

THE UNITED REPUBLIC OF TANZANIA



PRESIDENT'S OFFICE
PUBLIC SERVICE MANAGEMENT
DAR ES SALAAM

**GUIDELINE ON
OPEN PERFORMANCE REVIEW
AND APPRAISAL SYSTEM
(OPRAS)**

JANUARY, 2013

THE UNITED REPUBLIC OF TANZANIA



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ABBREVIATIONS

CEO	-	Chief Executive Officer
CSRП	-	Civil Service Reform Programme
DAHRM	-	Director of Administration and Human Resources Management
EAs	-	Executive Agencies
IPA	-	Individual Performance Agreement
LGAs	-	Local Government Authorities
MDAs	-	Ministries, Independent Departments and Agencies
MTEF	-	Medium Term Expenditure Framework
OPRAS	-	Open Performance Review and Appraisal System
PMS	-	Performance Management Systems
PO-PSM	-	President's Office – Public Service Management
PSRP	-	Public Service Reform Programme
SMART	-	Specific, Measurable, Achievable, Realistic and Time-frame
TFN	-	Treasury Form Number

DEFINITION OF TERMS

Accountability: Obligation to demonstrate that work has been conducted in compliance with agreed rules and standards.

Appraisee: An employee whose performance is being assessed.

Employee: A person holding (or acting in) a public service office.

Employer: A person or an organisation in the public service, with whom a public servant enters into a contract of service and who is responsible for the payment of salaries of such a public servant.

Objective: A broad statement of what is to be achieved and the improvements to be made. Objectives are at two levels. Level one covers institutional objectives; and level two covers personal objectives. Institutional objectives describes an intended outcome or impact and summarises why a series of actions have been undertaken. Personal objectives are quantifiable statements of what is to be achieved by an employee over a specific period of time.

**Individual
Performance
Agreement:**

An annual agreement on objectives, targets, performance criteria and resources required agreed upon by both the employee and the

employer. The agreement is reached upon in a formal meeting between the two at the beginning of the financial (and or calendar year for teachers of primary, secondary schools, and Teachers' Colleges) and recorded in an OPRAS form.

Performance

Appraisal: A process of assessing employees' performance. It is an opportunity to take overall view of work content (loads and volume), and to look back at what has been achieved during the reporting period; and agreed objectives for the next planning period.

Performance

Criteria: The performance standards set and agreed upon by employees' and their supervisors on how performance will be assessed against each set target contained in the performance agreement.

Supervisor: The immediate superior of an employee to whom he/she reports to and will assess the employees' performance according to the performance agreement.

PREFACE

The Public Service Reform Program (PSRP) launched by the Government in 2000 has three distinct phases. The first phase involves the installation of Performance Management Systems (PMS) in all Ministries, Departments and Agencies; Regions and Local Government Authorities. The objective of this phase was to improve accountability, transparency and resource management for efficient and effective delivery of quality services to the public. In an effort to achieve this objective, the Government designed the Performance Improvement Model (PIM) which is a four stage process involving planning, implementing, monitoring and reviewing to be used in the implementation of PMS.

In the course of implementing PMS, the Open Performance Review and Appraisal System (OPRAS) have been introduced in all MDAs, Regional Secretariats and LGAs to enable proper and more effective use of human resource. This led to the abolition of the confidential appraisal system. OPRAS emphasizes the importance of involving employees in objectives setting, implementing, monitoring and reviewing processes, which promotes individual accountability, improve transparency and communication between management and employees.

It is thus mandatory for all MDAs, LGAs and Regions to introduce OPRAS and make it operational. This is backed up by policies and laws, which enforces, among other things, OPRAS implementation in the public service. These are such as the Public Service Employment Policy (1999), the Public Service Act (No. 8 of 2002) and Public Service Regulations (2003) with their amendments.

It is against this background that this guideline is issued as a tool to inform and guide public servants on the importance and use of OPRAS. The guide defines terms frequently used and provides procedures on how to complete different sections of the OPRAS form and further clarifies on rewards, sanctions and development measures. It also guides on appeal procedures in case of disagreement on the way the appraisal process is conducted.

It is expected that the guideline will facilitate MDAs, Regions and LGAs to operationalize OPRAS for a more result-oriented public service.



George D. Yambesi

PERMANENT SECRETARY (ESTABLISHMENTS)



CHAPTER ONE

1. INTRODUCTION

This chapter explains what OPRAS is, OPRAS process flow, the values and key elements embedded in it, advantages of using OPRAS to both the employer and employee and roles played by various actors in its operations. The chapter also informs on who is to fill the OPRAS forms, its distribution on completion including the importance of preparing and consolidating the annual performance rating report for submission to President's Office, Public Service Management (PO-PSM).

1.1 What is OPRAS?

The Open Performance Review and Appraisal System (OPRAS) is an open, formal, and systematic procedure designed to assist both employers and employees in planning, managing, evaluating and realizing performance improvement in the organization with the aim of achieving organizational goals. OPRAS has the following unique features that can be differentiated from the previous confidential appraisal system:

Openness; allows both employee and employer to discuss and agree on the organisational and individual objectives that are to be achieved during the year openly;

Participation; involves employees in the process of setting objectives, performance targets and criteria as well as determining, assessing and recording performance;

Accountability; individual employees are required to sign annual performance agreements and account for their performance against agreed targets and resources allocated for each activity;

Ownership; shows linkage between individual objectives and the overall organizational objectives in a given period of time. This helps the employee understand own role and contribution thus creating commitment in achieving organizational goals.

OPRAS Process Flow

Implementation of OPRAS follows a series of interlinked processes that has roots from the Annual Planning process and ends with the feedback on annual overall performance providing input to the following annual planning process as shown in Diagram 1 below. This process flow is explained in more detail in Chapter Two.



Diagram 1: Process Flow of OPRAS

1.2 Key Elements of OPRAS

1.2.1 Setting of Annual Performance Targets

Setting of the annual performance targets is a key element of OPRAS which is normally done at the planning level. The performance targets are used to assess the performance of every public servant by comparing the achievements against agreed performance targets as stipulated in the Strategic Plan.

The annual performance targets of individual employees are set only after the overall directions; objectives and performance targets have been determined for the institution, departments/divisions/units as well as sections within department/division/unit. This process is the one, which finally creates the linkage between organisational objectives and individual objectives. The next chapter discusses this process in detail.

1.2.2 Evaluative Aspects

- **Work Output:**

OPRAS provides an opportunity to measure the aggregate of achievement by individual employee in a given year. Emphasis is on quantity, quality and effectiveness in utilization of resources.

- **Attributes of good performance:**

Under OPRAS the characteristics and qualities of Public Service employees are evaluated under the "*attributes of good performance*" aspect. Attributes of good performance' aims at motivating and instilling

positive work attitude to staff. At the same time they do discourage actions that come into conflict with established rules of good conduct and values of the public service. Among the notable values are **integrity, commitment, discipline, ability to be an effective team player and in establishing good relationship with fellow employees** within and outside the public service.

- **Opportunity to appeal:**

Another element introduced in the OPRAS is an appeal mechanism in case of disagreement of evaluation scores between individual employee and immediate supervisor.

- **Developmental Measures:**

OPRAS provides an opportunity for the supervisor and employee to discuss and agree on measures to improve performance weaknesses so as to prepare the employee for future organizational responsibilities.

- **Feedback**

OPRAS provides an opportunity for the employee to give feedback to the employer on issues that are encountered during the period of assessment and call for improvement.

- **Rewards:**

- *Salary progression:*

The introduction of OPRAS means that the salary progression of a public servant is **no longer automatic as in the past**. To encourage performance, salary

increments will be offered to employees with good performance. Public servants with poor and very poor performance will not receive salary increments as a way of demonstration of their performance levels.

- ***Non-salary rewards:***

OPRAS also provides for bonus and non-financial rewards to be offered to outstanding and above average performers.

