

PERFORMANCE DEVELOPMENT PROCEDURE

WE
LIFE WITHOUT BARRIERS
WE

Attachment 11.

RELATED POLICY	This procedure should be read in conjunction with the Performance Development Policy.
-----------------------	---

Table of Contents

1	Scope	2
2	Definitions	2
3	Roles and Responsibilities.....	2
4	Procedures	3
4.1	Performance Development Framework.....	3
4.1.1	Probationary Review	4
4.1.2	Performance Appraisals.....	5
4.1.2.1	Who Receives a Performance Appraisal and How Often?.....	5
4.1.2.2	What is the process for Performance Appraisal?	5
4.1.2.3	What Employees should consider before the Performance Appraisal.....	6
4.1.2.4	Understanding the Performance Appraisal Form	6
4.1.2.5	After the Performance Appraisal	7
4.1.3	Professional Supervision Framework.....	7
4.1.3.1	Functions of Supervision.....	7
4.1.3.2	Who Receives Formal Supervision and How Often?.....	8
4.1.3.3	The Supervision Contract.....	8
4.1.3.4	The Bi-monthly Supervision Record	9
4.1.3.5	After the Supervision Session	9
4.1.4	Managing Underperformance	9
4.1.4.1	Access to a Support Person.....	10
4.1.4.2	Initial Performance Counselling	10
4.1.4.3	Performance Improvement Plan	10
4.1.4.4	Performance Improvement Initial Review	10
4.1.4.5	Performance Improvement Second Review.....	11
4.1.4.6	Performance Improvement Final Review	11

PROCEDURE

PERFORMANCE DEVELOPMENT PROCEDURE



Attachment 11.

1 Scope

This procedure details the Performance Development Framework applicable to all employees at Life Without Barriers. This framework includes:

- Probationary Reviews;
- Performance Appraisals;
- Supervision; and,
- Underperformance

This procedure does not cover instances of gross or serious misconduct or other matters dealt with under the Disciplinary Action Policy and Procedure or the Termination Policy and Procedure. If after referring to the above policies and procedures you are unsure of the appropriate process or policy to follow, contact your State HR or the National HR team for advice.

2 Definitions

Underperformance is where an employee fails to effectively perform in accordance with the requirements of their role and the documented expectations of their Manager and Life Without Barriers' Management.

3 Roles and Responsibilities

ROLE	RESPONSIBILITIES
Executive Team	<ul style="list-style-type: none"> ▪ Develop and communicate the organisation's goals, priorities and performance indicators; ▪ Provide a leadership role in their commitment to performance management.
State / National HR Team	<ul style="list-style-type: none"> ▪ Develop and make available performance development policies, procedures and tools for implementation by Managers; ▪ Assist Managers to ensure that the development of all employees is managed in a structured way and in accordance with Life Without Barrier's policy and procedures; ▪ Ensure that resources are available to support identified development needs; ▪ Provide advice in relation to performance development as required. ▪ All Disciplinary Action Records are to be drafted by State Human Resources in consultation with the Manager.
Manager / Supervisor	<ul style="list-style-type: none"> ▪ Develop and communicate their area's goals, priorities and performance indicators; ▪ Ensure the performance development process is consistent with the appropriate Life Without Barriers policies and procedures including Equal Employment Opportunity and Anti-Discrimination;

PERFORMANCE DEVELOPMENT PROCEDURE

Attachment 11.

WE
LIFE WITHOUT BARRIERS
VE

ROLE	RESPONSIBILITIES
	<ul style="list-style-type: none"> ▪ Provide leadership and commitment to performance development, including a proactive approach to performance and behaviour issues; ▪ Maintain confidentiality at all times; ▪ Diarise and initiate a Probationary Review at least two weeks prior to the completion of an employee's probationary period; ▪ Diarise and initiate Performance Appraisals with all Employees. The first Performance Appraisal should be conducted during October to December within the first 12 months of employment and annually thereafter; ▪ Carry out formal supervision of employees, a minimum of 6 sessions per year; ▪ Where a manager is supervising a person with case work or case management responsibility, the manager must carry out supervision in line with the Casework Supervision Work Instruction; ▪ Carry out informal mentoring, coaching and supervision as required; ▪ Ensure that employees are supported through the performance development process and provided with the resources required to continuously improve and exceed performance indicators; ▪ Identify training needs for employees and liaise with Learning & Development to arrange for appropriate training as required; ▪ Access the latest forms and templates from the Intranet for all matters pertaining to performance Development.
Employee	<ul style="list-style-type: none"> ▪ Understand how your role contributes to the achievement of Life Without Barriers' objectives; ▪ Ensure active, honest and up front participation in all formal and informal discussions regarding performance development; ▪ Adopt a co-operative approach to the review of performance against agreed outcomes and ongoing self review of your performance goals and actions; ▪ Explore and implement strategies for continuous improvement; ▪ Explore and access personal growth and development opportunities; ▪ Where an employee has case work or case management responsibilities, they are to follow the Casework Supervision Work Instruction.

