

## Performance Development & Review

### Implementation Guide to Ministry of Health Policy PD2016\_040 Managing for Performance

**Policy Number** 3.132

**Policy Function** Human Resources

**Issue Date** 23 November 2016

**Summary** This purpose of this policy is to facilitate the Justice Health & Forensic Mental Health Network commitment to the development of an effective performance development and review process for all staff. Specifically, this process is to incorporate formal feedback on a regular basis and an opportunity for all staff to discuss their performance and goals.

This policy provides Justice Health & Forensic Mental Health Network specific policy and procedures on performance development and review when implementing NSW Ministry of Health policy PD2016\_040 *Managing for Performance*.

**Responsible Officer** Executive Director Governance and Commercial Services

**Applicable Sites**

- Administration Centres
- Community Sites (e.g. Court Liaison Service, Community Integration Team, etc.)
- Health Centres (Adult Correctional Centres or Police Cells)
- Health Centres (Juvenile Justice Centres)
- Long Bay Hospital
- Forensic Hospital

**Previous Issue(s)** Policy 3.132 (Nov 2011; Jul 2007)

**Change Summary**

- Updated policy references
- Updated reference to requirements of the Public Sector Performance Development Framework

**TRIM Reference** POLJH/3132

**Authorised by** Chief Executive, Justice Health & Forensic Mental Health Network

## 1. Preface

Performance development and review (PDR) is an ongoing process of planning and reviewing the work of individuals and teams. The process seeks to align work and development needs of individuals and teams with the overall direction of the health service and to recognise the future potential of staff and the contribution they can make towards goals through planned career and professional/vocational development.

PDR must be linked to the needs, agreed outcomes and direction of the health service and local work teams. This will require an effective business planning process that establishes what is to be achieved, how it will be achieved, who is responsible and provides the necessary resources to achieve the required outcomes. Linking performance to this planning process provides managers and staff with the rationale and framework for PDR.

The objectives of PDR are to:

- Ensure alignment between individual and team performance and the achievement of Justice Health & Forensic Mental Health Network (JH&FMHN) objectives and business plans;
- Provide a formal communication channel that ensures individuals understand what is expected of them and provide a means for receiving and giving feedback;
- Clarify expectations, role, responsibilities, objectives and resources required to achieve outcomes;
- Enable managers and staff to mutually address workplace problems which may otherwise impact on their ability to perform to the best of their capability;
- Introduce an outcomes-focused culture, encouraging staff to understand the relationship of their work to the achievements of the team and the organisation's objectives; and
- Identify performance that requires improvement, aiming at the continuous improvement of the individual and team capability to meet goals.

This policy provides JH&FMHN specific policy and procedure on performance development and review when implementing NSW Ministry of Health (MoH) [PD2016\\_040](#) *Managing for Performance*, and applies to all staff within JH&FMHN.

## 2. Policy Content

Employees are to be encouraged to develop their potential through activities in line with the organisation's goals. To assist with effective policy implementation, managers with staff responsibilities must receive training in PDR.

### 2.1 Mandatory Requirements

- Managers must implement local PDR procedures consistent with this policy and [PD2016\\_040](#) *Managing for Performance*.
- Staff are required to participate in performance development. Managers at all levels in conjunction with staff must implement a PDR process that meets their needs, is participative and recognises the partnership between the employee and employer.
- Where nationally or professionally endorsed competency based standards exist, they must be used.

- An up to date and relevant Position Description must be maintained for every position and reviewed annually as part of a staff member's performance review.
- As part of PDR, managers and staff must have an annual performance review. This document should detail expected performance standards, review (measurement) criteria and ensures regular feedback and review. The system must be documented, including records of staff reviews and planned development activities.
- PDR should not be linked with the disciplining of staff. While the logical consequence of continued poor performance may be the formal disciplining of staff, this should happen when the incident occurs.

## 2.2 Implementation - Roles & Responsibilities

**Executive Directors and Service Directors** are responsible for:

- Implementation of service relevant PDR procedures;
- Supporting managers to develop the necessary knowledge and skills to effectively manage the performance of their staff;
- The effective use of role modelling; and
- Monitoring compliance.

