

POLICY:-	
Policy Title:	Employee Annual Performance Review Policy & Procedure
File reference:	F10/618-07
Date Policy was adopted by Council initially:	19 December 2013
Resolution Number:	410/13
Other Review Dates:	N/A
Resolution Number:	N/A
Current Policy adopted by Council:	17 August 2017
Resolution Number:	258/17
Next Policy Review Date:	2020

PROCEDURES/GUIDELINES:-	
Date procedure/guideline was developed;	
Procedure/guideline reference number:	

RESPONSIBILITY:-	
Draft Policy Developed by:	Human Resource Coordinator
Committee/s (if any) consulted in the development of this policy::	Consultative Committee
Responsibility for implementation:	General Manager
Responsibility for review of Policy:	General Manager

POLICY

OBJECTIVE

The Objective of the annual performance review is to provide managers/supervisors and staff with the opportunity to:

- Mutually and openly discuss skills acquisition and application; to conduct assessments, and to provide feedback.
- Review and update position descriptions and to redesign/re-evaluate positions, as necessary.
- Develop work plans, as necessary.
- Mutually explore methods of improving performance, and overcoming or removing barriers in the use of skills.
- Discuss career progression and training and development needs.
- Acknowledge good performance.

UNDERLYING PRINCIPLES

- The spirit in which this policy is carried out is vital. It is important to emphasise open, constructive relationships between staff at all levels, encouraging them to work together and to understand the effect their actions have on others and the organisation. Without leadership from management and appropriate training, employees are unlikely to be successful in maintaining such spirit.
- This policy acknowledges that formal performance reviews are only of real benefit when a solid foundation for them has been laid through regular discussions throughout the evaluation period. A formal evaluation should contain no surprises. It is not possible to make up for twelve months of inadequate communication in one interview.

SCOPE OF POLICY

This Policy extends to all employees of Council regardless of their employment status with the exception of:

- Employees whose position is designated as Senior Staff as required under provisions of the Local Government Act, 1993.
- Employees participating in an employment program initiative for which specific remuneration levels and conditions of employment have been set.
- Temporary and casual employees.

USE OF THE EMPLOYEE ANNUAL PERFORMANCE REVIEW

The Employee Annual Performance Review will be used to:

- Facilitate the decision making process in relation to determining eligibility to a Salary Step/s progression.
- Identify and record training needs and priorities.
- Facilitate the decision making process in relation to attendance at training courses and the priority of such attendance.
- Design/redesign of work and jobs.
- Revised Position Descriptions.
- Review any specific, plans/programs in place e.g. performance issues.

PROCEDURE

Who are the Assessors?

- Unless otherwise determined, the responsible managers/immediate supervisors will carry out performance assessments.
- The Directors will be responsible for controlling the process, and ensuring that the assessors have a detailed knowledge of the work and the staff members being assessed and also training in the process to be followed.

The Review Criteria/Standards

- The salary progression criteria contained in the position descriptions for each position has been developed with input from position holders/managers/supervisors/consultative committee.
- Additional agreed skills based salary progression criteria and work plans will be developed jointly by the responsible managers and staff, and approved by the relevant Director.
- The review process is for the performance of the individual over the previous 12 months and is to encompass all the step processors within the position holders' position description, and not just the step the incumbent is trying to achieve.

When will the Reviews Take Place?

- Annual review interviews will be carried out in March to May each year. However, managers/supervisors will monitor performance on an ongoing basis and provide feedback to employees as necessary. In specific circumstances, at the discretion of the Director/ General Manager, additional assessment reviews may be undertaken.

- Completed reviews are to be forwarded for processing by the responsible Manager/Supervisor to the Director within 14 days and same to General Manager within a further 14 days.
- Any salary increase resulting from the annual assessment will be effective from the first full pay period in the next financial year.

How Objective Will the Process be?

- The process is designed to be as fair as possible, with the focus being on job related assessment criteria for the application (use) of the required skills/performance on-the-job, and not personalities. Documentation for assessments will include details/evidence of reasons for determinations made.

What happens if Agreement is not reached on the Reviews?

- In the event that the manager/supervisor and the staff member are unable to reach agreement on assessments in relation to the acquisition and application of skills/performance, the matter shall be referred to the responsible Director (or when the assessor is the Director it is to be referred to the General Manager) who will hold a meeting as soon as possible to resolve the disagreement. A written notice from the employee concerned shall initiate any appeal; the notice shall set out the details of the appeal indicating areas of disagreement and evidence to support need for review.
- If the matter remains unresolved it will be referred to the General Manager who will provide a written response to the employee outlining the reasons for the assessment.
- The employee may have access to the grievance and dispute procedure at any point of the appeal process (Clause 31 of Award refers).

What Happens in the Case of a Substandard Assessment?