4 Procedures

4.1 Performance Development Framework

Life Without Barriers places a high priority on individual and organisational performance and the development of employees. The Performance Development Framework establishes a

PROCEDURE

PERFORMANCE DEVELOPMENT PROCEDURE



Attachment 11.

series of discussions and documentation of an employee's performance expectations, development activities and review of achievements. The framework is designed to ensure that employees develop to their full potential to achieve personal and professional goals, which are congruent with the strategic and operational objectives of the organisation.

To deliver a framework which provides opportunity for planning and goal setting, ongoing feedback and support mechanisms, the Performance Development Framework targets the following key areas:

- Probationary Review;
- Performance Appraisals;
- Professional Supervision Framework; and
- Underperformance.

Overarching these key target areas is the day to day, informal management practices necessary to assist employees in their performance and development. The above key areas are focused on the more formal aspects of performance development – they do not replace the requirement for Managers to be involved in regular management of employees as they perform their roles. Continuous effective and professional management of teams is the best way to ensure that employees do not require underperformance management.

Through the above key areas, the performance development process should:

- Align the work undertaken by individuals to business needs identified in the organisation's business plans;
- Establish a strong link between career development, the individual, and Life Without Barriers' service needs;
- Ensure employees receive regular feedback about their performance;
- Enhance communication in the workplace;
- Ensure that performance issues are managed as appropriate and as they occur;
- Identify and support individual learning and career development needs; and
- Assist in the continuous improvement of individual, team and business performance.

In the event that a Manager and an employee are unable to resolve a matter arising from this framework, the matter may be referred to your local Human Resources Team.

4.1.1 Probationary Review

The performance of employees under probation is to be monitored and reviewed by their supervisor on an on-going basis for the total period of the probation so that issues can be dealt with on a day-to-day basis.

In addition, a formal, documented review is to be carried out by way of the Probationary Review Form at seven (7) to fourteen (14) days prior to the completion of the probationary period (forms are available on the Intranet, under HR Policies & Procedures). Reviews are to be conducted by a supervisor with the appropriate delegation (refer to HR delegations document).

PERFORMANCE DEVELOPMENT PROCEDURE

WE
LIFE WITHOUT BARRIERS
VE

Attachment 11.

Following the review, the Probationary Review form is to be forwarded to the Human Resources Manager along with the decision to either confirm or terminate employment. Written confirmation or termination of employment, prepared by the State Human Resources Manager or delegated HR team member, must be presented to the employee by their supervisor prior to the completion of the probationary period.

4.1.2 Performance Appraisals

Regular Performance Appraisals are a critical part of the broader performance development process that occurs between Managers and employees.

The Performance Appraisal form is a two-page document that can be completed electronically or manually. The process requires both employees and their Managers to complete the form prior to having a face to face discussion.

The emphasis of a performance appraisal is focussed on:

- The key responsibilities and tasks expected to be carried out by the employee, and to what standard they have carried out these tasks over the specified period;
- The employee's approach to performing their role, specifically in regards to their behaviour and attitude in the workplace and within their team;
- What development opportunities are available to enhance the performance of the employee (including any training needs or career progression guidance);
- The achievements and challenges the employee has faced over the specified period;
- The employee's goals or focus areas for the upcoming 12 months.

The performance appraisal process and the annual salary review process are two separate processes and should not be considered linked. The purpose of the performance appraisal process is for giving employees the opportunity for both personal and professional development.

Managers and employees have a responsibility to actively listen and participate during the performance appraisal process in an objective and fair manner.