**Department Managers** are responsible for:

- Ensuring they have the requisite knowledge and skills to effectively implement PDR;
- Including PDR in the orientation of new staff as part of the local department orientation program;
- Involving staff in the implementation of PDR including attendance at PDR introductory sessions;
- Using PDR to continuously develop staff;
- Encouraging staff to utilise the JH&FMHN professional development portfolios;
- Having systems in place that monitor staff compliance;
- Building capability to ensure continual development and success;
- Setting clear performance objectives for their staff/team, monitoring their performance, and providing regular and ongoing feedback to them (including structured conversation about performance and development needs); and
- Honestly and openly addressing unsatisfactory performance.

**Staff** are responsible for:

- Participating in the development and implementation of local PDR procedures;
- Attending PDR awareness sessions;
- Participating in regular performance reviews;
- Developing their own performance with the support of their manager; and
- Actively contributing in all aspects of performance management, including openly receiving feedback and providing open and honest feedback to their manager.

### 3. Procedure Content

#### 3.1 Public Sector Performance Development Framework

The Public Sector Performance Development Framework mandates that all performance management systems in the NSW public sector must contain the following six core components and the related essential elements:

	Component	Essential elements
CONTINUOUS	<b>Set and clarify expectations</b> Collaborative process between manager and employee to set performance expectations and clarify them on an ongoing basis.	<ul style="list-style-type: none"> <li>● Each employee has an up-to-date description of their role, including required capabilities and responsibilities, linked to the organisation’s strategy.</li> <li>● All employees understand the public sector values, the capabilities required of them in their roles, and the deliverables for which they are accountable.</li> <li>● All employees are aware of the codes of conduct, policies, procedures and standards they are expected to observe.</li> <li>● All new employees (in the sector or the team) undergo a review process that includes informal and formal reviews.</li> </ul>
	<b>Monitor</b> Ongoing joint evaluation of progress towards achieving work goals and expectations, involving regular two-way feedback.	<ul style="list-style-type: none"> <li>● All employees have regular opportunities to discuss their work with their manager and receive informal feedback on their performance (either individually or as a team).</li> <li>● All employees have the opportunity to provide informal and formal feedback (through a structured assessment method) to their manager.</li> </ul>
	<b>Plan and review</b> Collaborative process between manager and employee to plan performance, linked to corporate objectives, with periodic reviews of progress towards achieving work goals.	<ul style="list-style-type: none"> <li>● All employees have an annual formal performance agreement with their manager that sets out individual performance objectives linked to corporate objectives as well as the capabilities they are required to demonstrate in their role.</li> <li>● Performance agreements for all executives who have financial accountability include mandatory performance objectives set out in Appendix A.</li> <li>● Performance agreements for all employees who have responsibility for managing people include mandatory performance objectives set out in Appendix B.</li> <li>● All employees have a formal performance review at least once a year.</li> <li>● Formal performance reviews are to inform all assessments for incremental salary progression; payment of increases determined by the Statutory and Other Officers Remuneration Tribunal (SOORT); and any contract renewal.</li> </ul>
CYCLICAL	<b>Develop</b> Collaborative process to identify and develop employees’ capabilities with periodic reviews of progress.	<ul style="list-style-type: none"> <li>● Development plans are based on the capabilities required in the role, the employees’ existing capabilities, and his/her performance objectives and/or career goals.</li> <li>● Progress against development plans is formally reviewed at least once a year.</li> </ul>
	<b>Recognise</b> Regular practice of recognising employee efforts and excellent performance outcomes and achievements.	<ul style="list-style-type: none"> <li>● Agencies have guidelines in place to help managers appropriately recognise employees at the local level.</li> </ul>
EVENT-DRIVEN	<b>Resolve unsatisfactory performance</b> Process of addressing employee unsatisfactory performance.	<ul style="list-style-type: none"> <li>● Managers promptly work with the employee to understand and resolve instances or patterns of unsatisfactory performance.</li> </ul>

