



**THE PRESIDENCY**  
**OFFICE OF THE HEAD OF THE CIVIL SERVICE**  
**OF THE FEDERATION**

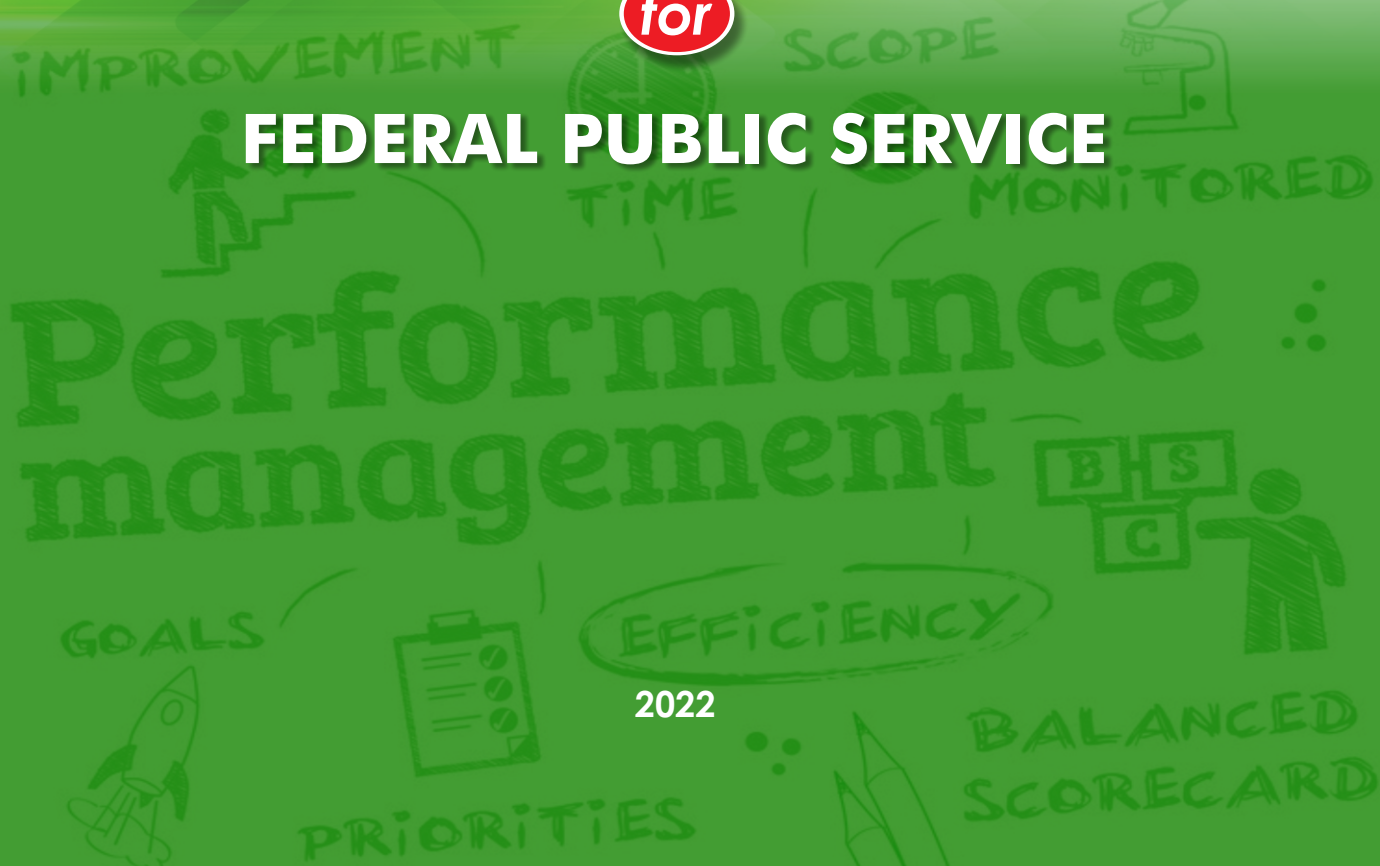
**GUIDELINES ON**  
**PERFORMANCE MANAGEMENT SYSTEM (PMS)**

**for**

**FEDERAL PUBLIC SERVICE**

**Performance**  
**management**

**2022**





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# GUIDELINES ON PERFORMANCE MANAGEMENT SYSTEM (PMS)

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FEDERAL PUBLIC SERVICE

Performance  
management

2022

BALANCED  
SCORECARD

PRIORITIES

IMPROVEMENT

SCOPE

TIME

MONITORED

GOALS

EFFICIENCY

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This document shall be circulated Service-wide for implementation and compliance.

### Preamble:

This Guidelines provides information on the step-by-step approach in implementation of the various phases of the Performance Management System. It also provides details on key role players, their responsibilities as well as timelines within which activities must be completed.

## TABLE OF CONTENTS

Table of Contents.....	iii
Preface.....	v
Acronyms and Abbreviations.....	vii
Definitions of Key Terms.....	viii
1.0 INTRODUCTION.....	1
2.0 INSTITUTIONAL ROLES AND RESPONSIBILITIES.....	3
2.1 National Governance Instruments.....	5
2.2 Target-Setting Framework.....	5
3.0 MDA PERFORMANCE MANAGEMENT SYSTEM.....	6
3.1 Sector Performance Management.....	6
3.2 MDA Specific Performance Management.....	7
4.0 RETREATS FOR PERFORMANCE PLANNING.....	9
4.1 Weightings for Key Results Areas.....	9
5.0 EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM.....	11
5.1 Roles and Responsibilities.....	11
5.2 Overview of the Employee Performance Management Cycle.....	14
5.3 Employee Performance Planning.....	16
5.4 Defining Job Performance Objectives, Measures/KPIs, and Targets.....	18
5.5 Performance Review.....	21
5.6 Performance Appraisal.....	22
5.7 Managing Underperformance .....	27
5.8 Appraising Employees on Approved Absence.....	31
5.9 Post Employee Performance Appraisal Activities.....	32
5.10 Appeals and Dispute Resolution.....	32
5.11 Collation, Analysis and Reporting of Employee Performance.....	33
5.12 Reconciliation of Employee and Departmental Performance Ratings.....	34
5.13 Implementation of Linkages to other Human Resource Systems.....	34
5.14 Actions taken when Performance exceeds Expectations.....	34
6.0 OTHER INTERVENTIONS.....	35



## PREFACE

About four (4) decades ago, the Annual Performance Evaluation Report (APER) system was adopted by government in place of the Confidential Reporting System in order to reposition the Public Service for efficient and effective service delivery. While these objectives were noble, the framework put in place for implementation of APER was defective.

The general consensus of critical stakeholders in public sector management is that APER is unreliable and has failed to achieve its intended objectives. Some of the inherent weaknesses in the APER System include lack of alignment between medium and long-term national plan, strategic objectives of MDAs and employees' job objectives. The mechanisms put in place for monitoring work progress and appraising outputs towards ensuring achievement of organizational targets were also very weak. In addition, capacities of operators of APER were not enhanced overtime to enable them operate the system effectively and improve on it in the course of time. All these resulted in the permeation of a culture of indifference towards performance outcomes across the Service and ultimately, poor service delivery to Nigerians.

With the introduction of a modern Performance Management System (PMS) in the Public Service, it has become imperative for key operators to be armed with operational manual and guidelines that will ensure uniformity in implementation across the Service. The PMS Guidelines has therefore been developed to provide appropriate guidance to all role-players in implementing the new appraisal system. The Guidelines also spelt out specific roles and responsibilities of the institutional actors in the Public Service. It ensures that departmental and employee activities align with MDAs' strategic goals and objectives, that employees clearly understand the quality and quantity of work expected of them; and that supervisors apply performance ratings in a fair and consistent manner.

The Guidelines shall apply to all Ministries, Extra-Ministerial Departments and Agencies of Federal Government as well as statutory bodies and institutions, as stipulated in the PMS Policy.

