

STAFF PERFORMANCE MANAGEMENT

PREFACE

We aim to be an effective organisation. Managing performance at the organisation, business unit and individual level will help us to achieve this goal.

The NSW Ombudsman has developed a staff performance management system to assist individuals and the Office improve performance by providing a clear basis for the development of individual accountabilities, reviewing performance and determining training and skills development needs as well as promoting excellence. An effective staff performance management system is critical to ensuring that we meet our obligations and future challenges.

This policy applies to all staff except Statutory Officers, who are subject to the SES Performance Management Policy.

PURPOSE

The staff performance management system has a number of purposes including:

- maximising the performance and contribution of staff in order to improve the Office's efficiency;
- fostering a culture that encourages excellence of performance;
- ensuring staff are aware of their key tasks and how they relate to Office goals, supervisors expectations and how their performance will be measured;
- promoting open and constructive communication to identify job related strengths and weaknesses, acknowledge accomplishments and improve work performance;
- promoting a results-orientated work outlook that will identify poor, satisfactory and outstanding performance and initiate appropriate action, including rewards and sanctions;
- identifying staff development needs and implement appropriate action;
- ensuring that job descriptions are realistic, appropriate, relevant, clearly defined;
- developing ways in which staff might enhance their performance and further develop skills/competencies.

RESPONSIBILITY

The overall responsibility for the performance of the Office rests with the Ombudsman. However, on a day-to-day basis Statutory Officers, Team Managers and supervisors are responsible for assessing staff performance using the Staff Performance Management Framework.

Individual staff members are responsible for fulfilling the requirements defined in their staff performance management work plan, which outlines tasks, objectives and performance indicators. These are determined through discussion between the individual and their supervisor. Each team may choose to develop performance agreement templates for identical positions, which can be modified for individual staff where necessary. The supervisor is responsible for reviewing and monitoring the implementation of their staff's performance management criteria.

NSW Ombudsman policy number:	4
Policy originally created:	1993
Last reviewed / updated:	15 May 2008
Version number:	2
Related policies:	Code of Conduct, Statement of Corporate Purpose, Managing Unsatisfactory Performance, SES Performance Management

This policy supersedes the Performance Management System Policy created in 1993.

Training and refresher sessions will be arranged for staff and supervisors on the implementation of this policy and the Staff Performance Management Framework.

Staff members who do not agree with any assessment, or believe that they have received insufficient or inaccurate feedback, will have access to a resolution process, as outlined in Section 3.6 of the Staff Performance Management Framework.

LEGISLATIVE/POLICY FRAMEWORK

Public Sector Management and Employment Act 2002

Crown Employees (Public Service Conditions of Employment) Award 2002

Occupational Health and Safety Act 2000

NSW Premier's Department Personnel Handbook

NSW Premiers' Department Strategic Management Framework

NSW Premiers' Department Performance Management Policy and Guidelines

NSW Ombudsman's Statement of Corporate Purpose, Results and Services Plan and Team Business Plans

NSW Ombudsman's Code of Conduct

Managing Unsatisfactory Performance Policy

SES Performance Management Policy

Staff Performance Management Framework

DEFINITIONS

Not applicable.

STATEMENT BY THE OMBUDSMAN

The accompanying Framework forms part of our Performance Management Policy. The policy is designed to assist individual staff, business units and the Office improve our performance by providing a clear basis for the development of individual accountabilities, reviewing performance, determining training and skill development needs as well as promoting excellence.

Each team has the authority to implement the system to suit their business needs, however all staff must have an approved agreement within 2 months of entering on duty or being appointed to another position.

OMBUDSMAN APPROVAL



Bruce Barbour

OMBUDSMAN



NSW Ombudsman

**STAFF PERFORMANCE
MANAGEMENT
FRAMEWORK**

May 2008

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STAFF PERFORMANCE MANAGEMENT FRAMEWORK

1. WHAT IS PERFORMANCE MANAGEMENT?

A performance management system is the process of identifying, evaluating and developing staff work performance so that the organisation's goals and objectives are achieved. It also benefits staff members through recognition, feedback, catering for work needs and offering career guidance. Managing performance is central to effective management of human resources as well as day-to-day management and strategic planning purposes.