4.1.2.1 Who Receives a Performance Appraisal and How Often?

All permanent full-time and part-time employees should receive Performance Appraisals. The first Performance Appraisal should be conducted during October to December within the first 12 months of employment and annually thereafter.

At the Manager's discretion, a Performance Appraisal may be carried out with casual employees if the Manager feels that this would be a mutually beneficial exercise.

4.1.2.2 What is the process for Performance Appraisal?

The Manager is to fill out up to four key responsibilities relative to the employee's position and provide the employee with a copy of the Performance Appraisal form with the key responsibilities listed.

PROCEDURE

PERFORMANCE DEVELOPMENT PROCEDURE

WE
LIFE WITHOUT BARRIERS
VE

Attachment 11.

Prior to the scheduled meeting, both the employee and manager must fully complete the Performance Appraisal form from their perspective with the intention to compare and discuss at the Appraisal.

Managers should set a meeting time with each employee (typically one to two hours) to review and discuss the content of the Performance Appraisal forms.

4.1.2.3 What Employees should consider before the Performance Appraisal

As an employee, things to think about before your Performance Appraisal include:

- What are you employed to do and are you doing it?
- What aspects of your role have you found challenging and enjoyable?
- Are there any tasks or responsibilities that are not clear and you would like clarified?
- What are your strengths and what do you need to develop or improve on?
- Would you like to access learning and development opportunities?
- What are some of your goals over the next 12 months?

4.1.2.4 Understanding the Performance Appraisal Form

The Performance Appraisal Form contains five sections:

- Performance of Key Responsibilities of the Role

Managers are to select up to four key responsibilities relative to an employee's role. Both the employee and Manager will rate the employee's performance in each area. It should be noted that employees carrying out the same role (same position title) should have the same key responsibilities listed.

- Approach to Performing the Role

Both the employee and Manager will rate the employee's approach to performing their role relative to 9 core skill areas on a day to day basis. The nine key skills are:

- Relationships;
 - Communication;
 - Ethics and Integrity;
 - Leadership and Teamwork;
 - Health, Safety and Environment;
 - Adaptability/Flexibility;
 - Judgement, Decision Making and Problem Solving;
 - Time Management; and
 - Initiative
- Summary Performance Rating

Both the Employee and Manager will select an overall rating which best depicts an employee's performance evidenced by grades given in the prior two areas.

- Overall Comments

PROCEDURE

PERFORMANCE DEVELOPMENT PROCEDURE



Attachment 11.

Provides an opportunity for the employee and the Manager to record any additional comments and develop future goals.

- Learning and Development

Provides the opportunity to discuss any training and development opportunities that the employee would like to undertake, or at the Manager's request.

- Sign-off and Finalisation

Both the Manager and employee are required to sign the document to indicate participation in the process.

4.1.2.5 After the Performance Appraisal

At the completion of the appraisal, copies are to be distributed as follows:

- For the employee;
- For the Manager's reference and for future referral;
- Emailed or faxed to your local State HR team for record keeping.

4.1.3 Professional Supervision Framework

The provision of high quality, professional supervision is a proven methodology for supporting the workforce to provide quality services.

It should be noted that to ensure a proactive approach, all performance issues should be addressed either formally or informally under the Professional Supervision Framework immediately and not to wait until a scheduled Supervision Session.

4.1.3.1 Functions of Supervision

Supervision for the workforce needs to fulfil a number of functions:

- Administrative

Supervision assists to ensure that the services provided by the supervisee adhere to the relevant legislative and regulatory frameworks and Life Without Barriers' policy and procedures.

- Educational

Educational supervision assists in the development of each supervisee in a constructive, planned way to develop their full professional capacities. The desired outcome being employees with the appropriate knowledge, attitude and skill sets required to undertake their role.

- Supportive

Supportive supervision allows job-related stresses to be addressed which, unless reduced may affect the quality of the supervisee's work. It is also the preventative strategies for maintaining harmonious working relationships and the cultivation of a team culture. The desired outcome being motivated, engaged staff who obtain significant professional and personal reward from undertaking their work.

PERFORMANCE DEVELOPMENT PROCEDURE



Attachment 11.

4.1.3.2 Who Receives Formal Supervision and How Often?

All permanent full-time and part-time members of the workforce should receive Formal Supervision. Meetings should be a bi-monthly event, with 6 Formal Supervision Meetings per year considered adequate.