1.3 Advantages of using OPRAS

This system has the following benefits to the employee and employer:-

(a) Employee

- Is motivated to perform effectively and continuously to improve performance due to recognition;
- Is empowered through resources provided to implement planned and agreed activities;
- Is informed of skill gaps and measures for improvement;
- Is guided and focused in the execution of duties and responsibilities;
- Improved working relations with both higher and lower levels;
- Improves transparency; and
Enables the employees to know what is expected of them.

(b) Employer

- Is provided with opportunities to re-enforce the organizational objectives;

- Is given feedback on the effectiveness or weaknesses of workplace systems, processes and procedures;
- Informed on how to make merit based decisions on rewards and sanctions;
- Informed on staff developmental needs and human resources planning;
- Improved working relations in an organisation; and
- Assisted to confirm and promote an employee whenever necessary.

1.4 Roles of Various Players in Implementing OPRAS

OPRAS as a system has a number of players to make it operational and bring about the desired results. The players include **individual employees, supervisors, employers** (in MDAs, Regions and LGAs), **the President's Office - Public Service Management and the Public Service Commission** as elaborated below:

1.4.1 Roles of individual employee

- To understand what is expected of him during the reporting year;
- To communicate with supervisor and advice on implementation of individual objectives, successes and obstacles faced;
- To prepare Individual Performance Agreement (IPA) at the beginning of the year and take part in a mid-year review meeting;
- To participate in the end of the year assessment of performance;
- To comment on the performance appraisal report;

- To retain a copy of his development plan and mid year review.

1.4.2 Roles of Supervisor

- To coach, mentor and counsel employees;
- To ensure that objectives are set within the context of strategic, action and development plans;
- To ensure availability of resources/inputs for carrying out individual employee objectives;
- To ensure that the employee is properly involved in the review process throughout the year;
- To carry out at least one mid year review with all subordinates;
- To complete the end of year assessment for all subordinates;
- To ensure that the Head of Unit/Division/Organization sees the comments on performance appraisal report.

1.4.3 Roles of Employers

- To ensure individual performance agreements are signed by all employees at the beginning of the year;
- To ensure mid year and annual reviews takes place timely;
- To support and facilitate implementation of organizational plans e.g. resources, training;
- To monitor and evaluate implementation of organisational plans;
- To take actions on recommendations of employees performance e.g. rewards, sanctions, developmental measures and appeals accordingly.

1.4.4 Roles of the President's Office - Public Service Management

- To issue guidelines on OPRAS and their clarifications;
- To facilitate MDAs, Regions and LGAs (whenever possible) on the implementation of OPRAS;
- To monitor implementation of OPRAS in MDAs, Regions and LGAs.

1.4.5 Roles of the Public Service Commission

- To check on MDAs, Regions and LGAs compliance in the implementation of OPRAS;
- To handle employees appeals on OPRAS from MDAs, Regions and LGAs as per guidelines.

1.5 Who fills the OPRAS Form

It is emphasized here that OPRAS form must be filled by all employees in the Public Service in accordance with the Public Service Act Cap 298 (R.E 2009).

1.6 Submission of OPRAS forms

Once dully filled in triplicates, copies of the OPRAS forms shall be distributed or sent to appropriate authorities as follows:

For all officers at the senior level grade and below, the original form is to be kept in the employee personal file in the institution, duplicate to the Parent Ministry and triplicate will be retained by the public servant concerned.

For all officers at the level of Principal grade and above together with all Chief Executives in the EAs, original form should be sent to the Permanent Secretary (Public Service Management), duplicate to be kept in the personal files at the MDA and the triplicate should be retained by the individual officer concerned.

1.7 Submission of OPRAS Reports

Departments or divisions handling Human Resources Management matters in Public Institutions will have to prepare and maintain annual performance rating records for all employees showing consolidated results of the Annual Appraisal meetings institutional wide. The reports should be submitted to Permanent Secretary (Public Service Management).

For Example:

The reports should show the number and percentage of employees falling in a certain category of performance rating.

Box 1: Example of Annual Performance Rating Report in an Institution X

SN.	Number of Employees	Performance Rating	Rated Mark	Percentage
1	17	Outstanding	1	9.9
2	45	Above Average	2	26.2
3	56	Average	3	32.6
4	42	Poor	4	24.4
5	12	Very Poor	5	7.0
TOTAL	172			100

CHAPTER TWO

2. THE OPEN PERFORMANCE REVIEW AND APPRAISAL PROCESS

Cascading of objectives involves eight (8) steps and as a process includes the following: reviewing institutions annual plans, setting objectives for CEOs of the institutions, setting objectives for head of divisions and heads of departments, setting objectives for sectional heads, setting objectives for professional staff, signing the Individual Performance Agreement (IPA), implementing, monitoring and performance reviews. These steps are described in more detailed below:

Step 1: Review of Institutions Annual Plans

It is important for all employees working in Public Institutions to go through their annual plans and identify only those objectives, targets and activities that are to be implemented during the year, which will form the basis for deriving individual objectives. There are institutions and employees that can get their IPAs from MTEFs but for those institutions that do not have MTEFs' they can derive their IPAs from annual business plans, scheme of service and job descriptions.

During the planning cycle, circumstances may prompt a need to review and improve the objectives. When changes are appropriate, the management should authorise them.

Step 2: Setting Individual Objectives for Chief Executives of Institutions

These are the overall institutional objectives and targets, which the Chief Executive of the institution will be held accountable for performance. These are the objectives as derived from the Institutions Medium-Term Strategic Plans. These objectives and associated targets become individual objectives and performance targets for CEO in the performance agreement which he will sign with his/her superior.

Box 2: Example of a personal objective and its performance targets for the CEO for the year 2006/7

Objective

Every classroom in secondary schools has competent and qualified teachers in every subject

Performance Targets

1. 374 teachers trained in special education by June 2007
2. 250 teachers recruited in science subjects by December 2006
3. 200 teachers skills upgraded by June 2007

Step 3: Setting individual objectives for Heads of Divisions/Departments/Units/Clusters

The objectives and targets from the CEO in Step 2 become individual objectives and targets for the head of department / unit in respect of their functions. Please note that, targets should not be shared across departments and units.

Box 3: Example of a personal objective and targets for Heads of Divisions/Departments/Units/Clusters for the year 2006/7

Objective

Every classroom in secondary schools has competent and qualified teachers in every subject.

Performance Targets

1. 374 teachers trained in special education by June 2007
2. 200 teachers skills upgraded by June 2007

Please Note:

1. *Target 2 in Box 2 above, (250 teachers recruited in science subjects by December 2006) has been left because it is not related to the activities of the head of division/section in the above example.*

Step 4: Setting Individual Objectives for Sectional Heads

The performance targets in Step 3 (targets for head of division/department) become individual objectives, and the activities become the performance targets for the Sectional Head.

Box 4: Example of Personal Objectives for Sectional Heads for the year 2006/7

Objective

200 teachers' skills upgraded by June 2007

Performance Targets

1. Training needs assessment conducted by August 2006
2. Training institutions identified by November 2006
3. Logistics for teachers training completed by January 2007

Step 5: Setting Individual Objectives for Professional and Technical Staff

At this level, the targets from Step 4 (sectional head objective) become individual objectives for the professional and technical staff. The tasks from the action plan become performance targets. This then concludes the cascading process.

Box 5: Example of personal objective and performance targets for the Professional Staff for the year 2006/7

Objective

Training institutions identified by November 2006.

Performance Targets

1. Database of training institutions established by August 2006
2. Training institutions contacted for reservations by September 2006
3. Budget for the training courses prepared by October 2006

The process of cascading organizational objectives and targets and activities is elaborated diagrammatically below.

