

MUHIMBILI UNIVERSITY OF HEALTH AND ALLIED SCIENCES



OPRAS IMPLEMENTATION GUIDELINES

APRIL, 2015

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1. Introduction

- i. MUHAS is currently implementing its Five Years Rolling Strategic Plan (FYRSP) 2014/2015-2018/2019. Implementation of this Strategic Plan depends on the dedication of the University staff. The daily activities of staff should therefore be well planned, monitored and evaluated. It is therefore apparent that staff assignments must be derived from the strategic objectives, targets and activities which are contained in the FYRSP. In order to ensure smooth monitoring and evaluation of implementation of the objectives it is vital that individual members of staff execute specific targets, the achievement of which will form the basis for their annual performance appraisal.
- ii. Operationalization of the Open Performance Review and Appraisal System (OPRAS) is a requirement by the Act of Parliament, the Public Service Act No. 8 of 2002 as amended by Amendment Act No. 18 of 2007. The University Management is therefore fully committed to ensuring OPRAS become the institutional system for evaluating performance of its staff. However, given the fact that staff have not been sufficiently exposed to the system, capacity building at various levels will continuously be undertaken to ensure that all members of staff understand OPRAS fully and implement it effectively and efficiently.
- iii. The implementation of OPRAS at the University is a significant move towards effectively utilizing the scarce resources available in order to achieve institutional objectives. OPRAS provides room for participatory engagement of supervisors and supervisees in setting performance objectives, targets, means of verification and resource allocation towards achieving the agreed objectives.
- iv. These guidelines shall be used in tandem with the President's Office-Public Service Management (PO-PSM) Guidelines on OPRAS, 2013, the Standing Orders for Public Service, 2009, the MUHAS Scheme of Service, MUHAS Staff Regulations and any other guidelines/directives and circulars from competent authorities. It is expected that the guidelines will be effectively utilized by all staff to facilitate smooth implementation of OPRAS at the University.

2. Meaning of Terms.

- i. **'Agreed Resources'** means inputs (financial, human, and physical) required to meet the targets or achieve objectives as planned in the implementing year.
- ii. **'Agreement/Contract'** the Performance Agreement or Contract between the

Supervisor and the staff.

- iii. **A&HRMC** - Appointments and Human Resources Management Committee, the committee of the University Council.
- iv. **'Appraisee'** is the employee whose performance is being assessed.
- v. **CDD** - Committee of Deans and Directors
- vi. **FYRSP**-Five Years Rolling Strategic Plan
- vii. **'Individual Agreed Performance Targets'** these are expected results or outcomes that the supervisee will produce as achievement towards agreed objectives.
- viii. **'Individual Performance/Agreed Objectives'** these are key responsibilities related to the supervisee' position. They are derived from documents and issues provided for under 4(vi) of these guidelines. Individual Performance/Agreed Objectives must be **SMART**).
- ix. **'Key Performance Index (KPI)'** is a metric used to evaluate factors that are crucial to the success of an organization. That is to say KPIs are a set of quantifiable actions that an institution intends to use to measure or compare performance in terms of meeting their strategic and operational goals.
- x. **'Mid Year Review and on Going Reviews'** are joint discussions between the supervisor and the supervisee regarding performance and progress made towards achieving the performance elements in the performance agreement. It can be done on a monthly basis, but more formally at the middle of the appraisal period. These reviews are NOT rated.
- xi. **'OPRAS'** is Open Performance Review and Appraisal System. The system is designed to assist both the employer and an employee to systematically and procedurally in planning, managing, evaluating and effecting performance improvement in the organization with the aim of achieving organizational objectives during a given period of time.
- xii. **'Performance Agreement/Contract'** is a written and signed agreement that identifies the task-related performance elements and standards against which the employee will be rated.
- xiii. **'Performance Appraisal'** is a process of assessing an employee's performance which involves assessing the overall work content (load and volume), what has been achieved during the reporting period, and where necessary review previously agreed objectives.
- xiv. **'Performance Criteria/Indicators//Means of Verification'** these are measurements and evidence for the quality, quantity or approaches used indicating that targets have been met and objectives have been achieved.
- xv. **'SMART'** stands for Specific, Measurable, Attainable/Assignable, Realistic, and Time-bound/Time-related. All objectives, targets, activities, indicators and other criteria that are used to plan monitor and measure performance must be **'SMART'**.
- xvi. **'SPMAC'** stands for Staff Performance Monitoring and Appraisal Committee.

