



KAMUZU UNIVERSITY
OF HEALTH SCIENCES

Performance Management Policy

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5. FOREWORD

This Policy provides a direction for the effective implementation of processes that will ensure the high-level performance of KUHeS staff members while acknowledging their efforts. The Policy is in line with international trends that highly productive organisations and institutions employ. The goal of the Policy is to promote an organisational culture in KUHeS where supervisors and supervisees collaboratively develop shared goals to be pursued to effectively achieve the organisation's goals. Some organisations fail to effectively implement performance management, treating it as a necessary evil of work life that should, in essence, be minimised rather than taken as an important process that could help achieve key individual and organisational effects. The implementation of Performance Management right at the birth of KUHeS is important, as it would become an integral part of its human resource management. The KUHeS Council urges all staff members to use this policy as a guide to the implementation of human resource development.



Professor Francis Moto
Chairman of the Council

6. PREFACE

Performance Management Policy is an expression of KUHeS's commitment to ensuring the attainment of its goals. It guides all decisions related to employee performance in various jobs. It is a standard tool that enables all KUHeS employees to approach and execute their duties effectively and efficiently. The Policy further enhances a culture of responsibility, open and objective communication, and result orientedness among all employees. Coming from a background of no or failed Performance Management Policy, this Policy is a major shift from business as usual to the best practice trends of the world's top universities. KUHeS conforms to the standard practice in high-performing institutions. If all of the university's duties are continuously and consistently planned, agreed upon, structured, executed, monitored, quality controlled, and evaluated according to this Policy, KUHeS stands to achieve its mission.

The PM Policy has culminated in various stakeholders' efforts through their expertise, collaborations, consultations, representation, insights, and time. The concerted manner in which all stakeholders work is a hallmark of an institution that wants to do things progressively differently. The authors also deserve special gratitude. This all-inclusiveness ensures the ownership of the policy among all university cadres. It is envisioned that through the strict implementation of this policy, individual employees' performance will be attained which in turn will translate into departmental and, subsequently, overall university performance. It is incumbent on all employees and supervisors of the university to adhere to the provisions of this policy.



Professor Macpherson Mallewa

Vice Chancellor

7. ACKNOWLEDGMENTS

KUHeS recognises and gives credit to contributors of the University of Malawi Performance Management Policy and Procedures, from which input has been drawn extensively. Professor Macpherson Mallewa provided the overall support and drive for the development of this Policy. Financial support from the University of Glasgow was crucial in meeting the costs of developing this policy. The University also recognises individuals who were entrusted with drafting this Policy, including the following: Assoc Prof. Eric Umar, Dr. Elizabeth Chodzaza, Mr. Herbert Mpando, Ms. Sheila Mponela, Ms. Mary Makoti, Mr. Humphreys Gunchi, and Mr. Sunshine Kandiero. The University is also indebted to the Human Resource Committee of KUHeS Council, who provided input into the finalisation of the policy. Finally, gratitude should also be extended to the members of staff and stakeholders that provided further input during consultations and supported the process of drafting the policy in one way or the other.

Finally, the University would like to acknowledge the valuable input of the Management and Council for their contribution to the policy.

8. LIST OF ABBREVIATIONS AND ACRONYMS

KPA	:	Key Performance Area
KPI	:	Key Performance Indicator
KUHeS	:	Kamuzu University of Health Sciences
MAC	:	Moderation and Appeals Committee
PIDA	:	Performance Improvement and Development Agreement
PM	:	Performance Management
PMS	:	Performance Management System
PPDP	:	Personal Professional Development Plan

9. DEFINITION OF TERMS

Appraisal	A formal evaluation of an employee's performance usually on a quarterly, bi-annual or on an annual basis. The word "Appraisal" is used interchangeably with the terms assessment, evaluation or review;
Casual labor	Irregular employment or part-time labour, including the labour of workers whose normal employment consists of a series of short-term jobs.
Council	The Council of the University established and incorporated under section 8 of Kamuzu University of Health Sciences Act No. 20 of 2019;
Contract employee	An employee of the University serving on a contract of employment for a specified period of time in line with section 25(2)(b) of the Employment Act (2000).
Deputy Vice Chancellor	The Deputy Vice Chancellor of the University appointed pursuant to section 21 of the Kamuzu University of Health Sciences Act No. 20 of 2019
Employee	A person employed by KUHeS whether on a fixed term contract, temporary or on permanent terms
Executive Dean	An Executive Dean of a School appointed pursuant to section 31 of the Kamuzu University of Health Sciences Act No. 20 of 2019
Evaluation Period	An assessment period which shall be the financial year for employees on contract of an unspecified period or anniversary date for employees on contract for a specified period of time or the probation period for employees yet to be confirmed

	in employment. The term "Evaluation Period" is used interchangeably with the terms Reporting Period or Performance Assessment Cycle.
Job Description	A concise statement of the purpose of the job, where it fits in the organisation structure, and the main tasks the job holder has to carry out.
Performance Agreement	Performance contract which defines expectations or results to be achieved.
Performance Appraisal	A process by which the supervisor evaluates or assesses a supervisee's achievements of planned performance objectives based on specific standards and his or her competencies. The term "Performance Appraisal" is used interchangeably with the term "Performance Evaluation."
Performance Factors	Attributes an employee demonstrates in carrying out the job.
Performance Management	A structured but flexible approach to improving the performance of employees, Sections, Departments and the Organisation as a whole. At an individual level, performance management is basically a participatory process between supervisees and their supervisors that links the individual's Work Plan and performance to the overall organisation's Strategic Plan.
Performance Management System	A set of interrelated activities and processes that are treated holistically as an integrated and key component of an organisation's approach to managing performance through people and

developing the skills and capabilities of its human capital, thus enhancing organisational capability and the achievement of sustained competitive advantage.

