**TOOL 3.2**

PERFORMANCE DEVELOPMENT PLAN AND EVALUATION RECORD

##### GUIDE FOR EMPLOYERS AND EMPLOYEES IN USING THIS TOOL

This tool contains a form organised into three sections to assist in documenting the performance development

plan and evaluation process. For each section (A, B and C) there is a description and instructions for completion.

This tool should be reviewed and tailored to meet the needs of the service.

SECTION A:

**PERFORMANCE AND DEVELOPMENT PLANNING**

*Green section of the form*

SECTION B:

**MID-PERFORMANCE PERIOD EVALUATION**

*Blue section of the form*

SECTION C:

**ANNUAL PERFORMANCE EVALUATION**

*Peach section of the form*

This tool aligns with the annual cycle proposed in the EM&D steps process.

 STEP 1: PREPARE & PLAN

SECTION A: PERFORMANCE AND DEVELOPMENT PLANNING

This section enables the employer and employee to record the planning undertaken that will form the basis of the evaluation during the performance period.

##### When to complete Section A

For existing employees, this form will be completed at or soon after the annual performance evaluation meeting, and will be reviewed and updated annually thereafter.

For new employees, this will be completed for the first time after the successful completion of the probationary period, and reviewed and updated at the annual performance evaluation meeting thereafter.

##### Identifying the Performance Indicators

[Tool 3.1 List of Performance Indicators](#TOOL3_1_LIST_OF_PERFORMANCE_INDI)provided in this resource can be used by employers and employees to select performance indicators. This is a recommended list only and early childhood services may choose to use a different tool or to modify this list to suit their organisational and employee’s needs.

**When developing a plan with an early childhood teacher, you can support the development of their practice by referencing the [Australian Professional Standards](#AUST_PROF_STANDARDS_TEACHERS)**

**[for Teachers (APST) Proficient level](#AUST_PROF_STANDARDS_TEACHERS) and the** [**Victorian Teaching Profession Code of Conduct.**](#VIC_INST_TEACHERS_CODE_CONDUCT)

##### Identifying the Goals

Organisational and/or individual goals relating to the strategic plan, the employee’s career aspirations and professional development can also be included. Any specific responsibilities of the employee relating to the organisation’s Quality Improvement Plan (QIP) for the following 12 months should also be recorded in this section. Under the National Quality Framework, an employee may be expected to contribute to the service’s overall quality improvement by taking responsibility for some areas in the service’s QIP.

**Employers and employees can identify the performance indicators with reference to** [**Tool 3.1 List of Performance Indicators**](#TOOL3_1_LIST_OF_PERFORMANCE_INDI)

**or develop their own set of indicators as appropriate to the service and the role performed by the employee. Organisational and/or individual goals can also be developed. It is important that performance indicators and/or goals are achievable, realistic, relevant to the employee's position description and reflective of continuous improvement.**

Goals that are SMART do not require performance indicators as they are developed to be measurable. Using SMART goals is helpful to assess if they have been achieved.

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##### Identifying professional development opportunities

Professional development to be implemented over the next 12 months should be planned in consultation with the employee at the same meeting in which the final evaluation takes place or soon after.

Professional development should reflect areas in which the employee requires further support, improvement or career development.

Furthermore, strategies, including any resources, support, training or professional development, should be discussed and agreed, in addition to identifying the responsible person who will organise and approve such activities.

Employers should ensure any associated costs (course, back-fill etc.) can be accommodated prior to approving.

Employers and employees may choose to include professional learning that takes place for the employee in their course obtaining further qualifications. For example, if an educator is completing a Diploma level, and some of the current learning is around child protection modules, this may be recorded as professional learning.

Once the professional development activities are agreed upon, the employee should maintain a detailed record of approved and attended courses and activities. Where an employee is working towards a qualification, regular progress towards completion can be recorded here.

For employees registered with the Victorian Institute of Teaching, the employer may accept that the professional learning undertaken to maintain registration as sufficient.

The employer may also require additional professional development to be undertaken by the employee to meet the needs of the service or development of the employee.