DIAGRAM 2: CASCADING OF OBJECTIVES

LEVEL	INDIVIDUAL OBJECTIVES	TARGETS
PERMANENT SECRETARY	Objective-1	Target 1.1,Target 1.2,Target 1.3, Target 1.4, Target 1.5
	Objective-2	Target 2.1,Target 2.2,Target 2.3, Target 2.4, Target 2.5
	Objective-3	Target 3.1,Target 3.2,Target 3.3, Target 3.4, Target 3.5
	Objective-4	Target 4.1,Target 4.2,Target 4.3, Target 4.4, Target 3.5
	Objective-5	Target 5.1,Target 5.2,Target 5.3, Target 5.4, Target 4.5
	Objective-6	Target 6.1,Target 6.2,Target 6.3, Target 6.4, Target 5.5
	Objective-7	Target 7.1,Target 7.2,Target 7.3, Target 7.4, Target 6.5
DIRECTOR-1/ HEAD OF UNIT	Objective-1	Target 1.1,Target 1.2,Target 1.3, Target 1.4, Target 1.5
	Objective-4	Target 4.1,Target 4.2,Target 4.3, Target 4.4, Target 4.5
	Objective-7	Target 7.1,Target 7.2,Target 7.3, Target 7.4, Target 7.5

ASSISTANT DIRECTOR-1	Target 1.2	Activity 1.2.1,Activity 1.2.2,Activity 1.2.3,Activity 1.2.n
	Target 1.5	Activity 1.5.1,Activity 1.5.2,Activity 1.5.3,Activity 1.5.n
	Target 4.3	Activity 4.3.1,Activity 4.3.2,Activity 4.3.3,Activity 4.3.n
	Target 7.4	Activity 7.4.1,Activity 7.4.2,Activity 7.4.3,Activity 7.4.n
PROFESSIONAL STAFF-1	Activity 1.2.1	Sub-Activity 1.2.1.1,Sub-Activity 1.2.1.2, Sub-Activity 1.2.1.3
	Activity 1.2.2	Sub-Activity 1.2.2.1,Sub-Activity 1.2.2.2, Sub-Activity 1.2.2.3
	Activity 1.2.5	Sub-Activity 1.2.5.1,Sub-Activity 1.2.5.2, Sub-Activity 1.2.5.3
	Activity 1.5.2	Sub-Activity 1.5.2.1,Sub-Activity 1.5.2.2,
	Activity 1.5.3	Sub-Activity 1.5.3.1
	Activity 1.5.n	Sub-Activity 1.5.n.1, Sub-Activity 1.5.n.2,
	Activity 4.3.1	Sub-Activity 4.3.1.1,Sub-Activity 4.3.1.2, Sub-Activity 4.3.1.3
	Activity 4.3.4	Sub-Activity 4.3.4.1,Sub-Activity 4.3.4.2
	Activity 7.2.4	Sub-Activity 7.2.4.1,
Activity 7.2.5	Sub-Activity 7.2.5.1, Sub-Activity 7.2.5.2, Sub-Activity 7.2.5.3	

Step 6: Signing the Performance Agreement

Once agreement is reached on the individual annual objectives as well as performance targets, criteria, and resources, both the individual and the supervisor sign the performance agreement. The performance agreement is signed at the beginning of the financial/calendar year. Should any variations occur during implementation, the individual objectives and resources may subsequently be reviewed.

Step 7: Implementation and Monitoring

Upon signing of the performance agreement, an individual proceeds with implementation. In the course of implementation, there is continuous monitoring of progress of work by both the individual and the supervisor during which time coaching, mentoring as well as counselling takes place as appropriate. Monitoring helps in taking timely corrective measures on aspects of the performance agreement during the year. This is done through formal and informal consultations between the individual and the supervisor. These consultations can take the form of weekly/monthly meetings or through personal contacts between the two parties as need arise.

Step 8: Performance Reviews

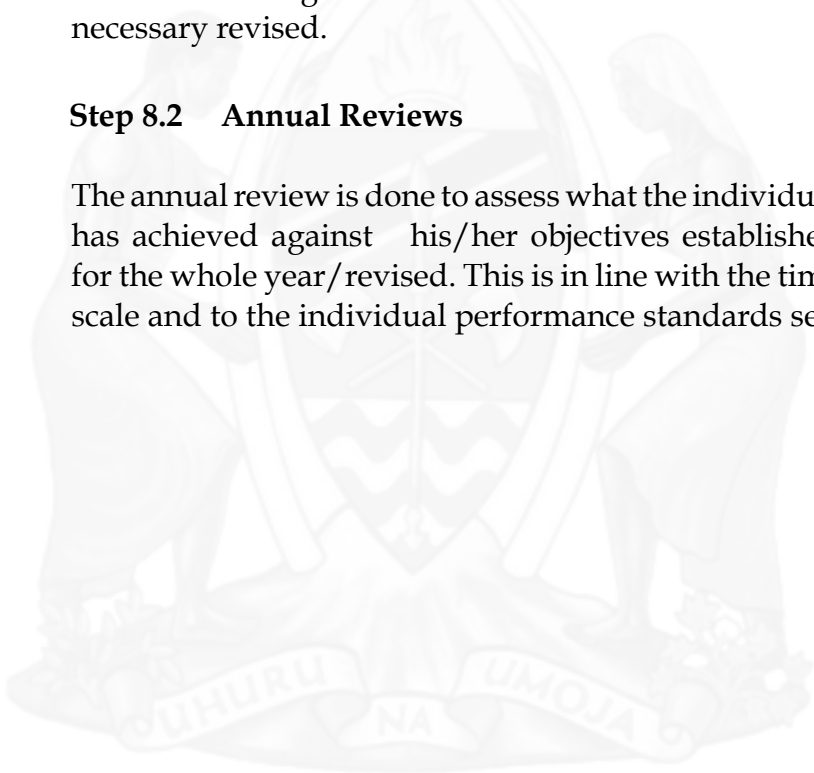
In the course of the year, there will be two formal reviews to evaluate progress made by the individual as per the performance agreement. This has to be done during mid-year (i.e. December) and year end of the reviewing year (June).

Step 8.1 Mid-year Reviews

This reviews the progress, which should occur during the first half of the financial year (July- December), which is at the end of the sixth month. It is at this stage that the initial agreement can be reviewed and where necessary revised.

Step 8.2 Annual Reviews

The annual review is done to assess what the individual has achieved against his/her objectives established for the whole year/revised. This is in line with the time scale and to the individual performance standards set.



CHAPTER THREE

3.0 HOW TO FILL THE OPRAS FORM

The form consists of eight (8) sections which are the personal information section, the performance agreement section, the mid year review section, the revised objectives section, the annual performance review and appraisal section, the attributes of good performance section, overall performance section and employee rewards/developmental measures/sanctions.

The OPRAS form is a permanent record of an individual's progress and performance over the years; hence the information obtained therein (from those forms) is very important and useful. Therefore, both the Appraisee and Supervisor should ensure that the forms are accurately and timely completed. The form attached as Appendix 1 is composed of the following:-

3.1 Section 1. Personal Information

In this Section the Appraisee should complete the boxes using capital letters. Where appropriate, each box shall carry only one letter or figure. The Appraisee should consult his/her Supervisor in filling this Section.

Details and examples are as follows:

- (i) **Vote Code and vote description:** The appraisee should fill in the vote code number and the name of institution. This information may be obtained from the appraisee's salary slip.

Example of how to fill this box

0	0	4	6	MINISTRY OF EDUCATION AND VOCATIONAL TRAINING
---	---	---	---	---

- (ii) **Sub Vote and sub-vote description:** The appraiser should fill in the sub vote number and the description of that sub vote. This information may be obtained from the appraiser's salary slip.

Example of how to fill this box

2	0	0	2	SECONDARY EDUCATION DIVISION
---	---	---	---	------------------------------

- (iii) **Check Number:** Here, the appraiser should fill in personal check number as it appears in the salary slip.

Example of how to fill this box

Check Number	1	0	1	2	3	4	5	6
--------------	---	---	---	---	---	---	---	---

- (iv) **Present station:** The appraiser should fill in the code number and the name of present workstation. Please note that this is important, as there are other MDAs' offices, which are scattered all over the country. Please consult the administration department if you are not aware of your workstation code numbers.

Example of how to fill this box

Present Station	1	0	1	2	DAR ES SALAAM
-----------------	---	---	---	---	---------------

- (v) **Name in Full:** The appraisee should fill in his/her names starting with the surname, first name and the middle name accordingly (*if applicable*).

