

KENYA MARINE AND FISHERIES RESEARCH INSTITUTE



KMFRI PERFORMANCE IMPROVEMENT PLAN (PIP)

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Kenya Marine and Fisheries Research Institute

P.O. Box 81651-80100

Mombasa, KENYA

Tel. +254-(0)20-8021560/1

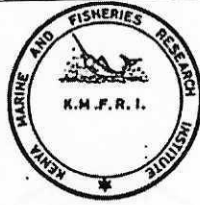
+254 (0)20-2353901/2/3/4/5

+254 (0)20-235 3894/5/6/7

Fax. +254-(0)20-235 3226


E-mail.director@kmfri.go.ke

Website: <http://www.kmfri.go.ke>



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KENYA MARINE & FISHERIES RESEARCH INSTITUTE
P. O. Box 81651 - MOMBASA
Tel: 020 2435809, 020 2353904, 020 80271
Fax: 020 2353226

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Table of Contents

ABBREVIATIONS AND ACRONYMS4

FOREWORD5

1.0 INTRODUCTION6

 1.1 OBJECTIVES OF THE PERFORMANCE IMPROVEMENT PLAN (PIP).....6

 1.2 SCOPE OF THE PLAN6

 1.3 KEY PERFORMANCE EXPECTATIONS FOR PERFORMANCE IMPLEMENTATION PLAN7

2.0 IMPLEMENTATION OF THE PERFORMANCE IMPROVEMENT PLAN (PIP)7

 2.1 The PIP Process7

 2.2 The PIP Review and evaluation8

3.0 ADMINISTRATION OF PIP9

4.0 INSTITUTIONAL FRAMEWORK FOR IMPLEMENTATION9

5.0 MONITORING AND EVALUATION9

6.0 REVIEW OF THE PIP9



ABBREVIATIONS AND ACRONYMS

ADHRA – Assistant Director, Human Resource and Administration

BOM – KMFRI Board of Management

SPAS – Staff Performance Appraisal System

BSC – Balanced scorecard

BSCP – Balanced scorecard Policy

GIRRSP – Guidelines for Implementation of Rewards, Recognition, and Sanctions Policy

HODs – Heads of Departments

PIP – Performance Improvement Plan/Process

KMFRI - Kenya Marine and Fisheries Research Institute

KOPAC - KMFRI Outstanding Performance Award Committee

RRSP - Rewards, Recognition, and Sanctions Policy

SMART – Specific, Measurable, Attainable, Realistic and Time-bound

FOREWORD

The Kenya Marine and Fisheries Research Institute (KMFRI), in line with Government Human Resource (HR) policies and Public Service Commission Performance Management, 2016 has developed the Staff Performance Appraisal System (SPAS), Balanced Scorecard (BSC), Balanced scorecard Policy (BSCP), Rewards, Recognition, and Sanctions Policy (RRSP), and Guidelines for Implementation of Rewards, Recognition, and Sanctions Policy (GIRRSP). This is because KMFRI is committed towards moving from performance measurement to performance management that is understood by all levels of the Institute and that supports objectives and the collection of results. More so, the institute is committed to providing efficient and effective service delivery to her internal and external clients. Towards this end, emphasis has been placed on productivity and performance improvement.

However, a key element in performance management is rewarding of exemplary performance and motivating of poor performers within a framework that also supports the objective of attracting, nurturing and retaining qualified and highly productive staff. It is against this background that KMFRI's Performance Improvement Plan/Program (PIP) was developed. This is meant to operationalize the outputs of GIRRSP in order to inculcate improved performance mentality and spirit by not just building a framework of improving poor performers, but also infusing disciplined culture for better results.

To fully realize the objectives outlined in the SPAS, BSC, BSCP, RRSP, and GIRRSP, the purpose of the PIP is to directly address and resolve performance issues. The PIP communicates the performance discrepancies, when an improved level of performance is to be achieved and the action steps that will assist the employee in meeting performance expectations.

It is envisaged that the implementation of PIP forms the basis on which KMFRI will meet its Corporate Vision and Mission. I therefore take this opportunity to call upon all KMFRI employees to continuously strive for excellence in the noble duty of serving the nation and improving the people's livelihood.

Prof. James M. Njiru, PhD

DIRECTOR/CEO KMFRI



1.0 INTRODUCTION

KMFRI is committed to implementing a comprehensive Performance Improvement Plan (PIP) in line with Government Human Resource (HR) policies and Public Service Commission Performance Management, 2016. The PIP is based on resultant staff performance levels from KMFRI statutory documents that consist of Staff Performance Appraisal System (SPAS), Balanced Scorecard (BSC), Balanced scorecard Policy (BSCP), Rewards, Recognition, and Sanctions Policy (RRSP), and Guidelines for Implementation of Rewards, Recognition, and Sanctions Policy (GIRRS), as well as the Terms and Conditions of Service.

This is because, the process of identifying root causes of poor performance, outlining clear expectations for improvement, and giving the employee a chance to remedy shortcomings, could not only save time and costs related to termination and re-hiring, but will also create a culture of performance accountability for employees and their managers.