The NSW Ombudsman's Staff Performance Management Framework is based on agreements developed between individual staff members, their supervisors and either Team Managers or Statutory Officers. The Team Manager and the Statutory Officer will develop their agreements with their direct supervisor, who may be the Ombudsman.

This document provides general information outlining how the staff performance management system works.

Section 1 provides an overview of the principles behind performance management.

Section 2 provides a summary of the staff performance management system.

Section 3 provides further implementation details.

Section 4 provides a range of forms that may be used. Please note however that the Performance Management Coversheet is to be used for all staff.

1.1 OBJECTIVES OF PERFORMANCE MANAGEMENT

The specific objectives of performance management are:

- to maximise the performance and contribution of staff in order to improve the Office's efficiency;
- to assist the Office to achieve its corporate goals;
- to measure and assess individual performance fairly and objectively against job related criteria and agreed performance targets;
- to develop ways in which staff might enhance their performance and develop new skills/competencies.

Each staff member's performance is measured in terms of his/her level of achievement in relation to identified major work goals/tasks.

1.2 WHO WILL BENEFIT?

Performance Management provides a mechanism for the Office to put in place responsibility for carrying out its corporate objectives (as identified in the Statement of Corporate Purpose and related plans) and to assess its progress. Communication between staff and supervisors is central to the process, so that the system benefits everyone in the Office, as well as the people in the community whom we serve.

Performance Management helps **staff** by:

- providing a clear, objective and documented outline of expectations regarding their level of work performance by giving staff a clear idea of the results they are expected to achieve;

- providing agreed standards for assessment of performance;
- providing constructive feedback on progress, both positive and negative, and identifying strategies to overcome any difficulties;
- encouraging staff, individually and with their supervisors, to consider their training needs and reinforcing management's responsibility for providing relevant work related training;
- encouraging staff to consider and plan their career options.

Performance Management helps **supervisors and managers** by:

- encouraging open communication with staff including feedback and encouragement;
- providing agreed standards against which staff performance is assessed;
- enabling supervisors and managers to better direct their staff to achieve corporate objectives;
- enabling supervisors and managers to assist staff to improve performance, identify training requirements and develop skills for career development;
- increasing the effectiveness of the work group.

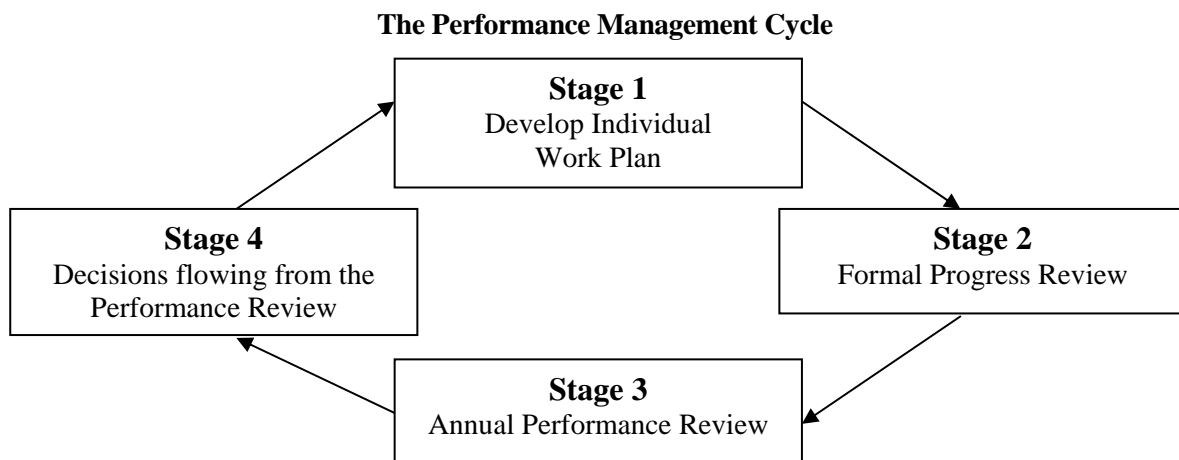
Performance Management helps the **Ombudsman's Office** by:

- linking individual contributions with the Office's objectives;
- encouraging staff to be results oriented;
- providing more accurate information about the skills and qualities of staff;
- assisting in a positive way with the personal development of staff;
- improving the planning and evaluation process.