When completing the professional development plan for employees, employers must ensure that it is consistent with the provisions in the agreement or award which is applicable at that time.

 STEP 3: MID-PERFORMANCE

SECTION B: MID-PERFORMANCE PERIOD EVALUATION

This section will assist with identifying any additional steps that the employer or employee may need to take prior to the annual performance evaluation meeting to help the employee achieve the expected performance or undertake agreed professional development.

##### When to complete Section B

This section of the form is recommended for employers and employees that meet during the course of the year (usually mid-performance period) to review and identify progress on performance indicators, any agreed goals and professional development.

Where a mid-performance period evaluation is undertaken and documented (using this or any other tool), it is important to ensure that this record forms part of the discussions at the annual performance evaluation meeting.

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 STEP 4: ANNUAL EVALUATION

SECTION C: ANNUAL PERFORMANCE EVALUATION

This section of the form is a record and summary of the performance of the employee during the previous 12-month period. It records the employee's areas of

strength and achievements, and areas requiring further attention for continued improvement and development.

##### When to complete Section C

This section of the form is for completion at the end of the performance evaluation period.

##### Performance Indicators

Performance indicators should be reviewed to assess if they have been achieved. Section C allows for comments and it also records the agreement reached between the employer and employee regarding the performance rating if your service has implemented ratings as part of the evaluation process.

##### Goals and QIP

Goals and/or any responsibilities for the QIP should be reviewed to assess if they have been achieved and the outcome recorded.

##### Professional development

The employee should complete this section ensuring they comment regarding the usefulness of the completed professional development in meeting their performance indicators and/or goals. Early childhood teachers could also use this opportunity to reflect

on professional development as it relates to teacher registration requirements.

It is important to discuss and document the following in the annual performance evaluation:

* + areas of strength and achievement that both parties agree have occurred throughout the year (these can include how they demonstrate the service’s values)
	+ highlight areas, if any, in which the employee requires further support, improvement, and any achievements and challenges faced by the employee in contributing to the development and implementation of the QIP for the service
	+ differences, if any, between the employee’s self- assessment and the employer’s assessment of the employee to ensure that ratings are fair and

equitable, and reflect the employee’s performance during the entire evaluation period

* + professional development undertaken by the employee and its effectiveness in improving their performance
	+ any support accessed by the employee and the effectiveness of the support provided.

Refer to [Tipsheet: Crucial Conversations – providing feedback](#TIPSHEET_CRUCIAL_CONVERS).

##### When completed

At the conclusion of the annual performance evaluation, the employer should implement the service's approval and sign off process. The employee should be provided with a complete copy of Tool 3.2 and a copy filed in the employee's record following the organisation's privacy policy.

**It is assumed that both the employer and employee have undertaken some preparation prior to the performance evaluation meeting and, in most cases, the employer and employee will have also undertaken the mid-performance period (Section B) evaluation and have been meeting regularly throughout the year (monthly progress meetings are**

**recommended – refer to** [**Tool 3.3 Progress Meeting Agenda**](#TOOL3_3_PROGRESS_MEETING_AGENDA)**).**

At the final evaluation meeting or soon after, the employer and employee should prepare and plan for the next performance period and complete Section A of a new Performance Development Plan and Evaluation Record.

Meeting dates for the next 12 months should also be scheduled.

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PERFORMANCE DEVELOPMENT PLAN AND EVALUATION RECORD *(continued)*

|  |  |
| --- | --- |
| Service Name: | Performance Period: |
| Employee Name & ID: | # Direct Reports: |
| Position Title: | Qualifications: |
| Other Responsibilities [ ]  Management Authority [ ]  Nominated Supervisor [ ]  Educational Leader [ ]  OH&S Officer [ ]  Other |

|  |  |  |
| --- | --- | --- |
| **A. PERFORMANCE & DEVELOPMENT PLANNING** | **B. MID-PERFORMANCE PERIOD EVALUATION** | **C. ANNUAL / FINAL EVALUATION** |
| Performance Indicator # (e.g.3b) | Relating to National Quality Standard Quality Area: | Knowledge, Skills, Responsiveness, Documentation (KSRD): | Strategies, Resources and Actions to be taken by employer / employee | PROGRESS / STATUS | Next Steps / Comments | Rating and Comments |
| 1 |  |  |  |  |  |  |
| 2 |  |  |  |  |  |  |
| 3 |  |  |  |  |  |  |
| 4 |  |  |  |  |  |  |
| 5 |  |  |  |  |  |  |