Example of how to fill this box

MWAKATUMA	JULIANA	DANIEL
Surname	First Name	Middle Name

- (vi) **Gender:** The appraisee should tick the appropriate box for his/her gender accordingly. For example if female tick under "F"

Male	Female
	√

Gender

- (vii) **Academic Qualification:** The appraisee should fill in the highest level of education attained. Here the appraisee may have attained several qualifications, however required is the last highest qualification. For example: Certificate, Diploma, Degree, Advanced Degree that may be in the possession of the appraisee.

Example of how to fill this box

MASTERS IN EDUCATION

- (viii) **Duty Post:** The appraiser should fill in the duty post (if applicable) and the code for the specified duty post. Please note, duty posts have no salary scale attached to it. For example officer in-charge, headmaster, etc do not have salary scale attached to these posts. Codes for each post can as well be obtained from the administration department. This can be filled as follows:

				HEADMASTER
--	--	--	--	------------

- (ix) **Substantive Post:** The appraiser should fill in the post as defined in various schemes of service. For example 'Principal Administrative Officer, Management Analyst', etc. Please note that, this can as well be a superlative substantive post. For example, 'Permanent Secretary, Director, Assistant Director etc. The codes for each post can as well be obtained from the administration department. This can be filled as follows:

				EDUCATION OFFICER 1
--	--	--	--	---------------------

- (x) **Date of first Appointment:** The appraiser should fill in the first date of appointment to the public service. Fill in starting with day, month and year.

Example of how to fill this box If the starting date is 10th Dec. 1996

1	0	1	2	1	9	9	6
D	D	M	M	Y	Y	Y	Y

- (xi) **Date of Appointment to Present Post:** The appraiser should fill in the date of appointment to the current position starting with day, month and year.

Example of how to fill this box

1	0	1	2	2	0	0	3
D	D	M	M	Y	Y	Y	Y

- (xii) **Salary Scale:** The appraiser should fill in the current salary scale as it appears in the salary slip. For example:

Salary Scale

TGSG

- (xiii) **Period served under Present Supervisor:** The appraiser should fill in the cumulative total period served under the present supervisor. **Note that this will be filled at the end of the appraisal period.**

Date of Birth: The appraiser should fill in the date of birth starting with day, month and year.

Example of how to fill this box: If the date of birth is 20th December 1968, the form will look:

2	0	1	2	1	9	6	8
D	D	M	M	Y	Y	Y	Y

(xiv) **Terms of Service:** The appraisee should specify terms of service for example Permanent and Pensionable, Operational service and Contract terms.

Example of how to fill this box

Terms of Service

PERMANENT AND PENSIONABLE

3.2 Section 2. The Performance Agreement

This section lists agreed individual objectives (personal objectives) that will be performed during the year. These personal objectives are derived from Institutional/ Divisional/ Department/ Unit/ Sectional objectives as provided for in Chapter 2 of this Guideline.

Column 2.1 Serial Number

The Appraisee should list the number of the agreed objectives.

Column 2.2 Agreed Objectives

The appraisee and Supervisor should complete this column by specifying the appraisee's personal objectives. These are statements that concretely and specifically describe the results/outputs to be achieved by the end of the year. Each objective ought to be **Specific, Measurable, Achievable, Realistic and Time-bound (SMART)**. The supervisor and appraisee should agree on the priority of objectives by ranking which objectives are most important for the appraisee to address and those, which have less importance.

Box 6: Developing Smart Objectives

SMART means:

Specific	About what you need to achieve (linked to the Strategic Plan/ Action Plan, without any ambiguity.
Measurable	In terms of quality, quantity, money, turnaround times and interim deadlines.
Achievable	Challenging while bearing in mind experience in the post and competencies available at hand.
Realistic	In terms of resources available and factors in your control to achieve the objective(s).
Time-bound	To be completed by a certain date and/or within a defined reviewing period.

Column 2.3 Agreed Performance Targets

After listing Agreed Objectives in Column 2.2, the appraisee should fill this Column with performance targets derived from the Action Plan. A Performance Target represents the output that the appraisee aims to achieve from a particular activity. A performance target must have standards, which are used to ensure that objectives are measurable in terms of quality, quantity, money, and interim deadlines. Measurable means; being able to answer the question “how will the appraisee and the Supervisor know when an objective has been achieved?” An objective may have several targets which collectively when summed up can demonstrate achievement of the objective in question.

Column 2.4 Agreed Performance Criteria

This is a statement of the standard of performance of the desired output. This column should be completed by the appraisee and agreed by the Supervisor describing the factors/standards that will be used to assess effective performance during the year. This description should ideally specify the level of performance that is required to achieve the various ratings possible. This column may mention specific guidelines to be followed to achieve the required standards.

Column 2.5 Agreed Resources

This column should specify the resources required in order to achieve the stated objective. Resources could be any enablers necessary to assist the appraisee to achieve the assignments. This could be in monetary terms or other inputs such special skills, equipment required in delivering the outputs.

Item 2.6 Appraisee

The appraisee fills in official names, signs and fills in the date.

Item 2.7 Supervisor

The Supervisor fills in official names, signs and fills in the date.

Please note: Up to this stage of IPA is it considered complete, for the purposes of appraisee to submit and start to implement the activities according to the annual plans.

3.3 Section 3. Mid-Year Review

The purpose of the Mid-Year Review is to keep track of the appraisee's progress in terms of meeting the annual personal objectives and to identify the resource needs that will be required to carry-out the remaining six months' plan. The appraisee and Supervisor should discuss and agree any necessary changes to work and/or development objectives and make sure these are recorded accordingly.

Column 3.1 Serial Number

The Appraisee should list the number of the agreed objectives.

Column 3.2 Agreed Objectives

The appraisee is required to fill this column with individual objectives from Section 2 unless they have otherwise changed.

Column 3.3 Progress towards Target(s)

Here appraisee will state the progress reached towards achieving each target as listed in column 2.3.

Column 3.4 Factors affecting Performance

The appraisee should indicate any factor that may have affected performance towards achieving targets and how they could be addressed.

3.4 Section 4. Revised Objectives

In the case of any change to an objective in Section 3, it should be reflected in this Section 4. All personal objectives should concretely and specifically describe a result/output to be achieved and take into account

any changes agreed between the supervisor and the appraisee. For record purposes, after agreeing on revised objectives, the appraisee and Supervisor should write their official names, signatures and date of signing in the appropriate spaces provided for in the form.

Please note: Up to this stage mid-year review will have been completed for the appraisee to continue with the planned work for the final six months.

3.5 Annual Performance Review and Appraisal

At the end of the reviewing year, the supervisor and the appraisee should have an annual review meeting to discuss performance before the supervisor completes the form. The purpose of annual review is to assess the overall appraisee's performance in achieving the agreed objectives and in meeting the respective agreed targets. The review and appraisal is done in two parts: (i) Review and Appraisal of Agreed Objectives (ii) Assessment of Attributes of Good Performance.

Section 5: Review and Appraisal of Agreed Objectives

The supervisor must assess and record how far the appraisee has achieved the desired results – for each objective. This will include whether the objectives were achieved within the set timescale and to the stipulated performance criteria.

Comments on the achievement of an objective must always be backed up by evidence. For example, **“the number of teachers trained was X during the period (the target for the period was Y)”** or **“the number of teachers trained was X during the period and completed within allocated budget”**.

Where particular objectives have not been met, it is important for the supervisor to explain if there were factors outside the appraisee's control, such as **unexpected changes in resources or workloads, or procedural changes.**

Column 5.1 Serial Number

The appraisee should list the **number** of the agreed objectives.

Column 5.2 Agreed Objective(s)

The appraisee should fill all **agreed objectives as per Performance Agreement (Section 2) and Revised Objectives (Section 4).**

Column 5.3 Progress Made

The appraisee should **state progress so far reached towards achieving the target(s) for the whole year.**

Column 5.4 Rated Mark

The appraisee should rate **his/her achievement against each target** as provided in section 2 column 2.3 and section 4 column 4.3. **The supervisor should then rate the appraisee against each target** as provided in section 2 column 2.3 and section 4 columns 4.3. **The agreed mark in column 5.4 should be filled by the supervisor after discussion with the appraisee.** For the purposes of performance assessment, a performance rating of 1 to 5 is to be used as described in 3.6 below – under the boxes 7 to 11.

