



**ACCRA  
TECHNICAL  
UNIVERSITY**

# **GUIDELINES FOR IMPLEMENTATION OF STAFF PERFORMANCE MANAGEMENT SYSTEM**

**POLICY**



## INTRODUCTION

The Accra Technical University Staff Performance Management System is an instrument designed for evaluating the performance of staff (employee) in relation to his/her contribution to the overall improvement of the organization's performance.

Performance appraisals are used for staff development and are essential for the effective management of employees and organizations. Performance appraisals assist in identifying individual training needs and are important for career and succession planning in organizations.

The Staff Performance Appraisal System shall be an annual performance appraisal cycle involving four key phases: Performance Planning (target setting), Performance Reviews (progress reviews), Performance Appraisal (review and appraisal), and Decision Making. Staff performance appraisal shall be done using the Staff Performance Appraisal Form (SPAF). All members of staff and Heads of Divisions [Deans, Directors, Heads of Departments (HOD), Heads of Units (HOU)] shall read, understand and apply the following guidelines in filling the form.

The Vice Chancellor shall initiate the process after the approval of the University Budget by setting targets for his/her immediate subordinates who shall in turn do same with those they supervise.

## IMPLEMENTATION PROCEDURE

### Phase One – Performance Planning

Top management shall complete the performance planning processes for the University using the organization's Strategic Plan and Annual Operational Plan to create Work Plans for the various departments within the University. Top management shall clearly define the key results areas (KRAs), key performance indicators (KPIs) and targets and required resources. Following this process, Top management shall communicate the plans to Deans and Directors for them to undertake the same planning process for their immediate subordinates. Heads of Departments and Units respectively, shall complete the process with their individual staff by planning and setting individual performance targets, KRA's and KPI's from the Work Plans of the Departments and Units.

The target setting process shall be an interactive one between supervisors and subordinates. This shall be completed by the end of January of each year. Performance planning shall involve setting of targets for key areas as well as of the required competencies required by the staff to work.

### Phase Two – Performance Reviews

The key success of the Performance Management System (PMS) shall be derived from constant dialogue between supervisors and subordinates on progress and performance against objectives. This shall facilitate continuous feedback and coaching to employees to reinforce positive behaviours. Employees shall be provided with continuous constructive feedback on their performance during the appraisal cycle. Therefore, there shall be a formal mid-year review assessment between the supervisor and the worker in July each year to ensure that set targets are being achieved and the performance plan is on course, and to adjust targets,

if necessary. In addition, the supervisor and the worker shall carry out regular discussions and communicate on progress of work throughout the year. Records shall be kept for all regular discussions and progress review meetings.

### **Phase Three – Performance Appraisal**

At the end of the year, the Supervisor shall evaluate the worker's performance against set targets. The performance appraisal shall cover both the achieved targets and demonstration of the required competencies to work. The Registrar working through the Human Resource Directorate shall ensure that there is an open, engaging, timely and consistent process across the organization to allow for an objective, accurate, useable and mutually acceptable review outcome.

### **Phase Four- Decision Making**

The PMS is a tool to increase excellence, transparency, and accountability and communicate University's values and objectives to workers. It shall enable a performance driven culture in the University with emphasis on continuous feedback and employee development. This phase allows for deciding courses of action based on performance appraisal results. The decisions may include recognition/reward, training, promotion, career development and counseling and sanctions.

DETAILED GUIDELINES ON THE FOUR (4) PHASES OF THE PERFOR-

## PERFORMANCE MANAGEMENT SYSTEM (PMS)

### 1. PERFORMANCE PLANNING

Performance Planning is the process of defining an employee's job schedule and setting performance targets within a specific period. It is important that there is agreement on the targets set to ensure ownership by the employee. The process consists of three (3) major steps:

- i. Identify Key Result Areas for the goals (i.e. objectives) stated for the Thematic Areas
- ii. Set Targets
- iii. Determine the Resources required

#### Identifying Key Result Areas

Identify a minimum of three and a maximum of five key results areas. The key results areas are found in the Thematic Areas in the University Strategic Plan. Each Key Result Area has stated organizational GOALS. The Key Results Areas of the division shall be in line with the Annual Work Plan of the division. The Key Results Areas, identified targets and the resources needed shall be agreed upon with the employee. This phase of the cycle shall be completed by the end of January each year.

