

1. INTRODUCTION

1.1 Mandate of Komfo Anokye Teaching Hospital

The mandate of the Komfo Anokye Teaching Hospital (KATH) as provided by the Ghana Health Service and Teaching Hospitals' Act 525, 1996 is in the following areas:

- Advanced clinical care
- Training of undergraduate and post-graduate medical professionals
- Research

1.2 Vision Statement

To become a centre of excellence comparable to international standard.

1.3 Mission Statement

To provide quality health service to meet the needs and expectations of all clients. This will be achieved through well-motivated and committed staff applying best practices and innovativeness, extending the boundaries of excellence in everything they do.

2. POLICY STATEMENT

The Komfo Anokye Teaching Hospital (KATH) acknowledges that the management of employee performance is vital to the achievement of the Hospital's goals. Employee Performance Management should therefore be based on a system that provides the mechanisms for establishing individual employee expectations, monitoring employee progress, and appraising employee performance. Such quality performance system will enable employee to fully contribute to achieving Hospital's goals.

The policy encapsulates the underlying principle that employee performance management is an on-going process that takes place from the time an employee joins the hospital until he/she leaves and should be used in that time to support and develop people throughout their employment with the Hospital.

Every employee shall have his/her performance appraised annually and be provided with a copy of the appraisal, one kept at the unit/directorate and one forwarded to HR. The appraisal period shall be January to December each year.

The purpose of this policy is to provide a clear, coherent, fair and equitable system for managers/supervisors to use throughout any performance management process. It makes explicit the process that supports the achievement of desired outcomes. At the heart of the Hospital's performance management strategy is the aim to foster a culture in which employees are empowered to manage their own performance and results through discussion and agreement with their manager.

3. SCOPE

This performance management policy applies to all employees of Komfo Anokye Teaching Hospital (KATH).

4. AIM

The performance management policy is to ensure that:

- Employees' work are linked to the objectives/goals of the unit, directorate and the hospital as a whole
- Employees are aware of and understand performance expectations (objectives)
- Communication between employees and their supervisors is improved
- Employees are provided with timely, continuous and effective feedback and coached on their job performance, both what is well done and what needs improvement
- Training and development needs relevant to performance, professional aspirations and long-term hospital needs are identified
- Records on performance serve as data for human resource decisions.

5. PRINCIPLES

The policy shall be guided by the following principles:

- The hospital shall do its best to attract the right people who will identify with its vision, strategic goals and objectives and commit themselves to helping in achieving them.
- All managers/supervisors responsible for conducting performance management shall be appropriately trained
- Information about the hospital/directorate/unit goals and targets, individual/team roles and expected outcomes shall be shared for continuous improvement to meet changing internal and external demands
- Employee performance shall be managed through processes that are procedurally fair and transparent
- Employee and organisational capabilities for the achievement of hospital goals and targets shall be developed
- Supervisors shall provide honest, evidenced-based feedback to enable monitoring and adjustment of performance
- Management shall motivate employee to perform at high levels with pride in their achievement and also apply appropriate consequences e.g. Promotion, Increments, Awards, Training, based on the outcomes
- Differences in employee or organisational issues shall be resolved by applying fair, respectful and efficient review processes

- Confidentiality shall be preserved during the whole process and formal reports shall be disseminated to only those named in the policy

6. PROCESS

The process is the sequence of actions that supervisors and managers are expected to take when interacting with their employee on their performance. It helps to prioritise work and provide on-going feedback on progress made enabling employees to see how their work has contributed to the achievement of clear outcomes and hospital's success.

The hospital supports a performance management system that includes the following three components:

6.1 Performance Planning: Identifying what type of performance is required and how it can be met. At the beginning of the work/performance cycle (i.e. January each year), the supervisor and employee shall meet to develop the employee's performance work plan which includes objectives, actions and skills/abilities needed to achieve the results. The plan must also identify training and development activities that support achievement of performance targets and identify opportunities for promotion/advancement. The plan should be aligned with the directorate/unit and hospital goals.

The performance standards set should be:

- Based on the position/grade, not the individual
- Observable, specific indicators of success
- Meaningful, reasonable and attainable
- Expressed in terms of Quantity, Quality, Timeliness, Cost-efficiency, Safety, or Outcomes

The supervisor and the appraisee should agree on interim and final review periods. The work plan must be documented and signed by both supervisor and employee, using the **Part 2 (Performance Planning) of the Employee Performance Appraisal Form (Appendix I)** and copies kept by both parties.