PM review cycle	An annually reoccurring phenomenon in which employees are evaluated throughout the year.
Progress Review	Periodic discussions between supervisors and employees to discuss progress, resolve problems and to adjust Work Plans, if necessary, during the Annual Performance Cycle. Progress review is used interchangeably with the term "Periodic Review."
Strategic Plan	A plan that sets high level strategic direction for KUHeS.
Work Plan	Plan of agreed group or individual objectives and performance factors for an appraisal period.

10. BACKGROUND AND SCOPE

This Policy is developed pursuant to provisions of section 4 of the KUHeS 2023 conditions of service. In line with achieving excellence in staff performance with the ultimate goal of providing high-level academic services to stakeholders, KUHeS decided to employ a Performance Management (PM) Policy. The Performance Management System (PMS) is the operationalisation of the Performance Management Policy. The PM Policy, if effectively implemented, can be the force behind a highly effective and efficient organisation's human resource management. Evidence suggests that properly implemented PMs can improve an organisation's performance.

PM, which typically includes performance appraisal and employee development, facilitates the establishment of clear performance goals and generates honest feedback. However, evidence also suggests that PMs might face difficulties arising because, at its core, performance, though viewed as personal, is a professional process for both managers and employees. Managers might be reluctant to provide candid feedback and have honest discussions with employees for fear of reprisal or damaging relationships with the individuals they count on to get work done. Employees may feel that their managers are unskilled at discussing their performance and are ineffective at coaching them how to develop their skills. Performance management systems have been viewed as cumbersome, bureaucratic, and time consuming for value addition. After weighing the pros and cons, KUHeS considered it important to implement PM, especially considering its ability to enhance the achievement of key individual and organisational outcomes. The University, therefore, implements this Policy to realise its strategic plan and also to encourage and reward behaviours aligned with the organisational mission and goals.

KUHeS is committed to creating and sustaining an enabling, equitable, supportive, challenging, and stimulating working environment which

recognises and rewards the contribution of its employees at all levels in achieving the university's strategic goals and objectives. On the other hand, KUHeS works actively towards embedding a culture of excellence in performance, individual and team accountability, organizational alignment, continuous improvement, and to ensure that it remains at the leading edge within the growing local, regional, and international competition for students, faculty, and grants. The core element of PMS is the promotion of objectivity and professionalism as opposed to subjective and personal relationships. This Policy applies to all employees at the university except for Casual or Student Appointees.

11. THE RATIONALE FOR IMPLEMENTING PMS

KUHeS is implementing the PMS as an objective tool that aids decision-making at various levels. It is a tool that helps to eliminate subjectivity and induces a supervisor-supervisee interaction that enhances a shared understanding of the organisation's goals and ways of achieving them. Furthermore, the PMS facilitates the identification of gaps and potential solutions to address them. Without identifying such gaps, organisations would not be able to make appropriate adjustments in some key strategic areas to enhance overall performance. Furthermore, PMS provides management with a system which can identify and monitor the efficiency and effectiveness of an organisation. It helps management determine how efficiently the organisation's resources are utilised and the extent to which the organisation's objectives and goals are achieved.

12. VISION STATEMENT

It is a world-class university and centre of excellence in health education, research, and innovation.

13. KUHeS MISSION

To advance knowledge, professional competencies, skills and innovations in health sciences through high quality student-centred and innovative education and research that responds to national and global policy in health and development needs in an efficient, sustainable and result-oriented manner.

14. AIM OF THE POLICY

The main aim of this Policy is to improve and enhance the performance of KUHeS, with the ultimate goal of realising its mission and vision.

15. OBJECTIVES OF THE POLICY

The specific objectives of the Performance Management Policy include:

- a. To implement the University's strategic plan
- b. To align institutional goals at various levels and enhance coherence of HR activities.
- c. To provide an equitable and transparent framework for regular, open, and constructive communication and feedback between supervisors and supervisees.
- d. To provide fair, equitable, and consistent guidelines for performance-based reward and recognition schemes.
- e. To identify performance gaps and barriers to effectively address them through, among other things, capacity building.

16. IMPLEMENTATION GUIDELINES

a. Principles

The following principles shall apply:

- a. There should be a link between the KUHeS strategic objectives with workplans of employees.

- b. Performance management should be a continuous process of communicating and clarifying job responsibilities, priorities, and performance expectations to ensure mutual understanding, employee engagement, and commitment to achieving shared goals and work outcomes.

b. Implementation guidelines

PM process will involve the following:

a. Performance Planning

The structures from the Corporate Office to the Schools shall operationalise the KUHES strategic goals and objectives through the development of work plans at various levels.

b. Performance Contracting

Performance agreements, also known as performance contracts will be signed by employees and will form the basis for assessment, development, and feedback in the performance management process. The performance contract shall specify key performance areas and targets.

c. Performance Reviews

Performance review shall involve continuous monitoring of performance through informal monitoring on a day-to-day basis; mid-cycle formalised review; and end-of-year review.

d. Moderation

All performance scores of individuals from a School/Department/Unit shall be moderated annually by Moderation and Appeals Committee (MAC).

c. Performance Management Outcomes

- a. Contribute towards Incremental Performance-Based Pay Progression.