#### Guidelines for Target Setting

This shall be done by both the Appraiser and the appraisee.

Stage 1 - Before the Meeting

Step 1: Appraiser and Appraisee shall identify key results areas from the

job schedule.

Step 2: Appraiser and Appraisee shall identify targets.

Step 3: Appraiser and Appraisee shall exchange notes prior to the meeting.

## **Stage 2 - During the Meeting**

Step 1: Appraiser and Appraisee shall discuss and agree on key result areas.

Step 2: Appraiser and Appraisee shall discuss and agree on targets

Step 3: Appraiser shall identify and explain the competencies required for performance and achievement of the targets

Step 4: Appraiser and Appraisee shall discuss resources required for the attainment of targets

## **Stage 3 – After the Meeting**

Step 1: Appraiser shall fill out the Performance Planning Form

Step 2: Appraiser and Appraisee shall sign the Performance Planning Form and a copy of the signed Form given to the Appraisee.

Step 3: The original signed document shall be returned to the Human Resource Directorate.

## **2. PROGRESS REVIEW PROCESS**

### **The Progress Review Meeting**

The Progress Review stage of the performance appraisal cycle shall be undertaken in July of each year. It shall provide a formal mechanism by which appraisers and Appraisees meet to review progress. The appraiser shall give at least a week's notice to the Appraisee specifying the date, time and place of the meeting. The review process shall be as follows:

Step 1: Appraiser and Appraisee shall discuss progress of work in relation to targets set. If conclusions reached at the meeting necessitate changes or adjustments in targets, these modifications shall be specified on the mid-year review form in the original signed Staff Performance Review Appraisal Form (SPRAF).

Step 2: Appraiser and Appraisee shall discuss the extent to which competencies are being applied or demonstrated or lacking;

Step 3: Appraiser and Appraisee shall agree on additions and deletions to targets and modifications where necessary.

Step 4: Appraiser shall record the changes if any and comments on the Mid-year Review Form.

Step 5: Appraiser and Appraisee shall sign the Mid-year Review Form (MYRF)

Step 6: Appraiser and Appraisee shall keep copies of the signed MYRF. The original document shall be sent back to the Human Resource Department.

### **3. THE END-OF-YEAR REVIEW AND APPRAISAL PROCESS**

#### **The End-of-Year Review and Appraisal Meeting**

The End-of-Year Review and Appraisal Process shall span the period of 10th November to 10th December. The process is in three parts namely: Before the Interview, during the Interview and after the Interview:

### **Stage 1 - Before the End-of-Year Review Meeting:**

**Step 1:** Appraiser shall give at least one week notice to the Appraisee of the meeting.

**Step 2:** Both Appraisee and Appraiser shall write down on a separate sheet Appraisees performance in terms of targets achieved and targets not achieved. Reasons shall be stated.

**Step 3:** Appraiser shall write down Appraisee's performance in terms of competencies demonstrated and not demonstrated with reason(s).

**Step 4:** The Appraisee shall review his/her performance and list the main achievements.

**Step 5:** The Appraisee shall prepare for the discussion with the appraiser.

### **Stage 2 - During the Meeting:**

**Step 1:** The Appraiser shall welcome the Appraisee and state the purpose for the meeting.

**Step 2:** The Appraiser shall discuss the targets achieved one after the other.

**Step 3:** The Appraiser shall discuss targets not achieved one after the other.

**Step 4:** The Appraiser shall discuss the competencies demonstrated one after the other.

**Step 5:** The Appraiser shall discuss the competences not demonstrated one after the other and agree on the improvement plans.

**Step 6:** The Appraiser shall summarize and communicate his/her observations to the Appraisee.

### Stage 3 - After the Meeting

**Step 1** – The appraiser fills the form within three working days.

**Step 2** – The appraiser invites the Appraisee to read, provide comments on the appraisal and sign the End-of-Year Form.