Performance improvement plan herein is not only designed for those who are falling short of their current requirements, but also for those who are currently feeling unfulfilled in their roles. Improvement plans will be used to increase employee mobility, allowing them to transition into higher-level roles or move laterally into roles that they feel they are better suited for. All of these is towards creating a better trained, more talented workforce of the institute.

However, KMFRI lacks a comprehensive PIP framework on implementation of her statutory documents on performance measures. The absence of a PIP has made it difficult to provide and implement guidelines that detail circumstances under which mentorship, guidance and role models could be administered. The plan is aimed at providing employees with the necessary directions for completing specific goals. It is an efficient tool for increasing worker productivity and resolving weaknesses in the workplace.

1.1 OBJECTIVES OF THE PERFORMANCE IMPROVEMENT PLAN (PIP)

The objectives of the implementation of the Performance Improvement Plan (PIP) at KMFRI are to:

- i) Improve and sustain the desired performance results of each staff member
- ii) Address performance discrepancies identified
- iii) Provide identification of expected performance results that do not meet performance expectations
- iv) Provide adequate descriptions of required performance improvements
- v) Initiate action steps that a staff member might take to correct performance – including identification of training and other resources available
- vi) Provide a statement of consequences that will occur if required improvement is not achieved
- vii) Establish regular meetings for the mentors/role models/supervisors and staff member and facilitate collaboration and ongoing communication

1.2 SCOPE OF THE PLAN

This plan covers all KMFRI staff and will include both individual and work groups/teams.

1.3 KEY PERFORMANCE EXPECTATIONS ON PERFORMANCE IMPLEMENTATION PLAN

This section of the PIP communicates the performance results that are expected. The performance standards should communicate observable, specific indicators of successful performance expressed in terms of Quantity, Quality, Timeliness, Cost, Safety, or Outcomes. Performance standards should be S.M.A.R.T as follows:

- i) Specific – Performance standards should let employees know exactly which actions and results they are expected to accomplish;
- ii) Measurable – Whenever possible, objectives and standards should be based on the quantitative measures i.e. performance measures or weighted scores derived from BSC;
- iii) Attainable – The objective or standard should be achievable and set based on reasonable productivity standards;
- iv) Relevant – The performance standards should be relevant to the job responsibilities;
- v) Equal opportunities: Equal opportunities should be availed to all employees; and
- vi) Timely – Results should be delivered within a time period that meets the department and KMFRI needs.

2.0 IMPLEMENTATION OF THE PERFORMANCE IMPROVEMENT PLAN (PIP)

KMFRI PIP will be implemented to aid in correcting performance challenges associated with the performance, skills and expertise of employees and will not be used to correct inappropriate behavioral conduct or a violation of work rules as per terms and conditions of service.

The PIP will be implemented when an employee's overall performance rating falls at the "Satisfactory" or below levels as per the KMFRI statutory documents that consist of Staff Performance Appraisal System (SPAS), Balanced Scorecard (BSC), Balanced scorecard Policy (BSCP), Rewards, Recognition, and Sanctions Policy (RRSP), and Guidelines for Implementation of Rewards, Recognition, and Sanctions Policy (GIRRSP). This is an employee who attains satisfactory performance (50% -74% of the agreed performance) or below 50% to enable him/her attain higher performance. The PIP will also be implemented if the supervisor determines the employee's current performance requires improvement after the supervisor has held prior discussions with the employee and has communicated the expectations.

2.1 The PIP Process

The Institute will implement the PIP administered by the heads of directorates and with direct supervision from the office of the Director. The Programme may include among others, capacity-building and training, coaching and mentoring, and meetings with top management for guiding and counseling and provision of necessary resources (Figure 1). The PIP plan will adhere to the existing KMFRI statutory documents that consist of Staff Performance Appraisal Systems (SPAS), Balanced Scorecard (BSC), Balanced scorecard Policy (BSCP), Rewards, Recognition, and Sanctions Policy (RRSP), and Guidelines for Implementation of Rewards, Recognition, and Sanctions Policy (GIRRSP) in the identification of candidates for the process. The process will also follow the terms and conditions of service of the institute.