6.2 Delivering and Monitoring: Providing appropriate support and development and checking progress. It includes day-to-day tracking of the employee's progress towards

achieving the performance expectations. The information should form the basis for specific feedback and discussion. It also includes interim review and other feedback given to the employee through coaching and reinforcing discussion. Discussions should focus on progress with the supervisor providing constructive feedback, ensuring open, thoughtful, supportive but challenging discussion.

Aspects of performance where there are shortfalls in meeting agreed objectives, how these need to be addressed and, where appropriate, the support that will be provided should be identified and joint decisions taken on the process for taking forward these issues.

Performance feedback sessions should occur on an as-needed basis, with a minimum of one session annually (sessions could be initiated at the request of the employee) preferable middle of the performance cycle with formal discussions being documented and signed by both supervisor and employee, using the **Part 3 (Interim Review) of the Employee Performance Appraisal Form (Appendix I)**.

The employee should be encouraged and provided ample opportunity to seek further advice and feedback.

During the monitoring, the work plan results, behaviour/actions, skills or expectations should be adjusted when it is determined that they have changed or are beyond the employee's control to perform.

6.3 Performance Appraisal: This involves assessing whether or not performance is to the required standard, recognizing where standards have been met, where they have not and seeking improvements.

At the end of the work cycle (i.e. December each year), the supervisor shall meet each employee to discuss the employee's performance and record actual results and behaviours for each expectation. The supervisor must then rate each responsibility and record in the **Part 4 of the Employee Performance Appraisal Form (Appendix I)**. The completed form which should be three copies must be signed by the employee, supervisor and reviewing/countersigning officer. A copy should be given to the employee, one kept at the directorate and one sent to HR for recordkeeping and HR decisions.

Appraisal should be a dialogue about the appraisee's performance and development and how this can be supported to the advantage of both the individual and the Hospital. By conducting appraisals on time, and in the true spirit of the purpose stated herein it is hoped that we can achieve true alignment of individual and organisational objectives by fostering a working environment in which continuous learning and improvement becomes a way of life.

*i) **Appraisal Preparation:*** Reasonable notice must be given prior to the appraisal meeting to ensure that both the appraiser and appraisee have the opportunity to prepare. The employee should complete the **Preparing for Appraisal form (Appendix II)** and submit to supervisor prior to the appraisal meeting. The completed form will be used during the discussion.

*ii) **Conducting Appraisal Meeting:*** The meeting should be held in a relaxed manner and an uninterrupted venue. The discussion should centre on whether the appraisee has met the agreed objectives, behaviour and skills, identify performance gaps/barriers and improvements needed.

The appraisee should be encouraged to do most of the talking since it is his/her appraisal meeting.

*iii) **Evidence from Other Sources (360 Degrees Feedback)***

In this case input may be requested from third parties who may be colleagues, subordinates, customers, etc of the appraisee who are credible to the individual and are familiar with his/her work. Such input may be requested either by the appraisee, appraiser, or both but there must always be prior agreement between appraisee and appraiser on the identification of any third party before they are approached to provide feedback.

Other admissible sources may be documentary. For example, employees may wish to present their action plans, learning logs at appraisal to demonstrate their commitment to meeting their objectives or may wish to present evidence of publication, delivering seminars or writing research proposals in support of their commitment to achieving their objectives.

Using 360-degree feedback can bring the following individual and organisational benefits. It

- provides the individual with an opportunity to learn how different colleagues perceive them, leading to increased self-awareness.
- encourages self-development.
- increases understanding of the behaviours required to improve personal and organisational effectiveness.
- promotes a more open culture where giving and receiving feedback is an accepted norm.
- increases communication within the organisation.
- can be a powerful trigger for change.

iv) Performance Rating System

A uniform rating system shall be used to evaluate performance. This rating scale defines five (5) levels of performance as follows:

· Outstanding Performance = 1

Performance is far above the defined job expectations. The employee consistently does outstanding work, regularly going far beyond what is expected of employees in this job. Performance that exceeds expectations is due to the effort and skills of the employee. Any performance not consistently exceeding expectations is minor or due to events not under the control of the employee.

· Very Good Performance = 2

Performance meets the defined job expectations and in many instances, exceeds job expectations. The employee generally is doing a very good job. Performance that exceeds expectations is due to the effort and skills of the employee.

· Good Performance = 3

Performance meets the defined job expectations. The employee generally performs according to the expectations of doing a good job. The employee is doing the job at the level expected for employees in this position. The good performance is due to the employee's own effort and skills.

· Below Good Performance = 4

Performance may meet some of the job expectations but does not fully meet the remainder. The employee generally is doing the job at a minimal level, and improvement is needed to fully meet the expectations. Performance is less than a good job. Lapses in performance are due to the employee's lack of effort or skills.