Incremental pay progression will be earned and awarded based on the scores achieved during the PM process, subject to the provisions of the University Remuneration Policy.

b. Contribute towards Reward Recommendations:

The performance recognition awards will be offered based on the scores achieved in the PM process, subject to the provisions of the Remuneration guidelines. Bonuses shall be individual-based and up to three top individuals rewarded or paid allowances where necessary extended to group achievement.

c. Training and Development Gaps:

Training and Development needs will be identified and included in the employee's Personal Professional Development Plan (PPDF) and Performance Improvement and Development Agreement (PIDA) which will form the basis of the University Training and Development plans.

d. Career Progression:

All employees shall develop an Individual Professional Development Plan and have one developmental goal per PM cycle.

e. Incapacity:

Where there is incapacity, conditions of service shall apply.

f. Management of Under-Performance:

Underperformance of staff will be addressed through the following actions:

i. Coaching

ii. Mentoring

iii. Capacity building

iv. Applying sections of the conditions of service if the three interventions above fail to improve ones performance.

g. Promotion:

Eligibility for personal promotion and placement in a higher grade shall be based on the performance scores achieved in the preceding Performance Cycles subject to criteria for promotion.

h. Probationary Reviews:

An individual's performance based on PMS shall determine whether they are confirmed or not. Probationary Performance reviews will take place at three-monthly intervals for the duration of the probation and any extensions thereof. Once probation has been confirmed an employee will revert to the usual PM review cycle.

i. Sabbatical Leave:

Satisfactory performance scores for the previous PM cycles before the date of application shall be used to determine approval of sabbatical leave as outlined in the conditions of service.

j. Study leave:

Satisfactory performance scores for the previous PM cycles before the date of application shall be used to determine approval of study leave as outlined in the conditions of service.

d. **Roles and Responsibilities**

PM is a reciprocal undertaking and the parties have the following obligations:

- a. Supervisee:
- i. Read and understand the University's strategic objectives and those of the School/Division/Unit to which they belong;
 - ii. Understand the performance expectations established and how the duties and responsibilities contribute to the University's strategic goals and objectives;
 - iii. Review objectives for the year as well as job description with a supervisor;
 - iv. Plan and execute own work and career goals;
 - v. Suggest challenging and realistic objectives that support the University's strategic plan;
 - vi. Ensure continuous achievement of targets throughout the performance review cycle;
 - vii. Compile evidence in support of the appraisal process for discussion with the supervisor;
 - viii. Review performance with the supervisor;
 - ix. Keep Supervisor informed of any potential or actual problems which may affect the ability to achieve some or all objectives and performance standards;
 - x. Act on constructive feedback from the supervisor.
 - xi. Sign the review report after the evaluation;
 - xii. Ensure to have a copy of the final review report;
- b. Supervisor:
- i. Avail the University strategic objectives and those of the School/Division/Unit to supervisee, and show them how their work contributes to the success of the University; and
 - ii. Ensure that supervisee understands what is expected of them in terms of work that needs to be undertaken during a PMS cycle and why.

- iii. Determine and agree with each supervisee on the main duties, objectives, and performance indicators/factors to be achieved over the coming performance cycle informed by the University and School/Departmental/Unit plans, job descriptions, and competency profiles;
- iv. Identify knowledge, skills, and behaviours needed by the employee to achieve the objectives and performance standards that have been set;
- v. Develop generic Performance Contracts for persons performing substantially the same work to ensure fairness and consistency in setting and measuring objectives and outcomes;
- vi. Create and sustain an environment conducive to regular, candid, and constructive feedback and communication;
- vii. Ensure all supervisees under him or her have agreed and signed Performance Contract;
- viii. Ensure the work of each supervisee is regularly reviewed and supported throughout the performance cycle;
- ix. Conduct a mid-year review with the supervisee;
- x. At the end of a cycle, appraise the performance of the supervisee;
- xi. Ensure that performance review meetings are conducted in a cordial and non-hostile manner;
- xii. Respond to feedback from the supervisee;
- xiii. Ensure due process when dealing with unsatisfactory performance according to 7.3f above;
- xiv. Provide a copy of the final performance review form to the appraised supervisee;

- xv. Submit the completed performance review forms confidentially to the Registrar with endorsement of your supervisor;
- xvi. Give at least five days' notice to facilitate preparation for the performance review discussion;

c. Registrar:

- i. Design and develop PM procedures;
- ii. Ensure PMS is implemented in the University;
- iii. Provide the overall performance information to the Vice-Chancellor;
- iv. Keep all performance review reports;
- v. Compile performance evaluation reports to MAC.

e. Moderation and Appeals Committee

This Policy establishes a Moderation and Appeals Committee (MAC) at the University, School/Department/Unit levels to ensure equity, fairness, and consistency in the PM process, and protection of the integrity of the system. In a MAC, 50% of the members shall constitute a quorum.