**Dr. Folasade Yemi-Esan, CFR**  
Head of the Civil Service of the Federation



## ACRONYMS AND ABBREVIATIONS

Acronym	Meaning
CEO	Chief Executive Officer
DHRM	Director, Human Resource Management
EPMS	Employee Performance Management System
FCSC	Federal Civil Service Commission
FCSSIP	Federal Civil Service Strategic Implementation Plan
FPS	Federal Public Service
HCSF	Head of Civil Service of the Federation
HoD	Head of Department
HR	Human Resource
HRM	Human Resource Management
KPIs	Key Performance Indicators
KRAs	Key Result Areas
FMFB&NP	Federal Ministry of Finance, Budget and National Planning
M & E	Monitoring and Evaluation
MDAs	Ministries, Extra-Ministerial Departments and Agencies
MTFF	Medium Term Fiscal Framework
MTSS	Medium Term Sector Strategies
OHCSF	Office of the Head of the Civil Service of the Federation
OKR	Objective and Key Results
OSGF	Office of the Secretary to the Government of the Federation
PIP	Performance Improvement Plan
PMS	Performance Management System
PPF	Performance Planning Form
PRS	Planning, Research and Statistics
PS	Permanent Secretary
SERVICOM	Service Compact with all Nigerians
SGF	Secretary to the Government of the Federation
SMART	Specific, Measurable, Achievable, Realistic and Time - bound



## DEFINITION OF KEY TERMS

Term	Definition
Annual Performance Targets	It is the specific and planned level of results to be achieved by individual employee or Teams which is aligned with the visions, missions, goals and strategic objectives of the MDA within the given year.
Appraisee	Employee/Officer who is being assessed by a supervising officer.
Goal	A result that an individual or institution is expected to achieve within a time frame.
Institutional Framework	Governance structure designed to provide accountability framework for Performance Management System.
Job Description (JD)	A written statement on a specific job, based on the findings of a job analysis. It explains the tasks, duties, functions and responsibilities of a position. It detailed the required competencies, activities and frequency for effective performance on a post.
Key Performance Indicators (KPIs)	Measurable values that demonstrate how effectively an employee or MDA is achieving key objectives. KPIs are used to evaluate Output/Outcome at meeting targets.
Objective and Key Results (OKR)	A goal setting framework used by organizations, teams, and individuals to define measurable goals and track their outcomes.
Objective	A specific result that an individual or institution aims to achieve with available resources within a defined time frame.
Outcomes	They are changes expected as a result of an activity, plan, process, or programme.
Output	Results which are achieved immediately after implementing an activity, plan, process or programme executed by an organizational unit or its staff.
Performance Appraisal	Assessment of the performance of employee or Department against agreed Job Objectives and Key Performance Indicators (KPIs).
Performance Contract	A formal documentation that clearly states mutually agreed responsibilities and targets between the Appraisee and Appraiser.

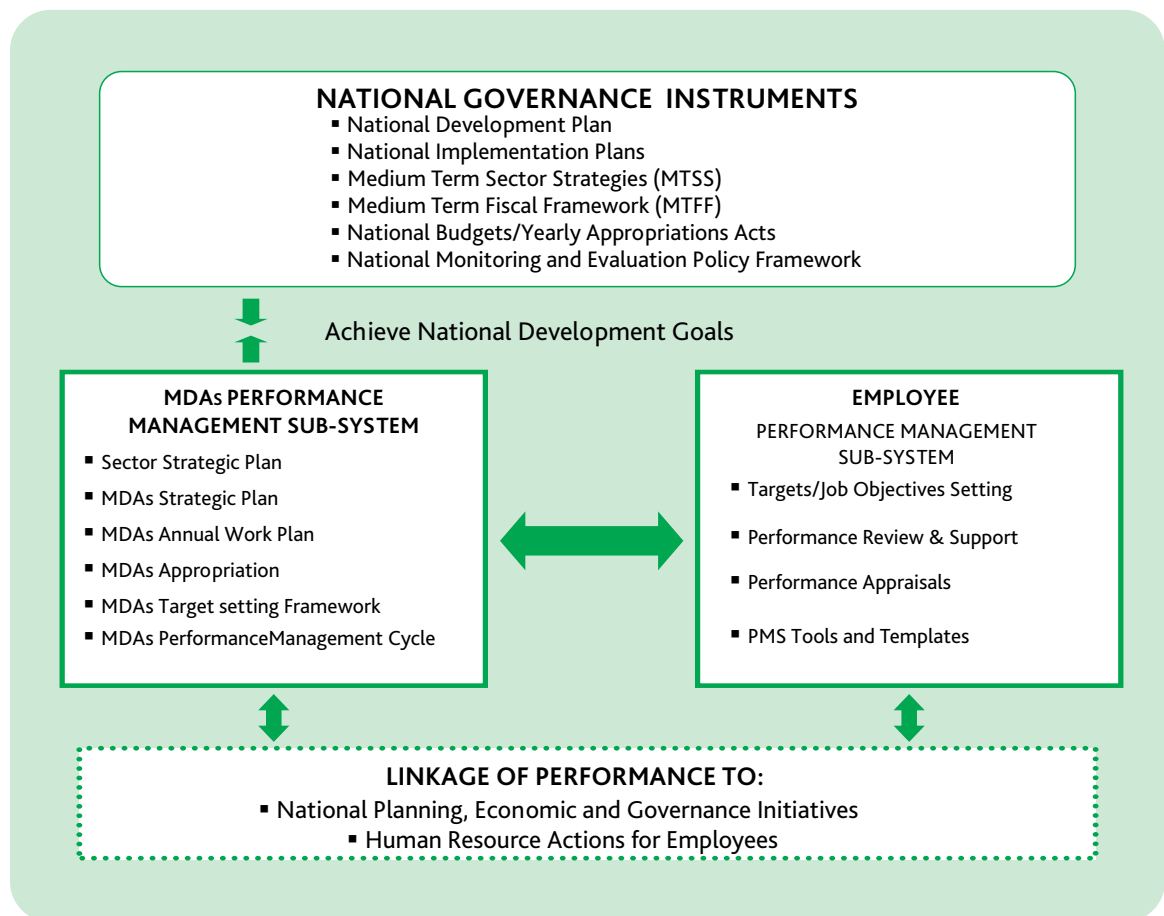
<b>Term</b>	<b>Definition</b>
Performance Management	A corporate management tool that ensures the achievement of organizational business goals by streamlining employee performance and efforts to match the set goals efficiently.
Performance Management Cycle	Depicts the stages involved in the process of planning, monitoring, reviewing, appraising and rewarding employee performance.
Performance Improvement Plan	It is a documented set of actions and procedures for helping employees improve on their current job or acquire knowledge and skills. The Plan outlines specific goals, targets and associated timelines within which improved performance is expected.
Performance Planning	A formal and structured process for identifying, communicating and cascading the goals of an institution to all levels that are expected to contribute to the achievement of the goals
Performance Review	A formal discussion session between a Supervising Officer (Appraiser) and his/her Subordinate (Appraisee), to discuss and analyze progress against agreed job objectives and targets.
Performance Target	The expected success level of an individual employee or teams
Sector	An area or part of the national economy as defined by the Ministry of Finance, Budget and National Planning.
Strategic Plan	A concise document used to articulate and communicate an organization's mandate, priorities, strategic objectives and specific initiatives to achieve them over a period of time, usually 3 – 5 years.
Teams	A group of employees working together to achieve the goals of a Section, Branch, Unit, Division or Department in an MDA
Under-performance	An individual or organization is said to have underperformed when targets are not achieved and/or required standards are not met as agreed during performance planning.

All terms and phrases are to be understood within the context of the definitions provided in the Guidelines on Performance Management System (PMS) for Federal Public Service.



## 1.0 INTRODUCTION

- 1.1 As part of efforts to institute the principle of service, output and outcome-oriented operations in Ministries, Extra-Ministerial Offices and Agencies of the Federal Government, the Office of the Head of the Civil Service of the Federation introduced a new Performance Management System as a key pillar in its Service reform initiative under the Federal Civil Service Strategy and Implementation Plan (FCSSIP) 2017-2020; and the successor plan FCSSIP 2021-2025.
- 1.2 The new Performance Management System provides the framework that ensures Public Service Institutions focus and align their resources (human, material, financial, etc.) towards achieving the strategic goals and objectives of government. The PMS framework comprises a number of inter-related components and sub-systems that generate inputs and outputs and feed into each other as depicted in the figure below:



- 1.3 The purpose of this PMS Guidelines is to provide guidance to all role-players in the implementation of the Performance Management System and to aid understanding of its processes and tools. The Guidelines also spelt out specific roles and responsibilities of the institutional actors in the Public Service while ensuring that:
- i. departmental and employee activities align with MDAs' strategic goals and objectives;
  - ii. employees clearly understand the quality and quantity of work expected of them;
  - iii. employees receive ongoing information about how effectively they are performing relative to expectations;
  - iv. opportunities for employee development are identified and provided;
  - v. rewards and recognition are consistent with employee performance;
  - vi. employees' performance that do not meet expectations are addressed; and
  - vii. supervisors apply performance ratings in a fair and consistent manner.
- 1.4 The Guidelines shall apply to all Ministries, Extra-Ministerial Departments and Agencies of Federal Government as well as statutory bodies and institutions, as stipulated in the PMS Policy.

