OFFICE OF THE DEPUTY PRESIDENT
STATE DEPARTMENT FOR DEVOLUTION

INTEGRATED PERFORMANCE MANAGEMENT GUIDELINES FOR COUNTY GOVERNMENTS

DECEMBER, 2024

KDSP II
The Second Kenya Devolution Support Program

HARAMBEE

EXECUTIVE OFFICE OF THE PRESIDENT
CHIEF OF STAFF AND HEAD OF THE PUBLIC SERVICE
Public Service Performance Management Unit

COUNCIL OF GOVERNORS
48 Governments 1 Nation

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List of Abbreviations

A -in- A	Appropriation – in - Aid
ADP	Annual Development Plan
BETA	Bottom-Up Economic Transformation Agenda
BoD	Board of Directors
BoM	Board of Management
BPR	Business Process Re-engineering
CG	County Government
CAJ	Commission on Administrative Justice
CEC	County Executive Committee
CECM	County Executive Committee Member
CEO	Chief Executive Officer
CIDP	County Integrated Development Plan
CIPMC	County Integrated Performance Management Committee
CO	Chief Officer
COMESA	Common Market for Eastern and Southern Africa
CPSB	County Public Service Board
CPMF	County Performance Management Framework
DE	Development Expenditure
EAC	East African Community
FY	Financial Year
GoK	Government of Kenya
HELB	Higher Education Loans Board
HIV	Human Immuno-Deficiency Virus
HR	Human Resource
HRM	Human Resource Management
ICT	Information and Communication Technology
ISO	International Standards Organisation
KDSP II	Second Kenya Devolution Support Program
KYDP	Kenya Youth Development Policy
MERL	Monitoring and Evaluation, Reporting and Learning
MTP	Medium Term Plan
NCPWDs	National Council for Persons with Disabilities
NPCC	National Productivity and Competitiveness Centre
NSSF	National Social Security Fund
PC	Performance Contract
PAYE	Pay As You Earn
PPBB	Performance & Program-Based Budgeting
PPRA	Public Procurement Regulatory Authority

PSC	Public Service Commission
PSPMU	Public Service Performance Management Unit
PWDs	Persons Living with Disabilities
RBM	Results-Based Management
SACCO	Savings and Credit Cooperative
SHIF	Social Health Insurance Fund
SDGs	Sustainable Development Goals
SMART	Specific, Measurable, Achievable, Realistic, Time-bound
SPA	Staff Performance Appraisal
SPAS	Staff Performance Appraisal System
TNA	Training Needs Assessment
PMS	Performance Management System

Definition of Key Terms

Baseline - refers to an analysis describing the initial status of performance of an indicator before the start of a programme/project, against which progress can be assessed or comparison made.

Cascading of Performance Contract - refers to the process of extending Performance Contracting to downstream institutions (Departments/Directorates/Divisions/ Sections/ Units including field/regional offices), levels and cadres of employees. It entails implementation of Staff Performance Appraisal for officers in all cadres. It also enables County Government Entities/County Assemblies to effectively link employees' performance to the performance of the organisation for achievement of the strategic objectives.

Citizens' Service Delivery Charter - a brief public document that provides essential information that citizens/customers and stakeholders are entitled to know about the services and/or goods provided by a public institution, department or unit. It contains information on services/goods provided by the organisation, requirements to fulfil for one to obtain or access the services/goods, costs, timelines and the redress mechanisms in case of any dissatisfaction with the services/goods.

County Board- this refers to a county-owned body, established by law in a County Government for the administration of specific public programmes.

County Corporation - refers to a public corporation within a county established by an Act of Parliament or a county legislation.

County Government Entity- refers to any Department or Agency of a County Government and any authority, body or other entity declared to be a County Government entity, as stipulated in Section 5(1) of the Public Finance Management Act, 2012.

County Institutions - refers to the public entities/Ofiices/agencies established and controlled by the County Governments. The include County Departments, County Public Service Board, County Coorpartions and tertiary institutions, and County Assemblies.

County Tertiary Institution –refers to an educational institution at the county level offering technical and/or vocational training.

Development Partners –refers to a foreign government, international organization or any other organization supporting implementation of programmes and projects at the county.

Exogenous Factors – refers to occurrences that cannot reasonably be planned for, controlled or predicted. These however, exclude factors that could have been pre-empted by meticulous planning, including risk management.

Independent Board Member – refers to a Board Member in a County Government entity who is not a public official.

Independent External Experts – a team that vets Performance Contracts, monitors and evaluates performance of a County Government Entity/County Assembly on behalf of the County Government.

Lead Department – A County Department where the core mandate/a specific function is domiciled.

Moderation - the process of ensuring that the performance evaluation methodology, including application of evaluation tools and instruments, has been applied uniformly for the purpose of ensuring objectivity.

Outputs – these are specific products or services (immediate results of an activity) over a specified period.

Performance Criteria – is a principle or standard for evaluating achievement, represented by a performance indicator, or a set of performance indicators.

Performance Evaluation – the process of ascertaining the extent of achievement of the agreed performance targets, using the prescribed performance evaluation methodology.

Performance Indicator – is a measurable variable by which the performance of a County Government Entity/County Assembly is assessed.

Performance Management- is a systematic process for obtaining better results from an organization's teams and individuals through controlling the achievement of results/outputs within an agreed framework of planned goals, objectives and standards.

Performance Monitoring – is the consistent tracking of performance and provision of feedback to management, work groups and employees on progress towards achieving the agreed performance targets.

Performance Target - is the desired level of achievement for a performance indicator.

Self-Evaluation – refers to the in-house performance assessment using the prescribed performance evaluation methodology.

Specialized Agencies- refers to institutions that are charged with a mandate to oversee specific performance indicators.

Vetting – refers to the process of verifying whether the negotiated Performance Contract fully complies with the provisions of the Performance Contracting Guidelines. The process is essentially a quality assurance exercise and is coordinated by the Council of Governors.

Productivity – is a measure of output produced per unit of an input. It represents the relationship between inputs and outputs in the production process. It addresses the quantity & quality of outputs (products/services) and their worth (value) in terms of achieving an institution's goals in relation to the resources consumed.

Productivity Index – is a measure of achievement that identifies the input and contribution of each factor of production to the final output in relation to an agreed base year.

Productivity Metrics – is a measure of quantitative assessment used for monitoring productivity.

Integration – the act of bringing together, unifying and harmonizing an initiative for a common goal.

1. Introduction

Public Sector Reforms to address Performance Management challenges in the Kenyan Public Service have been instituted since the 1960s through several initiatives. From 2002, several Results-Based Management (RBM) tools and methodologies were introduced as part of the Public Sector Reforms. These include, among others, Strategic Plans, Performance Contracts, Staff Performance Appraisal System (SPAS), Rapid Results Initiatives, Citizens' Service Delivery Charters, ISO certification and Performance & Program-Based Budgeting (PPBB).

With the onset of the devolved governance system in 2013, there was a need for County Governments to adopt Performance Management for better service delivery. However, the implementation of Performance Management across the County Governments remains heterogeneous, leading to a lot of disparities, hence the need for the development of the County Governments' Integrated Performance Management Guidelines.

Section 47 of the County Government Act 2012, mandates the County Executive Committee to design a Performance Management plan to evaluate performance of the County Public Service and the implementation of County policies. The County Performance Management Framework (CPMF) was rolled out in 2017 to among others, support institutionalization of Performance Management. At the heart of this effort is Performance Contracting and SPAS tools which align planning, budgeting, implementation, monitoring and delivery of results for improved service delivery to citizens.

The adoption of the Integrated Performance Management Guidelines for County Governments links individual and institutional performance. These guidelines incorporate the aspects of Performance Contracting, Staff Performance Appraisal, Monitoring and Evaluation, Reporting and Learning (MERL).

The development of this first edition of the Integrated Performance Management Guidelines for County Governments was spearheaded by the Public Service Performance Management Unit (PSPMU) in the Executive Office of the President, in collaboration with Public Service Commission, State Department for Public Service, State Department for Devolution, the Council of Governors and County Governments, as supported by the second Kenya Devolution Support Program (KDSP II).

2. Purpose of the Integrated Performance Management Guidelines for County Governments

The Guidelines are designed to integrate Performance Management in the County Governments in order to facilitate linkages and alignment between policy, planning, budgeting, target setting at both the institutional and individual level, implementation and performance monitoring & evaluation. Specifically, the guidelines aim to

i) Institutionalize Performance Contracting and Staff Performance Appraisal, to enable County Governments achieve better results and improve service delivery;

ii) Provide clarity and standardization in the application of Performance Contracting and SPAS across all County Governments; and

iii) Enhance the capacity of County Governments on Performance Management.

A Model PC for County Governments form part of these guidelines as provided in Annex II.

3. Roles and Responsibilities of Key Players in the County Governments' Performance Management Process

The roles and responsibilities of key players are as follows:

a) The Governor

i) Provide overall policy direction and oversight on Performance Management.

ii) Provide leadership to the County Executive Committee on Performance Management.

iii) Facilitate institutionalization of Performance Management in the County.

iv) Submit the annual performance reports of the County Executive Committee and Public Service to the County Assembly for consideration.

v) Publicize the County Annual Performance Evaluation results.

b) County Executive Committee

i) Adopt and oversee implementation of the County Performance Management Framework (CPMF).

ii) Formulate policies and provide strategic direction on human resource management, including Performance Management.

iii) Consider Performance Management reports.

iv) Recommend appropriation of resources by the County Assemblies to Performance Management programmes/activities.

c) County Integrated Performance Management Committee

The Committee shall:

i) Coordinate Integrated Performance Management in the County;

ii) Provide technical support on Performance Contracting and SPAS to County Government Entities/County Assemblies;

iii) Monitor the performance of contracting parties.

iv) Provide logistical and technical support to the external performance evaluators;

v) Undertake capacity building on Performance Management for County Government Entities/County Assemblies; on performance management.

vi) Ensure that the integrity and credibility of the overall process of performance rewards and sanctions system is safeguarded and maintained at all times;

vii) Oversee the implementation of Performance Contracting;

viii) Ensure integration of Performance Management with other Human Resource functions;

ix) Develop clear and measurable performance targets indicators to monitor/track progress on achievement of performance indicators;

x) Periodically assess the performance of Departments and individual employees against set targets based on the SPAS reports;

xi) Analyze performance data to identify strengths, weaknesses, and areas where interventions are required;

xii) Compile and submit performance reports to the County Executive Committee through the CECM responsible for Performance Management;

xiii) Submit annual Staff Performance Appraisal report to the County Public Service Board; and

xiv) Work closely with County Public Service Boards on performance management matters.

The County Integrated Performance Management Committee (CIPMC) shall comprise the following:

i) The CECM responsible for Performance Management, who shall be the Chairperson;

ii) The County Secretary, who shall be the Vice Chairperson;

iii) The County Attorney;

iv) The Chief Officer responsible for Performance Management;

v) The Chief Officer responsible for Public Service Management;

vi) The CEO of the County Public Service Board;

vii) Directors nominated from the following County Departments:

   a. Finance and Economic Planning;

   b. Human Resource Management;

c. Performance Management, who shall be the Secretary;

d. Physical and Land Use Planning;

e. Devolution;

f. Administration; and

g. Any other nominated Director.

d) CECM in charge of Performance Management

i) Overall responsibility for Performance Contract negotiations, vetting, implementation and performance monitoring, reporting and annual performance evaluation for the County.

ii) Chair CIPMC meetings.

iii) Submit the CIPMC reports to the County Executive Committee for consideration and decision.

iv) Implement CECs decisions on staff performance.

v) Ensure the content and commitments of County Departments PC are disseminated to respective staff, key stakeholders and citizens.

vi) Oversee the implementation of annual staff performance appraisal.

vii) Nominate employees to be considered for annual honours and awards.

NB: In instances where the County Department has more than one Chief Officer, the CECM should appoint one to oversee Integrated Performance Management in the Department.

e) County Secretary

i) Vice chairperson of the CIPMC.

ii) Communicate the decisions of the CEC on performance management.

iii) Communicate performance reports to external stakeholders.

f) County Public Service Board

i) Advise the county government on human resource management and development.

ii) Advise county government on implementation and monitoring of the national performance management system in counties.

iii) Implement rewards and sanctions framework.

iv) Provide a mechanism for employees to appeal appraisal outcomes and address any grievances related to the performance management process.

g) **County Chief Officers**

i) Oversee the cascading of the performance targets.

ii) Identify performance targets and negotiate the PCs for the department and its agencies with the CECM.

iii) Implement annual staff performance appraisal.

iv) Coordinate performance monitoring & reporting and the annual performance evaluation.

v) Supervise the employees in the department for the delivery of the outputs in accordance to the department service delivery standards.

vi) Submit departmental performance progress reports to the CECM.

h) **Chairpersons of County Corporation/Board and Tertiary Institutions**

i) Provide oversight in the Integrated Performance Management process in their respective institutions.

ii) Negotiate PC targets with the relevant CECM.

iii) Cascade the PC to Chief Executive Officer.

iv) Oversee the implementation of annual staff performance appraisal.

i) **Chief Executive Officers/Managers of County Corporations/Boards and Tertiary Institutions**

i) Responsible for the identification of performance targets.

ii) Oversee the cascading of the performance targets, coordinate performance monitoring & reporting, and the annual performance evaluation.

iii) Implement the annual staff performance appraisal.

j) **Departmental/ Institutional Integrated Performance Management Committee**

Membership

i) Chief Officer or Authorized officer- Chairperson.

ii) Directors of technical departments within the department of institution.

iii) Director Administration.

iv) Director Human Resource Management and Development.

v) Head of Planning- Secretary.