The Committee shall:

- a. Moderate planning, contracting, final scores, and evidence-based rating.
- b. Recommend/approve rewards and sanctions based on performance review results.
- c. Resolve disputes from performance results.
- d. Submit summarised annual reports to the Vice Chancellor.
- e. At University level, the MAC shall comprise the Deputy Vice-Chancellor (Chairperson), Executive Deans, Librarian, Registrar, Union representative, Director of Finance and Investments and Human Resource Manager.

- f. At School level, the MAC shall comprise the Executive Dean (Chairperson), School Administrator, Union representative, Heads of Department, Finance Officer and Human Resource Officer.
- g. At Unit level, the MAC shall comprise the Unit Head, Unit Managers, Union representative and a Human Resource official.

f. Union representatives

- a. Participate in the development and review of PMS materials.

g. Executive Dean

- a. Ensure that up-to-date School strategic plan and annual work plan are in place.
- b. Ensure availability of resources for the implementation of the PMS.
- c. Make sure that all supervisors have attended a Performance Review Orientation session and are acquainted with the contents of this Policy.
- d. Ensure that supervisors submit performance reports on time.
- e. Support supervisors in managing employees who are struggling to meet normal requirements.
- f. Ensure that maintenance, remedial, training and development, and sanction decisions are informed by review results.

h. Vice-Chancellor

- a. Make sure that up-to-date KUHeS Strategic Plan is in place.
- b. Mobilise resources for the implementation of the PMS.
- c. Receive and consider periodic performance review reports.
- d. Submit report to council through its Human Resources Committee.

i. Internal Auditor

The University Internal Auditor shall see to it that the performance management workplan is in place and being implemented accordingly.

j. University Council

The University Council shall:

- a. Conduct PM review on KU1 and KU 2 through its relevant committee.

17. IMPLEMENTATION PROCEDURES

a. Performance Planning (4-6 Months to PM Year)

The structures from the Corporate Office to the Schools shall operationalize the KUHeS strategic goals and objectives through work plans. The plans will help the University organs to stay organised and focused by breaking down a process into small achievable tasks and identify what various University organs want to accomplish (refer to Annex 1). In preparation for an annual PM cycle, the following approach shall be employed:

- a. Executive Deans and Heads of Department prepare Annual School or Support Services Plans and Key Performance Indicator (KPI) cascaded from the University Strategic Plan for approval by the MAC, which are:
 - i. Related to organisational goals and departmental mandates;
 - ii. Specific, measurable, achievable, realistic, time bound and consistent over time; and
 - iii. Limited to key success factors of the organisation/support service department;
- b. The School/Departmental/Support Services Plans and KPIs are cascaded to all operational units within the School or Support Services Department and, where possible, generic performance objectives/contracts are developed for job families.

- c. Supervisors review job descriptions to ensure continued relevance both at strategic and operational levels.
- d. Supervisors review PPDPs. In this regard, all employees are encouraged to have one developmental goal for each PM cycle.

b. Performance contracting (1-3 month(s) to the PM year)

Performance contract will be signed between the supervisor and supervisee. It will establish priorities of the key aspects of the job to which more attention has to be given. Agreement is also reached at this stage on how performance will be measured and the evidence that will be used to establish levels of competence (refer to Annex 2).

- a. The Performance contract form comprises of three components:
 - i. A Performance Agreement;
 - ii. PPDP;
 - iii. PIDA.
- b. The Performance Contract is created in advance, annually during the period 3-1 month(s) before the PM year, for the following PM cycle and shall be agreed upon and signed by the Supervisor and the Supervisee. It shall comprise of:
 - i. Cascaded objectives (Refer to 3.1);
 - ii. Individual objectives from the supervisee's job description; and
 - iii. Competency objectives (knowledge, skills and behavioural expectations) from the Competency Profile for the position.
- c. The Performance Contract must specify outcomes for each level of scoring. Outcomes that result in a score above expectation will be considered as stretch targets.
- d. The PPDP specifies the developmental objectives for the following year. The PPDP is not compulsory but all employees are strongly encouraged to have at least one development goal per annum.

The PPDP is not part of the scoring.

- e. A PIDA can be developed during the mid-cycle review, the final review or at any stage of the cycle and is compulsory if any of the following is the case:
 - i. The overall rating for the previous PM cycle was below expectations;
 - ii. The supervisee must acquire a new body of knowledge or skill in order to maintain required competencies for the position and/or to meet performance expectations;
 - iii. The position has been upgraded through Job Evaluation and Grading; and
 - iv. The employee's probationary period has been extended.

c. Individual Performance Reviews

The performance review should be objective, allowing supervisors and individuals to take a positive look together at how performance can be improved.

The KUHeS review process shall involve:

- a. Continuous monitoring of performance through informal monitoring on day-to-day basis.
- b. Mid-cycle formalised review.
- c. End of the review period.
- d. Continuous reflection, self-evaluation, gathering of evidence, feedback, mentoring, coaching and development (April to March).
- e. The management of performance shall be an ongoing activity and supervisors should provide supervisees with regular feedback; recognising good performance, mentoring, addressing barriers to the achievement of objectives and taking prompt action to remedy underperformance.