## 2.0 INSTITUTIONAL ROLES AND RESPONSIBILITIES

Given the multi-faceted dimensions of PMS, the following institutions or organizations are required to play key roles in the implementation of the PMS in Federal Public Service:

Institutions	Roles and Responsibilities
Federal Ministry of Finance, Budget and National Planning (FMFB&NP)	<ul style="list-style-type: none"> <li>i. Develops long and medium-term National Plan and KPIs;</li> <li>ii. Supports the development of Sectoral &amp; MDA's Strategic Plan; and</li> <li>iii. Monitors and Evaluates performance against Organizational KPIs.</li> </ul>
Central Delivery Coordinating Unit (OSGF)	<ul style="list-style-type: none"> <li>i. Approves Ministers' performance evaluations metrics and sign Performance Contracts with the ministers on behalf of the President;</li> <li>ii. Conducts periodic reviews of MDAs performance and facilitate briefing sessions between the President and Ministers on performance outcomes; and</li> <li>iii. Prepares Annual MDAs Performance Reports.</li> </ul>
Office of the Head of the Civil Service of the Federation	<ul style="list-style-type: none"> <li>i. Provides PMS Policy, Framework, Guidelines and Templates;</li> <li>ii. Coordinates MDA Operational Performance Management and ensure alignment with Employee Performance Management;</li> <li>iii. Coordinates Employee Performance Management;</li> <li>iv. Monitors and Evaluates EPMS implementation;</li> <li>v. Provides Framework for Rewards, Consequences and Grievances Management;</li> <li>vi. Facilitates capacity-building to develop skills and fill competency gaps; and</li> <li>vii. Determines weightings for Key Result Areas (KRAs) and framework for appraisal.</li> </ul>
Federal Civil Service Commission	<ul style="list-style-type: none"> <li>i. Develops and implements PMS linked HR policies and guidelines in the areas of recruitment, discipline and promotion and</li> <li>ii. Serves as ombudsman to review and address grievances and petitions by Public Officers on outcomes of PMS implementation.</li> </ul>
SERVICOM Nodal Office	<ul style="list-style-type: none"> <li>i. Supports and facilitates citizen and stakeholder participation in performance management and</li> <li>ii. Facilitates and provides feedback on citizen impact survey.</li> </ul>

Institutions	Roles and Responsibilities
Ministries, Extra-Ministerial Departments and Agencies	<ol style="list-style-type: none"> <li>a. Collaborate with FMFB&amp;NP to develop Strategic Plans and KPIs;</li> <li>b. Work with SERVICOM on citizen feedback</li> <li>c. <b>The Honourable Minister shall</b> negotiate and agree on specific targets with the Permanent Secretary and Chief Executive Officers of parastatals under their Ministries, and sign Performance Contracts with them on the basis of the agreed targets.</li> <li>d. <b>Permanent Secretary of a Ministry or Extra-Ministerial Office or Chief Executive Officer of a Parastatal shall:</b> <ol style="list-style-type: none"> <li>I. communicate and cascade organizational targets agreed with the Honourable Minister/Heads of Extra-Ministerial Offices;</li> <li>ii. sign Performance Contracts with Directors and Heads of Units in their MDAs;</li> <li>iii. ensure that strategic outputs of their programmes are effectively tracked;</li> <li>iv. submit periodic performance reports;</li> </ol> </li> <li>e. <b>The Department of Planning, Research and Statistics in all Ministries shall:</b> <ol style="list-style-type: none"> <li>i. be the liaison between the Central Delivery Coordinating Unit of OSGF and the Ministries/Parastatals under the Ministries.</li> <li>ii. ensure organizational targets are defined and communicated across Departments, Divisions, Sections, etc;</li> <li>iii. ensure strategic outcomes of programmes are tracked and reported to CDCU.</li> </ol> </li> <li>f. <b>The Department of Planning, Research and Statistics or its equivalent in Agencies shall:</b> <ol style="list-style-type: none"> <li>i. be liaison between the parent Ministry and Agency.</li> <li>ii. ensure organizational targets are defined and communicated across Departments, Divisions, Sections, etc;</li> <li>iii. ensure strategic outcomes of programmes are tracked and reported to the PRS Department of the parent Ministry.</li> </ol> </li> <li>g. <b>The Department of Human Resource Management in all Ministries is the liaison between the Office of the Head of the Civil Service of the Federation, the Ministries and Parastatals under each of the Ministry. It shall:</b> <ol style="list-style-type: none"> <li>i. serve as custodian of the PMS framework within the MDA, including but not limited to tools, instruments and documents used;</li> <li>ii. ensure that employees Key Result Areas and KPIs are effectively tracked; and</li> <li>iii. submit employee performance report periodically</li> </ol> </li> </ol>

## 2.1 NATIONAL GOVERNANCE INSTRUMENTS

The Federal Government of Nigeria outlines its policy directions, priorities and goals in a number of documents, which guide the programmes, projects and activities undertaken by Public Service Institutions. These documents are used as input by MDAs to articulate their roles and expectations in delivering public goods and services to the citizenry. The most relevant documents that MDAs are expected to use as input in this regard, include the following:

- a) The National Development Plan (or the over-arching Policy document of the ruling Government);
- b) National Implementation Plans;
- c) Medium Term Sector Strategies (MTSS);
- d) Medium Term Fiscal Framework (MTFF);
- e) MDAs and Sectoral Strategy and Plans;
- f) National Budgets/Yearly Appropriations Acts; and
- g) National Monitoring and Evaluation Framework.

## 2.2 TARGET-SETTING FRAMEWORK

The Target-Setting framework is embedded within the Institutional and Individual Performance Management sub-systems. It is used to translate and cascade Federal Government's priorities and goals as outlined in the various governance instruments into Specific, Measurable, Achievable, Realistic and Time-bound (SMART) targets and goals to be achieved at the Institutional and Individual levels. Objective and Key Results (OKR) target-setting framework has been adopted for implementation of PMS in the Federal Public Service. This is to ensure that both the employee and organization strive to achieve set goals.



### 3.0 MDA PERFORMANCE MANAGEMENT SYSTEM

This sub-system is used to define, communicate and manage the performance of institutions within the Federal Public Service. The Accounting Officer of each MDA supported by the Director, Planning, Research and Statistics (PRS) or its equivalent in Parastatals shall be responsible for ensuring this sub-system functions as expected. The Director PRS or equivalent shall coordinate the process of developing and reviewing annual Institutional KPIs and targets with active participation of all Departments and Agencies under the Ministry. This process shall be finalized with the signing of annual Performance Contract between the Minister and the Permanent Secretary on the one hand, and between the Minister and Chief Executive Officers of Agencies at annual Performance Retreat.

#### 3.1 SECTOR PERFORMANCE MANAGEMENT

Activity	Responsibility	Timelines
<b>PERFORMANCE PLANNING</b>		
Government Prioritized Goals and MDA's Strategic Objectives are cascaded into measurable and realistic targets for the Ministries & Extra-Ministerial Departments; Parastatals and Agencies in each sector.	PRS Department of the Ministry	Last week in November preceding the performance appraisal year
Negotiation and signing of Ministerial Performance Contracts between:	PRS Department of the Ministry	Second week in January of the performance appraisal year
i. the Minister/SGF/HCSF/ Chairman of Extra-Ministerial Department and the Permanent Secretary	Ditto	
ii. the Minister and Chief Executive of Agencies under the Ministry on the other hand	Performance Management Department (OHCSF)	
iii. HCSF and Permanent Secretaries		
<b>PERFORMANCE REVIEW</b>		
MDAs Quarterly performance review	PRS Department of the Ministry or its equivalent in Parastatals	First week in March, June, September and December of each year

Activity	Responsibility	Timelines
<b>PERFORMANCE APPRAISAL</b>		
MDAs Quarterly Performance Appraisal	PRS Department of the Ministry or its equivalent in Parastatals	First week in April, July and October of each year of Performance Cycle and the Second week of January of the following year
Provision of feedback on Department's Quarterly Performance	Permanent Secretary or Chief Executive Officers of Agencies	Two (2) to four (4) weeks after performance appraisal

**3.1.1. Performance Appraisal Reports** must reach the supervising Ministry within two weeks, following conclusion of appraisal.