Responsibilities

i) Coordinate the performance contracting and Staff Performance Appraisal processes.

ii) Undertake quarterly reporting of implementation of Performance Contracts.

iii) Ensure linkages between Institutional Performance Contract and Staff Performance Appraisal System.

iv) Ensure that the overall assessment of the employee performance is within the context of the institutional performance as evaluated through Staff Performance Appraisal System.

v) Hold quarterly performance review meetings.

vi) Consider performance reports from various directorates from the County Department and make recommendations for improvement.

vii) Review cases of appeals on appraisal ratings between supervisor and appraises.

viii) Make recommendations to the Authorized Officer on applications of rewards and sanctions.

ix) Develop and implement the internal Monitoring and Evaluation and Reporting system.

x) Coordinate the annual performance evaluation including compilation and availing of evidence to support reported achievements.

k) County Lead Department

i) Provide technical support to County Government Entities/County Assemblies for specific performance indicators within its mandate/functions.

ii) Receive and analyze submitted quarterly performance reports on the specific performance indicator(s) and provide feedback to the respective County Government Entities/County Assemblies within 15 days from the date of submission.

iii) Undertake verification of the reported achievements in order to ensure credibility.

iv) Liaise with the relevant Specialized Agency at the National Level for technical support and capacity building.

v) Submit progress performance reports to relevant Specialized Agency at the National Level as appropriate

l) County Director for Human Resource Management

i) Carry out training and sensitization on SPAS.

ii) Receive and analyze SPAS reports from all Directorates.

iii) Submit SPAS reports to the CIPMC.

iv) Communicate and implement CIPMC decisions.

v) Secretary to CIPMC.

m) County Department, Corporation/Board/ Tertiary Institutions Integrated Performance Management Coordinators/Champions

i) Coordinate performance management activities in respective directorates.

ii) Guide the implementation of Staff Performance Appraisal in respective Directorate.

iii) Sensitize staff in the Directorate on the Performance Management System (PMS), including induction of new staff on the system.

iv) Ensure availability of the PMS instruments.

v) Coach staff on individual work planning and target setting.

vi) Coordinate identification, negotiations and vetting of performance targets in line with priorities of their respective County Government Entities/County Assemblies.

vii) Facilitate quarterly and annual performance reporting.

n) Appraiser

i) Ensure that the incumbent job holder knows what he/she is accountable for.

ii) Set targets with the appraisee with reference to directorate work plan.

iii) Ensure that the appraisee prepares individual work plan and quarterly reports.

iv) Ensure provision of resources as agreed with the appraisee in the individual work plan.

v) Monitor progress of the appraisee's performance by regularly obtaining and providing feedback.

vi) Analyze, compile and submit quarterly reports.

vii) Coach, mentor and record milestones of the appraise.

viii) Conduct mid and end of year evaluation and submit evaluation reports to the head of directorate.

o) Appraisee

i) Set and agree on targets with the Supervisor based on the directorate's work plan.

ii) Develop an individual work plan on how to deliver the set targets.

iii) Deliver agreed targets.

iv) Give regular feedback on performance to the supervisor and point out any challenges being encountered.

v) Prepare quarterly performance reports and submit to the supervisor.

vi) Document evidence of achievements and give reasons for non-achievements.

National Level Institutions

p) Executive office of the President – Public Service Performance Management Unit

i) Provide technical support to County Governments on:

   a. Development/Review and dissemination of County Performance Management tools including Integrated Performance Management Framework and Integrated Performance Management Guidelines.
   b. Implementation of PC commitments (PC preparation, midyear review, annual performance evaluation)

ii) Capacity build County Governments on performance management.

q) Council of Governors

i) Coordinate implementation of Performance Management in the County Governments.

ii) In collaboration with PSPMU, PSC, State Department for Devolution and State Department for Public Service, prepare and disseminate County Performance Management tools including County Integrated Performance Management Framework, Integrated Performance Management guidelines.

iii) Receive performance evaluation reports for compilation and onward submission to the Summit and stakeholders.

iv) Coordinate county technical support.

v) Document and disseminate best practices.

r) State Department for Devolution

i) Provide a link between the National and County Governments on Performance Management.

ii) Facilitate development of policies and legislations for County Governments.

s) Public Service Commission

i) Provide overall guidance on implementation of Performance Management

t) Specialized Agency at the National Level

i) Develop relevant performance indicators and sub-indicators for implementation by County Government Entities/County Assemblies

ii) Develop reporting formats, receive performance reports and provide feedback,

iii) Provide technical support to County Government Entities/County Assemblies in implementation of the relevant performance indicator(s)

PART ONE

PERFORMANCE CONTRACTING GUIDELINES FOR COUNTY GOVERNMENTS

1.0 Key Elements of the Model Performance Contract

a) Vision Statement, Mission Statement and Strategic Objectives

This part defines the desired future positioning and states the purpose of existence of the County Government Entities/County Assemblies and is derived from their mandate. The Vision Statement, Mission Statement and Strategic Objectives should be drawn from the county sectoral plans/County Spatial plans/Cities and Urban Areas Plans/County Integrated Development Plan (CIDP) and/ or the Institutional Strategic Plan. As much as is practicable, the Strategic Objectives should adequately address all relevant aspects of the mandate and at the same time avoid duplication.

b) Statement of Responsibility

This part provides for the mandate of the institution and a formal statement of commitment to performance made to the appointing authority and the public at large.

c) Statement of Strategic Intent

The Statement of Strategic Intent identifies the broad institutional strategic priorities and establishes their linkage to the County Vision for the achievement of socio-economic development. As much as is practicable, the Strategic Intents should range from three to four.

d) Commitments and Obligations of the County Government

This refers to any support that is extended to County Institutions by any other public agency to facilitate achievement of the performance targets. The commitments and obligations are guided by the following criteria:

i) Commitments of the County Government are largely facilitative and should therefore not feature where mechanisms to address them already exist;

ii) The support should be relevant and related to fulfilling the agreed performance targets;

iii) The nature, extent and the timing of any obligation on the part of the County Government should be specific, measurable and agreed upon;

iv) The required support should NOT include exemption(s) from the existing legal provisions;

v) Any support related to social obligations should not be included unless they have been directed by the County Government. In this regard, any required support arising from voluntary actions by County Institutions in the interest of good industrial or neighbourhood relations (Corporate Social Responsibility) does not qualify for inclusion;

vi) County Institutions should ensure that annual targets for the identified performance indicators under Core Mandate are based on the approved budget. In instances where a commitment may require additional exchequer funding or the intervention of another public agency, the concurrence of the County Department in charge of Finance or the agency must be obtained before committing the Government; and

vii) The Annual Performance Evaluation Report will document the status of the extent to which non-fulfilment of commitments and obligations made by the County Government to the County Institutions may have affected performance.

e) Assignment of Weights for Performance Criteria and Performance Indicators

The weights for various Performance Criteria should be applied as assigned in **Table 1** below:

Table 1: Assignment of Weights for Performance Criteria and Performance Indicators

Performance Criteria	**Weight (%)**
Financial Stewardship	10
Service Delivery	8
Institutional Transformation	10
Core Mandate	60
Governor's Directives	2
Affirmative Action in Government Procurement	4
Cross-Cutting Issues	6
Total	100

i) The performance criteria sub-weights have been pre-set and should not be altered. In addition, performance indicator weights have been pre-set for Financial Stewardship, Service Delivery, Institutional Transformation, Governor's Directives, Affirmative Action in Government Procurement and Cross-cutting Issues Performance Criteria.

ii) In the Core Mandate criterion, the weight for select performance indicators have been pre-set. The balance of the sub-weight (after factoring the sum total of the weights for the already pre-set performance indicators) should be distributed to the various performance indicators in negotiated proportions based on the relative effort attached to each indicator. In identifying the core mandate performance indicators, County Institutions should focus on the most critical output-based indicators guided by the hierarchy of results;

iii) County Institutions should ensure that they do not duplicate performance indicators and targets that are already included in the PCs of their respective downstream institutions in order to avoid duplication of the commitments and double counting during the annual performance evaluation.

2.0 Performance Contracting Cycle and Timelines

The annual Performance Contracting Cycle is a detailed representation of the PC process that entails planning, development, implementation, monitoring & reporting, annual performance evaluation and planning for the subsequent cycle.

The cycle comprises review of the Performance Contracting Guidelines; identification of performance targets; negotiations; vetting of the Performance Contracts by Independent External Experts for quality assurance; signing of the PCs; implementation; monitoring & reporting of performance; mid–year performance assessment; annual performance evaluation; release of performance evaluation results; and deployment of performance rewards and sanctions.

2.1 Performance Contracting Timelines

The timelines for undertaking the various phases of the Performance Contracting Cycle are provided in **Table 2**, with an illustration of the Cycle in the form of a flow chart provided in **Annex I**.

Table 2: Performance Contracting Timelines

Activity	Timelines
Performance Contract Development and Implementation	
Identification of Performance Targets	By 30th May
Pre-Negotiation Consultations	1st June - 15th June
Negotiation of Performance Targets	16th June - 22ndJune
Vetting of Performance Contracts	23rd June - 15th August
Signing of Performance Contracts	1st July – 15th August
Implementation of Performance Contracts	1st July - 30th June of the following year
Mid-Year Performance Assessment	16th January – 28th February
Annual Performance Evaluation	
Submission of Annual Performance Report	By 15th July
Annual Performance Evaluation	1st August - 15th October
Submission of Annual Performance Evaluation Report	31st October
Release of the Annual Performance Evaluation Report	30th November
Deployment of the Performance Rewards and Sanctions	From December

2.2 Review of Performance Contracting Guidelines

Review of PC Guidelines is carried out to incorporate emerging issues and lessons learnt with a view to improve the process in the subsequent period. The review is carried out annually and is spearheaded by the Council of Governors in collaboration with Public Service Performance Management Unit, through a consultative forum involving County Institutions and other key stakeholders.

County Institutions are required to fully apply the Guidelines to ensure that the draft PCs that will be developed and submitted for vetting meet all the prescribed standards.

2.3 Pre-Negotiations Consultations

During this stage, County Government Entities and County Assemblies are required to: create a common understanding of the scope of their operations and the core business; confirm available financial and human resources; identify emerging issues and other factors that may affect performance. The consultations should involve other institutions whose operations may affect achievement of the institution's performance targets. It is also during this phase that consensus should be sought on the nature and level of commitments and obligations of one institution to the other.

2.4 Negotiation of Performance Contracts

During this stage, County Institutions are required to verify that performance indicators and targets are aligned to the priorities set by the County Government. Specifically, the performance indicators and targets should support achievement of the mandate of the institution and are derived from the County Sectoral Plan/Spatial Plan/Cities and urban Area Plans/County Integrated Development Plan (CIDP), the Bottom-Up Economic Transformation Agenda (BETA) as provided in MTP IV of the Kenya Vision 2030, Governor's Manifesto and are aligned to Sustainable Development Goals (SDGs), African Union Agenda 2063, East African Community (EAC) Vision 2050, other national and county priorities, relevant Sector Performance Standards, institutional strategic plan and the approved budget for the financial year.

The CECM will be responsible for negotiation of the PCs for the County Department and all its downstream institutions. It is a requirement that the County Department in charge of Finance, and the parent County Department participate in the negotiations of the PCs of the downstream institutions.

The Lead Departments are required to provide leadership during negotiations of the respective performance indicators and targets that they superintend. The Chief Officers of the relevant Lead Departments will be responsible for ensuring that adequate information on the specific performance indicator(s) is communicated to the County Institutions early to inform pre-negotiations and negotiations of the PCs.

2.5 Parties to Negotiation of Performance Contracts

It is a requirement that the County Department in charge of Finance is represented during negotiations of the Performance Contracts for County Institutions. The parent Department and lead Department should also be represented during negotiations of the PCs for downstream institutions.

County Departments

County Government	**County Department**
County Integrated Performance Management Committee	CECM - Team leader
	County Secretary
	Chief Officer(s)
	Heads of Department

County Assembly

County Government	**County Assembly**
County Integrated Performance Management Committee	Clerk – Team leader
	Heads of Department

County Corporation/Board

County Government	**County Corporation/Board**
CECM–parent County Department CO –Relevant Functional Area Relevant Lead Department(s) Relevant Heads of Department Representative from County Department in charge of Finance	Chairperson-Team leader
	Independent Board Member
	Chief Executive Officer/Managers
	Heads of Department

County Tertiary Institutions

County Government	**County Tertiary Institution**
CECM –parent County Department CO –Relevant Functional Area Relevant Heads of Department Relevant Lead Department(s)	Chairperson – Team Leader
	Independent Board Member
	Principal/ Centre Manager
	Heads of Department

2.6 Vetting of the Performance Contracts

All PCs should be vetted by the Performance Management and Coordination Secretariat/ Independent External Experts.

The purpose of the vetting is to ensure quality assurance by verifying that the Performance Contracting Guidelines have been fully complied with.

Specifically, the purpose of the vetting is to ensure:

i) Compliance with the Performance Contracting Guidelines;

ii) The performance indicators and targets in the PCs are aligned to CIDP/County Sectoral Plans/Spatial Plans/Cities and Urban Area Plans, the BETA as provided in MTP IV of the Kenya Vision 2030, Governor's Manifesto, SDGs, African Union Agenda 2063, EAC Vision 2050, other national and county priorities, relevant Sector Performance Standards, institutional strategic plan and the approved budget for the financial year;

iii) Performance indicators comprehensively address the mandate of the County Institution; and

iv) Performance indicators are output-based and targets are growth-oriented (unless in instances where the optimal level has been achieved and sustainability may apply).

NB: Once a PC has been vetted, it cannot be amended.

The parties to vetting of the PC at each level in a County Government Entity/County Assembly are as follows.

County Department

County Government	**County Department**
Independent External Experts County Integrated Performance Management Committee Representative of County M&E Unit	CECM – Team leader CO(s) Heads of Department

County Assembly

County Government	**County Assembly**
Independent External Experts County Integrated Performance Management Committee Representative of County M&E Unit	Clerk – Team leader Heads of Department

County Corporations /Boards

County Government	**County Corporations/Board**
Independent External Experts County Integrated Performance Management Committee	Chairperson – Team leader Independent Board Member Chief Executive Officer/Manager Heads of Department

County Tertiary Institutions

County Government	County Tertiary Institution
Independent External Experts County Integrated Performance Management Committee	Chairperson – Team leader
	Independent Board Member
	Principal/Centre Manager
	Heads of Department

2.7 Reference Documents for Negotiations and Vetting

The following is a list of key reference documents that are required to facilitate decision making during negotiations and vetting of PCs:

a) County Governments Performance Contracting Guidelines;
b) Approved Annual Budget;
c) County Sectoral Plan/Spatial Plan
d) County Integrated Development Plan/Cities and Urban Area Plans
e) Institutional Strategic Plan;
f) Annual Development Plan;
g) Approved Institutional Annual Work Plan;
h) Approved Institutional Procurement Plan; and
i) A copy of the draft PC.

2.8 Signatories to the Performance Contracts

The following section stipulates the signatories to the PCs at the various levels within a County Institution, including cascading of the same.