· **Unsatisfactory Performance = 5**

Performance generally fails to meet the defined expectations or requires frequent, close supervision and/or the redoing of work. The employee is not doing the job at the level expected for employees in this position. Unsuccessful job performance is due to the employee's own lack of effort or skills.

v) Supervisory Change

Should there be supervisory change during the performance cycle each individual who has supervised the employee for three (3) months or more should discuss the performance with the employee, prepare feedback and forward them to the new supervisor (using Part B - Interim Review- of the Employee Performance Appraisal Form C). Supervisory change may occur with the posting of the employee or the supervisor to another section, unit or directorate.

vi) Linkage of Performance Rating to Other Personnel Actions

Personnel decisions like promotions, training and development, increments, awards, demotions or dismissals will be made on the basis of employee's performance. Rating of performance should therefore be objective, fair and equitable and should not be based on non-merit factors like gender, ethnicity, religion, personal favouritism, political affiliation.

7. RESPONSIBILITIES

7.1 Top Management

- Foster a culture in which performance management is an integral part of all hospital activities.
- Provide appropriate resources and employee and management development to support employee in the performance of their roles.
- Determine appropriate consequences arising from performance outcomes

7.2 HR

- Ensure that the vision, mission, goals, priorities and values of the Hospital are clearly communicated to potential employees at the recruitment stage and thus help to ensure the appointment of people who readily identify with our aims and objectives and who feel able to commit themselves to helping us achieve these.

- Provide training on the performance management policy and procedures to employees and supervisors/managers
- Provide technical support and advice to employees, supervisors, reviewers and other managers to help them in the administration of the procedures
- Ensure that records on performance work plans (targets) and appraisals are maintained
- Remind units and directorates of review dates
- Monitor adherence to the policy and procedures
- Analyse appraisal reports and give feedback
- Implement appropriate consequences arising from performance outcomes.

7.3 Heads of Unit/Directorate

- Develop and communicate their unit's/directorate's goals, objectives, priorities and performance indicators
- Provide leadership role in their commitment to performance management
- Ensure all managers/supervisors in their units/directorates are trained and competent in performance management procedures and techniques
- Delegate the role of appraiser to the most appropriate person. The appraiser should be in a supervisory/line management position to the appraisee and be familiar with the appraisee and his/her application of work.
- Ensure that the performances of employees are managed
- Ensure that resources are available to support performance and professional development needs

7.4 Reviewing/Countersigning Officer

- Review the performance plan and evaluation and concur in the ratings of supervisors
- Resolve differences between employees and supervisors (rating officers) on performance ratings and adjusting when necessary

7.5 Supervisors (Rating Officers)

The supervisor's responsibilities are to:

- Participate fully in the performance management process

- Establish own individual performance targets in consultation with their managers
- Communicate and clarify major job duties, priorities and expectations.
- Establish and communicate individual performance standards with their employee.
- Monitor employees' performance through observation, discussion, etc.
- Document good and unacceptable performance.
- Provide continuous coaching and constructive feedback in a timely manner, correcting poor performance and reinforcing good performance.
- Help employees to develop skills and abilities for improved performance.
- Provide necessary information, resources and opportunity to allow accomplishment of key results.
- Reviewing employees' performance annually and recommending performance ratings and human resource actions to their managers

7.6 Employee

- Is familiar with the performance management policy and procedures
- Understand how the individual role contributes to the achievement of unit, directorate and hospital objectives
- Actively participate in the establishment of individual performance targets
- Take all reasonable actions to be able to meet targets within agreed timescales
- Explore and access personal growth and development opportunities and keep log of that
- Participate fully in the performance management process
- Encourage regular constructive dialogue and feedback on their own performance

8. Complaints

Employees can record their dissatisfaction with aspects of the review on the review statement. Where they cannot resolve them with their supervisors, they can appeal to the Reviewing/Countersigning officer. The appeal should be made within 5 working days of the initial performance meeting.

The Reviewing Officer should discuss the appeal with the supervisor and the employee. After discussion of the appeal, the Reviewing Officer should provide the employee with a written response within 3 working days.

9. Confidentiality

Confidentiality of performance discussions and outcomes is to be maintained by all relevant parties.

10. Monitoring and Review

Units/directorates are responsible for complying with the terms of this policy. HR will periodically conduct audits of compliance with the policy by unit/directorate and actions taken.

This Staff Performance Management policy will be reviewed in **two years** to assess its effectiveness. It may, however, be reviewed before the two years to reflect service changes at the Hospital or any changes required by law.

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CHIEF EXECUTIVE
DR. A. NSIAH-ASARE

1st September, 2008
Effective Date

1st September, 2010
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