## EVALUATION PROCESS

The evaluation process looks at three (3) key areas of performance for teaching staff and two (2) for administrative and professional staff.

The key areas are:

- i. Performance on Targets set - 60
- ii. Performance on Competences – 30 for Teaching Staff and 40 for Administrative and Professional Staff
- iii. Evaluation by Students - 10 (This shall apply to only Teaching Staff)

**Total marks obtained shall be over 100.**

### Assessments of Targets

To compute scores obtained on core targets, a scale of A to E is provided for the ratings. The following table provides the definitions for the ratings scale for assessing the level of targets achievement.

RATING		DEFINITION OF ACHIEVEMENT OF TARGETS
<b>A</b>	Far exceeded targets	Results achieved far exceeded targets. Demonstrated exceptional achievement in all areas of responsibility. Completed many projects ahead of schedule. Consistently demonstrated exceptional behaviour/ capabilities whilst achieving results. This included the production of high quality work, demonstration of very high level of innovation in work delivery and the achievement of targets well ahead of the time frame
<b>B</b>	Exceeds targets	Results fully met all targets and exceeded some targets. Completed work and projects within schedule. Consistently demonstrated required behaviours whilst achieving results. This included the production of high quality work, demonstration of very high level of innovation in work delivery and the achievement of targets within the time frame and/ or missed delivery time due to logistic constraint.
<b>C</b>	Met all targets	Results met all targets in key areas. Met the minimum job requirements and expectations. This included quality of work that meets expected standards, demonstration of innovation in work delivery. Targets were achieved on time.
<b>D</b>	Below targets	Results were below targets. Continuing in the position at this performance level is not acceptable. Behaviour has been below target on a number of occasions. Significant improvement in the near future is required or action may be taken up to and including disciplinary inquiry. This included average quality work, lack of innovation in work delivery. Targets were achieved outside the time frame set.

E	Unacceptable	Did not meet targets. Results did not meet any of the targets set. Continuing in the position at this performance level is not acceptable. Behaviour did not meet target on all occasions. Significant improvement in the near future is required or action may be taken up to and including disciplinary and or termination. This included poor quality work. Lack of innovation in work delivery. Did not achieve target.
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## Assessment of Competencies

To compute scores obtained on competences, a scale of A to E is provided for rating the competency areas:

RATING		EXPLANATIONS ON DEMONSTRATIONS OF COMPETENCIES
A	Exceptional	Has consistently demonstrated this behavior competency and always encouraged others to do same. Four (4) or more examples can be evidenced to support this rating. Exceptionally, exceeded expectations on this behavioural competency requirement.
B	Exceeds Expectations	Has frequently demonstrated this behavior competency and sometimes encouraged others to do same. Three (3) or more examples can be evidenced to support this rating. Exceeded expectations on this behavioural competency requirement.
C	Meets Expectations	Has demonstrated this behavior competency and at least two (2) examples can be evidenced to support this rating. Meets expectations on this behavioural competency requirement.

<b>D</b>	Below Expectation	Has rarely demonstrated this behavior competency and two (2) or more examples can be evidenced to support this rating. Demonstration of requirements of this behavioural competency was below expectation.
<b>E</b>	Unacceptable	Has not at all demonstrated this behavior competency and three (3) or more examples can be evidenced to support this rating. Demonstration of requirements of this behavioural competency was unacceptable and did not meet any expectations.

## OVERALL RATINGS AND DESCRIPTIONS

The table below provides explanation for overall ratings and descriptions

RATING		RATING DESCRIPTION	EVIDENCE/ SUPPORT REQUIREMENT
A	Exceptional	Behavioural competencies and/or work performance consistently far exceeded expectations due to exceptionally high quality of work performed in all essential areas of responsibility, resulting in an overall quality of work that was superior; and either 1) included the completion of a major goal or project, or made an exceptional or unique contribution in support of unit, department, or organizational objectives. The employee truly stands out and clearly and consistently demonstrates exceptional accomplishments in terms of quality and quantity of work. His/her demonstration of competencies is easily recognized as truly exceptional by others	There are not less than four (4) particular cases that can be cited to support the rating.