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|  |  |  |
| --- | --- | --- |
| **A. PERFORMANCE & DEVELOPMENT PLANNING** | **B. MID-PERFORMANCE PERIOD EVALUATION** | **C. ANNUAL / FINAL EVALUATION** |
| Goal # | Organisational and/or individual employee goals, QIP responsibilities (if applicable) | Strategies, Resources and Actions to be taken by employer / employee | PROGRESS / STATUS | Next Steps / Comments | Were the goals achieved? |
| 1 |  |  |  |  |  |
| 2 |  |  |  |  |  |
| 3 |  |  |  |  |  |

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| **PROFESSIONAL DEVELOPMENT PLANNING*****Note:* please include all compulsory training or professional development required by the service. This may be updated as professional development is confirmed/approved. For employees registered with VIT relevant professional learning can be attached** |
| **Selected course/ training** (description of the activity) | **Attendance day/time** | **Course duration** | **Employer approval** *(please sign and date each activity)* | **Progress / Status** | **Quality standards that were addressed in this activity** | **Employee**: How did this support/ not support you achieving your performance indicator(s) and any other applicable goals or responsibilities? |
|  |  |  |  |  |  |  |
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Note: Please ensure the allocated time for professional development complies with the relevant agreement that applies to the employee.

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PERFORMANCE DEVELOPMENT PLAN AND EVALUATION RECORD *(continued)*

##### SECTION A: PERFORMANCE AND DEVELOPMENT PLANNING

I agree that the performance indicators and any goals and strategies set are fair and reasonable to continually improve my performance / the performance of the employee during the next 12-month performance period.

[For the employee only] I agree that the areas and my responsibilities to contribute to the service’s overall Quality Improvement Plan (QIP) are fair and reasonable, and I commit to contributing to continuous improvement during the next 12-month performance period and undertaking the approved professional development.

Employee

|  |  |  |  |
| --- | --- | --- | --- |
| Name: | Position Title: | Signature: | Date: |

Employer

|  |  |  |  |
| --- | --- | --- | --- |
| Name: | Position Title: | Signature: | Date: |

SECTION B: MID-PERFORMANCE PERIOD EVALUATION

Employee

|  |  |  |  |
| --- | --- | --- | --- |
| Name: | Position Title: | Signature: | Date: |

Employer

|  |  |  |  |
| --- | --- | --- | --- |
| Name: | Position Title: | Signature: | Date: |

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PERFORMANCE DEVELOPMENT PLAN AND EVALUATION RECORD *(continued)*

SECTION C: ANNUAL PERFORMANCE EVALUATION

To be completed by the employer in consultation with the employee.

*Guiding note:**Please record any differing views and tailor the questions for your service.*

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| **What did / does the employee do well?** |
|  |
| **What areas require further development? (Consider how the values have been demonstrated)** |
|  |
| **Were there any significant challenges that impacted upon the employee’s performance during the last 12 months? If so, include descriptions of the challenges, support offered or further support required.** |
|  |
| Outline any areas that require further review and/or additional evidence to demonstrate performance. |
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| **Has the employer or employee identified any additional support required to perform their responsibilities? If so, describe the support that the employer needs to consider for the employee/confirm what can be provided.** |
|  |
| **Any other matters to be raised or recorded relevant to this performance evaluation?** |
|  |

SECTION C: ANNUAL PERFORMANCE EVALUATION

Employee

|  |  |  |  |
| --- | --- | --- | --- |
| Name: | Position Title: | Signature: | Date: |

Employer

|  |  |  |  |
| --- | --- | --- | --- |
| Name: | Position Title: | Signature: | Date: |