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

3. **Objectives of OPRAS Guidelines and its Rationale**

4.4.Objectives of the Guidelines

- i. The guidelines are aiming at putting mechanism for employees to contribute to the achievement of the MUHAS Vision and organizational objectives.
- ii. To clarify the performance measures of the appraisal and provide answers to questions that may come out about appraisal process. The success of the process depends on the understanding and use of the performance appraisal process as an opportunity to improve the employee's productivity and develop a full potential.
- iii. The Guidelines shall provide a good relationship between an employee and a supervisor. Good employee relationship built upon a fair and equitable treatment. Employees should be treated on definite standards applied fairly and without discrimination.

2.2.OPRAS Rationale

OPRAS intends to advance the overall organizational performance by encouraging staff participation and motivation so as to increase staff contribution in the planning function, service delivery and work evaluation. It establishes a process for achieving responsibility and accountability in the execution of the organisation's services. The following are the rationale of enforcing OPRAS at MUHAS;

- i. Creates a culture of openness in performance planning, agreement, reviewing and appraising an employee's performance.
- ii. Improves overall University performance by encouraging higher levels of involvement and motivation and increased staff participation in the planning, delivery and evaluation of work.
- iii. Enhances ownership of the implementation of various activities since both the supervisor and the supervisee understand the objectives and the employee's contribution towards achieving them.
- iv. Promotes communication between staff and supervisors on the objectives to be achieved and the basis on which individual performance will be assessed, encouraging transparency and teamwork in the process.
- v. Brings openness and objectivity in the performance appraisal process and therefore reduces or eliminates any subjectivity. Under OPRAS, appraisal is based on facts and evidence that can be judged by both parties to the agreement rather than using performance attributes alone.
- vi. Ensures that institutional objectives trickle down to every individual within the University and therefore bringing about uniformity of purpose and effort.
- vii. Allows the University to be more effective in developing its staff and make use

of the existing diversity of skill, talent and experience, to enable their optimal contribution such that everyone can see how they support the aims and objectives of their unit and that of the University.

viii. Enables staff to develop their full potential and attain maximum job satisfaction.

ix. Identifies individual strengths and weaknesses on the basis of which the supervisor and the appraisee jointly formulate a strategy for a long-term improvement.

4. Performance Appraisal Cycle and Process

i. The performance period shall begin on 1st of July of each year and shall end on 30th June of the following year.

ii. Every University member of staff shall be required to have signed a performance agreement with his/her supervisor not beyond the 15th of every August of every year.

iii. MUHAS customized OPRAS forms in both English and Swahili versions shall be downloaded from the MUHAS website. It is prohibited to use any other forms which are not customized for MUHAS.

iv. Staff may use any version either English or Swahili depending on his/her comfortability.

v. In order avoid collision between OPRAS matters and the University Examinations in July which is the month of University Examinations, Deans and Directors shall be required to put a very clear time table of the two events.

vi. During signing of the agreement there shall be a meeting between a supervisor and appraisee to deliberate adequately about the inputs and the process during the OPRAS exercise

vii. Only two original OPRAS forms shall be filled in, signed and processed (One for the Supervisor and another one for the appraisee). The other needed copies shall be produced after annual appraisal and not necessarily to be original copies.

viii. Staff whose performance agreements shall not be received within the prescribed date shall be counted to have breached the laid down rules and procedures and therefore appropriate disciplinary action shall be taken against them as provided for in the MUHAS Staff Regulations.

ix. If delay in submission or non submission of the said agreement under guideline is

caused by a supervisor the same formal disciplinary process shall apply to a supervisor.