County Department

Level	For and on behalf of the County Government	For and on behalf of the County Department
1st -County Department	Governor	CECM
2nd – Department	CECM	Chief Officer
3rd – Directorates/Units/ Sections	Chief Officer	Heads of Department

County Public Service Board

Level	For and on behalf of the County Government	For and on behalf of the CPSB
1st - CPSB	Governor	Chairperson, CPSB
2nd – CPSB Secretariat	Chairperson, CPSB	CEO-CPSB
3rd – Directorates/Units/ Sections	CEO-CPSB	Heads of Department

County Corporations/Boards

Level	For and on behalf of the County Government	For and on behalf of the County Corporation/Board
1st - Board of Directors	CECM	Chairperson Independent Board Member
2nd – Office of CEO/Manager	Chairperson to the Corporations/ Board	Chief Executive Officer (CEO)/Manager
3rd - Departments	Chief Executive Officer/Manager	Heads of Department

County Tertiary Institutions

Level	For and on behalf of the County Government	For and on behalf of the County Tertiary Institution
1st - Board of Management	CECM, Parent Department	Chairperson BoM Independent Board Member
2nd - Office of the Principal / Manager	Chairperson, BoM	Principal/Manager
3rd - Departments	Principal/Manager	Heads of Department

2.9 Performance Contracts Implementation, Monitoring and Reporting (Including Mid-Year Performance Assessment)

2.9.1 Implementation of Performance Contracts

Implementation of the PCs should commence as soon as the vetting is finalized. County Government Entities/County Assemblies should ensure that the implementation is not affected by any delay in official signing. In addition, it involves cascading by signing lower-level PCs with downstream institutions and linking specific deliverables and targets to individual officers through Annual Work Plans and the Staff Performance Appraisal tool. Further, it entails aligning Procurement and Cash Flow Plans to the PCs.

2.9.2 Performance Monitoring and Reporting

Best practice in Performance Management requires that progress in implementation of the PCs is monitored and reports prepared to assess the extent of achievement of the set targets, in order to inform decision making. County Government Entities and County Assemblies are required to undertake periodic self-reporting as part of promotion of good governance.

2.9.3 Submission of Performance Reports and Provision of Feedback

All County Government Entities/County Assemblies are required to prepare and submit quarterly performance reports within 15 days following the end of a quarter and the annual performance reports within 30 days after the end of the contract period for all performance indicators. The reports should be in the prescribed formats as provided in ***Annex IV*** and submitted to the relevant agencies as shown below:

Table 3: Agency to Receive Reports and Provide Feedback

Category	Agency to Receive Reports and Provide Feedback
County Department	County Integrated Performance Management Committee
County Corporation/Board	parent County Department
County Tertiary Institutions	parent County Department

The quarterly performance reports shall be accompanied by an extract of the minutes of the County Entity or the relevant sub-committee indicating that they were discussed and approved.

2.9.4 Performance Indicators to be Implemented by Lead Departments

Upon analysis by the stakeholders, nine (9) performance indicators under the Cross-Cutting Performance Criteria were dropped and should be implemented by the respective Lead County Departments under their core mandate. These are Disability Mainstreaming, Gender Mainstreaming, Prevention of Alcohol and Drug Abuse, National Cohesion and Principles of Governance, Safety and Security Measures, Environmental Sustainability, Prevention of HIV Infections, Corruption Prevention and Road Safety Mainstreaming. This is to enable the County Governments to focus more on delivering their core mandate.

2.9.5 Submission of Performance Reports to Specialized Agencies

For effective implementation of performance indicators superintended by Specialized Agencies, County Entities shall submit quarterly and annual performance reports to the County Lead Departments for analysis, consolidation and submission to the Agencies as provided in **Table 4** below:

Table 4: Specialized Agency to Receive Reports and Provide Feedback

Performance Indicator	Specialized Agency to Receive Reports and Provide Feedback
Resolution of Public Complaints	Commission on Administrative Justice
Productivity Mainstreaming	National Productivity Competitive Centre

The Specialized Agencies shall communicate the performance indicator reporting formats directly to the County Entities as well as upload them in their official websites together with any other literature on the performance indicator.

The Specialized Agencies are required to analyse and provide feedback on quarterly reports to the County Lead Departments with copies to Council of Governors Secretariat not later than 15 days after receipt of the reports.

2.9.6 Submission of Performance Reports to Other Agencies

County Entities should submit reports to the agencies in the **Table 5** below using the prescribed format and as per the stipulated timelines.

Table 5: Submission of Performance Reports to other Agencies

Performance Indicator	Agency
Access to Government Procurement Opportunities	Public Procurement Regulatory Authority
Promotion of Local Content in Procurement	Ministry of Investments, Trade and Industry -State Department for Industry

NB: For Access to Government Procurement Opportunities, the reports should be submitted bi-annually as provided for, in the PPRA Circular No. 01/2016 on Mandatory Reporting Requirements by Procuring Entities.

2.9.7 Mid-year Performance Assessment

The Mid-Year Performance Assessment aims to monitor progress of achievements, identify and address any emerging issues, challenge(s), and constraint(s) affecting performance to ensure that County Government Entities/County Assemblies are on course to achieve their annual performance targets. The County Integrated Performance Management Committee shall conduct a Mid-Year Performance Assessment in January and disseminate the report by 31^{st} March.

County Government Entities/County Assemblies are required to:

i) Prepare for and participate in the Mid-Year Performance Assessment by providing all required information as well as facilitating any identified field verification visits; and
ii) Ensure that the reported achievement for each performance indicator is based on verifiable documented evidence of performance.

NB: ***A County Government Entity/County Assembly that fails to submit all the four (4) quarterly performance reports within the stipulated timelines, will have a weighted score of 0.0500 added to its composite score as a penalty for non-compliance.***

2.10 Annual Performance Evaluation

2.10.1 Overview

Performance evaluation is the culmination of the process of Performance Contracting and is carried out in a manner that ensures objectivity and integrity of the results. County Government Entity/County Assembly are required to undertake a self-performance evaluation (in-house evaluation) based on the annual achievement for each performance indicator.

Performance evaluation and moderation should be undertaken by an independent performance evaluation team. County Government Entity/County Assembly are therefore expected to provide verifiable documented evidence of the reported achievement of the performance targets. The parties to the performance evaluation, upon agreement on the evaluation results are required to endorse the final evaluation matrix and the minutes of the exercise.

NB: ***Once the moderation matrix and the minutes have been signed by both parties, they should not be altered by any party.***

2.10.2 Essential Documents Required for Annual Performance Evaluation

The following are the key documents required during the Annual Performance Evaluation:

i) Copy of the vetted and/or signed PC;
ii) Performance Contracting Guidelines pertinent to the contract year;
iii) Approved Budget Estimates for the year under evaluation, including Supplementary Budget Estimates;
iv) Approved Procurement Plan for the year under evaluation;
v) Annual performance report in the standard format, with detailed notes on the actual outputs achieved for each performance indicator;
vi) Self- performance evaluation report in the standard format;
vii) Verifiable evidence of achievements and any other relevant supporting documents; and
viii) Documentation on any exogenous factors that could have affected the performance of the County Government Entity/County Assembly.

2.10.3 Performance Evaluation Methodology

Performance of a County Government Entity/County Assembly can fall under any of the following performance grades: Excellent, Very Good, Good, Fair or Poor.

Excellent Grade

Achievement ranging from 130% to 200% of the performance target i.e., $1.3T \leq X_a \leq 2T$

Very Good Grade

Achievement ranging from 100% to less than 130% of the performance target i.e., $T \le Xa < 1.3T$

Good Grade

Achievement ranging from 70% to less than 100% of performance target i.e., $0.7T \le Xa < T$

Fair Grade

Achievement ranging from 50% to less than 70% of the performance the target i.e., $0.5T \le Xa < 0.7T$

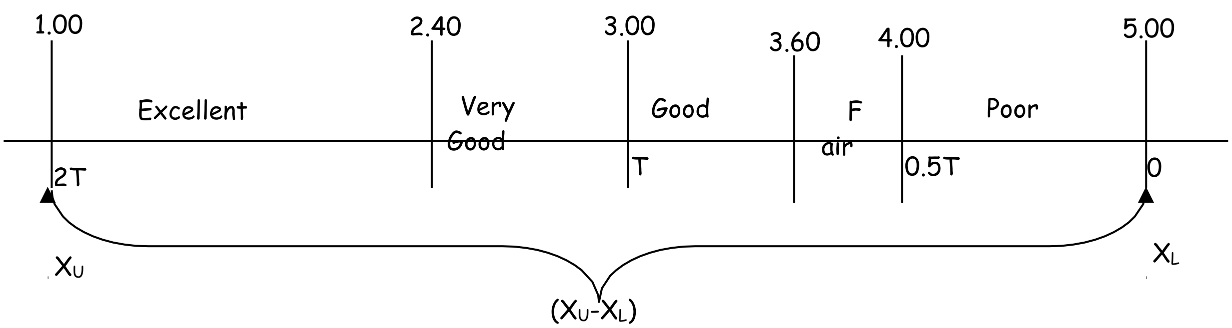
Poor Grade

Achievement ranging from 0% to less than 50% of the performance target i.e., $0 \le Xa < 0.5T$

Where T= Target and X_a= Actual Achievement

2.10.4 Computation of Performance Criteria Values

Performance Criteria values are rated on a scale of 1.00 to 5.00 where 1.00 represents achievement equal to or greater than 2T and 5.00 represents "Zero" achievement. This implies that an achievement of 2T and above attracts a raw score of 1.00, while an achievement of "Zero" attracts a raw score of 5.00 in situations where higher value is desirable. This is illustrated in the diagram below:



Where, T = Target

Xa = Actual Achievement

X_U = 2T = Upper Criteria Value

X_L = 0 = Lower Criteria Value Total Span = 4, i.e. (5.00 -1.00)

The methodology for computing the Raw Score for any achievement entails establishing the value of the position of the performance within the entire span. Calculation of the Raw Score therefore, is based on the Actual Achievement (Xa) as it relates to the Target (T).

Raw Score = Upper Criteria Value Limit + Span $\left\{\frac{X_U -}{X_a}\right\}$

NB: All criteria value ranges are determined by applying the same formula that computes the criteria values proportionately from 1.00 to 5.00, thus **Criteria Value Range**

Performance Grade	Criteria Value Range Using Raw Score	Range Span
Excellent	1.00 ≥ Xa ≥2.40	1.40
Very Good	2.40> Xa ≥ 3.00	0.60
Good	3.00> Xa ≥3.60	0.60
Fair	3.60> Xa ≥4.00	0.40
Poor	4.00> Xa ≥5.00	1.00

NB: In cases where performance falls on 2.40, 3.00, 3.60 and 4.00, the grading shall be "Excellent", "Very Good", "Good" and "Fair" respectively.

2.10.5 Computation of the Raw Score when Higher Achievement is Desirable

Computation of the Raw Score entails determining the point at which the achievement falls within the range of 1.00 to 5.00. The value of the Raw Score determines the performance grade.

Step 1: Determine the Actual Achievement, X_a

Step 2: Apply the Formula

Raw Score = Upper Criteria Value Limit + Span $\left\{\frac{X_u - X_a}{X_u - X_L}\right\}$

Raw Score= 1.00 + 4.00 $\left\{\frac{X_u - X_a}{X_u - X_L}\right\}$

As the diagram in ***Section 2.10.4*** shows, X_U=2T and X_L =0

Therefore:

Raw Score= 1.00 + 4.00 $\left\{\frac{2T - X_a}{2T- 0}\right\}$

Raw Score= 1.00 + 4.00 $\left\{\frac{\mathbf{2T - X_a}}{\mathbf{2T}}\right\}$

$$\textbf{Raw Score} = 1.00 + 2.00 \left\{ \frac{2T - X_a}{T} \right\}$$

Where, Upper Criteria Value Limit = 1.00, Span = 4.00, T = Target and X_a = Actual Achievement.

Step 3: Compute the Weighted Score

Multiply Raw Score by the weight assigned to the performance indicator as a percentage to obtain the Weighted Score, i.e., Weighted Score = Raw Score multiplied by Indicator Weight as a percentage.

Step 4: Compute the Composite Score

The Composite Score of the County Government Entity/County Assembly is computed by adding up the Weighted Scores of all the Performance indicators in the Performance Contract. The Composite Score should range from 1.00 to 5.00.

Thus, **Composite Score=Summation of Weighted Scores.**

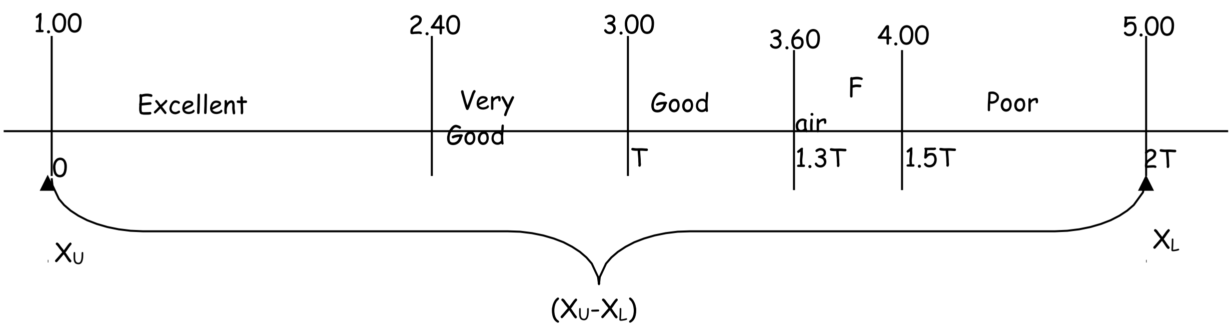
2.10.6 Computation of the Raw Score When Declining Achievement is Desirable

The formula is applicable when computing the Raw Scores when Declining Achievement is Desirable, e.g., Turn-around Time, Waiting Time and Service Time.

Determine criteria value range where actual performance falls

(Where T= Target and X_a = Actual achievement):

i) Excellent =0.7 T ≤ Xa ≤ 0
ii) Very Good = T≤ Xa < 0.7T
iii) Good = 1.3T ≤ Xa < T
iv) Fair = 1.5T ≤ Xa < 1.3T
v) Poor =2T ≤ Xa < 1.5T



Computation of the Raw Score

$$\text{Raw Score} = \text{Upper Criteria Value Limit} + \text{Span}\left\{\frac{X_a - X_L}{X_u - X_L}\right\}$$

$$= 1.00 + 4.00\left\{\frac{X_a - 0}{2T - 0}\right\}$$

$$\text{Raw Score} = 1.00 + \left\{\frac{4Xa}{2T}\right\}$$

$$\textbf{Raw Score} = \mathbf{1.00} + \left\{\frac{2Xa}{T}\right\}$$

2.10.7 Indicators Whose Achievement Cannot Exceed 100%

There are some performance indicators for which achievement beyond 100% is infeasible. For such indicators, achievement is capped at 100% and attracts a raw score of 3.0000 e.g., absorption of allocated funds, project completion rate, etc.