Section 6: Attributes of Good Performance/ Competencies

This is about looking into the appraisee's level of behaviour related to performance rather than his/her level of skill or ability. The assessment aims at outlining the appraisee's particular strengths and weaknesses to help the appraisee improve the level of performance in future.

Good performance management looks beyond whether or not objectives were met – the ways in which people achieve their objectives can have a significant effect on others. The supervisor should take into account how much effort the appraisee has put in and how they have worked and cooperated with other colleagues.

Column 6.4 Rated Mark

The assessment/rating of Attributes of Good Performance/ Competencies should be based on a rating of 1 to 5 as described in 3.6 below under the Boxes 7 to 11. The Agreed Mark-Column should be filled by the supervisor after discussion with the appraisee.

3.6 Performance Assessment for both Review and Appraisal of Agreed Objectives, together with Attributes to Good Performance/ Competencies

described in Sections 5 and 6 above will be done based on performance rating of 1 to 5 as described in Boxes 7 to 11.

The marks fall into the following five categories and the description of each category is given in boxes 7 to 11 accordingly.

- Rated Mark 1 – Outstanding Performance.
- Rated Mark 2 – Performance Above Average.
- Rated Mark 3 – Average Performance.
- Rated Mark 4 – Poor Performance
- Rated Mark 5 – Very Poor Performance.

Box 7: Rated Mark 1 – Outstanding Performance

The appraisee has consistently performed at a very high level and worked in partnership with others to achieve results. The objectives were exceeded and overall effectiveness was significantly above the standards agreed for the post. In particular:

- All objectives were met and key objectives were exceeded, to include a consistently higher volume or quality of work than would normally be expected for someone in their type of post;
- The appraisee applied their competencies and attributes to the job at a consistently acceptable standard;
- The appraisee worked in partnership with others and, in particular, has helped colleagues and/or other staff.
- The appraisee has managed and developed their staff well, valuing them and their diversity.

The rating is appropriate where the appraisee has made an **excellent** contribution, for example **meeting very demanding objectives, overcoming obstacles to progress or adding value to the job.**

Box 8: Rated Mark 2 – Performance above Average

The appraisee has performed at a good standard, generally meeting objectives, and worked in partnership with others to achieve results. In particular:

- All or most objectives were achieved, to reasonable expectation. The appraisee may have done well some of the more important, objectives whilst not fully meeting less important objectives;
- The appraisee applied most of their competencies and attributes to the job consistently;
- The appraisee worked well with others and, in particular, has helped colleagues and/or other staff as necessary;
- The appraisee has managed and developed their staff well;
- Any shortcoming in how the objectives were delivered was offset by a higher level of delivery of objectives.

To award this rating the supervisor must be satisfied that, on balance, the agreed standard of achievement and performance has been delivered consistently throughout the year.

Within this rating there is likely to be a wide span of performance, ranging from the appraisee **who has fully met every requirement** to one whose **strengths in the majority of areas have offset minor weaknesses**. An appraisee who merits this rating is an asset to the organisation.

Box 9: Rated Mark 3 – Average Performance

The appraisee has not delivered an adequate level of performance and has generally performed below the standard agreed for the post. The appraisee may have failed to work effectively with others. In particular:

- A significant number of objectives were not achieved;
- Some objectives were achieved but not those most important for the job;
- The appraisee did not apply competencies and attributes effectively (for example, making little effort to apply the competencies they have to deliver the objectives);
- The appraisee may not have worked in partnership with others, (for example, by ignoring the legitimate concerns of interested parties in developing policy);
- The appraisee may have shown weaknesses in developing and managing staff or in valuing them and their diversity;
- Any shortcomings in how the objectives were delivered were not offset by a higher level of delivery of objectives.

The appraisee will be **failing to meet the agreed standard of performance for the post, with definite weaknesses not sufficiently offset by strengths elsewhere**. Appraisee should not be rated Mark 3 just because they are new to a post.

Rated Mark 3 (Average Performance) must be regarded as committing both appraisee and supervisor to take action to improve performance through drawing up development objectives. Either the supervisor or appraisee may wish to refer the case to the appropriate authority to get advice on how this can be done, particularly if there is a possibility of poor performance procedures being initiated.

Box 10: Rated Mark 4 – Poor Performance

If the appraisee has been identified as a Poor Performer, the supervisor should complete Section 8, indicating the action that has already been, or is to be, taken. For example, action in the Development Plan and referral to the appropriate authority. A member of staff who has been rated as Average Performer may be grouped together with Poor Performer. This will be when the appraisee has performed consistently below the agreed standard for the post. They may also have failed to work in partnership with others to achieve results. The appraisee will therefore have a serious shortcomings and in particular:

- There is no evidence of real progress in achieving a significant number of objectives;
- There has been progress in achieving some objectives but not in delivering the most important objectives for the job;
- The appraisee did not apply their competencies and attributes effectively;
- The appraisee has probably not worked in partnership with others;
- The appraisee has probably not developed and managed staff well or valued colleagues and their diversity.

Identification as a Poor Performer can be made at the discretion of the supervisor at any time during the reviewing period – it is not necessary to wait until the end of the process.

Normally, the supervisor will have discussed the problem with the appraisee as soon as it became apparent and agreed a plan of action to address it.

Box 11: Rated Mark 5 – Very Poor Performance

If the appraisee has been identified as a Very Poor Performer, the supervisor should complete Section 8, indicating the action that has already been, or is to be, taken. For example, action taken in implementing the Development Plan and referral to the appropriate authority. The appraisee may be identified as a very poor performer when has performed consistently below the agreed standard for the post. Has also failed to work in partnership with others to achieve results. The appraisee, therefore, has a serious shortcoming, in particular:

- Has failed to achieve all the objectives for no **reasons whatsoever**;
- There has been no progress or evidence in achieving any of the objectives.
- The appraisee has not applied competencies and attributes at all;
- The appraisee has not worked in partnership with others
- The appraisee has not developed and managed staff well or valued colleagues and their diversity.
- Consistently development measures taken against the appraisee has not yielded any positive results.

Identification as a Very Poor Performer can be made at the discretion of the supervisor at any time during the reviewing period – it is not necessary to wait until the end of the process.

Normally, the supervisor will have discussed the problem with the appraisee as soon as it became apparent and agreed a plan of action to address it.

3.7 Section 7: The Overall Performance

The appraisee will be judged on the annual performance based on actual outputs achieved throughout the year and basing on the attributes of good performance. This **overall performance will be derived from the average of Sections 5 and 6**. Having worked out the figure, it shall be filled in the provided right hand box in this section.

However in this section, the appraisee and the supervisor will provide individual comments on how the performance appraisal process has been conducted. This will be if they have been **satisfied or dissatisfied** with the whole exercise. And if the appraisee invited an external observer, then he/she will be required to provide his/her comments. They will all be required to give their names, signature and dates on when the appraisal meeting was conducted.