- x. DVCs, Deans and Directors shall fill in OPRAS forms for DVCs, Deans and Directors respectively.
- xi. DVCs shall sign the Performance Agreement with the Vice Chancellor.
- xii. Deans and Directors shall sign the Performance Agreement with the respective DVC.
- xiii. Associate Deans and Deputy Directors shall sign the Performance Agreement with their respective Deans and Directors respectively.
- xiv. Heads of Departments shall sign the Performance Agreement with the respective Deans and Directors.
- xv. Individual Staff shall sign the Performance Agreement with their respective Heads of Departments or supervisors.
- xvi. Inputs for the Performance Agreement or formulation of the Individual Performance Objectives shall be guided by the following:-
 - a) The University FYRSP.
 - b) The University Annual Action Plan which shall be prepared by Directorate of Planning and Investment – Muhimbili Campus.
 - c) The Annual action plans for each School, Directorate, Institute, Department and Unit which shall be prepared and submitted to the DVC PFA before 10th July of every performance appraisal year.
 - d) Duties and responsibilities of the member of staff as contained in the University Council approved Schemes of Service and Treasury Registrar.
 - e) Job description of each member of staff as per the letter of appointment to the substantive post and duty post where applicable.
 - f) All functions and objectives of Schools, Directorates, Departments and Units.
 - g) Notwithstanding the provision of guideline 4(xvi), as the matter of emphasis, the Individual Performance Objectives for DVCs shall be derived from the University Annual Action Plan for the year under review and the University FYRSP in order to allow cascading of objectives downward to the Level of Deans, Directors, Heads of Departments and Units up to the individual Staff.
- xvii. The heads of Schools, Directorates, Departments and Units shall be required to submit to the office of the Directorate of Human Resource Management and Administration using prescribed format the following:-

- a. A report regarding signing of the Performance Agreement within the area of jurisdiction. The report should be available by 15th of every month of August. .
- b. A report of the Mid-Year Performance Reviews by 15th of every month of January. Format of the report for (xvii) (a) and (b) will be issued on yearly basis

xviii. The Mid-Year performance reviews at the level of the Department, School, Directorate and Institute shall be conducted between 2nd and 10th January of every year.

xix. The annual performance reviews at the level of the Department, School, Directorate and Institute shall be conducted between 20th and 30th June of every year. Heads of Departments, Schools, Directorates and Institute shall take charge of all reviews (i.e. ongoing, midyear and annual reviews)

xx. The heads Departments, Schools, Directorates and Institute shall be required to submit to the Directorate of Human Resource Management and Administration the annual performance appraisal reports for their staff (with names of good and under performers, factors and actions that caused the good and underperformance of the named staff, and duly signed OPRAS form with all sections dully filled-in for all staff under their direct supervision. The report shall be received by 2nd July of every year in order to allow further scrutiny and processing of the reports at the University Level.

xxi. SPMAC shall meet between 5th and 10th July of every year to go through the performance reports of the previous year from Departments, Schools, Directorates and Institute and make appropriate recommendations to the Appointments and Human Resource Management Committee.

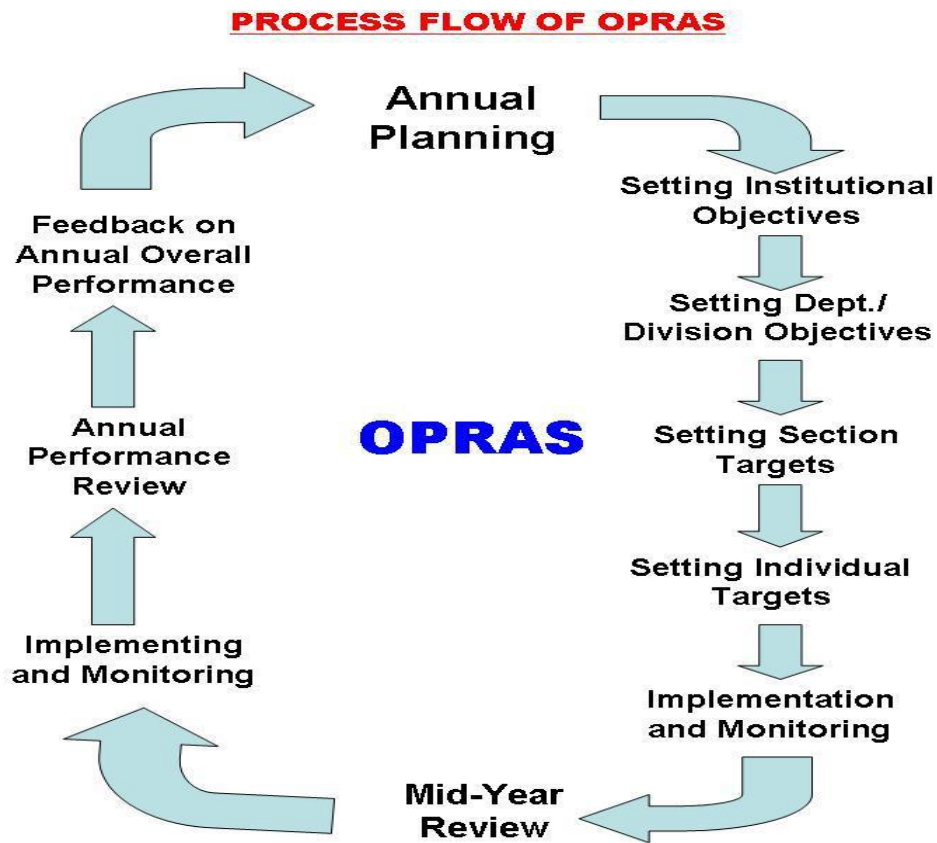
xxii. For members of the Academic Staff, recommendations made by SPMAC shall first be tabled to the Committee of Deans and Directors before being presented to the AHRMC.