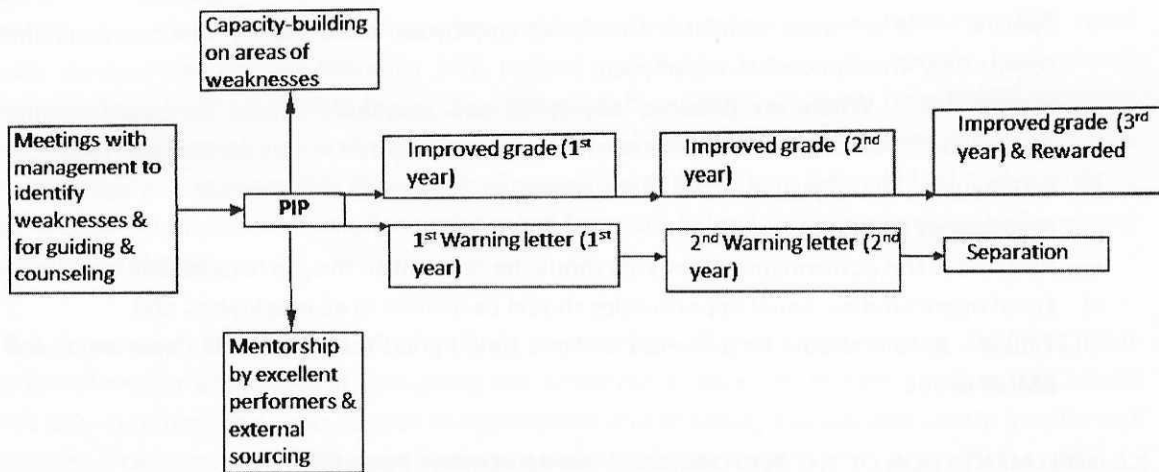


Figure 1. Schematic representation of the inclusion of PIP process in the enhancement of performance in KMFRI.

The employee aspects of the unsatisfactory performance that require immediate improvement will be sourced from existing performance measures documents employed by the institute i.e. SPAS, BSC, BSCP, RRSP, and GIRRS in the identification of candidates for the process. The BSC will clearly define the performance challenges that exist with the particular employee. Each discrepancy will be identified in a separate statement and clearly communicated, citing specific examples whenever possible. Such statements will be supported by appropriate documentation.

Approval from the office of the Director will be required whenever an employee is being placed on a PIP, separated and/or terminated. Supervisors will be required to consult with their Human Resources Representative for guidance. The completed PIP will be sent to the employee's personnel file after appropriate signatures and approvals have been obtained.

In the PIP process, the supervisor will establish an action plan aimed at correcting the employee's performance. For example, if additional training is required, the training will be specified, as should be the timetable in which it will be accomplished. Other items that will be considered in the action plan section of the PIP are identification of any special support which will be given by the manager and special efforts/activities or assistance suggested by the employee as necessary to reach the goal(s).

2.2 The PIP Review and evaluation

During PIP review, every employee who participated in the process shall prepare a status report to track progress of achievement. This review shall be conducted on quarterly basis and it is an opportunity for:

- i) Both the Supervisor and Appraisee to jointly review the progress made by the Appraisee in accomplishing the performance targets previously agreed on at the beginning of the appraisal period;
- ii) Supervisor and Appraisee to discuss any targets varied and or added in the respective sections of the appraisal report; and

- iii) Review any constraints experienced and whether there is need to vary the initial performance targets in order to accommodate any unforeseen circumstances.

In this section of the PIP, the supervisor will communicate the performance observed throughout the PIP review period. Supervisors will maintain written documentation concerning performance discussions, summarizing dates and details of each discussion or meeting, throughout the PIP review period. Supervisors will consult with their Human Resources Representative for guidance. If an employee fails to improve their performance as required in the PIP, the supervisor should follow the appropriate next steps based on the process flow as illustrated in Figure 1 and as per terms and conditions of service. If the employee will be placed on a PIP as a final step in the progressive disciplinary process, the supervisor will consult with the department's Human Resources Representative and obtain approval from the office of the Director prior to proceeding with the separation process.

3.0 ADMINISTRATION OF PIP

The PIP will be administered in accordance with the institutional framework set herein and will be applicable to the individual employee. The PIP will work in conjunction with KMFRI performance measures' documents that include SPAS, BSC, BSCP, RRSP, and GIRRS in issuance of awards, promotions, roll of honour, promotions, contract renewals, paid vacations and application of sanctions.

4.0 INSTITUTIONAL FRAMEWORK FOR IMPLEMENTATION

Just like other KMFRI performance measures' documents that include SPAS, BSC, BSCP, RRSP, and GIRRS, in order to ensure implementation of PIP, the following institutional framework will be used:-

- i) ADHRA shall ensure that all employees are on BSC and other complementing appraisal frameworks;
- ii) KOPAC shall submit recommendations for rewards, recognition and sanctions to the Director KMFRI;
- iii) KOPAC shall submit nominees' for the PIP process to the Director, KMFRI;
- iv) KOPAC shall prepare and submit annual PIP report to the Director, KMFRI; and
- v) The Director shall implement the PIP policy upon approval by the Board of Management.

5.0 MONITORING AND EVALUATION

The implementation of the PIP will be monitored and evaluated on an annual basis to assess the extent to which the policy has contributed to enhanced performance and overall service delivery at KMFRI. The outcome of the monitoring and evaluation will be used to guide on the improvement and design of future guidelines on staff performance with a view to ensuring sustainability in improving and sustaining performance. The reporting mechanisms and continuous feedback will be undertaken through the institutional framework provided in the PIP.

6.0 REVIEW OF THE PIP

The PIP shall be reviewed every three (3) years or as need arises in order to address emerging issues.