- f. Employees should also reflect on their performance on an on-going basis and communicate barriers to their success to ensure timely remediation.
- g. All employees should compile evidence in order to substantiate the achievement of goals.

d. Mid-cycle review (sixth – seventh months into the PM year)

The formal mid-cycle review takes place at least six months after the commencement of the annual PM cycle. The purpose of the review is to:

- a. Discuss and adjust the PM Contract if circumstances have changed.
- b. Provide feedback on performance.
- c. Identify and resolve problems or concerns.
- d. Review progress with regard to the PPDP and PIDA.

The Review must:

- a. Acknowledge good performance and results achieved.
- b. Consider the validity of the outcomes in the Performance Contract if circumstances have changed which render the goals unachievable. Revise goals where necessary.
- c. Encourage open and constructive dialogue and exchange of views on employee performance.
- d. Encourage self-reflection and self-appraisal on the part of employee.
- e. Explore ways to improve performance and to ensure the achievement of outcomes during the next phase of the cycle.
- f. Mid-year reviews must be signed for by both supervisor and supervisee.

e. End-of-Cycle Review and Evaluation (Within 30 days of the end of a Performance Cycle)

- a. Review relevant documents: work plan, record of continuous assessment, feedback previously given to supervisee, and performance indicators/factors.
- b. A supervisee must conduct a self-reflection and self-appraisal using the self-assessment form (refer to Annex 3). The employee should also compile a Compendium of Evidence to substantiate his/her performance, if deemed necessary.
- c. The supervisor considers the self-appraisal, compendium of evidence and multi-source data and conducts an independent interim Performance Appraisal using the performance review form (refer to Annex 3).
- d. The supervisor meets with each supervisee individually to discuss the rationale for the appraisal scores. The supervisee must be granted an opportunity to ask for a review of the supervisor's interim performance scores. An interim score is then entered onto the system in terms of the agreed rating scale guided by forms featured in this Procedure Manual as Annexes 3 and 4.
- e. To ensure the validity and transparency of the review, the supervisor and the supervisee must both append their signatures on each page of the report.
- f. The performance of supervisees with less than 3 months' service shall be appraised, but not rated.

f. Review of Interim Performance Scores by Department MAC

Within 30 days of the end of the PM cycle, all interim performance scores shall be reviewed by the Department MAC to assess the extent to which:

- a. The individual results are a true reflection of the individual's performance and are in line with performance requirements as expressed in the individual's performance contract.
- b. The scoring is substantiated by a dossier of evidence.
- c. The individual results are aligned to the performance of the operational Unit/School/Department.
- d. The process that was followed was in line with this Policy.
- e. The Department MAC may request the supervisor to revise the scoring in consultation with the supervisee, if the above criteria are not met.
- f. The final unmoderated PM score must be entered into the system within 30 days of the end of a cycle. Such scores must be kept confidential and promptly submitted to the School MAC.
- g. Moderation and Appeals (First two months of the following year/after the PM year)**

To ensure fair, equitable, and consistent treatment of all staff, all final performance scores shall be subject to moderation by a School/Section, within sixty days after the end of the cycle.

The moderation process shall involve the following aspects:

- a. Reviewing the performance assessment process by obtaining an overall sense of whether norms and standards were being applied realistically and consistently.
- b. Reviewing overall assessment scores across School/Department/Unit.
- c. Determining the performance of the entire University/Department/Section/Unit and aligning the same with individual performance and strategic objectives.
- d. Ensuring that there is a common understanding of the standards required at each level of the rating scale.

- e. Reviewing proposed ratings to ensure they are appropriate, justified and consistent;
- f. Recommending rewards and remedial actions for performance and non-performance, respectively will be determined by management.
- g. Recommending remedial actions to be considered where Line Managers do not implement the Policy and Procedure properly;
- h. Providing oversight in terms of the application of the Performance Management Policy and Procedure;
- i. Protecting the integrity of the system.
- j. The decision of this Committee shall be based on the actual Performance Contract, the Compendium of Evidence, Multi-Source inputs and the rationale for scoring as provided by the Supervisor. Information not provided during the initial Performance Appraisal shall not be permitted.

h. Redress for Disputed Appraisal Reports

- a. A supervisee who is not satisfied with the final score may submit a formal grievance to the Appeals Committee.
- b. The Appeals Committee shall be put in place as and when the need arises based on a formal complaint received from a supervisee.
- c. The appeal must specify the grounds for appeal and must include a copy of the PM Contract, the Compendium of Evidence and the supervisor's rationale for scoring.
- d. The adhoc Appeals Committee shall consider the submission by the supervisee and make a determination.
- e. The supervisee shall be notified of the Appeals Committee's determination, in writing, within thirty (30) days from the date the determination is made.

- f. Due to the rigorous process of review, moderation and quality control, the decision of the Appeals Committee shall be final and no further internal appeals shall be permitted. However, any supervisee who remains dissatisfied with the decision of the adhoc Appeals Committee may pursue external remedies in line with relevant pieces of legislation.
- g. The process for redress in disputed appraisals is separate from disciplinary process.
- h. In exploring the grounds of the disagreement, the adhoc Appeals Committee may establish, among others, whether they relate to:
 - i. **Agreed Performance Targets and Core Competences (Factors)** - Is the supervisee alleging that his or her performance was measured against unfair or discriminatory factors?
 - ii. **Evidence** - Is the supervisee alleging that the evidence was ignored, overlooked, distorted or misinterpreted?
 - iii. **Procedure** - Is the supervisee alleging that important stages of the appraisal process were omitted or carried out badly?
 - iv. **Other** - Does the supervisee have some other reasons for disagreeing with the scores in his/her appraisal report?

i. Handling Performance Review Results

The results of the review shall reflect performance and/or knowledge and skills gaps. These will inform maintenance, remedial and directional decisions.