2. IMPLEMENTATION - SUMMARY

2.1 PERFORMANCE MANAGEMENT CYCLE

Performance Management is an ongoing process linked to the Office's management planning cycle. There are four main stages in the performance management cycle:



The steps involved in each stage are listed below.

2.2 STAGES OF THE PERFORMANCE MANAGEMENT CYCLE

STAGE 1 DEVELOPING AN INDIVIDUAL WORK PLAN

- STEP 1: Each team has its own annual performance management cycle and all staff in the team will undergo each stage of the cycle at approximately the same time. The team manager retains a physical performance management file and manages a corresponding electronic file for each team member. When a staff member commences duty, Personnel will arrange for the creation of a physical and electronic performance management file. Personnel will forward the physical file, containing the performance management coversheet and the position description to the team manager or delegate within two weeks of the new staff member's entry on duty. (Forms are available in the template folder ADM/65).
- STEP 2: Before the initial meeting to discuss and develop the performance agreement with the supervisor, the staff member fills in relevant details on the performance management form and develops a draft work plan for discussion. Except for the performance management coversheet, teams may use their own forms.
- STEP 3: If the staff member occupies a position for which a generic performance agreement template already exists, the template may be amended to take into account the individual staff member's circumstances.
- STEP 4: The supervisor and staff member identify and agree on a work plan comprising major work goals/tasks, performance criteria and training and development needs (more detail in section 3.2). If necessary, the priority (high/medium/low) is agreed.
- STEP 5: The supervisor and staff member decide on the performance measurement criteria, using the position description as a basis, to establish the competent level of achievement. This will allow a fair and accurate assessment of performance at the end of each review period. The performance measurement criteria should be directly linked to team business plans and to the Statement of Corporate Purpose.
- STEP 6: The supervisor and staff member identify the skills required for successful completion of the individual work plan. They jointly assess the staff member's level of skill in each of these areas and, if needed, agree on a process to address any skill development shortcomings. The training/development plan form may also be used to note any training or development needs and how these will be met.
- STEP 7: If necessary, the staff member develops a detailed action plan, with the assistance of the supervisor, indicating how goals will be achieved.
- STEP 8: The supervisor and staff member sign and date the appropriate section of the performance management form. The work plan will be reviewed and endorsed by the Team Manager or other senior manager as appropriate, before it is finalised.

STAGE 2 FORMAL PROGRESS REVIEW

- STEP 1: This review should occur no more than six months after the work plan is first developed or six months after the annual performance review. The supervisor and staff member agree on an appropriate time and place for the formal review meeting. Sufficient time should be set aside for preparation and to allow for full discussions. The staff member should prepare by drafting a list of achievements against each of the major goals/tasks.

All supervisors should arrange regular informal meetings with each of their staff to discuss a broad range of issues and resolve any problems. Monthly meetings are recommended. The Formal Progress Review may then be timed to coincide with an informal supervision meeting.

Exceptions to the timing of the formal progress review may occur where a new staff member has commenced duty a number of months after the team's performance management cycle has commenced. However, that staff member's performance reviews will eventually be brought in line with other team members.

- STEP 2: The purpose of the review meeting is to discuss the progress of the major work goals/tasks highlighting outcomes to date. Results are noted on the performance management form.
- STEP 3: The discussion about the staff member's performance (to date) includes any unforeseen or external factors which may influence the achievement of major goals/tasks. It also includes any issues arising out of the training/development plan.
- STEP 4: Agreement between the staff member and their supervisor is reached on any changes needed in the work plan. Changes are explained and noted on the performance management form. Alternatively, a new work plan may be developed.
- STEP 5: The supervisor and staff member provide their own narrative description of the staff member's performance for each major goal/task. Differences are discussed and strategies developed to ensure that work goals/tasks are achieved by the annual performance review. If there are still outstanding issues, the matter should be referred to the team manager or statutory officer (as appropriate). Informal counselling, the managing unsatisfactory performance policy or the grievance policy are also available to the parties.

The outcome of discussions and decisions made must be recorded.