### 3.2 MDA SPECIFIC PERFORMANCE MANAGEMENT

Activity	Responsibility	Timelines
<b>PERFORMANCE PLANNING</b>		
Government Prioritized Goals and MDA's Strategic Objectives are cascaded into measurable and realistic targets for the Departments, Divisions, Branches, Units and Sections in each MDA	PRS Department or its equivalent in Agencies	Last week in December preceding the performance appraisal year
Communication of Departmental Targets	PRS Department or its equivalent in Agencies	Last week in December preceding the performance appraisal year
Negotiation and signing of Departmental Performance Contracts between: i. the Permanent Secretary and Directors or Heads of Departments/Units ii. CEOs of Parastatals and Directors of Departments/Units	HRM Department or its equivalent in MDAs	Second week in January of the performance appraisal year

Activity	Responsibility	Timelines
<b>PERFORMANCE REVIEW</b>		
MDAs Quarterly performance review	PRS Department of the Ministry or its equivalent in Agencies	First week in March, June, September and December of each year
<b>PERFORMANCE APPRAISAL</b>		
MDAs Quarterly Performance Appraisal	PRS Department of the Ministry or its equivalent in Agencies	First week in April, July and October of each year of Performance Cycle and the Second week of January of the following year
Provision of feedback on Department's Quarterly Performance	Permanent Secretary or Chief Executive Officers of Agencies	Two (2) to four (4) weeks after performance appraisal

## 4.0 RETREATS FOR PERFORMANCE PLANNING

Performance Contracts for each Sector and each MDA shall be finalized at following Performance Planning Retreats:

- i. **Sector Retreats** shall have in attendance the Honourable Minister, Permanent Secretary, Chief Executive of Agencies and Directors in the Sector Ministry and Agencies;
- ii. **Service-wide Retreat** shall have in attendance the Head of the Civil Service of the Federation and Permanent Secretaries service-wide; and
- iii. **MDA Retreat** which shall have in attendance the Permanent Secretary, Directors and Deputy Directors in the case of a Ministry or Extra-Ministerial Offices MDA or Chief Executive Officers of Agencies and Directors and Deputy Directors in the case of Parastatals.

### 4.1 WEIGHTINGS FOR KEY RESULTS AREAS

For each category of public institution, the Performance Criteria Categories and total weights shall be predetermined and agreed to by MDAs. They shall not be altered within a given performance management cycle unless (in exceptional cases), agreed mutually between the MDA and the Office of the Head of the Civil Service of the Federation. To ensure standardization, the requirements and contents of the performance criteria categories for each MDA shall be published annually on the Performance Management Portal of the Office of the Head of the Civil Service of the Federation.

- Each performance criterion has a fixed weight.
- The weights should be distributed, in negotiated proportions, to the various performance indicators under each criterion.
- The weight shows the relative importance of each indicator as agreed by the negotiating parties.

Performance criteria weights for various criteria categories have been assigned as follows:

PERFORMANCE CRITERIA CATEGORY	Ministry/Extra - Ministerial Departments	PARASTATALS				
		A	B	C	D	E
Government prioritized objectives	25	25	20	25	20	25
MDA Operational Objectives	25	25	20	20	25	25
Stakeholders Engagement	10	10	5	5	5	5
Service Innovation and Improvement	10	10	20	15	10	10
Automated Service delivery	10	10	15	15	5	15
Capacity Building & Talent Management	5	5	5	5	10	5
Support for Service Delivery	10	10	10	10	10	10
Staff Welfare	5	5	5	5	5	5
Total Weights	100	100	100	100	100	100

### Classification of Parastatals

- A:** Regulatory Agencies
- B:** General Services
- C:** Infrastructure/Utility Agencies
- D:** Security Agencies
- E:** Federal Government-owned companies

## 5.0 EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM

This sub-system is used to define, communicate, manage and support the performance and development of employees in the Federal Public Service. It shall be used for reviewing progress, assessing achievement against set targets and providing ongoing feedback to support employee development. The Accounting Officer of each MDA, supported by the Director, Human Resource Management (HRM) is responsible for ensuring that this sub-system functions as expected.

When used effectively, the Employee Performance Management System serves four main purposes as outlined below:

- a) improves communication between supervising officers and their immediate subordinates:
  - i. both parties jointly establish and engage on periodic performance standards/criteria that support the priorities and goals of the MDA;
  - ii. provides a channel for supervising officers to provide regular feedback on their perceptions of how well their subordinates are doing on their jobs; and
  - iii. supervised officers have a structured approach for providing feedback on the challenges they face and factors that inhibit their performance on the job and through which they may request support from their supervising officers.
- b) It provides input for effective human resource decisions including, but not limited to:
  - i. identification of training and development needs, motivation and employee career development planning;
  - ii. validation of whether or not employees possess the right skills and attributes necessary to fulfill the demands and expectations of their jobs; and
  - iii. recognition and rewards.
- c) It fosters commitment, mutual understanding and builds positive working relationships at all levels within the MDA.
- d) It aims to ensure increased productivity and service delivery.

### 5.1 ROLES AND RESPONSIBILITIES

The table below indicates the roles and responsibilities of various participants in the Employee Performance Management System:

Parties	Roles and Responsibilities
Appraisee (Supervised Officer)	<ul style="list-style-type: none"> <li>i. Understands the objectives and goals of the MDA.</li> <li>ii. Commits to goals agreed with own supervising officer.</li> <li>iii. Accepts responsibility for own success in the MDA and the performance results attained.</li> <li>iv. Maintains objectivity and a constructive disposition.</li> <li>v. Assesses the competencies (knowledge, skills and behaviors) needed for job delivery.</li> <li>vi. Measures own progress towards achieving agreed goals.</li> <li>vii. Ensures own performance management actions are handled appropriately in line with the PMS Guidelines.</li> </ul>
Appraiser (Supervising Officer)	<ul style="list-style-type: none"> <li>i. Addresses performance planning actions at the beginning of the performance year. Holds Annual Target/Job Objectives Setting meetings with all immediate subordinates to communicate the goals of the organizational unit; and works collaboratively with them to develop and agree on individual goals aligned with those of the Unit.</li> <li>ii. Provides performance monitoring support throughout the performance year. Ensures immediate subordinates are evaluated fairly and objectively; and that performance observations are documented using the relevant PMS tools and templates as stipulated in the PMS Guidelines.</li> <li>iii. Also, as part of Performance Monitoring, provides each supervised officer with continuous feedback on his/her performance relative to job expectations captured in job descriptions and the agreed annual job objectives. This should be done to inform, teach, direct and coach the employee.</li> <li>iv. Conducts formal performance monthly review, quarterly and end of year appraisals each year.</li> <li>v. Clearly outlines appraisee performance improvement expectations, provides opportunities for employee development, monitors progress and where applicable, administers required consequences in a fair and firm manner.</li> <li>vi. Completes formal appraisal of all assigned appraisees before being appraised.</li> </ul>
Head of Department	<ul style="list-style-type: none"> <li>i. Agrees to Departmental goals and targets which cascade from the MDA's overall goals and objectives;</li> <li>ii. Ensures that the agreed Departmental goals and performance objectives are cascaded accurately to all employees in the Department, within the stipulated time;</li> </ul>

Parties	Roles and Responsibilities
	<ul style="list-style-type: none"> <li>iii. Reviews completed appraisal forms and mediate in instances of disagreement between a supervising officer and the subordinate on the outcome of an appraisal. Where this cannot be resolved by the Head of Department, escalate such cases to the Head, Human Resource Management and relevant Staff Committee</li> <li>iv. Ensures that no supervisor is appraised until they complete appraising their subordinates.</li> </ul>
Human Resource Management Department	<ul style="list-style-type: none"> <li>i. Initiates and communicates the formal Performance Management Cycle and Timelines and all the associated activities;</li> <li>ii. Collates, analyses and reports employee performance;</li> <li>iii. Collates, analyses and supports the implementation of Performance Improvement Plans, Employee Development Plans and Training Needs Analysis findings and interventions across the MDA;</li> <li>iv. Serves as custodian of the PMS framework within the MDA, including but not limited to tools, instruments and documents used;</li> <li>v. Collates, analyses and reports on Appraisal outcomes to leadership of the MDA;</li> <li>vi. Reconciles employees' performance and Departmental performance ratings;</li> <li>vii. Supports the Appraisal Committee (i.e. Senior and Junior Staff Committees) in the resolution of Performance Appraisal disputes and appeal;</li> <li>viii. Trains employees and supports implementation of PMS within the MDA; and</li> <li>ix. Implements outcome of performance management (e.g. reward, consequences, etc.).</li> </ul>
Staff Committee (Junior/Senior)	<ul style="list-style-type: none"> <li>A. In addition to its responsibility for appointment, promotion and discipline in MDAs, each Committee shall, within its mandate:               <ul style="list-style-type: none"> <li>i. review and manage outcomes of annual performance appraisals for members of staff. However, escalated cases would be referred to the appropriate Committee of OHCSF/FCSC for resolution;</li> <li>ii. ensure that appraisals are fair, objective and effectively capture demonstrated performance as measured against specific annual performance expectations or targets; and</li> <li>iii. ensure that the detailed criteria and weighting for appraisal of officers are as specified in the Guidelines on Performance Management System.</li> </ul> </li> </ul>