Performance review decisions will help to:

- a. Enhance good performance through financial and/or non-financial rewards (maintenance) (refer to Annex 4).
- b. Address knowledge and skills gaps through training, mentoring and coaching (remedial).

- c. Prepare an employee for future responsibilities through development interventions (directional).
- d. Sanction persistent poor performance in a form of warning, demotion, deduction of salary or termination of employment as provided for in the terms and conditions of service (remedial) (refer to Annex4).

ii. Managing Good, Very Good and Excellent Performance

a. Non- Financial Meritorious Rewards

- i. A completed Annual Performance Evaluation Form shall be required as evidence or proof for an employee to receive a performance related reward.
- ii. Individual satisfactory performance may be rewarded with merit rewards including: Promotions where a vacant position exists; Letter recognising this special performance may be written to the supervisee (i.e. Letter of Commendation); Recognition in the form of a photograph-display in front of the Administration block; Opportunities to attend high level meetings; and Renewal of employment contract in the case of contract employees.
- iii. In addition, the University may run and implement, among others, the following incentive schemes in relation to high performance rewards for its employees: Long Service Awards; Employee of the Year Award; and Schools, Departments or Units Trophies.

b. Financial Meritorious Rewards

- i. A completed Annual Performance Evaluation Form shall be required as evidence or proof for an employee to receive a performance related reward.

- ii. Apart from non-financial meritorious awards, individual satisfactory performance may also be rewarded with financial meritorious awards in form of bonuses.
- iii. Such meritorious awards shall be a one-off payment in a particular evaluation period and shall not be automatic but subject to the financial position of the University.
- iv. The following shall be the bonuses payable where the financial position of the University permits and appropriate approvals have been obtained from the relevant authority:

Performance Level	Description of Rating	Recommended Financial Meritorious Rewards
Level 4 (A) (85% - 100%)	Excellent (Exceptional Performance/ Outstanding/Demonstrating Clear Innovation)	One off payment of% of employee's current monthly salary
Level 3 (B) (70 % - 84%)	Very Good (High Performance)	Merit increment of% of the employee's current monthly salary

- v. However, Management may recommend to the HR Committee of the Council for an upward revision of the percentages of the Financial Meritorious Rewards whenever it is deemed necessary since the successful implementation of this incentive scheme will be dependent on the prevailing financial situation of the University at the particular time.

Any such adjustments shall be communicated to all employees through an internal Memorandum.

- vi. The terms and conditions regarding PAYE and any other taxes will apply on all these rewards.

iii. Managing Poor Performance

- a. Where a supervisee's work performance does not meet the agreed standard, due process, in terms of the applicable University policy and legislation must be followed.
- b. Supervisors must address underperformance promptly and comprehensively through the implementation of the relevant policy/legislation and a PIDA which includes specific strategies to eschew underperformance within a defined time period.

18. MONITORING AND EVALUATION

18.1 HRM Function

The PM process shall be monitored and evaluated annually by the Human Resource Office function and a report presented to the Human Resource Committee of Council and this process shall involve:

- a. Reviewing the effectiveness and efficiency of the system and internal controls;
- b. Presenting statistical data and analysis;
- c. Monitoring policy compliance; and
- d. Recommending policy and procedure improvement.

18.2 Internal Audit

The University Internal Auditor shall:

- a. Ensure that the PMS is monitored and evaluated to enhance its effectiveness and efficiency.
- b. Present a report for consideration to the Audit Committee of Council to ascertain its efficiency and effective implementation.

19. FINANCIAL IMPLICATIONS

The implementation of PM Policy has both fixed and varying financial requirements. The Office of the Vice Chancellor has the responsibility of mobilising resources and ensuring adequate allocation of financial resources towards PM activities. The HR section, in liaison with Line Managers, has the responsibility of budgeting for PM activities.

20. APPENDICES

Appendix 1: Performance Planning Form at the beginning of the Period

PERFORMANCE PLANNING FORM AT THE BEGINNING OF THE PERIOD

(in triplicate).ACADEMIC POSITION AS AN EXAMPLE - these will be accustomed to specific positions' job descriptions.

No.	Key Performance Area (KPA) and Weighting	Key Performance Indicator (KPI)	Performance Objective/Target	Weighting of objective
1	Teaching (45 %)	Course outlines	Draft 2 course outlines for AAA 302 and BBB 405	5%
		Teaching notes	Develop Teaching notes for AAA BBB and CCC 405	6%
		Teaching/course delivery	Teaching two courses	20%
		Assessment documents	Examine, mark and process assess students in two courses- AAA 302 and BBB 405	5%
		Students evaluation of lecturers forms	Administer students evaluation form for my two courses	5%
		Students attachment supervision	Visit and supervise students on attachment in	4%

			Blantyre, Lilongwe and Mzuzu	
2	Research and publications (35%)	Conference paper	Present 1 conference paper during the year	7%
		Research report	Write 1 research report during the year	8%
		Journal article	Publish 1 journal article during the year	10%
		Students' dissertations	Supervise 5 Undergraduates and 2 MA students	10 %
3	Consultancy, service and outreach (20 %)	Technical and financial proposal	Write and submit 2 technical and 2 financial proposals during the year	6%
		Consultancy report	Produce 1 consultancy report	6%
		College Committee membership	Participate in 2 College wide Committees	4%
		Service to the Department	Become part of the 2 departmental taskforce memberships	4%
			TOTAL	

Academic managers bearing titles of Vice Chancellor, Deputy Vice Chancellor, Executive Dean and Head of Department but are still involved in teaching will have higher weighting in management than in teaching and research.