NB:

- ***i)*** ***County Government Entities/County Assemblies that fail to participate in the Annual Performance Evaluation (based on the duly vetted/signed PC), or for the reason that they declined to be placed on PC shall be graded "Poor" (5.0000) which is the lowest score.***
- ***ii)*** ***During Annual Performance Evaluation, if it becomes apparent that the County Government Entity/County Assembly did not provide full disclosure of information and data during negotiation or vetting of its performance targets, the evaluator will have the discretion to adjust the performance target accordingly if the non-disclosure led to "false" target and achievement.***
- ***iii)*** ***Performance evaluation for each performance indicator should reflect the "Actual" performance even in instances where exogenous factor(s) may have been experienced. This notwithstanding, any exogenous factor(s) should be objectively established and documented.***
- ***iv)*** ***In instances where the weight of a performance indicator has to be re-distributed to others within the same performance criterion, the same should be done proportionately.***
- ***v)*** ***The Chief Executive Committee Members (CECMs), Chairpersons and Chief Executive Officers (CEOs) of County Government Entities/County Assemblies and Principals of County Tertiary Institutions should be present in person during the annual performance evaluation.***

3.0 General Guidelines

i) County Government Entities/County Assemblies should in all cases be represented by officers conversant with Performance Contracting during negotiations, vetting and evaluation of performance;

ii) County Government Entities/County Assemblies should ensure that they do not duplicate performance indicators and targets appearing in the PCs of their respective downstream institutions;

iii) Once performance targets have been negotiated, the PC vetted and/or signed, it should not be changed midstream; and

iv) Any concerns raised during negotiations and performance evaluation should be referred to the County Integrated Performance Management Committee for arbitration.

PART TWO

STAFF PERFORMANCE APPRAISAL GUIDELINES FOR COUNTY GOVERNMENTS

1.0 Introduction

Staff Performance Appraisal System (SPAS) is a critical component of human resource management within County Governments where effective service delivery is paramount to fulfilling their mandates and citizen expectations. These guidelines provide a standardized framework for conducting staff performance appraisals across all County Government Departments, promoting a culture of accountability, continuous improvement and excellence in public service.

SPAS is a Performance Management tool that cascades the PC and actualizes the CIDP. The system is predicated upon the principle of work planning, setting of agreed performance targets, feedback and reporting. It is linked to other human resource management systems and processes, including recruitment, placement, training & development, career progression and performance rewards & sanctions. SPAS provides a mechanism for employees to contribute to the achievement of organizational objectives. It facilitates communication between the employee and the immediate supervisor by providing a structure for feedback on performance.

2.0 Objectives of the Staff Performance Appraisal Guidelines

The objectives of the Staff Performance Appraisal Guidelines are to:

i) Align individual performance with County priorities and objectives to improve service delivery;
ii) Establish a transparent system for evaluating employee performance to foster responsibility;
iii) Provide regular feedback, identify training needs, and develop improvement plans;
iv) Ensure appraisals are conducted fairly, objectively, and consistently; and
v) Generate data to inform HR decisions such as promotions, training and disciplinary actions.

3.0 Scope and Application

These Guidelines apply to all County Government employees at the grade of CPSB 3 and below, including:

i) Permanent and Pensionable Staff - Employees with a permanent employment contract with the County Government;
ii) Contract Staff - Employees engaged on a contractual basis, including those on fixed-term or renewable contracts; and
iii) All other Staff Cadres - From entry-level to Senior Management positions, across all Departments and functional areas.

4.0 Sections of the Staff Performance Appraisal Instrument

The Staff Performance Appraisal instrument is divided into six (6) sections as follows:

Section 1: Appraisee and Appraiser Information

At the beginning of the appraisal period, both appraisee and the appraiser will complete Sections 1-A and 1-B respectively. This section captures essential details about both parties involved in the appraisal process.

Section 2: Performance Target Setting

Each employee shall indicate the respective Departmental objectives, individual targets, performance indicators and resources required to achieve these targets. This section ensures alignment with departmental goals and resource planning

Section 3: Mid-year Assessment and Review

The section is to be completed by 15th of January of the appraisal period by the appraiser and appraisee and should include the progress achieved during the last six (6) months of the year. Both the appraisee and the appraiser should provide input to assess the mid-year performance.

Section 4: End-year Appraisal

This section will be completed within fourteen (14) days after the end of the appraisal period and shall have the overall assessment score, consisting of performance and core competencies assessment.

The appraisee will indicate his/her comments if any on the overall performance and rating score.

Section 5: Training and Development

The section contains the appraisee training and development needs as agreed with the appraiser. The appraiser shall indicate his/her comments regarding the performance of the appraisee while the Head of Directorate/Unit shall indicate his/her comments regarding the performance assessment of the appraisee.

Section 6: County Integrated Performance Management Committee

The CIPMC's recommendations regarding the appraisee's performance are documented in this section. These recommendations ensure that the appraisal outcomes align with broader organizational performance goals and standards.

5.0 SPAS Feedback Mechanisms

Effective and timely feedback during the employee performance appraisal against the established performance targets and standards is an essential component of a successful Performance Management System.

Employees need to know in a timely manner how well they are performing and if there are areas that require improvement. Feedback can come from many different sources, such as observation by Appraisers, measurement systems, feedback from peers, and input from customers. The Appraiser is responsible for determining the types, sources and means of collecting the data and feedback that most accurately gauge performance, to ensure that each of the appraisees receives an accurate, effective and timely evaluation. SPAS will incorporate regular check-ins, frequent feedback and real time recognition. This will allow for course correction, agile development and keeps employees engaged.

When providing feedback, it is important to ensure that it:

i) Relates to a specific goal as set out in the employee's work plan. This facilitates provision of tangible, objective and factual feedback;
ii) Is timely to allow for prompt corrective measures in cases of poor performance or appreciation for achievement; and
iii) Is accurate, factual and complete to most effectively reinforce what the employee has done well, and what the employee needs to do to improve his/her performance.

6.0 Performance Planning and Target Setting

Performance Planning and Target Setting involve establishing clear performance targets in relation to an employee's role for the appraisal period. These targets are derived from broader departmental plans and objectives, ensuring alignment with the organization's strategic goals. Annual Work plans should be finalized and implementation commenced within 15 days after signing of the PC or assignment of an employee to a new position. This process includes setting individual targets, identifying performance indicators, and determining the resources needed to achieve the objectives, thereby promoting clarity and accountability in the performance management process.

6.1 Developing Performance Plans

The requirements for defining an employee's performance expectations include establishing targets and standards in an employee-individual work plan.

The plan outlines the specific critical job targets for which the employee will be held individually accountable during the performance period and that must be successfully completed for the organization to satisfactorily carry out its mission. It also indicates the standards against which the employee's performance will be measured.

A work plan should be flexible to reflect changing organizational/departmental objectives and work requirements.

Performance plans are beneficial working documents that support frequent progress discussions between appraisee and appraiser. An effective technique for developing a work plan is to use the "SMART" approach to target setting, that is:

i) Specific - Goals and expectations are specific and clearly defined;
ii) Measurable - Outcomes are evaluated against quantifiable standards;
iii) Attainable - Goals or results/outcomes are achievable and realistic;
iv) Relevant - Goals are results-based and advance the operational and strategic mission objectives of the organization; and
v) Timely - Goals are time-bound and results are measured in terms of deadlines, due dates, schedules or cycles.

Appraisers may use several documents and/or sources to assist in determining the appropriate critical performance targets for their employees. These include but are not limited to:

i) Signed PC;
ii) Specific performance goals established for a given program area as outlined in the Department's annual work plan; and
iii) Employee Job Description.

Other documents may include:

i) Annual Development Plan;
ii) The County Integrated Development Plan;

iii) Other performance Management tools e.g. Service Delivery Charters, ISO Procedure Manuals;
iv) Policies, Laws and/or regulatory requirements;
v) Customer/stakeholder feedback; and
vi) Employee input.

6.2 Setting Performance Targets

Each performance target should include at least one aspect that is quantifiable and results-based. Targets should address significant program outcomes and improvements such as enhanced quality of service, new knowledge and insight from research, increased productivity and quality of service, and/or improvements in customer satisfaction. For targets that are expressed as comparisons to past performance, baseline data should be availed.

Performance Standards are established during the target-setting phase to provide measurable criteria for evaluating performance. Performance Standards define the performance levels, requirements, or expectations that must be met for each target to achieve a particular level of performance. Types of standards to consider include the following:

i) Quality - addresses how well the employee or department is expected to perform the work and the accuracy, appearance, usefulness, or effectiveness of the final product; Measures can include customer satisfaction rates determined through a customer survey/feedback.
ii) Quantity - addresses how much work the employee or work unit is expected to produce. Measures are expressed as the expected number of completed products or services;
iii) Timeliness - addresses time-based deadlines within which the employee is expected to produce the work; and
iv) Cost-Effectiveness - addresses savings or cost control. Cost-effectiveness measures should address specific resource levels or constraints (money, personnel, or time) that can be documented and measured such as maintaining or reducing unit costs, reducing the time it takes to produce or provide a product or service, or reducing waste.

6.3 Target Setting Process

The target setting process is a negotiated process between the appraiser and the appraisee. The process starts at the beginning of the performance period with setting of departmental targets and validation by the County Integrated Performance Management Committee as shown in **Table 6** below.

Table 6: Steps in Target Setting

Stage	Activity	Actor
Before the Meeting	i) Identify key results areas ii) Identify targets	Appraiser Appraisee
During the Meeting	i) Discuss and agree on key result areas identified for the appraisee ii) Discuss and agree on targets iii) Discuss and agree on performance indicators and timelines iv) identify competencies as per the Competencies Framework v) Discuss key resources required for the attainment of targets	Appraiser Appraisee
After the Meeting	Step1: Filling of the staff performance appraisal report Form	Appraisee
	Step 2: Signing of the Performance appraisal report Form	Appraiser Appraisee
	Step 3: The appraiser will submit the duly completed form to the Head of Directorate	Appraiser
	Step 4: Compile and submit the consolidated target setting report to the County Director of Human Resource Management.	Head of Directorate
	Step 5: Consider recommendations contained in the report	CIPMC

7.0 Mid-Year Performance Assessment

The Mid-Year Performance Assessment of the performance appraisal provides a formal mechanism by which the appraiser and the appraisee review progress on performance targets. At mid-year, the appraiser and the appraisee shall review the progress of work, and adjustment of targets if necessary. At least a written one weeks' notice must be given to the appraisee specifying the date, time and place of the meeting. The appraisee must acknowledge the notice within two (2) days on receipt.

The review process should be as follows:

i) Appraiser and appraisee discuss progress of work in relation to targets set. If conclusions reached at the meeting necessitate changes or adjustments in targets; these modifications should be specified on the review section of the appraisal form;
ii) Appraiser and appraisee discuss the extent to which competencies are demonstrated;
iii) Appraiser and appraisee agree on adjustments to targets and modifications where necessary;
iv) Appraiser records the changes if any and comments on the review section of the appraisal form;
v) Appraiser and appraisee sign the review section of the appraisal form and submit to the head of directorate; and
vi) Head of Directorate/Unit submits the mid-year review report to the County Director of HRM for onward submission to the CIPMC.

8.0 End of Year Appraisal

The appraiser shall appraise the performance of the employee at the end of the performance period which is July 1st to June 30th.

The process is in three parts, namely:
i) Before the appraisal;
ii) During the appraisal; and
iii) After the appraisal (decision-making).

Before commencement of the appraisal process, the appraisee needs to prepare by compiling a record and documentary evidence of performance in terms of targets achieved and those not achieved with reasons.

Table 7: Stage 1 - Before the Appraisal Meeting (End of Year Evaluation)

Stage	Activity	Actor
Step 1	Should give at least a one week written notice of the meeting to the appraisee.	Appraiser
Step 2	Should write down on a separate sheet appraisee's performance in terms of targets achieved and targets not achieved with reasons. (***County Governments may develop a standard template for self-assessment)***	Appraiser Appraisee
Step 3	Should write down appraisee's performance in terms of competencies demonstrated and not demonstrated with reason(s).	Appraiser Appraisee
Step 4	Should review appraisee's performance and list the main achievements.	Appraiser Appraisee

Table 8: Stage 2 - During the Appraisal Meeting (End of Year Evaluation)

Stage	Activity	Actor
Step 1	Should welcome the appraisee and state the purpose for the meeting.	Appraiser
Step 2	Should discuss the targets achieved one after the other and agree on the scores.	Appraiser Appraisee
Step 3	Should discuss the targets not achieved one after the other and reasons.	Appraiser Appraisee
Step 4	Should discuss the competencies demonstrated and agree on the scores	Appraiser Appraisee
Step 5	Should discuss the competencies not demonstrated and reasons.	Appraiser Appraisee
Step 6	Appraiser should summarize his/her observations and communicate them to the appraisee	Appraiser

All newly employed/promoted/redeployed officers will be required to complete the relevant SPAS Report within three (3) months of employment / promotion / redeployment or secondment. In addition, officers promoted on common establishment will not be required to fill a new SPAS Report.

8.1 Performance Evaluation and Scoring

Performance Evaluation

Performance shall be evaluated using the following scoring formula to indicate the level of performance by an Appraisee:

(A_1) =Average (Q/n_1)

Where

P - is the overall performance

Q - is the total score of the evaluation

A_1 - is the total average score (Q divided by the number of targets)

n_1 – Number of targets

Overall Performance

P = A1%

Py

Ad Hoc Assignments

Where an employee is engaged in ad hoc assignment for an extended duration of time such employees will be scored on the extent of achievement of the objectives of the assignments. Ad hoc assignment will be given a weighted score of 10 as part of core activities.

Overall Performance Rating

The Performance Standards define the performance levels, requirements, or expectations that must be met for each target to achieve a particular level of performance.

The following ratings shall be used to indicate the level of performance evaluation. All descriptions of performance must be evidence based.

Table 9: Overall Ratings and Descriptions

Score	Rating	Description
(Above 100%)	5(Excellent)	Work performance consistently far exceeded expectations due to exceptionally high quality of work performed in all *essential* areas of responsibility, resulting in an overall quality of work that was superior and either: i) Included the completion of a major goal or project, or made an exceptional or unique contribution (innovation) in support of unit, department, or organizational objectives OR ii) The employee truly stands out and clearly and consistently demonstrates exceptional accomplishments in terms of timeliness, quality and quantity of work and his/her demonstration of competencies is easily recognized as truly exceptional by others.
(90-100%)	4(Very Good)	Demonstration of work performance i) Met targets in most areas of responsibility within the set time. ii) Quality of work overall was very good.
(65-89%)	3(Good)	Work performance i) Partly met targets in most areas of responsibility. ii) Quality of work overall was good.
(50-64%)	2(Fair)	Work performance i) did not meet targets expectations in one or more areas of responsibility. ii) The quality of work is generally average
(49% and	1(Poor)	Work performance

Score	Rating	Description
below)		i) Consistently below expectations in most areas of responsibility. ii) Significant improvement is needed in three or more important areas. iii) Performance must improve substantially within a reasonable period of time if the individual is to remain.