xxiii. **a.** The OPRAS flow process starts with annual planning at the beginning of the financial year, where the institution sets annual institutional objectives through University Annual Action Plan prepared by Directorate of Planning and Investment-Muhimbili.

b. Planned activities contained in the University Annual Action Plan for the year under review shall be cascaded from the level of the University to the Directorates, Institutes and Schools up to the level of Departments and Units whereby after cascading process supervisors and individual staff shall be required to develop together individual performance objectives and targets.

c. Thereafter the supervisor and the supervisee agree on performance criteria and the resources needed for the implementation. This is illustrated in the figure

below:



xxiv. All the important dates regarding performance appraisal process shall be indicated in the University Almanac.

xxv. The Directorate of Human Resource Management and Administration shall be the Secretariat to the SPMAC.

xxvi. SPMAC shall meet biannually to:-

- a) Receive and discuss staff performance reports from units and provide recommendations and where appropriate direct accordingly.
- b) Receive, Review and recommend/endorse the University Annual Action Plan prepared and by Directorate of Planning and Investment – Campus
- c) Note the Annual Action Plans from each unit of the University.

xxvii. SPMAC shall be chaired by the DVC-PFA and other members shall be:

- a) The Director of Human Resource Management and Administration who shall be a secretary.
- b) Director of Planning and Investment-Muhimbili as a custodian of the University Strategic Planning process.
- c) One member representing MUHAS Academic Staff Assembly (MUASA),
- d) One member representing the Trade Union,
- b) Two members appointed by the Vice Chancellor, one from Academic staff and another from Administrative and Technical Staff. One of the appointees of the Vice Chancellor must be a female. Members to be appointed by Vice Chancellor shall serve for tenure of three years renewable once.

xix. Appraisal of a member of staff who may be transferred from one department/office to another shall be done in a department where the member of staff has worked for period of more than 50% within the performance appraisal cycle or otherwise as may be directed by Director of Human Resources Management and Administration.

xx. Assessment of staff shall cover both Performance Objectives by assessing outputs achieved and personal Attributes of Good Performance/Competencies. Assessment of personal attributes shall involve assessing the appraisee's level of behaviour on how is related to performance rather than the level of skill or ability. This is contained under section 6 and shall carries 25%. The assessment aims at outlining the appraisee's particular strengths and weaknesses to help the appraisee improve the level of performance in future.

xxi. The Overall Performance will be judged on annual performance based on actual outputs achieved throughout the year based on agreed objectives and basing on the attributes of good performance. This overall performance will be derived from the both Sections

5 and 6 of the OPRAS form.

xxii. It is the responsibility of the supervisor to ensure timely execution of the OPRAS process within the unit including, the timely and proper filling of OPRAS forms by each member of staff within the jurisdiction of a supervisor.

xxii. Divergence of opinion between a supervisee and the supervisor relating to an individual's performance agreement shall be resolved as per requirements of the MUHAS Staff Regulations.

xxviii. The final copies of OPRAS forms, after signature of the Chairman of the AHRMC or his/her assignee, shall be distributed as follows:

ii. Forms for Deputy Vice Chancellors, Deans, Directors, Senior Lecturer/equivalent or above and Principal Officers:

- a) One original copy shall be sent to the Permanent Secretary, PO-PSM,
- b) Another original copy to the Vice Chancellor for filing in a personal file,
- c) A copy shall remain with a supervisor, and
- d) The last copy will be for the appraised member of staff.

iii. Forms for all other employees shall be sent as follows:

- a) Original copy to the Vice Chancellor for filing in the Personal file
- b) Another original copy shall remain with supervisor and
- c) The last copy will be for the appraised member of staff.

iii. Relevant sections of the OPRAS form for each University staff shall be scanned and uploaded into the Human Capital Management Information System (HCMIS), Lawson version 9 as per requirement.

iv. Members of staff whose duly filled and signed OPRAS forms will not be available for uploading into the mentioned system at the prescribed time shall not be considered for promotion and annual increment for that year.