### 3.2 Position Descriptions

An up to date and relevant Position Description must be maintained for every position. Not only is the Position Description an important tool for the recruitment process, it provides the basis for a staff member's performance development and review. As a minimum the Position Description must include:

- Position title (to be used in the position description/role description when referring to the job), remuneration and employment status;
- Classification and grade;
- Selection criteria;
- Duties, responsibilities and accountabilities of the position, including work health and safety responsibilities specific to the role being undertaken;
- Skills, knowledge and experience needed in the position (often referred to as capabilities);
- Information about the facility, division and work area;
- Information on the JH&FMHN values;
- Organisation chart showing the position's relationship to other positions/role titles and their classification and grade;
- Any mandatory physical, psychological or sensory requirements necessary to perform the role;
- Inherent requirements of the job, and how they will be assessed;
- Trade or professional qualifications that are a legal or award requirement for the position; or any educational requirements of the position, for example, acceptance into a recognised training program;
- Length of previous work experience or training program required for the position (only if required by law or an industrial instrument);
- Professional registration, licensing or authority to practice requirements;
- Vaccination category of the position, and mandatory vaccination requirements;
- Whether the position is an identified or targeted position, and notice of any relevant exception / exemption under the [Anti-Discrimination Act 1977](#);
- If required by the position, reference to an understanding of a particular community or cultural sensitivity;
- Information about the classification of the position in relation to mandatory criminal and working with children checks.

Position Descriptions will be regularly reviewed and ideally linked to a staff member's performance review.

### 3.3 Performance Development and Review Tool

JH&FMHN has developed a PDR Plan to reflect the requirements of the Public Sector Performance Development Framework. Managers and staff are required to use the JH&FMHN Employee Performance Development and Review Plan located under Forms on the intranet.

### **3.4 Career Planning and Succession Planning**

JH&FMHN employs a diverse range of individuals from a wide range of professional, technical, skilled and semi-skilled employment groups. Each of these groups has their own employment characteristics, industrial award structures and career progression criteria. The Service is committed to assisting staff to realise their full potential with the aim of providing staff with the opportunity to develop and achieve a rewarding career within JH&FMHN.

While the health service will address specific service wide issues resulting from staffing and service provision needs, managers should include career and succession planning as part of the PDR of staff. At the local level this can be achieved by:

- Advising staff on the opportunities available within the health service for career development and progression. This may require managers to look outside their work area for opportunities.
- Using the resources available through the health service to provide guidance and support. Examples of these resources include senior clinical and administrative managers, local professional committees or interest groups.
- Identifying staff who have demonstrated consistent superior performance and seeking advice on how best to develop and manage their career development.
- Supporting staff who move into management positions with formal training and on the job guidance.
- Identifying workplace barriers preventing career progression or adversely affecting staff retention.
- Taking time to consider the effect that staff absences or staff resignations will have on service delivery. In order to minimise disruption to services and effective management of staff, managers should consider succession planning. This requires the development and continuous support of staff to enable them to either fill short term vacancies or to be competitive when applying for a permanent vacancy.
- Encouraging staff to utilise the JH&FMHN professional development portfolios as an adjunct to documenting, planning and managing their career development.

### **3.5 Staff Reward and Recognition**

As the health industry has an industrial award based remuneration system, JH&FMHN is unable to link PDR directly with financial performance incentives as the majority of Health awards provide for salary progression based on years of service rather than satisfactory performance. For Health managers' salary increase based on performance, please refer to JH&FMHN policy [3.105 Health Manager Salary](#). Staff should not have an expectation of increased salary flowing directly from a performance review. However, career development fostered through PDR may lead to increased remuneration as staff advance in accordance with the relevant award structure.

JH&FMHN does however, want to reward and recognise staff for their efforts. Examples of recognition and reward strategies include:

- Specific positive feedback on excellent achievement;
- Development opportunities such as formal training programs, secondments and participation in research activities etc.;
- Formal recognition for individuals and teams through JH&FMHN staff recognition schemes;
- Publication of achievements in newsletters and at formal functions and activities;

- Nomination for external awards such as the Australia Day Awards, Public Service Medal and the Australian Honours System.