Parties	Roles and Responsibilities
	<ul style="list-style-type: none"> <li>iii. ensure that the detailed criteria and weighting for appraisal of officers are as specified in the Guidelines on Performance Management System.</li> <li>B. The Committees shall meet from time to time to attend to Performance Appraisal related dispute and appeals;</li> <li>C. The Senior Staff Committee shall in addition to the above, ensures that Employee and Departmental performance ratings are reconciled by adjusting and aligning respective Departmental performance ratings to the summary of employee performance ratings across all Departments in the MDA.</li> </ul>
<p><b>Performance Management Department, OHCSF</b></p>	<ul style="list-style-type: none"> <li>i. Trains and supports MDAs' HRM Departments to provide ongoing change management for the implementation of the PMS;</li> <li>ii. Collates, analyzes and publishes Service-wide employee performance appraisal data;</li> <li>iii. Forwards collated Service-wide employee performance appraisal data to the Federal Civil Service Commission (FCSC) for relevant human resource decisions;</li> <li>iv. Identifies, collates and forwards Service-wide employee development and training needs to the relevant Departments in the Office of the Head of the Civil Service of the Federation (OHCSF).</li> <li>v. Monitors implementation of EPMS Service-wide.</li> <li>vi. Ensures quality Assurance for Employee Job Objective settings and KPIs.</li> <li>vii. Coordinates Annual Service-wide Rewards and Recognitions.</li> </ul>
<p><b>Director PRS</b></p>	<ul style="list-style-type: none"> <li>i. Analyzes and extracts the MDAs' performance targets and indicators from National Plans, National M&amp;E results framework, MDA Strategic Plans, National Budgets/yearly Appropriations Acts, Policy document of the ruling Government and share with the Human Resource Department and other implementing Departments for guidance in target setting.</li> <li>ii. Ensures that the agreed Institutional goals and performance objectives are cascaded accurately to all Departments within the stipulated time.</li> <li>iii. Conducts quarterly reviews/appraisals and annual performance appraisal of all the Departments in the MDA.</li> </ul>

## 5.2 OVERVIEW OF THE EMPLOYEE PERFORMANCE MANAGEMENT CYCLE

The Performance Appraisal Cycle is made up of all the key activities covering Performance Planning, Performance Review and Performance Appraisals with

associated timelines. It begins with the signing of individual performance contract for all employees and ends with the formal administration of an annual performance appraisal, which is used as input for subsequent HR decisions and actions e.g. rewards and training. The table below indicates the various activities and timelines in the Employee Performance Management Process.

<b>Parties</b>	<b>Roles and Responsibilities</b>
Completion of Strategic Planning and Budgeting Process	Last week in September preceding the Performance review year.
Strategic and operational plans cascaded into measurable and realistic annual plans and targets for the Ministries & Extra-Ministerial Departments; Parastatals and Departments	Last week in November preceding the Performance review year.
Performance Contract and individual development plans finalized and agreed	3rd week of January of the Performance Review year
<b>Review of Employee Performance</b>	
Review of Employee performance by the supervising officer	First week of every succeeding month
<b>Appraisal of Employee Performance</b>	
Staff complete Quarterly self-assessment	First two working days of the first week in April, July and October of each year
Supervisory Officer completes quarterly assessment of designated Officers	Last two working days of the first week in April, July and October of each year
Supervisory Officer holds debriefing /feedback session with employee	By the 2nd week of April, July and October of each year
Staff complete year-end self-assessment	First two working days of the first week of December of each year
Supervisory Officer completes year-end assessment of designated Officers and gives annual rating	Last two working days of the first week of December of each year
Supervisory Officer holds debrief/feedback session with employee	Second week of December of each year

Parties	Roles and Responsibilities
The counter signing officer signs off all completed appraisals forms	Second week of December of each year
MDAs Junior/Senior Staff Committees discusses proposed ratings of officers to ensure consistency across board	Second week of December of each year

### 5.3 EMPLOYEE PERFORMANCE PLANNING

At the beginning of every performance management process, appraisers are expected to discuss, agree and document performance targets and objectives with all their immediate subordinates. The Performance Planning Form is the appraisal tool used to document each employee's agreed goals and targets for the appraisal period. Without a completed and duly signed Annual Performance Planning Form in place, it would be difficult to achieve goal-aligned, structured and unbiased assessments of an employee's performance.

The agreement of goals and targets between each supervising officer and his/her immediate subordinate(s) must be participatory, with both parties indicating the agreed nature of the goals and targets by signing off on the Performance Planning Form.

#### 5.3.1 Employee Performance Planning Guidelines

5.3.2 Performance Planning in all MDAs shall always kick off after the agreement of Institutional and Departmental goals and targets by the leadership of the MDA.

5.3.3 Directors shall communicate agreed goals and targets which cascade from the MDA's overall goals to all employees in their departments. Thereafter, supervising officers (Appraisers) hold planning discussions with their subordinates (Appraisees) and the parties reach agreement on the contents (Job Objectives, Targets and Performance Measures/KPIs) to be captured in each employee's Individual Performance Planning Form.

5.3.4 All goals and targets agreed between the supervising officer and his/her subordinates shall be:

- aligned with and cascade from Institutional and Departmental priorities and goals;
- within the scope of the subordinate's job function and responsibilities;

- SMART (specific, measurable, achievable, realistic and time-bound);
  - attainable, but also challenging enough to motivate and stretch the appraisee and;
  - ranged from a minimum of three (3) to a maximum of seven (7).
- 5.3.5 In the event that an employee refuses to sign his/her Performance Planning Form because he disagrees with it, the completed form shall still be accepted as a record of the employee's performance targets, when it is counter-signed by the HOD.
- 5.3.6 Where there is a change in an employee's status as a result of promotion, demotion, transfer and/or secondment, a new Employee Performance Plan must be documented and approved within thirty (30) days of the effective date of such change in employment status.
- 5.3.7 When an officer is seconded to another Ministry/Extra-Ministerial Office or Agency of Government, the Accounting Officer of the MDA to which he is seconded shall be responsible for furnishing appraisal reports on the Officer to his parent ministry.
- 5.3.8 Arrangements shall be made with Corporations, States-owned companies or State Governments to which officers are seconded to furnish appraisal reports on officers so seconded as though such bodies were government departments. It shall be the responsibility of the DHR to which an officer has been seconded to forward the reports at least two weeks before the due date.
- 5.3.9 Employee Performance Plans are to be agreed on and signed by all new or newly posted employees within thirty (30) days of resuming at their duty posts.
- 5.3.10 All changes to a completed and duly signed Individual Performance Plans are to be captured/documentated in a new Individual Performance Form, which must be signed and dated by both the appraiser and the appraisee. Such newly completed Employee Performance Forms will only be accepted for use if counter-signed by the respective HoD and Head of HR.
- 5.3.11 All completed and duly signed Individual Performance Forms are to be placed in employees' confidential files within 30 days of conclusion of the Performance Planning Phase.
- 5.3.12 It is the responsibility of every employee to ensure he has a duly completed and signed Individual Performance Form.
- 5.3.13 In agreeing on Measures/KPIs and Targets with Appraisees, it is important to remember that, based on the provisions of the PMS, Federal Public Service

employees are to be evaluated based on their contribution to the attainment of their MDAs' priorities and goals as outlined in the Strategic Plan. Without agreeing on the right targets and measures/KPIs that will enable the contribution of an Appraisee to be effectively captured and evaluated, it will be difficult to conduct an objective and unbiased periodic performance reviews for the Appraisee during the performance period, and the annual appraisal at the end of the year. It is therefore imperative, when agreeing on performance expectations with an Appraisee, to focus on defining measures/KPIs that reflect the requirements for job performance and success, as tied to overall MDA and Departmental priorities and goals.

#### **5.4 DEFINING JOB PERFORMANCE OBJECTIVES, MEASURES/KPIS, AND TARGETS**

Employee Performance Objectives are annual/periodic goals and targets agreed between each employee and their supervising officer. Clearly defined objectives help employees understand the demands of their jobs and how their efforts contribute to the MDA goals, which in turn helps employees focus on those activities that contribute the most to the achievements of their MDA's overall goals - these are also referred to as Key Results Areas (KRAs).

##### **5.4.1 KRAs**

KRAs have to do with general areas of outputs and results that a particular job holder is accountable for delivering, and against which his/her performance is measured.