Table 10: Overall Rating Scale

Score	**101+**	**85-100%**	**84-65%**	**64-50%**	**49% & below**
Rating	5	4	3	2	1
Description	Exceptional, exceeded expectations	Very Good	Good	Fair	Poor

9.0 Decision Making

This phase on decision making, is when the County Performance Management Committee upon receipt of all appraisal reports, recommends to the Authorized Officers on the appropriate courses of action such as recognition, reward, training, promotion, career development, counselling and coaching, performance improvement plans and sanctions.

10.0 Reporting

a) Quarterly Reports

i) Individual appraisee shall prepare and submit quarterly reports to the appraiser in the prescribed format seven (7) calendar days after the end of each quarter.
ii) The appraiser shall within seven (7) calendar days analyze the report to facilitate the mid-year and end-year performance assessment and appraisal respectively as provided for in Section 3.6 of the appraisal process.
iii) The appraiser shall submit the compiled report to the Head of Directorate/Unit for record and necessary action.

b) Mid-year Appraisal Report

i) The mid-year appraisal report shall be formally recorded in the SPA form and submitted to the Head of Directorate/Unit for record and necessary action.

ii) The Head of Directorate/Unit shall file returns on the mid-year appraisal for all staff in the respective Directorate/Unit with the Human Resource Management (HRM) Directorate in the prescribed format.

a) **End-year Report**
The end-year appraisal reports shall be formally recorded in SPA Form as provided for in Section 3.4 of the appraisal process and forwarded to the Head of Directorate for onward submission to the County Director of HRM.

11.0 Appraisal Training

The County Government should sensitize all employees on institutionalization of SPAS. Heads of Department/Unit are responsible for organizing and facilitating training on the SPAS process.

12.0 Confidentiality of Appraisal

Appraisal discussions remain confidential between the appraiser and appraisee. The Head of HR Directorate is responsible for securely storing appraisal documents. It should only be accessible to authorized personnel.

13.0 Documentation and Storage

Completed SPAS forms, including work plans, review notes and comments, shall be submitted to the relevant HR Departments for record-keeping and future reference. Documentation supports HR decisions such as promotions, transfers or disciplinary measures.

14.0 Review of the Guidelines

The Staff Performance Appraisal Guidelines may be reviewed from time to time to ensure that they address emerging issues with a view of improving their effectiveness.

PART THREE

ANNEXES TO THE INTEGRATED PERFORMANCE MANAGEMENT GUIDELINES FOR COUNTY GOVERNMENTS

Annex I: Annual Performance Contracting Cycle

ANNEX II: Model Performance Contract and Matrices[1]

Annex IIA: Model Performance Contract for County Government Entities and County Assemblies

This Performance Contract (hereinafter referred to as "Contract") is entered into between the County Government of……… (hereinafter referred to as ("CG") represented by H.E. the Governor of P.O. Box ……………. (together with its assignees and successors) of the one part, and the County Executive Committee Member, County Department of …………… (hereinafter referred to as the "the CECM), (together with its assignees and successors) of P.O. Box ……...of the other part.

WHEREAS:

The County Government is committed to ensuring that public offices are well managed and they are effective in delivering quality services to the public in line with provisions of the Constitution of Kenya;

The County Government recognizes that County Government Entities/County Assemblies hold a key role in the implementation of the County priorities in order to improve the quality of life of the citizens and contribute to making Kenya globally competitive;

The purpose of this Performance Contract is to establish the basis for ensuring that efficient and effective services are delivered to the people of …... County in line with the provisions of the Constitution. County Government Entities/County Assemblies are required to adopt systems that enable innovativeness and adaptability of public services to the needs of users through digitalization of services.

This Performance Contract therefore represents a basis for continuous performance improvement that meets the needs and expectations of the county residents

Therefore, the parties hereto agree as follows:

[1] This model performance contract is applicable to all County Governments and should be customized as per the parties and signatories to the Performance Contracts as provided in Section 2.8.

Part I: Statement of Responsibility by the CECM/Clerk/BoD/BoM

The Mandate of the …… (*specify name of the County Entity/County Assembly*) is to

………………………………………………………………………………………………………
………………………………………………………………………………………………………
………………………………………………………………………………

It is my/our responsibility to provide the required leadership in designing suitable plans and strategies, that will deliver the desired goals and contribute to high and sustainable socio-economic development.

It is also my/our undertaking that I/we will perform my/our responsibilities diligently and to the best of my/our abilities to support the achievement of the agreed performance targets.

Part II: Vision Statement, Mission Statement and Strategic Objectives of the County Government Entity/County Assembly

a) Vision Statement

b) Mission Statement

c) Strategic Objectives

Part III: Statement of Strategic Intent by the CECM/Clerk/BoD/BoM

In carrying out my/our duties, I/we intend to put all my/our efforts towards contributing effectively and efficiently to the achievement of the county development agenda as espoused in the Kenya Vision 2030 and CIDP, keeping in mind the specific priorities of the………… (*specify name of the County Government Entity/County Assembly*).

Bearing in mind the imperative of inclusivity, I/we will implement the following Strategic Intents during the contract period:

a) ……………………………………………………………………………………………

b) ……………………………………………………………………………………………

c) ……………………………………………………………………………………………

d) ……………………………………………………………………………………………

Part IV: Commitments and Obligations of the County Government

a) Acknowledgement of receipt of correspondences and approval of requests are made within the timelines stipulated in the Citizens' Service Delivery Charter.

b) Release of budgetary allocation within three (3) days after exchequer receipt.

Part V: Reporting Requirements

County Government Entities/County Assemblies are required to submit quarterly and annual performance reports in the prescribed format to the designated agencies with copies to Council of Governors as specified in ***Section 2.9.3*** of the County Governments Performance Contracting Guidelines for the purpose of monitoring progress and annual performance evaluation.

Part VI: Duration of the Performance Contract

This Performance Contract will run for one Financial Year from 1st July to 30th June or as per the specified contract period.

Part VII: Signatories to the Performance Contract

For and on behalf of the County Government/County Assembly

Signature……………………… Date…………………………………….

Name: ………………………………………………………………………...

Designation: …………………………………………………………………….

For and on behalf of the County Government

Signature…………………………… Date…………………………………………….

Name: ………………………………………………………………………….. ………..

Designation: …………………………………………………………………….................

NB: The full listing of the signatories to the Performance Contract is provided in Section 2.8 of these Guidelines.

Annex IIB: Performance Contract Matrix for County Governments Entities and County Assemblies

S/No.	Performance Criteria and Indicators	Unit of Measure	Weight (%)	Baseline/Status FY 2024/25	Annual Target FY 2025/26
A	**Financial Stewardship**				
	Absorption of Allocated Funds (GoK)	%	3		100
	Absorption of Externally Mobilized Resources	%	2		100
	Absorption of Development Funds	%	2		100
	Appropriation-in-Aid	Kshs	1		
	Pending Bills Ratio	%	2		≤ 1
	Weight SubTotal		**10**		
B	**Service Delivery**				
	Implementation of Citizens' Service Delivery Charter	%	3		100
	Digitalization of Government Services	%	3		100
	Resolution of Public Complaints	%	2		100
	Weight SubTotal		**8**		
C	**Institutional Transformation**				
	Development of County Planning Framework	%	3		100
	Competence Development	%	3		100
	Knowledge Management	%	2		100
	Cascading of Performance Contracts	%	2		100
	Weight SubTotal		**10**		
D	**Core Mandate**				
	County Government Entities/County Assemblies Priority Programmes /Projects (BETA, County Vision Blueprints, County Spatial Plan, County Sectoral Plan, CIDP, Cities and		41		

S/No.	Performance Criteria and Indicators	Unit of Measure	Weight (%)	Baseline/Status FY 2024/25	Annual Target FY 2025/26
	Urban Area Plans, Strategic Plans, ADP, and other national and county priorities).				
	Revenue Collection*	Kshs	4		
	Ease of Doing Business**	%	2		100
	Disaster Management	%	2		100
	Customer Satisfaction	Report	2		1
	Youth Empowerment Initiatives	%	2		100
	Development Index***	%	2		30
	Project Completion Rate	%	2		100
	Productivity Mainstreaming	%	3		100
	Weight SubTotal		**60**		
E	**Governor's Directives**				
	Governor's Directives Implemented****	%	2		100
	Weight SubTotal		**2**		
F	**Affirmative Action in Government Procurement**				
	Access to Government Procurement Opportunities	Kshs	2		
	Promotion of Local Content in Procurement	Kshs	2		
	Weight SubTotal		**4**		
G	**Cross-Cutting Issues**				
	Youth Internships/ Industrial Attachments/Apprenticeships	No.	1.5		
	Work Environment	%	1.5		100
	Compliance With Statutory Obligations	%	1		100
	Asset Management	%	2		100
	Weight SubTotal		**6**		
	Overall Total Weight		**100**		

Assignment of weights based on different scenarios depending on which performance indicator(s) are applicable to a County Entity/County Assembly will be as follows:

Scenario 1: ***If Absorption of Externally Mobilized Resources is not applicable, the Weight for Absorption of Allocated Funds (GoK) should be adjusted to 5.***

Scenario 2: ***If Absorption of Development Funds is not applicable, the Weight for Absorption of Allocated Funds (GoK) should be adjusted to 4 and that for Absorption of Externally Mobilized Resources to 3.***

Scenario 3: ***If Appropriation-in-Aid is not applicable, the Weight for Absorption of Allocated Funds (GoK) should be adjusted to 3.5 and that for Absorption of Externally Mobilized Resources to 2.5.***

Scenario 4: ***If Absorption of Externally Mobilized Resources, Absorption of Development Funds and Appropriation-in-Aid are not applicable, the Weight for Absorption of Allocated Funds (GoK) should be adjusted to 6 and the one for Pending Bills Ratio to 4.***

**** This is only applicable to County Government Entities that have a specific mandate of collecting revenue as provided by relevant statutes.***

*****This is applicable to County Government Entities/County Assemblies that implement "Ease of Doing Business" sub-indicators as stipulated in Annex III on Description of Performance Indicators.***

****** This is only applicable to The County Department in-charge of Finance.***

******* This is only applicable to the County Government Executive.***

Annex III: Description of Performance Indicators

Absorption of Allocated Funds (GoK) -refers to application of budgeted and approved funds to programmes, projects and activities for which they were appropriated and planned for. This links planning, budgeting and performance target setting. Allocated Funds (GoK) refers to the approved budget ('Gross' excluding donor funding) for the County Government Entity/County Assembly. County Government Entities/County Assemblies are required to make full disclosure of all sources of their funding. Absorption rate will be computed by dividing the actual total expenditure by the total approved budget.

Absorption of Externally Mobilized Resources – refers to application of approved budget from Development Partners to programmes, projects and activities for which they were appropriated and planned for. The externally mobilized resources include approved donor funds (Loans & Grants) and any other extra budget financing/support. County Governments, County Departments, County Assemblies, County Corporations, Boards and Tertiary Institutions are required to make full disclosure of all sources of their external funding and establish the monetary value of any in-kind support. County Governments should develop a framework for establishing the value of in-kind support. Absorption rate will be computed by dividing the actual total expenditure by the total budget of the externally mobilized resources.

Absorption of Development Funds - refers to the application of the approved development budget to programmes, projects and activities for which they were appropriated and planned for. County Institutions are required to utilize 100% of the approved development budget. The approved development budget includes both GoK and externally mobilized resources. Absorption rate will be computed by dividing the actual total development expenditure by the total approved development budget.

Appropriation-in-Aid (A-in-A) - in respect to County Government Entities/County Assemblies, A-in-A refers to classes of donor funds reflected as direct payments A-in-A in the printed estimates. This also includes classes of revenue that the County Treasury authorizes an Accounting Officer to collect and use. In the course of implementation of commitments for a specific contract period, County Government Entities/County Assemblies are required to account and value in monetary terms all in-kind support for the purposes of establishing the total A-in-A.

Pending Bills Ratio - these are financial obligations (both GoK allocations and Externally Mobilized Resources) that remain outstanding at the end of the financial year and have to **be provided for in the subsequent budgeting periods.** The financial obligations include, but are not limited to, payments to service providers, loan obligations and statutory deductions to relevant institutions. For County Government Entities/County Assemblies that use accruals accounting method, payments due to suppliers and other service providers that are beyond the provided credit period will also be considered as pending bills. County Government

Entities/County Assemblies should ensure that the pending bills do not exceed 1% of the approved budget for the financial year. In addition, County Government Entities/County Assemblies should fully document and disclose all historical pending bills and put in place measures to settle them.

Implementation of Citizens' Service Delivery Charter - key service delivery commitments by County Government Entities/County Assemblies to the citizens are detailed in a Citizens' Service Delivery Charter. An effective Citizens' Service Delivery Charter should clearly communicate the expected service delivery standards that should include: requirements to access the service/good; cost of the service/good; and the turn-around-time for the service. Further, County Government Entities/County Assemblies should ensure that they fulfil their commitments and progressively improve customer experience. County Government Entities/County Assemblies are required to:

i) Display the Citizens' Service Delivery Charter prominently at the point of entry/service delivery points in both English and Kiswahili using the prescribed format as provided in Annex V. For the purpose of visibility and legibility by the customers, the size of the charter should, at the minimum, be three feet in width and four feet in height, i.e. (3'x4'), with clearly visible font size of the contents (10%);

ii) Cascade the Citizens' Service Delivery Charter to all levels including customizing the Charter at the grassroots institutions by factoring realistic service turn-around timelines (10%);

iii) Customize the Citizens' Service Delivery Charter to unique needs and convenient access of the customers by among others, translating it to Braille, providing mechanisms for sign language, providing audio recordings and uploading it on the County Institution's online platforms (20%);

iv) Sensitize all staff on the contents of the Citizens' Service Delivery Charter (10%); and

v) Ensure conformity with commitments and standards in the Citizens' Service Delivery Charter by establishing compliance to the commitments stipulated in the Charter through undertaking quarterly monitoring, analysing and compiling compliance quarterly reports. (50%).