Appendix 2: Performance planning at the beginning of the period

PERFORMANCE PLANNING AT THE BEGINNING OF THE PERIOD

(in triplicate). SUPPORT POSITION: OFFICE ASSISTANT

No	Key Performance Area (KPA)& Weighting	Key Performance Indicator (KPI)	Performance Objective/Target	Weighting of objective
1	Office support services (25%)	Doors and offices opened and closed	Open and close doors daily	10%
		Offices furniture cleaned	Cleaning furniture daily	9%
		Office utensils meant for office/teaching use and stores tidied up appropriately.	Ensure office utensils/stores for use are tidied up daily	6%
2	Photocopying and Binding (25%)	Documents photocopied	Undertaking photocopying daily	5%
		Documents bound.	Ensure documents are bound	5%
		Scrap paper and rubbish disposed of	Ensure scrap paper and rubbish is disposed of regularly	5%
		No. of Reports on faulty machines	Report on faculty machines	3%
		Equipment cleaned daily	Clean equipment daily	7%

3	Maintenance of Notice Boards (15%)	Notices collected and posted	Ensure notices are collected from the appropriate office and posted on notice board	10%
		Overdue notices removed for filing	Remove overdue notices for filing	5%
4	Preparing rooms for meetings (20%)	Room cleaned	Ensure meeting rooms are cleaned	5%
		Tables, chairs and equipment arranged	Arrange tables and equipment in readiness for meetings	7%
		Equipment carried to the meeting room	Ensure appropriate equipment is carried to the meeting room	4%
		Documents and equipment collected to the appropriate office	Collect documents and equipment to appropriate office after the meeting	4%
5	Distributing stationery&consumables (10%)	Requisitions collected and circulated.	Collect requisitions from offices	5%

		Stationery and consumables delivered to offices	Deliver stationery and consumables to other offices	5%
6	Handling mail (5%)	Mail moved to other offices	Moving mail from Registry to other offices	5%

Appendix 3: Performance Contracting/Agreement Form

PERFORMANCE CONTRACTING/AGREEMENT FORM

(in triplicate)

SECTION A

PREAMBLE

THIS Agreement/contract is entered into for the period
from..... to
.....between the Kamuzu University of Health Sciences
(hereafter referred to as the "Employer") and
.....(referred to as the "Employee")
holding the post of.....in the
School/Department/Section/Unit of

SECTION B

VISION AND MISSION

1. Vision:
2. Mission:

SECTION C

ORGANISATION'S STRATEGIC OBJECTIVES/OUTCOMES

No.	STRATEGIC OBJECTIVES/OUTCOMES
1.	
2.	
3	
4.	

5	
6	

MISSION OF THE SCHOOL / DEPARTMENT/ DIVISION/
SECTION /UNIT

The Mission of School/ Department/ Division/
Section/ Unit is

.....

.....

.....

SECTION D

KEY DUTIES AND RESPONSIBILITIES (JOB DESCRIPTION)

Key Performance Area (Purpose) of the Post of

.....

.....

.....

Key Performance Areas (Key Duties and Responsibilities):-

1.
2.
3.
4.
5.
6.

7.

SECTION E

WORKPLAN

During the periodto.....the work-plan for the will be as follows:-

Agreed Objectives (Not more than six)

Seri al No.	Key Perform ance Areas	Performance Indicator	Objective/ Target	Target Date	Resourc es Require d	Critical Assumption s
1.						
2.						
3.						
4.						
5.						
6.						

SECTION F

PERFORMANCE IMPROVEMENT & DEVELOPMENT AGREEMENT (PIDA)

Identified Performance Challenges:

.....
.....

Underlying Causes:

.....
.....

Previous Interventions:

.....
.....

Remedial Action Plan:

.....
.....

SECTION G

PERSONAL PROFESSIONAL DEVELOPMENT PLAN (PPDP)

Aspiration or Identified Potential/Real Proficiency Gaps:

.....
.....

Rationale:

.....
.....

Development Action Plan:

.....
.....

SECTION H

CONTRACTING/AGREEMENT

Employee's Name

Signature:.....

Designation:

Date:

Supervisor's Name

Signature:.....