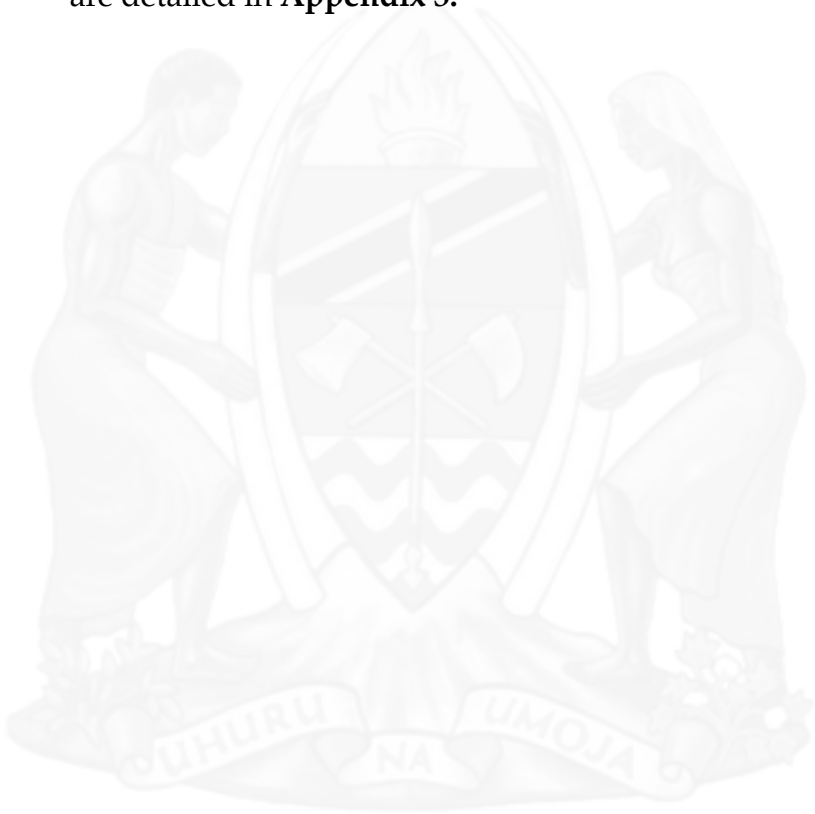
3.8 Section 8: Employee Rewards, Sanctions and Developmental Measures

Section 8.1: Employee Rewards/Sanctions

The supervisor will recommend/suggest the most appropriate reward or sanctions to be taken on the employee in accordance with the level of agreed performance targets. All these should be in line with the requirement of **Regulation 22 of the Public Service Regulations 2003**. Alternative ways of rewarding and sanctioning employees are detailed in **Appendix 2**.

Section 8.2: Employee Developmental Measures

At the end of the performance review, the supervisor may recommend for development measures to improve employee's performance. The developmental measures are detailed in **Appendix 3**.



CHAPTER 4

4. HOW TO CONDUCT APPRAISAL MEETINGS

4.1. Introduction

The purpose of this chapter is to guide the supervisor and the appraisee to conduct the appraisal meeting, which is a final stage of the appraisal process. To achieve this, it is important for the supervisor and the appraisee to prepare, well in advance, for the appraisal meeting. The meeting provides the supervisor and employee with an opportunity to engage in an open and constructive discussion regarding the employee's job performance, accomplishments, areas of needed improvement, training and development and future performance goals and expectations. It is best for both the supervisor and the appraisee to discuss together job performance in relation to the individual performance agreements.

4.2 Preparations for Appraisal Meeting

4.2.1 The Appraisee

The appraisee should prepare well in advance for the appraisal meeting. The following are the issues that will have to be considered by the appraisee as part of the preparations:

- Collect all facts on actual performance with supporting evidence;
- Collect information on external and internal factors affecting performance;
- Collect input on the possible objectives for coming year;

- When necessary an appraisee may look for an observer from within the organisation who is knowledgeable of the tasks being assessed; and
- Prepare areas needing supervisor's support and development proposals.

4.2.2 Supervisor

The supervisor needs to establish a proper environment for the appraisal interview at least a week in advance. Also the supervisor needs to fix a definite time for the interview so as to allow the parties involved to prepare for the meeting. The supervisor should also set appropriate climate for the meeting. The interview should be held in a convenient and comfortable area with no distractions or interruptions and where conversation cannot be overheard. In preparing the appraisal meeting the supervisor should consider the following:-

- Review appraisee's employment record
- Review appraisee's agreed objectives, establish actual performance and supporting facts
- Review external and internal factors affecting performance of the appraisee;
- Prepare appraisee's possible objectives for the coming year;
- Assess if previous development measures have yielded positive results in terms of improving the performance of the employee;
- Prepare suggestions for possible support and development for the appraisee; and
- Prepare place, time and setting for the meeting.

4.3 Issues for consideration during the Appraisal meeting

The appraisal meeting is the final and first stage of the appraisal process whereby the supervisor and the appraisee sit together to discuss on the last years' performance and plan for the next years' objectives.

4.3.1 Issues for consideration by the Supervisor during the meeting

The Supervisor should consider the following:

- Work to a clear and flexible structure of agenda
- Create supportive atmosphere
- Let the appraisee do most of the talking
- Encourage appraisee to conduct the self appraisal
- Be positive, criticise constructively and be ready to accept criticism
- Present feedback as an opportunity and not a threat.
- Rating(s) to be awarded to the appraisee(s) will affect his/her rating.

4.3.2 Issues for consideration by Appraisee during the meeting

- The Appraisee should consider the following:
- Have positive attitude towards the supervisor and consider the supervisor as a colleague
- Be ready to accept criticism and comments positively
- Be ready to learn and eventually change

4.3.3 During the Appraisal Meeting

Both the supervisor and the appraisee should consider performance for the whole year under review not just recent events. The following should be the discussion points:

- Review last years objectives versus actual performance (with facts and supporting evidence)
- Explore factors affecting performance
- Review competencies shown by the appraisee during the year
- Review whether previous development action has improved competences and performance
- Agree on the final mark (agreed mark)
- Agree on next years objectives, prioritized and link to the organization objective(s)
- Agree on support and development plan for the coming year

During the discussion both the supervisor and the appraisee should reach a consensus on what was done well and what could be improved and how.

4.4 Ending the appraisal Meeting

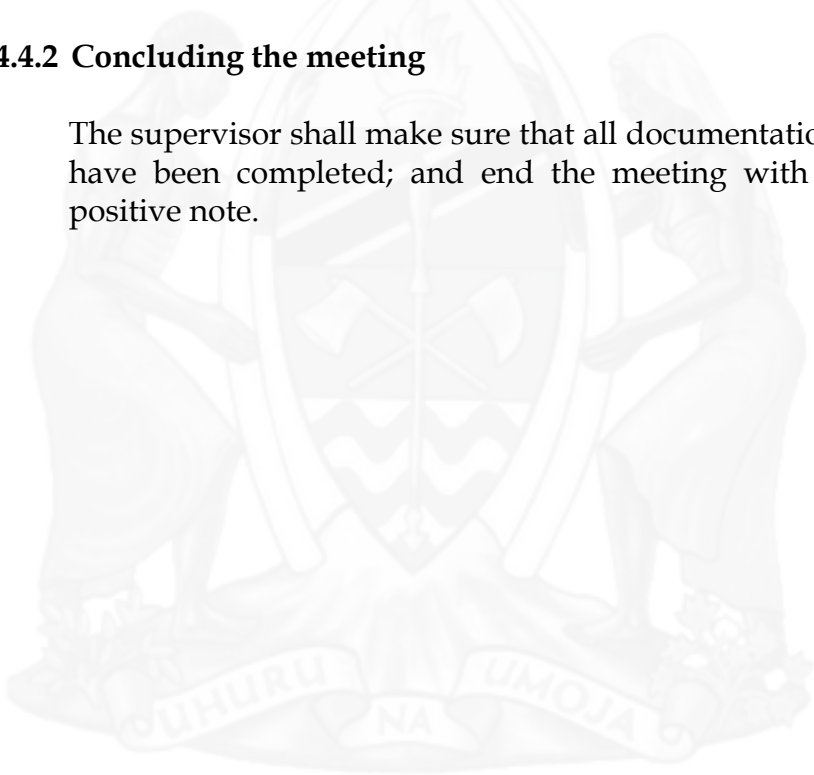
4.4.1 Summary of the meeting

The Supervisor should summarize the proceedings of the meeting by giving feedback on good news (on what worked well); turn negative feedback into ideas for change (what could have been done differently) and summary of what might help and reminder of the positive.

The appraisal meeting could either end in agreement based on the agreed rate and comments of both parties and end in disagreement. In case of the later, the supervisor shall advise the appraisee to report to the immediate superior of the supervisor for appeal. The appeal procedure is indicated in Appendix 4.