- It is important for supervisors/managers to monitor performance, and to provide feedback to staff on an ongoing basis. An early assessment and response to substandard performance will help staff in improving levels of performance.
- Where disciplinary action is the appropriate course of action the disciplinary procedures contained in Clause 32 of the Award and Councils' Disciplinary Policy are to be followed.

Confidentiality of the Review Process and Maintenance of Records

- All elements of the review and assessment processes shall remain confidential between the parties involved, including any facilitation in reaching agreement on assessments. Completed review records will be placed on the Personnel Files of employees. The proposed format of the annual Performance Review process is shown in Attachment C.

Annual Performance Review Agreement Form

- Where employees would like to participate in their annual performance review process with their immediate Supervisor and or Overseer without a certified assessor, they must fill in the Annual Performance Review Agreement Form (Attachment B)

Reference Documents:

Relevant Legislation

The following Legislation affects the operation of this Plan:-

- Local Government Act 1993;
- Local Government (General) Regulation 2005;
- Local Government (State) Award;
- Work Health and Safety Act 2011 and Regulations;
- Anti Discrimination Act 1977;
- Industrial Relations Act 1996;
- Independent Commission against Corruption Act 1988;
- Workplace Relations Act 2008;
- Fair Work Act 2009;
- Equal Employment Opportunity Act 1987;
- Government Information (Public Access) Act 2009
- Privacy and Personal Information Protection Act 1998;
- NSW State Records Act 1998;
- Trade Practices Act 1974;
- Public Interest Disclosures Act 1994; and
- Crimes Act 1900.

Related Council Policies and Procedures

The following Council Policies and documents that are relevant to this Policy include:-

- Code of Conduct for Councillors, staff, contractors and delegates of Council;
- Upper Lachlan Shire Council Resourcing Strategy documentation;
- Human Resource Training Plan;
- Staff Training Policy;
- Human Resource Succession Plan;
- Equal Employment Opportunity (EEO) Management Plan;
- Public Interest Disclosures Policy;
- Recruitment and Selection Policy;
- Complaints Management Policy;
- Grievance Policy;
- Disciplinary Policy;
- Harassment Policy;
- Interaction between Councillors and Staff Policy;

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- The logo of the Upper Lachlan Shire Council is a circular emblem. It features a central illustration of a kangaroo in a natural setting with a sun and trees. The words "UPPER LACHLAN" are written in a semi-circle above the kangaroo, and "SHIRE COUNCIL" is written in a semi-circle below it.
- Bribes, Gifts and Benefits Policy;
 - Fraud and Corruption Prevention Policy;
 - Drug and Alcohol Policy;
 - Rehabilitation Procedure and Practice Policy;
 - Time in Lieu of Overtime Policy;
 - Manual Handling Policy;
 - Child Protection Policy;
 - Employee Assistance Program (EAP) Policy;
 - Trauma Management Policy;
 - Employment and Retention Policy;
 - Work Health and Safety Policy;
 - Injury Incident Management Procedures;
 - Protective Clothing and Equipment Policy;
 - Mobile Telephone Policy;
 - Smoking in the Workplace Policy;
 - Salary Sacrificing Policy;
 - Private Use of Council Motor Vehicles Policy;
 - Performance and Misconduct Policy;
 - Volunteers Policy; and
 - Payment of Expenses and Provision of Facilities Policy.

VARIATION

- Council reserves the right to vary or revoke this policy.

The policies and procedures at Upper Lachlan Shire Council are a management tool developed to assist in operational requirements. This policy may be varied or revoked according to these requirements.

The Local Government (State) Award continues to constitute the conditions of employment for all employees at Council.



UPPER LACHLAN SHIRE COUNCIL

STAFF REVIEW

PERSONAL AND CONFIDENTIAL

Name _____

Position _____

Date _____

The Review consists of	Part A	Employee Self Review
	Part B	Supervisor's Review
	Part C	Interview Process
	Part D	Managers/Directors Review

The employee and supervisor will complete part A and B separately. The two parts will then be reviewed at an interview process. The result of the interview process will be then reviewed by the Manager/Director and be finalised by the General Manager.

Please tick the appropriate box and give as much detail as possible in your comments

Name _____

Job Position _____

Band/Level OR Grade/ Step _____

Part A. Self Review

1. Does your position description adequately cover your job?

Yes	No
-----	----

If no what other things need to be covered?

2. Do you understand the progression process and skill step requirements?

Yes	No
-----	----

If no what would you like clarified?

3. Have you implemented a process or acquired additional skills that enabled your work group to be more efficient /productive?

Yes	No
-----	----

If yes please give examples.

4. Do you think your job can be improved and what improvements would you make?

List below how your job can be improved.

5. Have you obtained additional qualifications or undertaken training since the last review?

Yes	No
-----	----

If yes please give examples.

6. Are you fully aware of Council's Work Health and Safety (WHS) & Risks procedures/ standards and the dangers involved with carrying out your job?

Yes	No
-----	----

Comments:

7. Job Satisfaction rating – if low job satisfaction has been indicated, comment on how you think this could be improved (e.g more autonomy or improved working conditions).