NB:

i) An institution that does not display the Citizens' Service Delivery Charter prominently at the point of entry/service delivery points in both English and Kiswahili, in the prescribed format and size, will be awarded a raw score of 5.0000 for this performance indicator during the annual performance evaluation.

ii) County Institutions are required to incorporate the established standards for the common service areas as per the Public Service Commission Circular Ref. No. PSC/HRA/PSCDC/125 of 12th September, 2023 on "Implementation of Citizens' Service Delivery Charter-Common Service Areas".

Digitalization of Government Services - refers to measures being undertaken by County Institutions to accelerate adoption of ICT solutions to provide easy access, convenience and efficiency in service delivery. This will be done through the use of digital technologies to improve the way public services are offered. In addition, it will involve aligning institutional structures, policies and strategies geared towards progressive digitalization, with the focus of business process re-engineering and continuous service delivery improvements.

The indicator aims to assist County Institutions to identify priority services for re-engineering, automation and digitalization. This will include identification and setting up of appropriate infrastructure, institutionalization of cyber security strategies and on boarding of services to County online platforms.

The County Department in-charge of ICT will take a lead role in implementation of the performance indicator, whereas, the Ministry of Public Service and Human Capital Development (Public Service Transformation Department) will provide capacity building and technical assistance to County Governments.

The Sub-indicators for this performance indicator are:

i) Customer-facing and back-office services identified and prioritized for Business Process Re-engineering (BPR) (10%);

ii) Business processes for at least 25% of the prioritized services re-engineered (45%);

iii) At least 25% of the re-engineered services digitalized (25%); and

iv) Digitalized customer facing services on-boarded onto county online platforms where applicable (20%).

Resolution of Public Complaints – a public complaint is an expression of dissatisfaction by one or more members of the public about an action, inaction, decision or service provided by a public officer or a public institution.

All public institutions are required to promptly address and resolve public complaints referred to them directly or channelled through the Commission on Administrative Justice (CAJ). The following are the sub-indicators to be implemented by the County Entities and County Assemblies:

i) Resolution of all complaints received (60%);
ii) Requests on access to information received processed(20%); and
iii) Quarterly reports on resolution of complaints and processing of requests on access to information submitted to the Office of the County Secretary (20%)

NB. The County Secretary will be required to submit the consolidated County Departmental reports to the CAJ.

Further details on implementation of this performance indicator including the sub-indicators can be accessed from CAJ website – www.ombudsman.go.ke.

Additional information to support County Governments in implementation of this performance indicator including the reporting template can be accessed from CAJ website: www.ombundsman.go.ke.

Quarterly reports should be submitted via email to the Commission through certificationpc@ombudsman.go.ke.

Development of County Planning Framework – County Departments, Corporations and Boards are required to prepare 10 Year Sectoral and Spatial Plans and Five-year County Integrated Development Plans (CIDPs) to guide planning and budgeting at the county level. The plans should be aligned to national plans as well as national and international commitments such as the Kenya Vision 2030, the National Spatial Plan, Medium Term Plans and Sustainable Development Goals. This harmony will ensure effective and efficient use of scarce resources.

County Government Entities/County Assemblies are required to develop/review the following plans as appropriate:

i) 10 Year Sectoral Plans;

ii) 10 Year Spatial Plans;

iii) 5 Year County Integrated Development Plans;

iv) Cities and Urban Areas Plans; and

v) 5 Year Departmental Strategic Plans

NB. Lead Departments should spearhead development/review of the above plans, while the other Departments should participate as appropriate.

Competence Development – refers to the systematic enhancement of employees' skills and proficiencies in order to address career progression and improve institutional performance.

County Government Entities/County Assemblies should ensure that the Skills Gap Analysis is carried out objectively. This aims to ensure that identification of interventions to address any identified skills gap/needs effectively addresses the appropriate skills mix

The sub-indicators for this performance indicator are:

i) Institutional Skills Gap Analysis undertaken once every 5 years (20%);

ii) Staff Training Needs Assessment undertaken (10%);

iii) Interventions to address the identified skills gaps and training needs implemented through, recruitment, outsourcing, capacity building/training, coaching, mentoring, etc. (30%);

iv) Employee Performance Management - this refers to the assessment of an individual employee's performance. It is based on the negotiated and agreed performance targets that are drawn from the County Government Entities/County Assemblies Annual Work Plans and the PCs. County Government Entities/County Assemblies are required to undertake the following:

   a. Individual employees' annual performance targets for the FY 2025/26 set using the prescribed format by 31st July, 2025 (10%);

   b. Staff Performance Appraisal for all employees undertaken and an appraisal report for the FY 2024/25 compiled by 31st August, 2025 (15%); and

   c. An action plan developed and the recommendations emanating from the staff appraisal reports implemented (15%).

NB:

i) For County Government Entities/County Assemblies that have an institutional skills gap analysis that is valid (it is within the five-year validity period), the weight assigned to the sub-indicator (a) above will be re-distributed proportionately to the sub-indicators (b) and (c).

ii) In instances where County Government Entity/County Assembly has a policy not to undertake TNA annually, the weight assigned to the sub- indicator (b) above will be re-distributed proportionately to (a) and (c) or to (c) if (a) is still valid.

Knowledge Management – refers to the process of acquiring, storing, sharing and transferring expertise accumulated on process, operations and techniques in order to enhance service delivery. It entails getting the right knowledge at the right place at the right time to enable the right person to make and implement the right decision to enhance performance. This is through an integrated set of initiatives, systems and behavioural interventions.

The Knowledge Management Policy for Kenya, 2022 aims at guiding and improving the implementation of Knowledge Management in the public sector with the necessary linkages with private sector and other non-state actors in order to achieve a knowledge-based economy. This performance indicator is applicable to the Lead Department responsible for Knowledge Management.

The sub-indicators are the following:

i) County policy on Knowledge Management developed (40%);

ii) County baseline survey on the level of Knowledge Management awareness and capacity needs assessment conducted (40%); and

iii) Knowledge Management action plans with appropriate monitoring and reporting framework developed (20%).

Cascading of Performance Contracts – County Government Entities/County Assemblies are required to cascade the first level PC between the Governor and the CECM to the following levels:

i) CECM and County Chief Officer(s) (20%);
ii) County Chief Officer and County Directors (30%); and
iii) County Director and Heads of Section/Unit (50%).

Core Mandate

County Government Entities/County Assemblies should identify the performance indicators informed by the BETA, County Vision Blueprints, County Spatial Plan, County Sectoral Plan, CIDP, Cities and Urban Area Plans, Strategic Plans, ADP, and other national and county priorities based on the approved budgets.

Revenue Collection – refers to all income/monies receivable for the purpose of financing services and the implementation of development programmes, but excluding exchequer funding. It includes cash grants, donations (grants and assets), monies collected from business licensing, land rates & rents, cess and contributions from any other source. This performance indicator will apply to those County Government Entities/County Assemblies that raise revenue as provided in the County Fiscal Strategy Paper.

Ease of Doing Business – this entails making business regulations simpler by creating a conducive environment for starting, operating and sustaining a business. County Government Entities/County Assemblies are required to select and implement sub-indicators that are relevant to their mandate from the following:

i) Starting and/or operating a business – procedures, licensing, time and cost to start or operate a business;
ii) Construction permits – procedures, time and cost of approvals for putting up buildings and infrastructure;
iii) Accessing utilities – procedures, time and cost to get connected to utilities (e.g., electricity, water, sewerage etc.);
iv) Registering property – procedures, time and cost to register a property;
v) Accessing credit – Ease of accessing credit;
vi) Protecting investors – extent of disclosure of information to investors and shareholders;
vii) Paying taxes – number of taxes paid, hours per year spent preparing tax returns and total tax payable as share of gross profit; and
viii) Enforcing contracts – Procedures, time and cost to enforce a debt contract.

Disaster Management- this performance indicator aims at building capacity of County Governments in the management and resilience to disasters and other risks. The indicator focuses on planning, mitigation and adaptation as envisioned in the National Disaster Management Policy. In addition, the indicator is expected to mainstream disaster risk management in County policies, programs, projects and activities to effectively manage loss of livelihood and lives in the event of a disaster. This performance indicator is applicable to the Lead Department responsible for Disaster Management. The Lead Department is required to develop a County Disaster Management Policy to guide implementation of the disaster management interventions.

The sub-indicators are the following:

i) Disaster risk assessment undertaken and the risk profile(s) updated (40%);

ii) Disaster response plan developed (10%); and

iii) Interventions in the disaster response plan implemented (50%).

Customer Satisfaction – refers to the extent to which the provision of County Public Service meets or surpasses expectations of the customers. It seeks to evaluate how well public resources are being used to meet the needs of the customers. The information contained in survey reports guide a County to determine on how to improve service delivery. This performance indicator is applicable to the Department responsible for coordinating Customer Satisfaction. The Lead Department is required to undertake a county-wide customer satisfaction survey every two (2) years. For objectivity in conducting the survey, it is advised that it be undertaken by an external entity.

The following are some key parameters to guide the undertaking of Customer Satisfaction survey:

a. **Overall Satisfaction** - General satisfaction with the product, service, or experience;
b. **Product/Service Quality** - Quality, reliability and value of the product or service;
c. **Customer Support** - Responsiveness, courtesy, professionalism and effectiveness of the support team;
d. **Net Promoter Score** - Likelihood of recommending the product/service to others;
e. **Customer Effort Score** - Ease of interaction or resolution of issues;
f. **Value for Money** - Perception of the fairness of pricing compared to quality and benefits for goods and/or services received;
g. **Fulfilment of Expectations** - Degree to which the product/service meets or exceeds customer expectations;
h. **Delivery and Timeliness** - Satisfaction with delivery time, accuracy and condition;
i. **Ease of Use/Accessibility** - How user-friendly or accessible the product, service or process is;
j. **Loyalty and Retention** - Likelihood of repeat business and long-term engagement;
k. **Areas for Improvement** - Specific pain points or suggestions for enhancing the experience;
l. **Demographic Information** - Key customer details to analyze trends across segments; and
m. Adherence to the commitments and standards stipulated in the Citizens' Service Delivery Charters.

NB: ***The documented recommendations arising from the Customer Satisfaction survey should inform the commitments of the performance indicator in the subsequent Financial Year.***

Youth Empowerment Initiatives - the commitment to youth empowerment is provided for in Article 55 of the Constitution. The Article provides for the Government to take measures to promote youth empowerment. In this respect, the Government is required to take measures, including affirmative action programmes to ensure that the youth access relevant education and training; have opportunities to associate; be represented and participate in political, social, economic & other spheres of life; access employment and are protected.

The Kenya Youth Development Policy (KYDP), 2019 seeks to provide an opportunity for improving the quality of life for the youth through their empowerment and participation in economic and democratic processes, as well as in community and civic affairs. It also advocates for creation of a supportive social, cultural, economic and political environment that will empower the youth to be active actors in national development.

County Government Entities/County Assemblies are required to select and implement the following sub-indicators that are relevant to their mandate:

i) Youth development, health, nutrition and wellbeing supported;
ii) Drugs and substance abuse among youth eradicated;
iii) Education, training and skills development invested in;
iv) Apprenticeship and internship programmes institutionalized and strengthened;
v) Youth unemployment, underemployment and inactivity addressed;
vi) Capacity of the youth built to fully integrate them into the Country's technological transformation;
vii) Sustainable financing of youth programmes ensured;
viii) Agriculture transformed to make it attractive to youth;
ix) Entrepreneurship, training, mentorship, internships, attachments, business incubations and partnerships promoted;
x) Frameworks for labour export strengthened;
xi) Labour management information systems supported;
xii) Creativity, talent identification and innovative development undertaken;
xiii) Positive morals, values, patriotism and volunteerism for transformative leadership entrenched;
xiv) Effective civic participation, community engagement and representation supported;
xv) A crime free, secure, peaceful and cohesive County promoted;
xvi) Mechanisms that support youth engagement in the development, protection, conservation of natural resources and environment while engaging in eco-entrepreneurship and green jobs promoted; and
xvii) Capacity of the youth in green processes, technology and waste management built.

NB: County Government Entities/County Assemblies should ensure that the milestones under sub-indicators (iv) of the Youth Empowerment Initiatives performance indicator are not duplicated under the Youth Internships/Industrial Attachments/Apprenticeships performance indicator.

Development Index - refers to the ratio of development expenditure to total expenditure. The performance target is computed by dividing the total approved development budget by the total approved budget for the contract period. Development expenditure includes expenditures on development of infrastructure, acquisition of new facilities, research and development, etc.

The indicator should be included under the core Mandate of the County Treasury only. The County Treasury should ensure that the minimum ratio of 70:30 for Recurrent Expenditure to Development Expenditure is progressively achieved during the budgeting process and subsequent releases to the County Departments, Corporations and Boards.

Project Completion Rate – refers to the proportion of planned project(s) which is/are completed during a contract year. Projects are either physical or non-physical development undertakings. Only projects that are not directly under the mandate of a County Department, Corporation or Board but support or facilitate achievement of the Core Mandate should be committed in as projects for the purpose of identifying projects under the Project Completion Rate performance indicator, e.g. construction of an administration block, development of ERP, construction of field offices, construction of a perimeter fence etc.

In addition, it should be ensured that projects that are listed in the Projects Implementation matrix are not duplicated as performance indicators under the Core Mandate. Further, they should ensure that the expected deliverables are as per the awarded contracts or the approved work plans where such projects are implemented internally. For the purpose of annual performance evaluation, actual achievement for Project Completion Rate will be computed by averaging the verified level of achievements for all the committed projects.

County Government Entities/County Assembly are required to provide a breakdown of the name(s) of all projects, locations, budgets and key deliverables for the contract year and timelines, as per the Project Implementation Matrix below.

S/No.	Project Name	Project Description	Location	Total Estimated Cost (Kshs.)	Current Status (Status of physical completion in % and description)	Allocation for FY 2025/26 (Kshs.)	Expected Deliverables (Outputs) for FY 2025/26
1.							
2.							

Productivity Improvement - the aim of the performance indicator is to enable County Government Entities/County Assemblies to measure the efficiency and effectiveness of resources (labour, capital, technology and systems) utilization in converting inputs into quality outputs. This is undertaken under three broad areas namely: Operational Efficiency; Labour Performance; and Citizen Participation. The specific metrics related to the three (3) areas include but are not limited to: costs; time; output rate; and resource usage to inform decision making with respect to pricing, production scheduling, purchasing, contracting and delivery scheduling.

The National Productivity and Competitiveness Centre (NPCC) in the National Government, will play a lead role in providing technical support to County Government Entities/County Assemblies in the implementation of this performance indicator.

This performance indicator is applicable to the Lead Department in-charge of productivity mainstreaming. The Lead Department will be required to establish the County-wide baseline productivity index. In the subsequent years, interventions should be put in place to improve the index.