Performance problems may warrant the Formal Progress Review becoming the basis of a Performance Improvement Plan (PIP) under the Managing Unsatisfactory Performance Policy. A PIP must clearly specify the improvements expected and offer the staff member reasonable time and/or training to improve performance. If a PIP is not developed, expected improvements should still be discussed, documented as amendments to the Work Plan, and provided to the staff member.

- STEP 6 : Both parties sign and date the performance management form.

STAGE 3 ANNUAL PERFORMANCE REVIEW

- STEP 1: The supervisor and staff member agree on an appropriate time and place for a meeting. Sufficient time should be set aside for preparation and to allow for full discussions. Any relevant information the supervisor and staff member wish to discuss in the meeting or include in the annual performance review, such as feedback from relevant staff or external contacts, or other written information such as statistics, should be gathered by the supervisor and staff member before the meeting.
- STEP 2: Results of major goals/tasks are agreed upon and noted on the annual performance review form. Comments on external factors affecting outcomes or performance are also noted.
- STEP 3: If agreement cannot be reached, the conflict and grievance procedures outlined in section 3.6 will be followed.
- STEP 4: The outcomes of the skill development plan are discussed and noted.
- STEP 5: The performance management form is endorsed as appropriate.

STAGE 4 DECISIONS FLOWING FROM THE PERFORMANCE REVIEW

- STEP 1: The implications of the annual performance review are considered.
- STEP 2: If performance is above expectations, the supervisor discusses with management any appropriate performance rewards.
- If performance is below standard, the supervisor and staff member discuss options for improvement. It may also be appropriate for the supervisor to discuss with management the staff member's performance before payment of the next increment or approval of confirmation of appointment.
- STEP 3: Appropriate training and development is considered and the training development plan is revised.
- STEP 4: Changes to job or work design are considered if needed. These changes should be discussed with the Team Manager and/or the Statutory Officer before further action is considered (see section 3.5).
- STEP 5: The performance management form is endorsed as appropriate.
- STEP 6: Relevant decisions and strategies flowing from the performance review are transferred to the following year's work plan.

3. IMPLEMENTATION - DETAILS

3.1 DEVELOPING AN INDIVIDUAL WORK PLAN: [STAGE 1]

The Statement of Corporate Purpose, Results and Services Plan, Team Business Plans and resulting key performance indicators and position descriptions form the starting point for staff and their supervisors to develop individual work plans. Many positions in the Office are identical and it may be appropriate for staff in those positions and their supervisor/s to agree on generic work plans with the Team Manager. Decisions and recommendations from the previous year's performance, and decisions and recommendations flowing from the performance review are also fed into the work plan.

The staff member and the supervisor jointly agree on the aims and details of the work plan for the next 12 months, based on a draft drawn up by the staff member before the meeting. The Team Manager or other appropriate senior manager reviews the work plan before it is finalised. Priorities of projects and other tasks will be discussed and assigned as part of developing the final work plan. All parties are signatories to the final work plan.

The signed final work plan will be kept on the staff members performance management file. An electronic copy, which is saved in the electronic performance management folder, is available to both the staff member and supervisor.

3.2 COMPONENTS OF AN INDIVIDUAL WORK PLAN

The work plan shows:

- Major work goals/tasks;
- Performance measurement criteria;
- Training/development plan.

3.2.1 MAJOR WORK GOALS/TASKS

The system is designed to develop and establish goal-based criteria (what people achieve ie outputs and outcomes) and to identify developmental needs in respect of the key accountabilities and the identified competencies (ie skills, knowledge and experience) for a position. These can be found in the position description.

Goal based criteria improve performance by:

- clarifying performance goals for the person in the job;
- managing current performance;
- motivating staff, especially where goals are challenging.

Goal based criteria focus on key elements of performance, rather than the whole job.

Other criteria related to goal based criteria are behaviour-based criteria and competency based criteria. Behaviour based criteria describe behaviours to be demonstrated, such as customer handling skills.

Competency based criteria defines skills, knowledge, experience and aptitudes required for a type of job, such as communication skills, interpersonal skills, judgement, analytical ability and flexibility.

