staff

## **Ministry of Public Service**

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