Governor's Directives Implemented - this refers to implementation of Directives issued by H.E. The Governor and communicated by the County Secretary and the Head of the County Public Service on specific areas for execution by the relevant County Government Entity/County Assembly and may include Circulars and Executive Orders. If a Governor's Directive is already provided for as a performance indicator under the Core Mandate performance criterion, it should not be duplicated under this performance criterion.

For each of the identified Governor's Directives, County Government Entities/County Assemblies should key in the required information in the Governor's Directives Matrix as shown below.

S/No	Directive Name	Directive Description	Date Issued	Directive Timelines	Estimated Cost (Kshs.)	Allocation for Current FY (Kshs.)	Expected Deliverables
1.							
2.							

For the purpose of annual performance evaluation, the actual achievement for Implementation of the Directives will be computed by averaging the achievements of the deliverables for all the Directives.

Access to Government Procurement Opportunities – refers to the allocation and actual award of at least 30% of the total value (in Kshs) of the procurement budget for goods and services as provided in the Annual Procurement Plan by each County Government Entities/County Assemblies to Youth, Women and Persons with Disability (PWDs) as individuals or in organized groups. At least 2% of the 30% of the budget for procurement of goods and services should be reserved for PWDs.

To facilitate achievement of this target, County Government Entities/County Assemblies should build the capacity of the three (3) target groups through training on government procurement procedures, requirements for accessing government procurement opportunities and on the specific opportunities available.

Follow-up actions include ensuring that the three groups actually access the procurement opportunities and facilitation of quick processing of payments.

In addition, County Government Entities/County Assemblies should pre-qualify the registered groups as (an affirmative action) and submit to County Department responsible for Finance for onward submission to PPRA a summary of the procurement opportunities allocated to the target groups in the format provided in the PPRA website, **www.tenders.go.ke.** The County Department responsible for Finance shall submit a summary of the procurement opportunities allocated to PWDs to NCPWD, via **dmd@ncpwd.go.ke**

Promotion of Local Content in Procurement - it refers to allocation and actual award of at least 40% of the total value (in Kshs) of the procurement budget for goods and services produced locally as provided in the annual procurement plan by each County Government Entities/County Assemblies. It is aimed at promoting consumption of locally produced goods and services that will contribute to, among others, employment creation and growth of local industries.

Goods and services qualify as locally produced when they meet the following principles or criteria:

a. Where goods and services are wholly produced in Kenya using local inputs; and
b. Where goods and services are not wholly produced in Kenya using local inputs but have undergone a substantial transformation of value addition of at least 35% (EAC and COMESA rules).

County Government Entities/County Assemblies are required to prepare and submit quarterly progress reports on the implementation of this indicator to the County Department responsible for Finance for onward submission to the Ministry of Investments, Trade and Industry.

County Government Entities/County Assemblies to refer to the Preferential Procurement Master Roll No. 1 of 2022 issued by the Ministry of Investments, Trade and Industry which can be accessed on http://www.industrialization.go.ke.

Youth Internships/Industrial Attachments/Apprenticeships – Internship refers to a method of on-the-job training, consisting of an exchange of services for experience between a graduate and an organization. Industrial attachment refers to work based learning which students, typically from vocational schools, colleges or universities spent a period of time working in an industrial or business setting to gain practical experience relating to their field of study, whereas, apprenticeship refers to a system of training practitioners so that they gain a set of skills to prepare them for a career that they wish to pursue.

County Government Entities/County Assemblies are required to engage the youth progressively in internship, industrial attachment or apprenticeship programs for skills transfer. The minimum number of youth in internship, industrial attachment or apprenticeship programs in County Government Entities/County Assemblies should ideally be at least 5% of the total in-post of the staff strength.

County Government Entities/County Assemblies should provide a breakdown of the youth to be engaged in internship (based on numbers declared and actual postings by the County Public Service Board), industrial attachment or apprenticeship programs. The target for internship opportunities should at the very minimum be the number declared to the Board for the contract period.

Work Environment- refers to the physical work areas/facilities as well as the immediate surroundings of the workplace. This should also include social, psychological, environmental as well as ergonomic factors. County Government Entities/County Assemblies are expected to commit to the following sub-indicators:

i) An internal work environment survey (once every two years) carried out and a work plan for implementation of the recommendations prepared by the end of the second quarter (50%); and

ii) The survey recommendations implemented as per the work plan (50%).

The Lead Department shall provide a standard tool for undertaking work environment surveys.

Compliance with Statutory Obligations- Each County Government Entities/County Assemblies should comply with laws and regulations governing their operations but not limited to the following:

i) Public Procurement and Asset Disposal Act, 2015 **(20%)** – this entails development and adherence to the procurement plan, submission of the plan to Public Procurement Regulatory Authority (PPRA) by 31st August and submission of bi-annual procurement plan implementation reports to the Authority in the format provided in the PPRA website – www.tenders.go.ke.

The e-procurement should be implemented by all County Government Entities/County Assemblies.

ii) Remittance of Statutory Deductions **(80%)** - these should include, but not limited to, repayment of Higher Education Loans Board (HELB) dues by beneficiary employees, statutory taxes, Social Health Insurance Fund (SHIF), National Social Security Fund (NSSF), Provident Funds, Gratuity, Pay As You Earn (PAYE) and Savings and Credit Cooperatives (SACCO) and Bank remittances.

Asset Management- Asset management is the systematic process of planning, acquisition, operating, maintaining and disposing of assets in the most cost-effective manner. Implementation of this performance indicator will facilitate County Government Entities/County Assemblies to prepare and maintain registers of assets, safeguard the assets and ensure standardization of the process for: identification; recording; disclosure; and reporting of assets.

Implementation of the indicator will ensure idle and unserviceable assets are disposed off in full conformity to the existing legal requirements. Further, County Government Entities/County Assemblies will ensure adequate asset management structures and systems are in place for prudent management of public assets for optimum economic and social benefits to the public.

In addition, County Government Entities/County Assemblies should acquire documents of ownership of among others land, buildings, equipment and motor vehicles.

County Government Entities/County Assemblies are required to commit on following sub-indicators:

i) Inventory of Assets established/updated (30%);
ii) Assets Ownership documents acquired (30%); and
iii) Idle Assets identified/disposed (40%).

County Government Entities/County Assemblies are required to submit quarterly and annual reports to the County Department responsible for Finance for onward submission to The National Treasury & Economic Planning using the prescribed format by email *nalm@treasury.go.ke*

NB:

i) County Government Entities/County Assemblies will identify idle, obsolete and surplus assets and submit the list to the Department responsible for Finance for disposal.

ii) Prescribed reporting templates and guidelines to support County Government Entities/County Assemblies in implementation of this performance indicator can be accessed from the National Treasury website at https://www.treasury.go.ke.

iii) County Governments are required to domesticate the Policy on Asset and Liability Management in the Public Sector, 2020.

Annex IV: Performance Reporting Formats

Classification of Reporting

As indicated in Section 2.9.3, performance reports will be prepared and submitted on a quarterly and annual basis. Sub-sections 1 and 2 below elaborate on the respective reporting formats

1. **Quarterly Reporting**

Forms 'A' series provide the prescribed format for quarterly progress reporting on each performance criteria. While the ***Target for Quarter*** (Column B) may not have been explicitly agreed on in the contract, it is expected that every County Government Entity/County Assembly will have to set its own quarterly targets as milestones towards achieving the agreed ***Target for the Contract Period*** (Column A). The agencies are required to explain the *Quarterly* and *Cumulative* variances, including remedial actions, where applicable.

QUARTERLY PERFORMANCE REPORT **FORM 1A**

QUARTER ENDING …………………..

PERFORMANCE INDICATORS FOR: (*specify name of County Department/Corporation/Board/* Tertiary Institutions)

Financial Stewardship Indicators *(Examples of Performance Indicators provided here below)*		**Unit of Measure**	**Target for Contract Period**	**Quarter**			**Cumulative To Date**		
				Target for Quarter	Actual	Variance (C - B)	Target	Actual	Variance (F - E)
			A	B	C	D	E	F	G
1	Absorption of Allocated Funds								
2	Appropriation -n- Aid								

Comments on any Variance [(Un)Favourable, Causes and any Action Taken]

…………………………………………………………………………………………………

NB: County Government Entities/County Assemblies to develop quarterly targets based on the approved work plan.

Form 1A above provides the format in which the quarterly progress report for Financial

Stewardship performance indicators are prepared and submitted. Similarly, the same format for Forms **2A, 3A, 4A, 5A, 6A and 7A** provide the format in which quarterly progress reports for Service Delivery, Institutional Transformation, Core Mandate, Governor's Directives, Affirmative Action in Government Procurement and Cross-cutting Performance Criteria respectively, should be prepared and submitted for every quarter by all County Government Entities/County Assemblies.

The County Government Entities/County Assemblies are required to submit (to the County Integrated Performance Management Committee and Lead Department) quarterly performance report detailing actual achievement against targets **within 15 days after the end of each quarter**.

2. End-of-Year Reporting

Form 1B below provides the format for preparing and submitting annual performance report on Financial Stewardship performance criterion. Similarly, Forms **2B, 3B, 4B, 5B,6B and 7B** provide the format in which Service Delivery, Institutional Transformation, Core Mandate, Governor's Directives, Affirmative Action in Government Procurement and Cross-cutting Performance Criteria respectively, should be prepared and submitted at the end of the year by all County Government Entities/County Assemblies.

<table>
<tr><td colspan="6"><u>ANNUAL PERFORMANCE REPORT</u>   FORM 1B
YEAR ENDING ………………….
PERFORMANCE INDICATORS FOR: (specify name of County Department/Corporation/Board/ Tertiary Institution)</td></tr>
<tr><td colspan="2" rowspan="3">Financial Stewardship Indicators
(Examples of Performance Indicators provided here below)</td><td rowspan="3">Unit of Measure</td><td colspan="3">Cumulative For Year</td></tr>
<tr><td>Target</td><td>Actual</td><td>Variance (B-A)</td></tr>
<tr><td>A</td><td>B</td><td>C</td></tr>
<tr><td>1</td><td>Absorption of Allocated Funds</td><td></td><td></td><td></td><td></td></tr>
<tr><td>2</td><td>Appropriation - in -Aid</td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="6">Comments on any Variance [(Un)Favourable, causes and any Action Taken]:
… ………</td></tr>
</table>

The County Government Entities/County Assemblies are required to prepare and submit to CIPMC annual performance report detailing actual achievement against targets that are contained in their performance contracts within 30 days after the end of the contract period.

Annex V: Format for Citizens' Service Delivery Charter

<table>
<tr><td colspan="2">REPUBLIC OF KENYA</td><td colspan="2">Name of the County Entity/County Assembly</td><td colspan="2">INSTITUTIONAL LOGO</td></tr>
<tr><td>S/No.</td><td>Service/Good</td><td>Requirements to Obtain Service/Good</td><td colspan="2">Cost of Service/Good (If any)</td><td>Timeline</td></tr>
<tr><td></td><td></td><td></td><td colspan="2"></td><td></td></tr>
<tr><td></td><td></td><td></td><td colspan="2"></td><td></td></tr>
<tr><td></td><td></td><td></td><td colspan="2"></td><td></td></tr>
<tr><td colspan="6">WE ARE COMMITTED TO COURTESY AND EXCELLENCE IN SERVICE DELIVERY
Any service/good rendered that does not conform to the above standards or any officer who does not live up to the commitment to courtesy and excellence in Service Delivery should be reported to the following:</td></tr>
<tr><td colspan="3">Designation of the Head (CECM/CO/CEO/Principal) of the Public Institution*
Name of the Public Institution
Physical Address……
P.O. Box…..
Tel No………..
Email……………</td><td colspan="3">The Commission Secretary/Chief Executive Officer, Commission on Administrative Justice, 2nd Floor, West End Towers, Waiyaki Way, Nairobi.
P.O. Box 20414-00200 Nairobi
Tel: +254 (0)20 2270000/2303000
Email : feedback@ombudsman.go.ke</td></tr>
<tr><td colspan="6">HUDUMA BORA NI HAKI YAKO</td></tr>
</table>

**** County Government Entities/County Assemblies to customize to their respective redress mechanism.***

Annex VI: Staff Performance Appraisal Employee Quarterly Performance Report

CG/SPA FORM 2

STAFF PERFORMANCE APPRAISAL
EMPLOYEE QUARTERLY PERFORMANCE REPORT

Performance Period ………../………
Department /Directorate ……………..……..………
Division/ Section/ Unit/ ……………………………………………….
Quarter……………

S/No.	Agreed Performance Targets	Achievements
1.		
2.		
3.		
4.		
5.		

Additional Assignments

1.……………………………….……………………………………………..

2…..…………………………...………………………………………………….

3. …………………………...………....………………………………….…..…

Name of Appraisee……………………………………………………………..

Signature………………………..……… Date ……………………………..………
Appraiser's Name ………………....……………...…………………..……………
Signature……………………….....……… Date ………………...……………

Annex VII: Departmental Summary of SPAS Reports to CIPMC

CG/SPA FORM 3

DEPARTMENTAL SUMMARY OF SPAS REPORTS TO CIPMC

Period of reporting--------------------------------

Department---------------------------------------

S/No.	Personal No.	Name of Officer	Designation	Scale/ Pay Grade	Name of Supervisor	Designation of Supervisor	Rating %
1							
2							
3							
4							
5							

Head of Directorate Remarks:
……………………..……………………………………………………………………………………..

Name:
……………………………………………………………..…………………………………………...

Signature………………………………………………………………………**Date.**………………...

Annex VIII: Recommendation to The County Executive Committee by CIPMC

CG/SPA FORM 4

RECOMMENDATION TO THE COUNTY EXECUTIVE COMMITTEE BY CGIPMC

Period of reporting………………………………….

Name & P/No…………………………………………….

Total Number of Staff: ……………………………...……...……………
Number of officers appraised: ………………...…………………...…...…
Number of officers recommended for rewards: ………...………..
Number of officers recommended for sanctions: …………………

S/No.	Name of Officer & Personal No.	Designation	Salary Scale	Directorate	Score (%)	Recommendation By the MPMC	Remarks
1.							
2.							
3.							
4.							
5.							

(Attach Copy of the Staff Performance Appraisal Forms)

CIPMC Chairperson

Name: ………………………………………………………… **P/NO**…………………………………

Signature………………………...………………… **Date** ………………………………………

Annex IX: Individual Work Plan

CG/SPA FORM 5

Individual Work Plan

Name of Employee………………………………………………………………
P/No………………………………………………………………………………
Designation…………………………………………………………………………
Period of Reporting…………………………………………………………………..