##### **5.4.2 Employee Job Objectives**

- Employee Job Objectives are derived from KRAs.
- Job Objectives should be 'SMART' – i.e. Specific, Measurable, Achievable, Realistic and Time-bound.
- Both the appraisee and appraiser should ensure that Job Objectives are agreed on and recorded (for reviews) to drive employee development efforts, in accordance with the timelines within the PMS Policy.

##### **5.4.3 Key Performance Indicators (KPIs)/Measures**

- KPIs are the critical (key) measures of how well progress is being made towards a planned result. KPIs help indicate or show the level of performance versus plan.
- A KPI must be clear and measurable.
- KPIs are used to assess both Organizational and Individual Performance.

#### 5.4.4 Targets

- Targets are the specifically defined acceptable level of achievements against agreed Key Results Areas and Job Objectives. e.g. Strengthen Professional Competencies as a PMS Facilitator (KRA, Job Objective) by achieving a minimum of 80% Score in the July 2020 PMS Workshop Test (target).
- Targets must be SMART
- Both the appraisee and appraiser should ensure that targets are agreed on, recorded (for reviews), and drive employee performance review efforts, in accordance with the timelines within the PMS Policy.

#### 5.4.5 Recording Job Performance Objectives, Measures/KPIs and Targets

After Performance Planning discussions have been satisfactorily held, and agreements reached between the employee and his/her Supervisor, Job Performance Objectives, Measures/KPIs and Targets should be recorded in the Employee Annual Performance Planning Form.

#### 5.4.6 Completing the Performance Planning Form (PPF)

The Performance Planning Form of the Federal Public Service PMS is made up of five (5) easy to use and complete sections. The main essence of the Form is captured on the sections: Appraisee Performance Expectations, Goals and Competencies.

#### 5.4.7 Completing the Competencies Section of the Performance Planning Form

To complete this section of the Performance Planning Form, the appraiser will make use of the **Federal Public Service Comprehensive Competency Framework** attached annexure to this guideline. The framework outlined 18 (eighteen) competencies (distributed across 5 clusters), rated "Greatly Exceeds Expectations, Exceeds Expectations, meets expectations, Occasionally Meets expectations and Unsatisfactory. The Competencies are important for all public servants to acquire and demonstrate to varying levels across grade level bands. The tabular representation of the Comprehensive Competency Framework for the Federal Public Service is shown below:

S/N	Cluster	Competencies
1	Ethics and Value	i. Commitment ii. Integrity iii. Inclusiveness iv. Courage
2	People	i. Collaborating & Partnering ii. Effective Communication iii. Managing & Developing People
3	Executiton	i. Drive for Results ii. Transparency and Accountability iii. Value for Money
4	Vision	i. Effective decision making ii. Strategic thinking iii. Embracing and managing change
5	Expertise	i. Policy management ii. Citizen focus iii. Information and records management iv. Adoption and use of Technology v. Specialist competencies

To complete the Competencies Section of the Performance Planning Form, each appraiser shall go through the under listed process:

- a) Identify (from the 18 competencies) and rank the top 5 (five) competencies which the employee requires to deliver on the agreed measures/KPIs for the appraisal period;
- b) Select the three (3) most important competencies from the identified top 5 (five) which the appraisee needs to develop / work on in order to effectively deliver on the agreed measures/KPIs;
- c) Discuss and agree on the selected competencies with the appraisee before including them in the Performance Planning Form;
- d) Once the competencies are agreed upon with the appraisee, proceed to also agree on the target proficiency level the appraisee should attain by the end of the planning period.

5.4.8 For every competency graded "**Greatly Exceed Expectation**" or "**Exceed Expectation**", the Appraiser shall be expected to provide documentary evidence to support the grading.

## 5.5 PERFORMANCE REVIEW

The Monthly Review is a platform for the understudy of the current performance level status as well as the areas of weakness. It helps to reflect on the objectives of the Department in alignment to the individual's targets. This also helps to reaffirm the commitment to the Departmental objectives and gives the opportunity to coach and provide appraisees with continuous feedback to ensure the achievement of agreed goals and targets.

### 5.5.1 Employee Performance Review Guidelines

Appraisers should:

- ensure that the performance of appraisees are reviewed against agreed targets in the performance plan/contract;
- hold a minimum of one performance review monthly during the performance management cycle, and;
- not assess their subordinates based on their personality but rather based strictly on their performance and competencies that support and/or impact performance on the job.
- review performance of appraisees monthly.

NOTE: The dialogue between the appraisee and appraiser shall revolve around the KPIs and targets. Challenges in meeting agreed targets and KPIs shall be addressed.

### 5.5.2 Recording Performance Review Sessions

The details of discussions during the performance review sessions are to be captured using the Performance Review Form.

### 5.5.3 Using the Performance Review Form

The need for the appraisee and the appraiser to have ongoing conversations about the goals they both committed to is the key principle underlying the inclusion of the Performance Review Form (PRF) in the PMS. Based on this, the PRF seeks to assess progress (as opposed to evaluating the appraisee's performance) in meeting the agreed measures/KPIs and targets. The key expectation at the end of each review is that both parties will jointly agree on the specific corrective actions/resources that should be provided to facilitate required improvement/achievement of the agreed goals.



5.5.4 In completing the Performance Review Form, Appraisers and Appraisees shall note the following:

- a) The most important aspect of the review is the actual conversation between the Appraisee and the Appraiser which should revolve around the relevance and adequacy of the measures/KPIs and targets, as well as the challenges the appraisee faces (or is likely to face) in meeting them, the likely risks and how to mitigate them and the support required from the appraiser. It is only when this discussion has taken place that the PRF should be completed.
- b) In assessing the Appraisee's progress in achieving the agreed measures/KPIs and targets, Appraisers may be required to make some judgement calls within the scope of the contract, especially in cases where the measures/KPIs and associated targets cannot be met.
- c) When assessing the appraisee's performance on the agreed competencies outlined in the Performance Planning Form (PPF), the only basis for determining progress are the effective and ineffective behaviors outlined for each competency in the Comprehensive Competency Framework for the Federal Public Service.

## 5.6 PERFORMANCE APPRAISAL

Performance appraisals are sessions held between supervising officers (Appraisers) and their subordinates (appraisees) to discuss, analyse and evaluate the performance of appraisees against the agreed targets in the signed Performance Plan/Contract. Performance appraisals shall be done quarterly and at the end of year. The quarterly and annual performance appraisals shall be used to evaluate an appraisee's overall performance in delivering on agreed goals and targets over the course of the appraisal period.

5.6.1 The appraiser and appraisee should be objective, maintain open minds and communicate freely during the ensuing discussions. At the end of the session, the over-riding goal for both parties is to ensure that the appraisee understands why he has been assessed at a particular level and what it takes to achieve a higher level of performance in future.

5.6.2 Employee Performance Appraisal Guidelines

Appraisers should:

- ensure that the performance of appraisees are evaluated against agreed targets in the agreed performance plan/contract;

- hold a minimum of one monthly performance review, quarterly review and the end of year appraisal with their subordinates during every annual performance appraisal cycle; and
- not assess the subordinates based on their personality but rather based strictly on their performance and behaviors that support and/or impact performance on the job.

5.6.3 It is the responsibility of every employee to:

- Ensure that their performance is appraised every quarter.
- Collate and provide documentation/evidence to support his/her performance achievements during the appraisal cycle.

5.6.4 Quarterly appraisals of officers on probation will form the input in the Progress Report to be used to determine their eligibility for confirmation. The final Progress Report rendered after twenty-one (21) months service shall include a definite recommendation as to whether the officer's appointment should be confirmed or terminated.

5.6.5 Where an appraisee disagrees with the outcome of his/her evaluation by the appraiser, the appraisee is required to make a formal complaint to the Countersigning Officer not later than Five (5) working days after the appraisal.

5.6.6 Where an appraisee refuses to sign a Performance Appraisal form because he disagrees with the outcome of the evaluation, the completed form will still be accepted as a record of the appraisee's performance until the appraisee submits an official complaint and the appropriate Staff Committee (i.e. Junior or Senior) communicates its decision.

5.6.7 Weight for Key Results Areas

Performance Criteria Categories and total weights for employee shall be predetermined by the Office of the Head of the Civil Service of the Federation. They shall not be altered within a given performance management cycle unless (in exceptional cases), agreed mutually between the MDA and the Office of the Head of the Civil Service of the Federation.

5.6.8 KRAs shall be assigned weights as follows

- |                                        |   |    |
|----------------------------------------|---|----|
| i. Employee prioritized job objectives | - | 70 |
| ii. Processes/operations               | - | 10 |
| iii. Key Competencies                  | - | 20 |

MDAs shall be at liberty to split the assigned weights across prioritized objectives, however, weights assigned to key competencies and processes are as assigned by OHCSF.