B	Exceeded Ex- pectations	Demonstration of be- havioural competencies and work performance consis- tently exceeded expecta- tions in all essential areas of responsibility, and the quality of work overall was excellent. Achievements are regularly above expected level. Per- formance is sustained and uniformly high with thorough and on time results. Annual goals were met above expect- ation.	There are not less than three (3) particular cases that can be cited to support the rating.
C	Met all Expectations	Behavioural competencies and/or work performance consistently fully met expect- ations in all essential areas of responsibility, and the qual- ity of work overall was very good. While minor deviations may occur, the overall level of performance meets all requirements	The worker has achieved all crit- ical annual goals. Performance met the expected standards
D	Below Expectation	Behavioural competencies and/or work performance did not consistently meet expect- ations – performance failed to meet expectations in one or more essential areas of re- sponsibility, and two or more of the most critical goals were not met. The employee generally struggles to fully meet expectations. Perform- ance fell short of expected standards.	There are not less than two (2) particular cases that can be cited to support the rating.

E	Unacceptable	<p>Behavioural competencies and/or work performance was consistently below expectations in most essential areas of responsibility, and/or reasonable progress toward critical goals was not made. Significant improvement is needed in three or more important areas.</p> <p>The employee is not meeting the job requirements. Performance shall improve substantially within a reasonable period of time if the individual is to remain in this position. Failed to meet performance standards</p>	There are not less than three (3) particular cases that can be cited to support the rating
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## OVERALL RATING SCALE

Score	80% above	79-65 %	64-50%	49-41%	40% & below
Rating	A	B	C	D	E
Description	Exceptional	Exceeded Expectations	Met all Expectations	Below Expectation	Unacceptable

## DECISION MAKING

It is important to ensure that there is consistency, fairness and equity in the overall performance management process. It is expected that if majority of the employees received a rating of Outstanding Performance/ Exceeded Performance then the faculty/directorate/department and the University shall have similarly exceeded targets set in the annual budget and annual plans.

The Directors, Departmental Heads, Sectional Heads and HR Representatives shall moderate the ratings for their respective departments to ensure internal moderation across the Departments/Divisions.

The final rating shall be communicated to the staff

## APPEALS PROCESS

Workers who are dissatisfied with their appraisal assessment shall appeal for redress as indicated below:

i. In the event that an Appraisee is not satisfied with the result of his/her assessment he/she may appeal first to his head for a review. The appeal should be supported with appropriate evidence.

ii. In the event that he/she is still not satisfied, the next step is to appeal to the next higher authority (HOD, Dean, Director).

iii. If the Appraisee is still not satisfied after the second stage, he/she may appeal to the Head of Human Resource Directorate for a review of his/her case.

iv. If the issue is still not resolved, the Appraisee shall appeal to the Vice Chancellor through the Registrar. The Vice-Chancellor shall immediately constitute a three- member Committee to review the case.

v. If the above steps fail, the Appraiser may pursue the appeal further through the formal channels provided in the University Statutes for redress of grievances.

vi. If the worker remains dissatisfied he or she may apply to the National Labour Commission for mediation or arbitration which outcome shall be final and binding as enshrined in Section 108 of Act 651

## **PERFORMANCE IMPROVEMENT PLAN**

Performance Improvement Plan (PIP) shall be put in place by the Human Resources Division after a thorough review of the final Appraisal Process. Other areas such as personal development and training programmes, which the employee shall need during the next twelve (12) months for growth and to improve various aspects of job performance, shall be noted for management attention. The plan shall detail areas for improvement or enhancement of the employee's skills through training, counseling, mentoring etc. Top management shall be actively involved in this to ensure that the plan is timely executed and resources are made available. Any worker who shall score below expectations and unacceptable without any improvement within six months after being placed on PIP may face appropriate sanctions in line with appropriate regulations.

## **REWARDS AND BENEFITS**

An annual rewards and benefits system shall be established to recognize and reward staff who performed above expectation. This is to ensure that such staff are motivated to keep up the good performance and also to encourage others to improve on their current performance.

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