S/No.	Directorate Performance Objective	Individual Targets	Key Activities	Resources Required	Performance Indicators	Time Frame
1.						
2.						
3.						
4.						
5.						
6.						

Annex X: Staff Performance Appraisal Report for Officers on Job Group 'H' and below in the Public Service

Preamble

1. The Staff Performance Appraisal System (SPAS) is a component of Performance Management System in the County Public Service integrating employee participation through work planning, target setting and execution, evaluation, feedback and reporting.
2. This appraisal form will be completed by officers in Job Group 'H' and below and equivalent grades in the public service.
3. The Appraisee and the Appraiser should read the SPAS guidelines prior to embarking on the actual appraisal.
4. The Appraisee and the Appraiser will agree on the specific tasks/responsibilities to be performed, which should be aligned to the CIDP objectives.
5. The Appraiser and appraisee shall discuss and agree on the performance evaluation and rating at the end of the appraisal period.
6. The completed SPAS report shall be submitted to the County Director of HRM at the end of the appraisal period for deliberation by the County Performance Management Committee.
7. Rating Scale: The following rating shall be used to indicate the level of performance by an Appraisee.

Achievement of Performance Targets	**Rating Scale**	
Achievement higher than 101% of the agreed performance targets	Excellent	101% +
Achievement up to 85% and100% of the agreed performance targets	Very Good	85%- 100%
Achievement between 65% and 84% of the agreed performance targets	Good	65%-84%
Achievement between 50% and 64% of the agreed performance targets	Fair	50%-64%
Achievement up to 49% of the agreed performance targets	Poor	49% and Below

8. Where the Appraisee is not satisfied with the SPAS evaluation, he/she may appeal to the CPMC as provided in the SPAS guidelines.

Staff Performance Appraisal Report

Performance Appraisal Period: From .... To ....

Section 1: Employment Details

i) Personal No .... Surname ....

First Name.................................. Other Names................................

ii) Designation ....

Job Group/Salary Scale/Pay Grade ....

iii) Terms of Service .... (Permanent/Contract)

iv) County Department...

Directorate//Division...
Section/Unit..

Duty Station ....

Section 2: Agreed Performance Targets /Specific Tasks Assignment

S/No. Agreed Performance Targets / Specific Tasks Assignment

Expected Performance Indicators

Mid-Year Review (Remarks) Performance Appraisal Score

(See Rating Scale)

1.

2.

3.

Total appraisal score on performance targets

Mean appraisal score (%)

Section 3: Staff Training and Development Needs (signed at the beginning of appraisal period)

Appraisee's training and development needs in order of priority as identified by the appraisee and appraiser based on performance gaps

....

....

....

Appraisee' Signature .... **Date** ....

Immediate Appraiser's Name ....

Signature .... **Date** ....

Section 4: Appraisee's Comments (signed at the end of appraisal period)

Appraisee's comments on performance including any mitigating factors

………………………………………………………………………………………………………

………………………………………………………………………………………………………

Appraiser's (immediate) remarks if any on Appraisee performance

……………………………………………………………………………………………………

……………………………………………………………………………………………………

Name……………………………………………………………………………………………

Signature ………………………………………… **Date**………………………………

Section 5: Recommendation of rewards or sanctions or other intervention(s) to the County Executive Committee by the County Performance Management Committee:

i) Reward type (Bonus, Commendation letter etc.): ……………………

ii) Other interventions (Counselling, Training and Development etc.) ………………………………………………………………………………

iii) Sanction (Warning, Separation etc.): ……………………………………

iv) Minute No ………….. Meeting held on……………………………………

Authorized Officer: Approved / Not Approved ……………………………

Name: ……………………… ……………………………………………………………

Signature: ………………………… **Date:** ………………………………………………

CODE…

Annex XI: Staff Performance Appraisal Report for officers on Job Group ‘J’ and above in the Public Service

Preamble

1. The Staff Performance Appraisal System (SPAS) is a component of Performance Management System in the County Public Service integrating employee participation through work planning, target setting and execution, evaluation, feedback and reporting.
2. This appraisal report will be completed by officers in Job Group ‘J’ and above and equivalent grades in the County public service.
3. The Appraisee and the Appraiser should read the SPAS guidelines prior to embarking on the actual appraisal.
4. The Appraisee and the Appraiser will set Specific, Measurable, Achievable, Realistic, Time-bound (SMART) targets aligned to the County / Departmental / Directorate / Division / Section / Unit objectives as indicated in the annual work plan.
5. The appraiser and appraisee shall discuss and agree on the performance evaluation and rating at the end of the appraisal period.
6. The completed SPAS report shall be submitted to the County Director of HRM at the end of the appraisal period for deliberation by the County Performance Management Committee.
7. The County Performance Management Committee Report shall be submitted to the County Public Service Board at the end of the appraisal period.
8. Rating Scale: The following rating shall be used to indicate the level of performance by an Appraisee.

Achievement of Performance Targets	**Rating Scale**	
Achievement higher than 101% of the agreed performance targets	Excellent	101% +
Achievement up to 85% and100% of the agreed performance targets	Very Good	85%- 100%
Achievement between 65% and 84% of the agreed performance targets	Good	65% - 84%
Achievement between 50% and 64% of the agreed performance targets	Fair	50%-64%
Achievement upto 49% of the agreed performance targets	Poor	49% and Below

9. Performance rating scores shall be based on verifiable evidence.
10. Where the Appraisee is not satisfied with the SPAS evaluation, he/she may appeal to the CPMC / CHRAC as provided in the SPAS guidelines.

Staff Performance Appraisal Report

Performance Appraisal Period: From .... To ....

Section 1: Employment Details

i) Personal No .... Surname ....

First Name ....Other Names ....

ii) Designation .... Terms of Service.....................................

Job Group / Salary Scale / Pay Grade. ....

iii) County Department..

Directorate / Division ....

Section / Unit...

Duty Station ....

iv) Appraiser's Name ....

Designation ....

Section 2(a): Individual Performance Targets derived from the Departmental / Directorate / Division / Section / Unit / Appraiser's Work Plan

Agreed Performance Targets

Performance Indicator(s)

Achieved results in line with the performance indicator

Performance Appraisal Score (See Rating Scale)

(To be completed by the Appraisee in consultation with the Appraiser at the beginning of the appraisal period) (To be completed by the Appraiser in consultation with the Appraisee at the end of the appraisal period)

1

2

3

Total appraisal score on performance targets

Scores for additional adhoc assignments

Mean appraisal score (%)

Section 2(b): Staff Training and Development Needs

Appraisee's training and development needs in order of priority as identified by the appraisee and appraiser based on performance gaps

……………………………………………………………………………………………

……………………………………………………………………………………………

Section 2(c): To be signed at the beginning of the appraisal period

Appraisee and management commitment to achieve the agreed performance targets.

Name of Appraisee ………………………………………………………..………......... Signature …………………………… Date ……………………………………............. Appraiser's Name ……………………………………………………..………............. Signature …………………………… Date ……………………………………............. (Immediate Appraiser)

Section 3: Mid-Year Review

Agreed Performance Targets

Performance Indicator(s)

Targets changed or added Remarks

(Indicate Level of Achievement)

1

2

3

Appraiser's Name………………………………………………………….…………............. Signature ……………………………… Date ……………………………………............

Section 4: Appraisee's comments and additional assignments

a) Appraisee's comments on performance including any mitigating factors

……………………………………………………………………………………………..

………………………………………………………………………………… ....

b) Additional assignments

i) ………………………………………………………………………….................

ii) ………………………………………………………………………….................

iii) ………………………………………………………………………….................

iv) ………………………………………………………………………. ....

Section 5: Appraiser's Comments

Appraiser's comments on appraisee's performance at the end of the year including any factors that hindered performance (Please indicate if the appraisee requires to be put on a performance improvement plan/programme. If so, indicate the type).…………………………………………………………………………………… ...

Appraiser's Name……………………………………………………….…………….........Signature ……………………………… Date ……………………………………............

Section 6: Recommendation of rewards or sanctions to the County Secretary by the County Performance Management Committee

i) Reward type (Bonus, Commendation letter etc.) ....

ii) Other interventions (Counselling, Training and Development, etc.)

………………………………………………………………………............ iii) Sanction (Warning, Separation, etc.) ....

iv) Minute No.…………………………Meeting held on ……………………........

Signed:

Chairperson: Name ....

Signature .... Date: ....

Secretary: Name ....

Signature .... Date: ....

Authorized Officer: Approved / Not Approved

Name ....

Signature ....Date: ....

Annex XII: Stakeholders who Participated in the Development of the Integrated Performance Management Guidelines for County Governments

S/No.	Name	Institution
1.	Joshua Mwiranga	Public Service Performance Management Unit
2.	John Magua, OGW	Public Service Performance Management Unit
3.	Peter Nderu Kamau	Public Service Performance Management Unit
4.	Robert Ngei	Public Service Performance Management Unit
5.	Peter Kariuki Njiru	Public Service Performance Management Unit
6.	Vincent Sutei Ng'uriareng	Public Service Performance Management Unit
7.	Lydia Nguta Mbwiria	Public Service Performance Management Unit
8.	Wilson Kamau Ng'ang'a	Public Service Performance Management Unit
9.	Leah Wathanu Maingi	Public Service Performance Management Unit
10.	Felistus Nthenya Mbuva	Public Service Performance Management Unit
11.	Biegon Kipngetich Benard	Public Service Performance Management Unit
12.	George Okoth Ochieng	Public Service Performance Management Unit
13.	Irene Nyambura Kiarie	Public Service Performance Management Unit
14.	Joseph Kyalo Malonza	Public Service Performance Management Unit
15.	Naftali Abuya	Public Service Performance Management Unit
16.	Warothe Macharia	Public Service Performance Management Unit
17.	Purity Mukami Mwaniki	Public Service Performance Management Unit
18.	Melody Nafula Nyongesa	Public Service Performance Management Unit
19.	Morris Njoroge Kamande	Public Service Performance Management Unit
20.	Ralia Arero Jillo	Public Service Performance Management Unit
21.	Roselyne Naliaka	Public Service Performance Management Unit.
22.	Sirkoi Rodgers Kibet	Public Service Performance Management Unit
23.	Eric Koome Mugambi	Public Service Performance Management Unit
24.	Miriti Mutembei Royford	Public Service Performance Management Unit

S/No.	Name	Institution
25.	Betty Gacheri Nkanatha	Public Service Performance Management Unit
26.	Resper N Mokenye	Public Service Performance Management Unit
27.	Alfayo Edwin Omondi Adel	Public Service Performance Management Unit
28.	Gerald Simba Ndeto	Public Service Performance Management Unit
29.	Hamilton Kasha	Public Service Performance Management Unit
30.	Harriet Kanja	Public Service Performance Management Unit
31.	Reuben Bett	Public Service Performance Management Unit
32.	Henry Cheruiyot Langat	Public Service Performance Management Unit
33.	Alvin Kamau Manyeki	Public Service Performance Management Unit
34.	Tonny Wekesa Bikokwa	Public Service Performance Management Unit
35.	Nicodemus Mbwika	Council of Governors
36.	Ken Oluoch	Council of Governors
37.	Caroline Odandi	Council of Governors
38.	Simon Mutwii	State Department for Devolution
39.	Victor Odhiambo Ouma	State Department for Devolution
40.	Dr. Florence Nzwilli	State Department for Public Service
41.	Dr. Daniel Absalom Otwoma	State Department for Public Service
42.	Gilbert Nyandiga	Public Service Commission
43.	Phoebe Gor	Public Service Commission
44.	Kibibi Mohamed Amran	County Government of Mombasa
45.	Mariam Ramadhan Mwamzandi	County Government of Kwale
46.	Jackson Mweni	County Government of Kilifi
47.	Immaculate Mpuyu Lugwe	County Government of Tana River
48.	Felix Muli Katama	County Government of Lamu
49.	Juma Msinga	County Government of Taita Taveta
50.	Machu Shannel Mwashighadi	County Assembly of Taita Taveta

S/No.	Name	Institution
51.	Mahat Abukar Yussuf	County Government of Garissa
52.	Mohamed Yunis Sheikh	County Government of Wajir
53.	Hassannoor Adan Abdullahi	County Government of Mandera
54.	Ibrahim Adan Sora	County Government of Marsabit
55.	Jared Kiyondi Osano	County Government of Isiolo
56.	Lenny Mbae	County Government of Meru
57.	Ann Karambu Nkonge	County Government of Tharaka Nithi
58.	Carolyne Mwende	County Government of Embu
59.	Francisca Kanza Kyui	County Government of Kitui
60.	Naomi Ndia Sila	Government of Makueni County
61.	Anne Muthoni Gathura	County Government of Nyandarua
62.	Patrick Wachira Migwi	County Government of Nyeri
63.	Edward Gichobi Gatitu	County Government of Kirinyaga
64.	Zachary Ngatia	County Government of Murang'a
65.	Anne Waitherero Ngige	County Government of Kiambu
66.	Erot Lopeto Joshua	County Government of Turkana
67.	Geoffrey Kapatet	County Government of West Pokot
68.	Priscilla Lanyasunya	County Government of Samburu
69.	Tima Omar Aly	County Government of Trans Nzoia
70.	Josephat K Rotich	County Government of Uasin Gishu
71.	Sella Kwambai	County Government of Elgeyo Marakwet
72.	Gorrety Jesang Rotich	County Government of Nandi County
73.	Collins Masaria	County Government of Baringo
74.	Margaret Muthoni Nderitu	County Government of Laikipia
75.	Joseph Kago Maina	County Government of Nakuru
76.	Kedienye Amos	County Government of Narok

S/No.	Name	Institution
77.	Lynet Tapatayia	County Government of Kajiado
78.	Winnie Chebet	County Government of Kericho
79.	Erick Kiplangat Ronoh	County Government of Bomet
80.	Rose Onyango Omondi	County Government of Kakamega
81.	Jessica Angila Kuya	County Government of Vihiga
82.	Joseph Kisindai Wafula	County Government of Bungoma
83.	Abraham Simiyu Wekesa	County Assembly of Bungoma
84.	Kennedy Opio	County Government of Busia
85.	Philemon Ouma Angila	County Government of Siaya
86.	Stephen Omondi Odhiambo	County Government of Kisumu
87.	Kennedy Otieno Ongeko	County Government of Homa Bay
88.	Solomon Otieno Oluoch	County Government of Migori
89.	George Matiro	County Government of Kisii
90.	Dennis Maoga Manyara	County Government of Nyamira
91.	Festus Macharia	County Government of Nairobi