At the Manager's discretion or if required by State licensing or accreditation requirements, formal supervision may be carried out with casual employees if the Manager feels that this would be a mutually beneficial exercise.

All NSW employees with casework or case management responsibilities (e.g. case managers) are required to carry out monthly case reviews with their Manager. This is to be carried out in line with the Casework Supervision Work Instruction, available on the intranet. This is also recommended practice for those in case management roles in other States.

4.1.3.3 The Supervision Contract

The Supervision Contract initiates the process for the staff member's manager to provide supervision. The Contract is a clear, overt setting out of the 'rules' and should be a mutually agreed document between supervisee and the supervisor. The first Supervision session should be spent on developing and discussing the Supervision Contract.

The Supervision Contract requires development and discussion on the following:

- Contract Guidelines and Supervision Schedule
- Goals of Supervision
- Agreed Objectives
- Agreed Rules to manage conflict
- The agreed record keeper
- Signature committing parties to the Contract.

The Supervision Contract outlines instructions and fundamentals relating to the Professional Supervision Framework. Areas covered are listed below:

- Content of Supervision Sessions
- Expectations of the Supervisee and Supervisor
- The Agenda and Preparation
- Confidentiality and its Limits
- Negotiation and its Limits
- Managing Conflict and Power Disparity
- Record Keeping
- Evaluation and Review

After developing the Supervision Contract, it can then be used as a reference point for future Supervision Meetings. Six months from the initial Supervisory Contract, a Supervision session should be used to review the contract and the progress achieved in building the supervisory relationship.

PERFORMANCE DEVELOPMENT PROCEDURE



Attachment 11.

4.1.3.4 The Bi-monthly Supervision Record

The Bi-Monthly Supervision Record is to be used at all times to record the meetings. This is to be forwarded to your State HR team for filing.

The content of the supervision session is to be clearly defined as described by the supervision agenda. The supervision agenda may be drawn up at the completion of the previous session or may be prepared in the hiatus between sessions. Instructions on preparing and constructing the agenda are documented in the Supervision Contract template.

The Bi-Monthly Supervision Record is structured as per the following:

- Meeting and Attendee details and attendance signature;
- Review of Previous Supervision Session;
- Agenda items for this Supervision Session;
- Supervision discussions and action items.

As a general rule, any issue that relates to any legitimate aspect of the staff member's work is appropriate content for supervision.

Professional supervision will contribute to the employee's annual performance appraisal.

4.1.3.5 After the Supervision Session

At the completion of the session, a copy is to be given to the employee within 5 days of the supervision session and a further copy to be kept in the Supervisor/Manager's Supervision file for reference.

To ensure consistent implementation and maintenance of the supervision framework, supervisors should carry out informal mentoring, coaching and supervision alongside the formal supervision process.

4.1.4 Managing Underperformance

If an employee does not meet the minimum performance requirements, Life Without Barriers provides the guidance and opportunity to improve.

Some ways underperformance may be identified:

- Through every day informal management of performance;
- Through formal supervision and performance monitoring;
- Following the investigation of a grievance or complaint;
- During the probationary review period;
- During a performance appraisal.

In circumstances where performance issues are identified during an employee's probationary period, the supervisor must address these concerns appropriately and as soon as is practicable with the employee, and provide guidance of how to improve their performance to an organisational standard. The Performance Improvement Plan may be used as a guidance tool.

PERFORMANCE DEVELOPMENT PROCEDURE



Attachment 11.

In circumstances where underperformance is identified for permanent employees, this should be managed through the implementation of a Performance Improvement Plan.

External counselling through the Employee Assistance Program may be appropriate in some cases.

The use of a Performance Improvement Plan does not preclude authorised Managers from carrying out a disciplinary procedure with an employee whose conduct is of a sufficiently serious nature. Certain actions or behaviours by employees warrant termination without following this procedure. In such scenarios, refer to the Disciplinary Action and Termination Policies and Procedures and seek assistance from your State or National HR Manager.

4.1.4.1 Access to a Support Person

An employee must be advised of their right to invite a support person during any stage of the process.