5.6.9 Recording Assessment of Performance expectations/goals and ratings of appraisees competencies.

The details of discussions during the performance appraisal sessions are to be captured using the Performance Appraisal Form (PAF)

5.6.10 Using the Performance Appraisal Form

The Performance Appraisal Form (PAF) is used to formally document an appraisee's performance at the end of a quarter. The Appraiser is required to conduct an evaluation of the appraisee using the PAF. The appraisee is expected to perform a self-appraisal and submit to the appraiser, who then conducts his/her own appraisal of the appraisee during the appraisal session/discussion.

5.6.11 The PAF uses a rating scale that aligns with reviewing the appraisee's progress in meeting the agreed measures/KPIs and targets. This rating scale is used to assess the progress being made by the appraisee in the PAF. In completing this section of the PAF, Appraisers and Appraisees should note the following:

- a) The conversation during the quarterly appraisal should revolve around the relevance and adequacy of the measures/KPIs and targets, as well as the challenges the appraisee faces (or is likely to face) in meeting them, the likely risks and how to mitigate them and the support required from the appraiser. It is only when this discussion has taken place that the PAF should be completed.
- b) In assessing the appraisee's progress in achieving the agreed measures/KPIs and targets, appraisers will be guided by the processes in the table with steps (1-3) below:

PERFORMANCE PLANNING									PERFORMANCE APPRAISAL		
1	2	3	4	5	6	7	8	9	10	11	12
Objectives	Actions	Weights	Criteria values						Achievement	Raw score	Weighted Raw Score
			Outstanding	Excellent	Very Good	Good	Fair	Poor			
			100%	90%	80%		70%	60 %			
Objective A	Action 1	.50	85	80	70		60	50	65	75	37.50
	Action 2	.30	20	15	10		5	2	10	80	24.00
	Action 3	.20	50	40	30		20	10	60	100	20.00
<b>Composite score</b>											81.50%

- Step 1:** Calculate the raw achievement score for each KPI. By comparing actual achievement at the end of the year with the range of criteria values agreed at the beginning of the year, we can calculate the precise raw score for each KPI (columns 9–10 above).
- Step 2:** Calculate the weighted raw score for each KPI. Multiply the raw score for each KPI with the corresponding weight for that raw score (column 11).
- Step 3:** Calculate the composite performance score—the bottom line. Add up all the weighted raw scores to get the composite score—that is, the bottom line. For example, in the table above, this number is 81.50 per cent. This measures the degree to which a government agency has been able to achieve agreed-upon objectives. The composite score:
- i. Incorporates government priorities.
  - ii. Is a comprehensive measure of all aspects of departmental performance—quantitative, qualitative, static, dynamic, short term and long term.
  - iii. Allows benchmark competition among agencies (research shows that competition is a key source of efficiency).

5.6.12 The following should be noted while completing Performance Appraisal Form and during the Appraisal Session:

- a) Appraisers should ensure that:
  - i. the appraisee's performance is evaluated against the targets in the agreed performance plan/agreement;
  - ii. the appraisee is aware of the timelines, schedule, venue, agenda and requirements for the appraisal session;
  - iii. they have a copy of, and a clear understanding of the appraisee's agreed performance plan;
  - iv. ratings are objectively awarded based on evidence of performance;
  - v. the appraisal session is open, objective, supportive and free of negative attitudes; and
  - vi. the outcome of the session also helps the appraisee identify his/her developmental needs.

- b) Appraisees are required to:
  - i. Have a clear understanding of his/her job description/schedule, competencies, KPIs, measures and targets and how they contribute to the achievement of the department's performance goals;
  - ii. Conduct an objective self-assessment while completing the End of the Year Performance Appraisal Form;
  - iii. Avoid errors in completing the PAF;
  - iv. Gather and present a clear basis and or verifiable evidence to substantiate the self-assessment ratings;
  - v. Maintain an open mind that fosters mutual trust and understanding.

NOTE: The appraisee's development needs will be collected from each appraisee's completed PAF by the HR Department and used to develop learning and development interventions to be implemented within each MDA.

#### 5.6.13 Additional Support for Users of the Performance Appraisal System

At the very early stages of using the Performance Appraisal System, users are likely to face a number of challenges during any of the phases. The challenges may include but are not limited to the following:

##### 5.6.13.1 Performance Planning:

- a) Ensuring that goals and targets agreed with employees are cascaded from, and adequately aligned with institutional and Departmental priorities, goals and targets
- b) Even when cascaded/aligned with institutional and departmental goals, ensuring that agreed goals and targets are defined correctly and based on aspects of the appraisee's jobs over which they have full control.
- c) Ensuring that defined goals and targets are SMART (Specific, Measurable, Achievable, Realistic and Time-bound).
- d) Agreeing on means and sources of evidence to verify the achievement of agreed goals and targets, especially for appraisees that work in support functions.

##### 5.6.13.2 Performance Appraisals:

- a) prepare for performance appraisal sessions (which will be of concern to the appraisees and appraisers).
- b) communicate poor performance and still ensure that an appraisee remains motivated.

## 5.7 MANAGING UNDERPERFORMANCE

Underperformance is ongoing failure to meet performance expectations. It refers to a situation where the performance of an appraisee is below the expected threshold. An employee performance will be adjudged to be below the expected threshold when he, following the annual appraisal, is graded fair in 50% or more of the agreed measures/KPIs and targets. The appraiser shall communicate underperformance to the appraisee in an objective manner. The essence is to enable the appraisee take feedback and agree on actions to be captured in the Performance Improvement Plan (PIP).

### 5.7.1 Roles of the Appraiser

- a) The appraiser shall engage the appraisee in finding out the cause of poor performance. Upon identifying and agreeing on the cause(s), a PIP shall be developed.
- b) The PIP shall be designed to address the cause(s) of the poor performance. The assistance of the HR Department would be required.
- c) At the end of the PIP period, individuals shall be given formal feedback on the status of performance – whether significant improvements have been made, warranting retention on their current jobs, or if other actions are warranted. Such actions shall be determined by the appropriate staff Committee and shared with the individual undergoing PIP actions.

### 5.7.2 Roles of the Appraisee

- a) The appraisee shall communicate the cause(s) of poor performance to the appraiser in an honest manner and seek for help if possible (e.g. coaching and mentoring)
- b) He should understand the PIP and agree on the specific improvement actions and timelines with the appraiser.
- c) The appraisee and the appraiser should sign off on the PIP, monitor and review progress on a periodic basis as stated in the PIP.

### 5.7.3 Roles of HR Department

- a) HR shall document all correspondences between the appraiser and appraisee for future review. This is also to enable the appraiser to be commended for improvements.
- b) The HR shall officially communicate the PIP to the appraisee.

#### 5.7.4 Step by Step Guide for Supervisors on how to manage underperformance

To manage underperformance, the following steps must be taken:

- a) identify underperformance
- b) identify the reasons for underperformance via the Performance Review Meeting.
- c) decide and agree on the action required at the Performance Review Meeting using the Performance Improvement Action Plan.
- d) Implement the action.
- e) monitor and provide feedback.

#### **Identify Underperformance**

Supervisors shall be responsible for spotting underperformance in the course of Performance Review exercise. In addition, three quarterly assessment that indicates that the employee falls short of expectation in performance should be regarded as underperformance.

#### **Identify the reasons for underperformance**

The underlying causes of underperformance can vary greatly and the range of strategies available to tackle underperformance must reflect this variation. These reason(s) should be identified during the Performance Review Meetings and cause of actions for improvement laid out. Generally, causes of underperformance fall under one of the five categories outlined below. Sometimes more than one factor will be at play.

- a) Lack of clarity about goals/expectations
- b) Lack of knowledge/skills/competencies for the job.
- c) Clear lack of commitment or effort.
- d) Issues arising in the context of ill health/sick leave.
- e) Personal/domestic difficulties.

Once the reasons for underperformance have been identified the Supervisor should proceed in accordance with the different strategies set out below as appropriate.

### Underperformance due to lack of clarity about goals/expectations

Performance problems can arise because the Supervisor has failed to:

- i. clarify requirements and expectations, e.g. objectives, standards and priorities;
- ii. Provide adequate encouragement, guidance, support or information;
- iii. Set reasonable or attainable objectives and standards or has arbitrarily changed tasks or priorities.

In this regard, it is crucial that supervisors should:

- i. Ensure that all staff reporting to them contribute to the development of the work plan of their Units/Department and that they have a clear understanding of their individual roles in the implementation of the Plan.
- ii. Ensure that each member of staff is clear on his or her particular objectives as expressed in their performance plan Form and the standards to be upheld and met in achieving same.
- iii. Ensure that when an individual takes up a new position they should be given a clear job description.
- iv. Give regular objective feedback on performance to their staff and not just at the relevant times in the performance cycle. This feedback should acknowledge good performance and identify, in a constructive manner, performance that is not satisfactory.