All goals should be SMART, that is:

- **Specific** - set out in enough detail to enable action to be taken;
- **Measurable** - allow progress to be assessed;
- **Achievable** - able to be met within the timeframe or at the required level;
- **Realistic** - within the ability and control of the person;
- **Time framed** - set out with a specific timeframe.

3.2.2 PERFORMANCE MEASUREMENT CRITERIA

The establishment of performance standards is one element of effective work planning and an essential component of performance assessment.

While objectivity is important, assessment of the level of performance against the performance measurement criteria will also involve a level of judgement. To maximise objectivity, it is crucial that the supervisor and the staff member discuss and agree upon the criteria that apply to each major goal/task area. Position descriptions contain a number of useful criteria that can be used for this purpose.

Some performance areas are easy to measure while some are not. Work outcomes are measured in:

- time eg meeting deadlines;
- money eg costs, meeting budget requirements;
- physical units eg forms processed, enquires answered;
- quality eg accuracy, compliance with procedures, client satisfaction.

Criteria should be based on the levels that would be achieved by a competent worker.

3.2.3 TRAINING/DEVELOPMENT PLAN

Once major goals/tasks have been developed, the staff member and their supervisor should consider the major skills needed to competently perform the job and achieve the goals outlined. For each skill identified, the staff member and supervisor should also discuss the staff member's strengths and weaknesses. The questions to consider are:

- what skills are required to carry out the work plan?
- what skills does the staff member possess?
- are there deficiencies that need to be addressed?

This information forms the basis of the training/development plan, which proposes strategies to improve skills identified as needing further development. The plan may include internal and external training, job rotation or secondments.

In detailing skill requirements and development needs, supervisors should ensure that these are in line with the position description. Supervisors should also take into account the desires of the staff member to acquire certain skills over the short and long term as part of their career development aspirations.

Although it is Ombudsman's intention to provide the necessary training to staff, the provision of training is subject to the allocation of funds and priorities established by Team Managers.

3.3 FORMAL PROGRESS REVIEW: [STAGE 2]

The purpose of the formal progress review is to provide an opportunity for feedback to staff on their progress and performance. The review should occur six months after the work plan has been developed and six months after the annual performance review each year. While ongoing reviews should be carried out regularly on an informal basis by all supervisors, a formal progress review provides an opportunity to adjust the work plan and assess the training/development plan. Any critical incidents affecting performance or the work plan should be noted and priorities re-assessed.

The purpose of the review is to:

- discuss and adjust the work plan, if circumstances have changed;
- identify and resolve any problems or concerns;
- provide feedback on staff performance, so that there will be no surprises for either the staff member or their supervisor at the annual performance review;
- examine any 'organisational barriers' to achieving the work plan;
- discuss any feedback on the staff member's performance that may have been received from external stakeholders or clients.

If there is substantial revision of the work plan, the matter must be referred to the Team Manager or Statutory Officer, as appropriate.

3.4 THE ANNUAL PERFORMANCE REVIEW: [STAGE 3]

The annual performance review is similar to the formal progress review, except that it provides for more conclusive and formal assessments and decisions.

The annual performance review meeting consolidates the outcomes of the formal and informal review processes that have taken place during the year. Unless an exceptional event has occurred since the last formal progress review, there should be nothing raised that has not already been discussed with the staff member.

The review should:

- encourage open and constructive exchange of views about staff performance;
- acknowledge good performance and results achieved;
- assess overall work competence;
- review the success of staff training and development activities;
- provide constructive feedback where goals have not been achieved;
- discuss any feedback on staff performance that may have been received from external stakeholders or clients;
- explore ways in which staff performance can be enhanced in the future;
- propose action relating to further staff training and development.

The annual performance review form requires details of results, performance level and skill development.

3.4.1 RESULTS

This is an assessment of the extent to which the staff member has achieved each of the work goals/tasks agreed upon in the individual work plan. Any external factors that influence the results should be noted and commented on.

3.4.2 PERFORMANCE

The performance level is an assessment of how well or to what extent these results have been achieved. The performance measurement criteria set in Stage 1 provide the standards against which performance can be assessed.

The feedback and documented results must be honest, balanced and accurate.

3.4.3 SKILL DEVELOPMENT/TRAINING

Any training provided during the review period should be discussed and the results noted.