LOW		MEDIUM		HIGH	

Comments:

8. Are there any work accomplishments or achievements in the last 12 months that you would like to highlight?

Comments:

Please add any additional suggestions or comments you would like to make in relation to your employment with Council:

Employee's Signature _____ Date _____

Blank Page



Employee's name _____

Part B. Supervisor's Review

1. Does the employee do all his/her tasks as required?

Yes	No
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If no please give examples.

2. Does the employee need additional instruction to complete his/her assigned jobs?

Always	Mostly	Sometimes	Not at all
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Please give examples.

3. Does he/she comply with Council Work, Health and Safety procedures and standards?

Yes	No
-----	----

If no please give examples.

4. Has he/she made useful suggestions on improving how jobs are done?

Yes	No
-----	----

If yes please give examples

5. Is the employee punctual?

Always	Mostly	Sometimes	Not at all
--------	--------	-----------	------------

What improvements are required?

6. Does the employee have a good attendance record?

Yes	No
-----	----

If no what improvements needs to be implemented?

7. Does the employee co-operate and work positively with workmates and other staff?

Always	Mostly	Sometimes	Not at all
--------	--------	-----------	------------

Please give examples

8. Does the employee show desire towards skills acquisition?

Yes	No
-----	----

If yes please give examples.

Comments

9. Planning, Organising and Controlling: is the employee able to plan and organise tasks, set goals and control resources in an efficient manner:

- ☐ Good
- ☐ Satisfactory
- ☐ Needs Improvement
- ☐ Unsatisfactory (must be justified in comments)

Comments

10. Teamwork and Disposition: Does the employee appreciate the wider role of the organisation and co-operate with other Sections/Departments to further Council objectives? Is the employee cooperative in working with others and dependable in carrying out assignments or tasks allocated?

- ☐ Good
- ☐ Satisfactory
- ☐ Needs Improvement
- ☐ Unsatisfactory (must be justified in comments)

Comments

Supervisor's Signature

 Date

Employee's Name _____

Part C, Interview Process

Date: _____

In Attendance: _____

1. Objectives and tasks of position: Have they changed/need review?

Yes

No

Comments:

2. Skills/qualifications acquired since last review:

Some

None

Comments:

3. Higher Duties (assessment of regular higher duties to be undertaken)

Some

None

Comments:

4. Training needs required for this position:

Some

None

Comments:

Results of Assessment

1. Acquisition of skills and knowledge:

Has the employee acquired all the skills, knowledge and qualifications for step progression?

Yes	No
-----	----

2. Application (use) of skills:

Has the employee used existing and newly acquired skills to meet set objectives?

Yes	No
-----	----

3. General Work Performance:

Has the employee's performance throughout the assessment period met the requirements of the position?

Yes	No
-----	----

4. Behavioral Performance:

Has the employee's conduct throughout the assessment period met the requirements of the organisation?

Yes	No
-----	----

Recommendation by Assessor(s): (please circle)

Remain at existing Salary Step:

Yes	No
-----	----

Progress Salary Step/s:

Yes	No
-----	----

Progress to:

Grade:		Step:	
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Comments: _____

Employee Comments/Concurrence:

Does the employee agree with
the assessment
results/recommendation

Yes	No
-----	----

Comments:

Do you wish to have an
interview with your
Department Director
(If the Director is your
supervisor do you wish to
have an interview with the
General Manager)

Yes	No
-----	----

Comments:

Employee Signature:

Signed: _____ Date: _____

Supervisor/Manager Signature:

Signed: _____ Date: _____

Employee's Name _____

Part D. Manager's/ Directors/General Managers Review

Comments_____

Recommendations _____

Managers/Directors Signature _____ Date_____

General Manager's Comments _____

General Manager_____Date_____

Attachment B

Upper Lachlan Shire Council



Annual Performance Review Agreement Form

Objective:

To assist the annual performance review process Council has agreed to allow the immediate Supervisors and/or the Overseers to undertake the Annual Performance Reviews without a certified assessor in attendance on the proviso, this provision is agreed to and signed off by the supervisor undertaking the assessment and employee who is to be assessed.

Employee Name: _____ Date: _____

Department: _____

Employers input:

I agree to undertake the performance review process for the above employee in a fair and equitable approach, and in accordance with Council's Annual Performance Review Policy and Procedure, Equal Employment Opportunities Act, WH&S Act, and Council Code of Conduct.

Supervisor/Overseer Signature: _____

Employees input:

I agree to participate in my 2017/2018 Annual Performance Review undertaken by the Supervisor/Overseer in charge of our workgroup

Employees Signature: _____

Placed on Annual Performance Review file?

Yes

No

Is there to be a follow up review?

Yes

No

Employee Signed: _____ Date: _____

Supervisor Signed: _____ Date: _____

Witness Signed: _____ Date: _____