Designation:

Date:

Witness's Name

Signature:

Designation:

Date:

Appendix 4: Performance evaluation form at the end of the period

PERFORMANCE EVALUATION FORM AT THE END OF THE PERIOD (in triplicate)

ACADEMIC POSITION: LECTURER

No	Key Performance Area (KPA) and Weighting	Key Performance Indicator (KPI)	Performance Objective/Target	Weight	End of Period Rating (Employee)	Ends of Period Rating (Supervisor)	Final Rating	Remarks
1	Teaching (45%)	Course outlines	Draft 2 course outlines for HRM 302 and PAS 405	5%	1 taught 2 courses	Verified	4	
		Teaching notes	Develop Teaching notes for HRM 302 and PAS 405	6%	1 developed two course outlines and teaching notes	Verified	5	
		Teaching/course delivery	Teaching two courses	20%	Delivered two courses	Verified	16	

		Assessment documents	Examine, mark and process assess students in two courses- HRM 302 and PAS 405	5%	I examined, marked and processed and assessed students as planned	Verified	4	
		Students evaluation of lecturers forms	Administer students evaluation form for my two courses	5%	Students evaluated my 2 courses	Verified		
		Students attachment supervision	Visit and supervise students on attachment in Blantyre, Lilongwe and Mzuzu	4%	Visited students on attachment in Blantyre Lilongwe and Mzuzu	Verified		

2	Research and publications (35%)	Conference paper	Present 1 conference paper during the year	7%				
		Research report	Write 1 research report during the year	8%				
		Journal article	Publish 1 journal article during the year	10%				
		Students' dissertation	Supervise 5 BA and 2 MA students	10 %				
3	Consultancy service and outreach (20 %)	Technical and financial proposal	Write and submit 2 technical and 2 financial proposals during the year	6%				

		Consultancy report	Produce consultancy report	1	6%				
		College Committee membership	Participate in College wide Committees	2	4%				
		Service to the Department	Become part of the departmental taskforce memberships	2	4%				
			TOTALS						

Employee's Name

Supervisor's Name

Witness's Name

Signature:

.....

.....

Designation:

.....

.....

Date:

.....

.....

Appendix 5: Performance evaluation form at the end of the period

PERFORMANCE EVALUATION FORM AT THE END OF THE PERIOD

(in triplicate)

SUPPORT POSITION: OFFICE ASSISTANT

No.	Key Performance Area (KPA) and Weighting	Key Performance Indicator (KPI)	Performance Objective/Target	Weight	End of Period Rating (Employee)	End of Period Rating (Supervisor)	Final Rating	Remarks
1	Office support services (25%)	Doors and offices opened and closed	Open and close doors daily	10%				
		Offices furniture cleaned	Cleaning furniture daily	9%				
		Office utensils meant for office/teaching use and stores	Ensure office utensils/stores for use are tidied up daily	6%				

		tidied up appropriately.						
2	Photocopying and Binding (25%)	Documents photocopied	Undertaking photocopying daily	5%				
		Documents bound.	Ensure documents are bound	5%				
		Scrap paper and rubbish disposed of	Ensure scrap paper and rubbish is disposed of regularly	5%				
		No. of Reports on faulty machines.	Report on faculty machines	3%				
		Equipment cleaned daily	Clean equipment daily	7%				
3	Maintenance of Notice	Notices collected and posted	Ensure notices are collected	10%				

	Boards (15%)		from the appropriate office and posted on notice board					
		Overdue notices removed for filing	Remove overdue notices for filing	5%				
4	Preparing rooms for meetings (20%)	Rooms cleaned	Ensure meeting rooms are cleaned	5%				
		Tables, chairs and equipment arranged	Arrange tables and equipment in readiness for meetings	7%				
		Equipment carried to the meeting rooms	Ensure appropriate equipment is carried to the meeting rooms	4%				

		Documents and equipment collected to the appropriate office	Collect documents and equipment to appropriate office after the meeting	4%				
5	Distributing stationery and consumables (10%)	Requisitions collected and circulated.	Collect requisitions from offices	5%				
		Stationery and consumables delivered to offices	Deliver stationery and consumables to other offices	5%				
6	Handling mail (5%)	Mail moved to other offices	Move mail from Registry to other offices	5%				
			TOTALS					

Employee's Name

Signature:

Designation:

Date:

Supervisor's Name

.....

.....

.....

Counter Signing Officer's Name

.....

.....

.....

Appendix 6: Rating and Rewards and Sanctions

RATING AND REWARDS AND SANCTIONS

The following are the recommended rewards and sanctions related to various performance levels:

Score	Performance level	Description of Rating	Recommended Reward/Sanction
85 – 100	Level 4 (A)	Excellent (Exceptional Performance/ Outstanding/Demonstrating clear innovation)	<ul style="list-style-type: none">• Once off payment• Eligibility for Promotion• Special assignments• Distinguished Awards• Professional leave
70 – 84	Level 3 (B)	Very Good (High Performance)	<ul style="list-style-type: none">• Tenure• Letter of commendation• Eligibility for Merit increment• Professional leave
50 – 69	Level 2 (C)	Good (Average performance)	<ul style="list-style-type: none">• Training and development• Mentorship• Manager's support
1 – 49	Level 1 (D)	Poor performance (Inconsistent Performance/ Unsatisfactory)	<ul style="list-style-type: none">• Coaching/counseling• Training and development• Sanction e.g: Warning letter, Non – renewal of contract Extension of probation period Termination of employment

0	Level 0 (E)	Cannot be assessed. The goal or objective cannot be assessed due to factors outside control of employee e.g. illness, failure of co-dependent etc.	Refer the case to the Human Resource Office Officer for the necessary action
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