3.5 DECISIONS FLOWING FROM THE PERFORMANCE REVIEW: [STAGE 4]

A number of decisions or recommendations may be made as a result of the Annual Performance Review including:

- Rewards and improvement strategies;
- Training and development;
- Work design.

Each of these is discussed below.

3.5.1 REWARDS AND IMPROVEMENT STRATEGIES

Where performance **consistently and substantially exceeds** expectations, such performance should be clearly acknowledged. Recommendations may be made to management for performance-based rewards. These include developmental opportunities in other areas, periods of acting in more senior positions or being given the opportunity to attend professional conferences.

Performance that meets or occasionally exceeds agreed standards should be acknowledged and the supervisor is to inform the staff member that they have fulfilled all the requirements of the position.

Where performance is satisfactory in most major goals/tasks but **falls below agreed standards** in one or a few, reasons for such performance need to be identified and addressed. Strategies to overcome any shortfalls should be agreed and performance reviewed regularly.

Where performance is **clearly unsatisfactory** attempts should be made to specify where difficulties arose. Areas in need of improvement should be clearly identified and a detailed strategy developed to improve performance, including identifying specific training needs. Regular formal and informal reviews should be undertaken and appropriate action may be recommended. The Managing Unsatisfactory Performance Policy should be used.

If performance remains unsatisfactory, disciplinary action may be warranted. Disciplinary action must be dealt with separately from performance management using the guidelines for disciplinary action. Disciplinary information is not to be documented on performance management forms.

3.5.2 TRAINING AND DEVELOPMENT

The specific training and development needs are considered so that the staff members has the opportunity to develop the skills required to perform their work. As well, training and development enables staff members to achieve their personal career related goals.

Training proposals may be directly related to the skills and knowledge needed to undertake the duties of the current position or they may be developmental opportunities to acquire knowledge and skills to enhance career prospects.

The primary responsibility for training and development lies with the supervisor. Staff also have a responsibility to raise any training needs with their supervisor and/or Team Manager. This can be done as a part of the performance management cycle as the need arises.

Training and development may involve job rotation or secondment as well as training courses. Proposals should be discussed with the Team Manager, Personnel Officer, or Manager Corporate.

3.5.3 WORK DESIGN

The performance review may indicate a need for a change to the actual job or to the working arrangements of the section. Such recommendations are to be made by the supervisor to the Team Manager.

All changes to position descriptions must be discussed with the Personnel Officer as this may require re-evaluation of position/s. More significant structural changes will also require consultation with all affected staff before implementation.

3.6 CONFLICT AND GRIEVANCE PROCEDURES

A staff member who does not agree with the assessment or believes that they have not received sufficient feedback should discuss the matter with their supervisor in the first instance. If the issues that are of concern are not resolved, the following steps should be taken:

- Step 1: The supervisor will refer the matter to the appropriate level of management (which in most cases will be the Team Manager or the Statutory Officer). The views of both the staff member and the supervisor will be assessed with the objective of arriving at a consensus decision.
- Step 2: If the matter cannot be resolved the Office's Grievance and Dispute Management Policy will be used.

3.7 DEALING WITH POOR PERFORMANCE

The Managing Unsatisfactory Performance Policy should be consulted when dealing with any incidence of poor performance. Poor work performance occurs where an staff member consistently fails to meet agreed and documented work objectives that are fair and reasonable. The consequences of this can affect the individual staff member, the team and the office.

3.7.1 FACTORS CONTRIBUTING TO POOR PERFORMANCE:

Some factors that may impact on poor performance include:

- organisational factors (eg poorly managed restructuring; poor work and job design with subsequent lack of challenge in work; ineffective recruitment and selection resulting in a “mismatch” of people and jobs; inappropriate planning, limited resources and competing deadlines);
- unclear lines of accountability (eg staff reporting to multiple supervisors for different projects);
- management practices (eg inappropriate or unacceptable management approach; inconsistent application of performance standards; biases, changes in opinion or lack of care or commitment on the manager’s part);
- training and development needs (eg inadequate induction and explanation of job role/responsibilities; insufficient skills, training, or experience to perform the duties and responsibilities of the position; unsupported introduction of new technology);
- poor communication between management and staff members (eg inadequate performance evaluation and feedback);
- social factors (eg disruptive personality clashes within the work environment);
- inappropriate work environment (eg occupational health and safety standards not being met; direct or indirect discrimination or workplace harassment);
- personal issues (eg lack of motivation or commitment; health or other family problems; drug and alcohol misuse).