4.4.2 Concluding the meeting

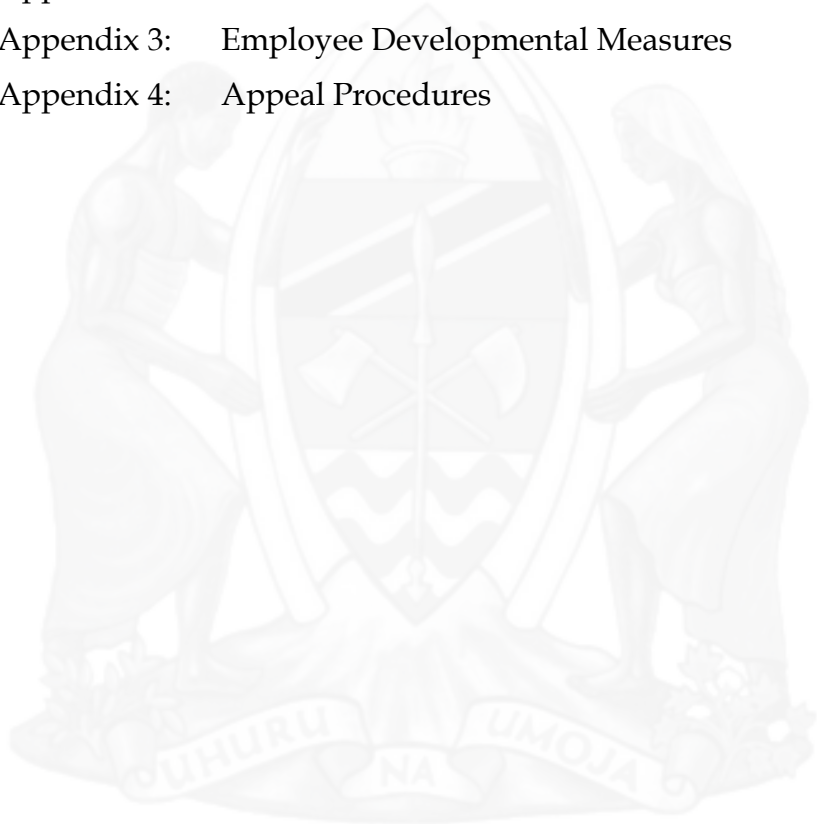
The supervisor shall make sure that all documentation have been completed; and end the meeting with a positive note.





APPENDICES

- Appendix 1: OPRAS Form
- Appendix 2: Rewards and Sanctions.
- Appendix 3: Employee Developmental Measures
- Appendix 4: Appeal Procedures





UNITED REPUBLIC OF TANZANIA

OPEN PERFORMANCE REVIEW AND APPRAISAL FORM

(To be filled in Triplicate)

From to

This Form replaces all other original forms in the Public Service Institutions. It is intended to meet the requirements of the performance management system and development process.

NOTES ON HOW TO FILL THIS FORM:

1. This Form must be filled by all employees in Public Service Institutions. For principal officers and above, at the end of the year. Once fully completed, the original should be sent to the Permanent Secretary (Establishments), duplicate to the respective Head of Organisation, and triplicate to the public servant concerned. All other employees (senior officers and below) original copy should be sent to the Chief Executive Officer of the Organisation, duplicate to the parent ministry of the specific cadre, and the triplicate to the public servant concerned.
2. Where appropriate, each box shall carry only one letter or figure. Letters to be in capitals.
3. Personal/Agreed objectives are derived from the Organisation's work plan (Strategic Plan, Annual Operation Plans or Action Plans) and are expected to be implemented in the current year.
4. Sections 2, 3, and 4 of this Form shall be filled by the appraisee in consultation with the Supervisor and sections 5 – 6 in the presence of a third party if necessary.
5. Please note that appraisals that are rated as 1 are the best performers and appraisals rated as 5 are for the worst performers. These should be brought to the attention of top management and usually to the attention of the Chief Executive Officer of their respective Organisation

SECTION 1: PERSONAL INFORMATION

Vote Code	0	0								Check Number									
-----------	---	---	--	--	--	--	--	--	--	--------------	--	--	--	--	--	--	--	--	--

Vote Description

Sub Vote								Present Station						DSM
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Sub-vote description

Name in Full				M	
	Surname	First name	Middle name		Gender

Academic Qualification

Duty Post Substantive Post

Date of First Appointment:

--	--	--	--	--	--	--	--	--	--

Salary Scale	<input style="width: 80px;" type="text"/>	Period served under Present Supervisor	<input style="width: 40px;" type="text"/>	Date of Birth	<input style="width: 80px;" type="text"/>
			No. of Months		D D M M Y Y Y Y

Terms of Service

DD= Day, MM= Month, YYYY= Year, F= Female, Male= Male

SECTION 2: PERFORMANCE AGREEMENT

To be filled by the Appraisee in consultation with the Supervisor

	2.2 Agreed Objectives	2.3 Agreed Performance Targets	2.4 Agreed Performance Criteria	2.5 Agreed

2.6 Appraisee

2.7 Supervisor

.....
Name (in capital letters)
 Signed

.....
Signed

.....
Name (in capital letters)

Date.....

Date.....

SECTION 3: MID-YEAR REVIEW (DECEMBER)

To be filled by the Appraisee in Consultation with the Supervisor

3.1 S/N	3.2 Agreed Objectives (As per Section 2)	3.3 Progress Towards Target	3.4 Factors Affecting Performance

SECTION 4: REVISED OBJECTIVES (if any)

4.1 S/N	4.2 Agreed Revised Objective(s)	4.3 Agreed Performance Targets	4.4 Agreed Performance Criteria	4.5 Agreed Resources

4.6 Appraisee

4.7 Supervisor

.....
Name (in capital letters) Signed

.....
Name (in capital letters) Signed

Date.....

Date.....

SECTION 5: ANNUAL PERFORMANCE REVIEW & APPRAISAL (JUNE)

To be filled by the Appraisee and the Supervisor

5.1 S/N	5.2 Agreed Objective(s)	5.3 Progress made	5.4 Rated Mark		
			App-raisee	Super-visor	Agreed Mark
Overall Performance Mark: <i>This should reflect the overall performance and achievement of agreed objectives in Section 5.</i>					

Rating:

- 1 = Outstanding performance 2 = Performance above average 3 = Average performance
 4 = Poor performance 5 = Very poor performance

SECTION 6: ATTRIBUTES OF GOOD PERFORMANCE

To be filled by the Appraisee and the Supervisor

6.1 S/N	6.2 MAIN FACTORS	6.3 QUALITY ATTRIBUTE	6.4 RATED MARK		
			Appraisee	Supervisor	Agreed Mark
1	WORKING RELATIONSHIPS	Ability to work in team			
		Ability to get on with other staff			
		Ability to gain respect from others			
2	COMMUNICATION AND LISTENING	Ability to express in writing			
		Ability to express orally			
		Ability to listen and comprehend			
		Ability to train and develop subordinates			
3	MANAGEMENT AND LEADERSHIP	Ability to plan and organize			
		Ability to lead, motivate and resolve conflicts			
		Ability to initiate and innovate			
4	PERFORMANCE IN TERMS OF QUALITY	Ability to deliver accurate and high quality output timely			
		Ability for resilience and persistence			
5	PERFORMANCE IN TERMS OF QUANTITY	Ability to meet demand			
		Ability to handle extra work			
6	RESPONSIBILITY AND JUDGEMENT	Ability to accept and fulfil responsibility			
		Ability to make right decisions			
7	CUSTOMER FOCUS	Ability to respond well to the customer			
8	LOYALTY	Ability to demonstrate follower ship skills			
		Ability to provide ongoing support to supervisor(s)			
		Ability to comply with lawful instructions of supervisors			
9	INTEGRITY	Ability to devote working time exclusively to work related duties			
		Ability to provide quality services without need for any inducements			
		Ability to apply knowledge abilities to benefit Government and not for personal gains			
Overall Performance Section 6					

Rating:

- 1 = Outstanding performance 2 = Performance above average 3 = Average performance
 4 = Poor performance 5 = Very poor performance

SECTION 7: OVERALL PERFORMANCE (AVERAGE OF SECTIONS 5 & 6)

Comments by Appraisee (if any):

Name of Appraisee

Signature

Date

Comments by Observer (if any):

Name of Observer

Signature

Date

Comments by Supervisor (if any):

Name of Supervisor

Signature

Date

SECTION 8: EMPLOYEE REWARDS/DEVELOPMENTAL MEASURES/SANCTIONS

The supervisor will recommend the most appropriate reward, developmental measures or sanctions against the appraisee in accordance to the level of agreed performance targets.