### 3.6 Managing Poor Performance

Effective and regular PDR will identify areas of poor performance at an early stage before the problem adversely affects the working relationship of individuals and the team. Managers must address poor performance issues with staff as they occur and utilise counselling, coaching and regular reviews to confirm that agreed corrective action has been successful.

When poor performance continues despite the best efforts of managers and staff, the need to take formal disciplinary action should be considered. In fairness to staff there should not be a delay in taking disciplinary action.

There must be a clear distinction between the two processes of PDR and discipline. Once the decision is made to take disciplinary action, PDR in relation to the specific work issue ceases. Managers must refer to the JH&FMHN policy [3.020 Conduct and Discipline](#) and/or seek guidance and support from their Executive/Service Director and then if necessary, Workforce.

### 3.7 Training and Development Opportunities

The PDR will create the need to provide staff with training and development opportunities. Managers and staff should regularly consider the need for staff to receive training and development. Knowledge and skill deficiencies should be addressed as they become apparent.

It is appropriate to include the training and development needs of staff in their annual performance agreement or action plan.

Managers should use the information gathered on staff training and development needs to provide feedback to JH&FMHN during the bi-annual Education and Training calendar planning and when service wide training needs analysis are conducted.

### 3.8 Grievances

Managers and staff have a right and expectation that their ideas, views and concerns will be addressed. Where staff members are unable to resolve a workplace issue, the matter must be addressed as set out in JH&FMHN policy [3.090 Grievance Management](#).

### 3.9 Mandatory Recording Performance Development & Reviews (PDRs) in StaffLink

NSW MoH [PD2016 040 Managing for Performance](#) requires JH&FMHN develop and implement performance management systems for their staff. This policy complies with that requirement. [PD2016 040 Managing for Performance](#) also requires JH&FMHN ensure 100% of staff participate in the performance development cycle and record the number of staff where this has been completed. JH&FMHN is required to report this data on a quarterly basis and achieve compliance of 100% of staff performance reviews.

Please find attached ([Appendix 1](#)) the easy step by step instructions for managers on how to complete this task.

## 4. Definitions

### Must

Indicates a mandatory action or requirement.

### Should

Indicates a recommended action that needs to be followed unless there are sound reasons for taking a different course of action.

## 5. Legislation and Related Documents

Legislation

[Anti-Discrimination Act 1977](#)

[Health Services Act 1997](#)

NSW MoH Policy  
Directives and  
Manuals

[PD2005 497](#) *Visiting Practitioners and Staff Specialists Delineation of Clinical Privileges for policy for imp*

[PD2016 040](#) *Managing for Performance*

[NSW Health Sector Industrial Awards](#)



## Appendix 1 – Steps to Update Performance Review Date

# Updating Performance Review Date – MSS Steps to Follow in StaffLink

### Steps to update Performance Review Date

#### Step 1 MSS

- Login to Stafflink and select '**NSWH Manager Self Service**'.
- Click on '**Performance Review Date**' to view all employees, and use the [+] icon next to the name to expand direct reports further if required.

#### Step 2 Enter Dates

- Click on the '**Performance Review Date**' function from the list of menu item list in MSS.
- Click on the '**Action**' icon next to the employee who you wish to add the details for.
- Click on the '**Add button**'
- Click on the '**calendar icon**' to enter the dates for the last performance review date and the next performance review date.
- Enter '**Y**' (Yes) or '**N**' (No) for 'Performance Plan Developed'.
- Click '**Apply**' and review the information on the next screen.
- Click on '**Next**' if the data is correct or 'Back' if editing is required.

#### Step 3 Submit

- Click on '**Submit**' and then '**Home**'. Data will not be recorded in Stafflink until the confirmation that 'Your changes have been applied' appears.
- **Note: Staff on multiple assignments will need to undertake separate performance reviews for each assignment.**
- **If you experience any difficulty following these steps, please contact HR Manager, on 9700-3045.**