Performance difficulties that are not work-related may require intervention or assistance by management, employee associations, an employee assistance provider, or other external agencies. The cause of performance difficulties needs to be identified and appropriate strategies developed, including training, to assist the staff member deal with identified poor work performance.

3.7.2 MANAGING POOR PERFORMANCE

The benefits of successful management of poor performance are:

- reduced interference with achievement of group goals and objectives;
- increased motivation of staff and group morale;
- reduced allocation of managerial and supervisory time and effort; and
- reduced use of the disciplinary process.

The following strategies may be used in dealing with poor performance:

- early intervention and informal counselling;
- formal counselling and the development of a performance improvement plan;
- follow up review of performance;
- deciding on the appropriate option if performance remains poor:
 - ◆ extension of the review period;
 - ◆ transfer to another location or type of work, at an equivalent grade;

- ◆ use of sanctions; and/or
- ◆ disciplinary action (in accordance with the guidelines set out in the Public Service Personnel Handbook, Chapter 9 – Management of Conduct and Performance).

Poor performance should be discussed with the Personnel Officer as soon as it has been identified as an issue that has not been resolved with informal, early intervention strategies. Formal counselling should not be undertaken without prior consultation with the Personnel Officer, to ensure that the principles of fairness, equity, protection of employee rights and sound employee relations practice are maintained. Any notes created during a formal counselling process are to be kept confidentially, as provided below.

Details of the discussion on performance difficulties or other areas of disagreement should be documented as:

- a basis for future action, eg in meeting training and development needs;
- evidence for both parties of what has taken place;
- an indication that the staff member's work performance has been under notice, and that our performance management procedure is being followed.

Personal details about staff members should not be recorded without reason. The use of broad descriptions, psychological terminology or comments on personality traits (eg “depressive” or “neurotic”) is not appropriate.

3.8 DOCUMENTATION AND CONFIDENTIALITY

3.8.1 DOCUMENTING DISAGREEMENT

If the staff member concerned disagrees with any part of the process, the relevant form could be amended if the reporting manager agrees, otherwise the staff member is entitled to record their disagreement in writing on the report. The staff member should sign the report, and be given a copy.

3.8.2 CONFIDENTIALITY

All records relating to performance management are confidential. Supervisors and managers should keep records relating to staff in a secure place. Copies of performance management documents will not be placed on Personnel files. This information may not be released to another staff member, government department, or other person(s), without the written approval of the staff member or former staff member, unless the information is required as an exhibit or evidence in legal or industrial proceedings.

4. THE FORMS

A standard set of forms are available for use, however individual teams may develop their own. The standard forms are in the template directory (ADM/65).

4.1 PERFORMANCE MANAGEMENT COVERSHEET

This is a compulsory form.

This form is to be completed and signed by both the staff member and their supervisor as soon as practicable (preferably within one week) after each stage of performance management. The format of this form cannot be modified.

4.2 WORK PLAN

This form or something similar is to be used to record the major work goals/tasks, priorities and performance criteria agreed upon between the individual staff member and their supervisor.

4.3 TRAINING/DEVELOPMENT PLAN

This form or something similar details training requirements that have been identified by the staff member and their supervisor at the time of developing the work plan. On the job training, job rotation, higher duties or special project opportunities that could be provided are to be documented and kept with the staff members work plan. Off-the-job training needs should be recorded and referred to the Team Manager.

4.4 FORMAL PROGRESS REVIEW

This form or something similar records the results (to date) that the staff member has achieved. It also identifies any external factors that have affected the achievement of results.

4.5 ANNUAL PERFORMANCE REVIEW

This form or something similar records the results achieved by the staff member based on the agreed work goals/tasks.

4.6 DECISIONS FLOWING FROM ANNUAL REVIEW

This form or something similar is completed at the time of the annual performance review. Its purpose is to identify what action is to be taken as a result of the review.