5. Rating, Rewards and Sanctions During Performance Appraisal.

5.1 Rating

i. OPRAS offers ratings in five different categories as follows:-

- a) Outstanding performance -Rated 1
- b) Very good Performance -Rated 2
- c) Good Performance -Rated 3
- d) Satisfactory Performance -Rated 4
- e) Unsatisfactory Performance -Rated 5

ii. A '1' Rating

- a) Performance is exceptionally far above the agreed performance objectives and personal attributes. The employee consistently does outstanding work regularly, going far beyond what is expected of the employees and work is executed on time without excuse.
- b) Performance that is consistently characterized by exceptionally high quality work that leaves little or nothing to be desired.
- c) The outputs recorded by these staff have significance contributions to the achievement of the organizational objectives. a "1" rating is, therefore, intended for those very few (and not just occasionally).
- d) Staff who consistently performs and achieve objectives beyond what was agreed in terms of timelines, quantity and quality.
- e) A rating in which there is an innovation.
- f) Because it reflects exceptional performance, must be well supported by statements of the specific actions and the results of those actions in terms of their contributions to the organizational objectives.

iii. A '2' Rating

This rating reflects high levels of quality and quantity performance, and that the work is executed on time. Supervisors are required to provide clear supporting evidence to substantiate the given rating with specific attention to how the staff outputs and the results of those actions contributed to the achievement of the agreed objectives at that high level

iv. A '3' Rating

- a) (a). This assessment describes performance that meets the goals to the large extent say between 50 and 60%.
- b) Represents entirely average performance in carrying out the objectives and tasks of the organization.
- c) Performance is not at high level or exceptional.

v. A ‘4’ Rating

- a) Partially meets performance expectations.
- b) It describes performance that meets only some objectives (that is, the level of performance of other objectives was not in keeping with what was agreed) and therefore development or enhancement of skills and knowledge may be needed in order for the staff to be able to meet the agreed objectives.
- c) Supervisors are required to give examples where the staff performance needs improvement, as well as instances of clear improvement.

vi. A ‘5’ Rating

This assessment means a level of performance that does not meet the objectives of the Performance Agreement. Outcomes from the performance of this rating include, quality of the work that depicts serious shortcomings, and/or the quantity produced falls short of the previously agreed objectives.

5.2 Rewards

- i. 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
- ii. Supervisors shall be required to be very fair, firm, bold and objective during appraisal exercise.
- iii. Management has the mandate to nullify results of appraisal which lacks objectivity and fairness and shall impose appropriate sanctions to the supervisor.
- iv. OPRAS has also meaning 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 satisfactory performance and unsatisfactory performance will not receive salary increments as a way of demonstration of their performance levels.
- v. Staff who shall attain an average of 1 or 2 or 3 shall be eligible for promotion provided that they meet criteria required for the next rank/post as per the respective Scheme of Service and positive recommendation from the supervisor and the promotion is approved by a relevant authority.
- vi. Staff who shall attain an average of 1 shall be eligible for double annual salary

increment and commendation provided that they do not qualify for promotion, has not reached to the salary ceiling and that the increment is approved by the government.

- vii. Staff who shall attain an average of 2 shall be eligible for normal annual salary increment provided that they do not qualify for promotion and increment is approved by relevant authority.
- viii. Staff who has acquired maximum qualification as per his/her Scheme of Service, has attained an average of 1 but is already at the bar/ceiling of his/her salary scale and therefore cannot be promoted or get salary increment shall be awarded commendation letter and certificate of outstanding performance or any other reward as may be recommended by SPMAC
- ix. Other rewards could be in the form of a word of appreciation, letter of recognition or certificate of outstanding performance, an official card signed by the Vice Chancellor, a dinner part to congratulate outstanding performers accompanied by the immediate supervisor, other departmental staff and the Vice Chancellor the chief guest.

5.3 Sanctions

Appropriate sanctions as per Appropriate Legislation, MUHAS Staff Regulations and PO-PSM Guidelines on OPRAS, 2013 shall be applied to staff who shall score an average of 4 and 5.

6. Commencement, and Revision.

These Guidelines shall become operational on the date approved by the University Council and shall be revised every year until every member of staff is conversant on the OPRAS process and its implementation.