4.1.4.2 Initial Performance Counselling

When a Manager considers the recent performance of an employee to be unsatisfactory, the Manager will meet with the employee for an initial performance counselling session to discuss:

- The nature of the underperformance (be specific and provide examples);
- Any mitigating circumstances or alternative views;
- The nature of the improvement required (be specific about what improvements and outcomes are required, ensure they are measurable and demonstrable);
- Specific development activities designed to assist in improving performance (on the part of the employee and LWB); and
- The time within which reasonable improvement is expected.

4.1.4.3 Performance Improvement Plan

The outcome of the Initial Performance Counselling Meeting will be documented as a Performance Improvement Plan which addresses each of the discussion items. This document must be dated and signed by both the Manager and the employee.

The employee will be advised that failure to remedy identified underperformance will result in disciplinary action and may ultimately lead to termination where performance is not adequately improved.

The Supervision schedule of the employee should be reviewed at this stage to ensure that appropriate monitoring of employee performance continues.

4.1.4.4 Performance Improvement Initial Review

a. Employee meets Performance Improvement Requirements

PERFORMANCE DEVELOPMENT PROCEDURE



Attachment 11.

Where the employee meets the performance improvement requirements within the specified time, this should be acknowledged in a meeting with the employee, formally recorded on the Performance Improvement Plan and placed in the employee's file.

b. Continued Underperformance and Initial Written Warning

Where a Manager considers that the employee has not produced the desired improvements in performance within the specified time, the Manager will conduct a meeting with the employee and the employee will be given the opportunity to respond to the lack of performance improvement.

Following this meeting, where explanation from the employee is not considered reasonable and acceptable, an initial written warning will be drafted by State Human Resources in consultation with the Manager and issued to the employee. The employee must sign off on the disciplinary record. A copy of the disciplinary record must be given to the employee and a copy placed in the employee's file. The employee may add their own comments on the record before signing if they wish.

The Performance Improvement Plan must be updated to include action details.

4.1.4.5 Performance Improvement Second Review

a. Employee meets Performance Improvement Requirements

Where the employee meets the performance improvement requirements within the specified time, this should be acknowledged in a meeting with the employee, formally recorded on the Performance Improvement Plan and placed in the employee's file.

b. Continued Underperformance and Final Written Warning

Where a Manager considers that the employee has not produced the desired improvements in performance within the specified time, the Manager will conduct a meeting with the employee and the employee will be given the opportunity to respond to the lack of performance improvement.

Following this meeting, where explanation from the employee is not considered reasonable and acceptable, a final written warning will be drafted by State Human Resources in consultation with the Manager and issued to the employee. The employee must sign off on the disciplinary record. A copy of the disciplinary record must be given to the employee and a copy placed in the employee's file. The employee may add their own comments on the record before signing if they wish.

The Performance Improvement Plan must be updated to include action details.

4.1.4.6 Performance Improvement Final Review

a. Employee meets Performance Improvement Requirements

Where the employee meets the performance improvement requirements within the specified time, this should be acknowledged in a meeting with the employee, formally recorded on the Performance Improvement Plan and placed in the employee's file.

PERFORMANCE DEVELOPMENT PROCEDURE

WE
LIFE WITHOUT BARRIERS
VE

Attachment 11.

b. Continued Underperformance

Where a Manager considers that the employee has not produced the desired improvements in performance within the specified time, the Manager will conduct a meeting with the employee and the employee will be given the opportunity to respond to the lack of performance improvement.

Following this meeting, where explanation from the employee is not considered reasonable and acceptable, the Manager, in consultation with Human Resources must review the process and discuss the appropriate resulting action, which may include one or more of the following:

- Termination of employment
- A second notice of Final Written Warning
- Demotion
- Other appropriate action

The Manager must inform the employee in writing of the decision as soon as practicable, which may be in the form of a Disciplinary Action Record advising of Termination. The employee may add their own comments on the record before signing if they wish.

c. Termination of Employment

Where the decision has been made to terminate the employee, the delegated manager must refer to the Termination policy and procedure.

Document Level:	Australia
Document Code:	HR 03.01.001
Compiled By:	National HR Policy Advisor
Groups Consulted:	HR, Operations, Quality Assurance
Approved By:	CEO
Date:	Dec 2013
Review:	Dec 2015
Filename:	HR 03.01.001 Performance Development Procedure

PROCEDURE