Employees have a responsibility to seek clarification from their Supervisor regarding goals/expectations.

### Underperformance due to lack of knowledge/skills/competencies for the job

Appropriate measures or combination of measures could include:

- i. Coaching from a more experienced peer or superior officer.
- ii. Self-managed learning by the appraisee on specified material.
- iii. Specific formal training arranged by HRM Department

In certain circumstances, a bad fit between the employee and his or her current job may be at the root of the underperformance issue. In such cases, further development/support measures may be unlikely to result in attainment of satisfactory performance in that job as a transfer to a more suitable role would be a more appropriate measure



### Underperformance due to clear lack of commitment or effort

As long as there are no other factors at play, a reasonably tough while fair-minded approach should be taken by the supervisor at the Performance Review Meeting. The supervisor should cite concrete examples in support of his or her contention.

### Underperformance in the context of ill health/sick leave

Where the supervisor believes that ill health or sick leave are leading to underperformance, s/he needs to act with sensitivity and care and in line with relevant provisions of the PSR

### Underperformance due to personal or domestic difficulties

In cases of personal and/or domestic difficulties the confidentiality of the discussions between the supervisor and the employee is paramount. Some employees may not be aware that a particular personal or domestic problem is impacting on their work performance and when made aware may take immediate remedial actions themselves to improve performance. Others may need greater flexibility on a temporary basis i.e. with regard to attendance.

The supervisor should discuss and agree a Performance Improvement Action Plan with the employee specifying what is to be achieved, what supports will be put in place, and the timeframe in which this is to happen. The Action Plan should also specify the dates when the supervisor will review progress.

### Addressing Underperformance:

#### A. Decide and agree on the action required at the Performance Review Meeting

Depending on the cause of the underperformance, the supervisor may deem it necessary to draw up a Performance Improvement Plan. The Performance Improvement Action Plan should specify:

- i. The areas (i.e. relevant Key Tasks on the Role Profile) where there has been unsatisfactory performance.
- ii. The progress which is required to be achieved over the period of the Action Plan.
- iii. The timeframes which will apply to achievement of progress.
- iv. The support measures which will be put in place, when, and by whom (including development measures such as coaching, self-learning, formal training; and, in cases of personal/domestic difficulties, any other support measures to be provided, with timeframes).

- v. The intervals at which progress will be reviewed during the lifetime of the Action Plan.
- vi. The date when overall progress achieved in the Action Plan will be reviewed and evaluated.
- vii. A statement that, in the event that satisfactory progress is not achieved in the timeframe specified, consideration will be given to commencing disciplinary action.

The Performance Improvement Action Plan should be signed and dated by the supervisor convening the meeting and the employee. The Supervisor should inform HRD that a Plan has been agreed.

**B. Monitor and provide feedback**

Supervisors should monitor progress under the Performance Improvement Plan ensuring that improvements are made and supports provided within the agreed timeframes. Overall progress should be reviewed at the agreed review date. Feedback should be provided by supervisors and agreement should be reached on any further actions that may be necessary.

**5.7.5 Addressing PIP Outcomes**

- a) The maximum period for the execution of the PIP is six (6) months;
- b) A three (3) month extension may be granted where additional time is required.
- c) The appraiser and appraisee should agree on the outcome of the PIP at the end of the period.
- d) Where the outcome indicates that the appraisee has improved, HR should issue a letter, informing the appraisee of the successful completion of the PIP period.
- e) Where the appraisee's performance fails to improve, the relevant Staff Committee shall take appropriate action in line with extant rules.
- f) The decisions of the Committee shall be communicated to both the appraisee and appraiser by the HR Department.

**5.8 APPRAISING EMPLOYEES ON APPROVED ABSENCE**

- a) Employees who are away on approved absence for a period not exceeding six (6) months shall be appraised in that given year.
- b) Employees who are away on approved absence for more than six (6) months in a

given year shall not be appraised; rather, their prior year appraisal result shall be recorded.

- c) Appropriate documentation must be maintained to indicate that the absence was pre-approved.
- d) Approved absence is as stated in the PSR.

## **5.9 POST EMPLOYEE PERFORMANCE APPRAISAL ACTIVITIES**

A number of activities - mainly coordinated by the Human Resource Departments in MDAs, takes place after the submission of completed End of Year Performance Appraisal Forms. These include the following:

- a) Collation, analysis and reporting of employee performance;
- b) Reconciliation of employee performance and Departmental performance ratings;
- c) Implementation of linkages (e.g reward, recognition etc.) to other human resource management systems; and
- d) Appeals and disputes resolutions are necessary conditions for implementation of an effective performance incentive.

## **5.10 APPEALS AND DISPUTE RESOLUTION**

This post performance appraisal process looks into and seeks to resolve all appeals and disputes arising from the outcome of performance appraisals, which are reported to the Human Resource Department (not later than 5 working days after the performance appraisal) using the Performance Appraisal Appeal Form.

It is the responsibility of the Heads of Departments to ensure that all disputes arising from the End of year appraisals are resolved within the Departments. When they cannot be resolved within the Departments, they should be forwarded to Human Resource Department.

The appeals and disputes resolution process, which is expected to end on or before February 28, is as outlined in the table below:

<b>Process Step</b>	<b>Responsibility</b>	<b>Timelines</b>
Collate and review all reported cases of performance appraisal appeals and disputes	MDA HR Department	January 31
Collate, review and investigate all reported cases of appeals and disputes	MDA HR Department	Week 1 of February
Identify and schedule cases that may be resolved through mediation	MDA HR Department	Week 2 of February
Close out all cases resolved through mediation	MDA HR Department	
Collate and forward all outstanding unresolved cases to relevant Staff Committees	MDA HR Department	
Schedule and hold relevant Staff Committee meetings to resolve outstanding cases	MDA HR Department, Relevant Staff Committee	Week 3 of February
Communicate decisions of relevant Staff Committee on appeal to appropriate authority	MDA HR Department	Week 4 of February

### 5.11 COLLATION, ANALYSIS AND REPORTING OF EMPLOYEE PERFORMANCE

This entails collating, analyzing and reporting the outcome of employee performance appraisals, in a manner that provides a summary view of employee performance in the MDA. Some of the reports to be generated at the end of this post-performance appraisal activity include:

- a) Summary of MDA Employee Performance rating by performance;
- b) Summary of MDA Employee Performance rating by Departments by performance;
- c) Summary of MDA Employee Performance rating by Grade Levels by performance;
- d) Percentage Distribution of MDA Employees by performance;
- e) Percentage Distribution of Departmental Employees by performance;

- f) Percentage Distribution of Employees in different Grade levels by performance;
- g) Top 10/20/30 Employees by performance ranking;
- h) Bottom 10/20/30 Employees by performance ranking;
- i) Summary overview of Service-wide employee Learning and Development needs;
- j) Summary of employee Learning and Development needs by MDA; and
- k) Summary of employee Learning and Development needs by Department.

#### **5.12 RECONCILIATION OF EMPLOYEE AND DEPARTMENTAL PERFORMANCE RATINGS**

Employee and Departmental performance ratings are reconciled during the meeting of the Senior Staff Committee by adjusting and aligning respective Departmental performance ratings to the summary of employee performance ratings across all Departments in the MDA.

#### **5.13 IMPLEMENTATION OF LINKAGES TO OTHER HUMAN RESOURCE SYSTEMS**

Outcomes of employee's performance appraisal, will inform a number of HR decisions by relevant MDAs such as reward and recognition, performance improvement, posting/deployment, training & capacity development, career progression, employee's removal from the Service etc.

#### **5.14 ACTIONS TAKEN WHEN PERFORMANCE EXCEEDS EXPECTATIONS**

MDAs shall use the outcome of performance appraisals as the only, or one of the key inputs to recognize/reward employees who attain outstanding levels of performance consistently in a number of ways as detailed in the approved Rewards and Recognition System Policy and strictly guided by selection process outlined therein.

## 6.0 OTHER INTERVENTIONS

To help all users of Performance Management System, the Office of the Head of the Civil Service of the Federation shall develop capacity building/training modules to create continuous learning interventions for each phase of the PMS cycle.











THE PRESIDENCY  
OFFICE OF THE HEAD OF THE CIVIL SERVICE OF THE FEDERATION

2022

IMPROVEMENT



TIME

SCOPE



MONITORED



# Performance : management

GOALS



PRIORITIES

EFFICIENCY



BALANCED  
SCORECARD