REWARDS AND SANCTIONS

This appendix provides definitions and types of rewards and sanctions that can be provided to employees in the Public service based on their performance. The rewards and sanctions are decided upon after the appraisal process based on annual or consecutive years of employee's performance.

2.1 REWARDS

Rewards are financial and non-financial awards given to employees in recognition of their contribution towards achieving institutional objectives. Decisions on who to be rewarded must be based on evidence of performance of employees as demonstrated in the Individual Performance Agreements (IPAs).

It is important for Public Service Institutions to reward their employees in order to motivate them and challenge others, thus improving individual and overall institutional performance. Rewards will be awarded to outstanding and above average performers. The aim of awarding above average performers is to motivate them to achieve higher performance results.

It should be noted that some awards are at the discretion of the CEOs while others are centralized. Some examples of rewards are as follows:

- **Salary Increment**

The management of this award is centralized. Prior to awarding Salary increments CEOs should

liase and seek approval from the respective institutions.

- **Bonus**

The management of this award is within the discretion of CEOs of the Public institutions.

- **Other Awards**

The supervisor may decide and recommend other awards in the form of a word of appreciation, letter of recognition or certificate of outstanding performance, an official card signed by the CEO, lunch or dinner outing accompanied by the immediate supervisor, departmental head and the CEO. All these and similar awards may serve as example of other rewards.

The examples stated above are not exhaustive; therefore, Institutions can innovate other ways of rewarding their employees to motivate them.

Please note that, all recommendations on rewards should follow the normal administrative channels. For example, after a supervisor within ministry set up, has recommended to issue a certificate of outstanding performance to an employee, the next step will be to obtain the approval of the Director/Head of Division/Unit, who will thereafter forward to the Director of Administration and Human Resources Management (DAHRM) for further action(s). DAHRM will be responsible for providing feedback to the Director/Head of Division/Unit if action has been effected.

2.2 SANCTIONS

These are actions taken against poor and very poor performing employees. Prior to imposing sanctions, efforts should have been made to identify reasons for poor performance. After identifying reasons, the **Supervisor should couch, counsel and initiate other development measures for the employee.** If these measures do not yield the desired results, the supervisor may then impose one or more of the following sanctions:-

- **Reduce an individual's Employees Tasks:**
This measure could be taken hoping that an individual will be able to achieve the reduced targets well within a plan period.
- **Deadline:**
An employee may be given time limit to improve as may be decided by Supervisor.
- **Withholding Performance-based Benefits:**
The supervisor may recommend withholding any performance-based benefits of the employee as a result of poor performance.
- **Withholding Increment:**
The supervisor may recommend withholding employee's increment on poor performance.
- **Warning Letter:**
The supervisor may recommend a warning letter to an employee as a result of poor performance.

- **Demotion:**

A supervisor may recommend a demotion for an employee to a lower rank as a result of unsatisfactory performance.

- **Termination of Employment:**

In case of recurring poor performance, an employee could be relieved of his duties after going through the necessary procedures stipulated in the Public Service Act (2002) and Public Service Regulations (2003).

Please note that, all recommendations on sanctions should follow the normal administrative channels. For example, after a supervisor has recommended demotion of an employee, the next step will be to obtain the approval of the Director/Head of Division/Unit, who will thereafter forward to the Director of Administration and Human Resources Management (DAHRM) for further action(s). DAHRM will be responsible for providing feedback to the Director/Head of Division/Unit if action has been effected.

EMPLOYEE DEVELOPMENTAL MEASURES

This appendix provides definitions of developmental measures, steps to be taken in identification of development needs and the different types of developmental measures that can be provided to employees in the Public Service to improve their performance. OPRAS will inform the developmental measures and training needs for individual employees. When consolidated, these needs may become the institutional training needs for the year.

3.1 What are developmental measures?

When interpreted widely, employee development encompasses all aspects of learning activities that meet the needs of the current and future job requirements. The supervisor and the employee jointly need to identify competences (abilities, skills and knowledge) and gaps that need to be filled to support the employee in delivering the agreed individual objectives.

3.2 Steps for Identifying Developmental Needs

Step 1: Determine the Competencies Needed

The supervisor and the employees should identify the essential abilities; skills and knowledge the employees need in order to achieve individual work related objectives.

Step 2: Analyse the gap

Determine existing competence gaps if any that may hinder the employee in carrying out duties. This may be based on the assessments from the OPRAS form(s).

Step 3: Close the gap

After establishing the existing gaps, the supervisor and the employee should establish the appropriate development action to be taken to develop the employee's missing competences.

Step 4: Prioritise

If an employee has major developmental needs (for example the employee is new to the job), the supervisor should prioritise the needs and actions to be taken so as to allow sufficient time and/or funding for any development action.

Step 5: Summarize developmental Actions

The supervisor and employee should agree and record appropriate development action in the OPRAS form.

3.3 Development Measures Options

The following options can be taken to develop an employee:-

- **Coaching and Counselling**

This is a person-to-person technique designed to develop individual's competences, attitude and skills. It entails the supervisor giving support and encouragement to the employee on day-to-day duties so as to enable the employee to take responsibility for and manage own decision-making and achieve their full professional potential. It is more effective if it takes place informally as part of the normal process of management and leadership.

- **Formal Training**

This occurs when the individual goes for training outside normal work setting for a specified period.

- **On the job training**

This occurs when an employee is trained within the work setting and the needed competences are available within the institution.

- **Exposure to Best Practices**

This occurs when an employee undertakes a study visit to gain experience from other institutions with best practices in a certain area, either within or outside the country.

- **Delegation**

This is a management style whereby a supervisor entrusts authority to subordinates so that they can act independently and assume responsibility for certain tasks.

Please note that, all recommendations on developmental measures should follow the normal administrative channels. For example, after a supervisor has recommended formal training to an employee, the next step will be to obtain the approval of the Director/ Head of Division/Unit, who will thereafter forward to the Director of Administration, Human Resources Management (DAHRM) for further action(s). DAHRM

will be responsible for providing feedback to the Director/Head of Division/Unit if action has been effected.



APPEAL PROCEDURES

This appendix provides an explanation on the OPRAS Appeal Procedures covering the time of appeal, levels of appeal for Presidential Appointees and other public servants in case of disagreement on the outcomes of the appraisal meeting. As mentioned earlier, appraisal meeting could either end in agreement or disagreement, and in case there is disagreement, the supervisor shall advise the employee to report that fact to the immediate superior of the supervisor.

4.1 Time of Appeal

Where the employee desires to appeal, he/she shall within **forty-five days (45) from the date of disagreement** appeal to the appellate authority (superior of the supervisor) in writing.

4.2 Levels of Appeal Authorities

4.2.1 Heads of Division or Department

In case of disagreement on the outcomes of the appraisal meeting, the employee may appeal to the immediate superior of the supervisor. In MDAs, Regions or LGAs this appeal will be lodged to the Head of Division or Department or Cluster Head in Regions.

4.2.2 *Permanent Secretaries, CEOs, RASs or Heads of Independent Departments*

An employee who is dissatisfied with the decisions of the Head of Division or Department or cluster may appeal to the immediate superior of the Head of Division or Department mentioned above.

4.2.3 *Public Service Commission*

The employee may still be dissatisfied with the decision of the Permanent Secretary, RAS, CEO or Head of Independent Department. In case of the above situation, the employee may appeal to the Public Service Commission (PSC). The decision of the PSC will be final.

4.3 Appeals for Presidential Appointees

The first level appellate authority for all the Presidential Appointees shall be the Chief Secretary. If the Presidential appointee is dissatisfied with the decision of the Chief Secretary, may appeal to the President of the United Republic of Tanzania, and the decision of the President shall be final.

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