7 September 2021

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Dear █████████████████

LOCAL GOVERNMENT OFFICIAL INFORMATION AND MEETINGS ACT REQUEST 2021-90

Thank you for your email of 12 August 2021 to the Carterton District Council requesting the following information:

> *"…we are seeking is related to the organisation's Human Resource strategy and Human Resource policies. Examples of such documents include:*
>
> - *Human Resource Strategy/People Management strategy*
> - *Training/ Learning and Development policy/guidelines*
> - *Employee Wellbeing policy/guidelines*
> - *Recruitment and staffing policy/guidelines*
> - *Performance management and appraisal policy/guidelines*
> - *Employee Benefits policy.*
>
> *We are seeking these (and if available, other similar) Human Resource strategy and policy documents for the period of 2010 – 2021 (with the dates). If you have a web archive where such documents may be stored, please let us know.*
>
> *By collecting and analysing the requested documents, we hope to chart how changes related to social expectations and attitudes have an influence on the policy and practice of Human Resource Management.*
>
> *An exact OIA request has been sent to all the other city, district and regional councils as well. This information will be used by a team of University of Otago researchers; and won't be shared with anyone other than the research team. All the council names and their information will be fully anonymized, and hence, no named reference to any particular council or its employees will be made in the final publication and any (or all) the subsequent press releases made in relation to the publication."*

Your request has been considered under the Local Government Official Information and Meeting Act 1987 (the Act).

For the period of 2016 - 2021, we have identified nine documents within scope of your request, attached as **Appendix 1**. Our decision on the release of each document in full is tabled below:

Period	Document	Decision
2016	1. CDC Study Assistance Policy	Release in full
2019	2. CDC Professional Development Policy	Release in full
2020	3. CDC Professional Development Policy	Release in full
2020	4. CDC Partnership for Performance Guide	Release in full
Nov 2020	5. CDC Partnership for Performance	Release in full
2020	6. CDC Remuneration, Rewards, and Performance Management Policy	Release in full
2020	7. Wellbeing strategy DRAFT	Release in full
2021	8. CDC Performance Management Procedure	Release in full
2021	9. CDC Training Policy	Release in full

Any archived Human Resource strategic policy documents for the period of 2010-2015 cannot be made available without substantial collation or research. For this reason, I am therefore refusing this part of your request under section 17(f) of the Act. I also note that it was not until around 2016 that the Council first employed a Human Resource Manager, so it is unlikely there are significant Human Resource strategic policy documents before this time.

Thank you again for your email. You have the right to ask an Ombudsman to review this decision. You can do this by writing to info@ombudsman.parliament.nz or Office of the Ombudsman, PO Box 10152, Wellington 6143.

Yours sincerely

Geoff Hamilton
Chief Executive
Carterton District Council

TE KAUNIHERA-Ā-ROHE O TARATAHI
CARTERTON
DISTRICT COUNCIL

Study Assistance

Purpose

1. Carterton District Council is committed to supporting staff who wish to continue to develop their personal and/or professional skills through further study, in support of their career development whilst working at Council. The purpose of this guideline is to outline relevant information in support of staff pursuing further study through approval, which is relevant and beneficial to both the staff member and Council.

Principles

2. Permanent staff may undertake further study while they continue to perform their primary work responsibilities. Qualifications, courses or papers will be considered where the proposed study is at a recognised tertiary/training institute and the study is relevant and enhances their current or future role, over and above standard on the job training to enable them to perform their normal day to day job tasks and responsibilities.

   The decision to support study is at the discretion of the relevant Manager and is subject to eligibility requirements and limited funding. Any decision to decline an application must have supporting reasons based on the eligibility criteria.

Scope

3. This guideline applies to:
   a. All permanent staff employed by Carterton District Council, unless otherwise specified
   b. Those employees on fixed term agreements are limited to technical and operational development requirements for their role only

Guidelines

4. The following principles will guide the decision for support through the study assistance guideline:
   - Competence in current role
   - Demonstration of organisational Connected qualities
   - That the qualification is a requirement of the employees continued work
   - That the qualification is an enhancement and will significantly add to the employees ability.
   - That the qualification, while not directly related to the employees work, may be beneficial to their future career prospects. In these cases the following additional criteria will apply:
     - Completion of more than one year service with Carterton District Council, although where a manager believes the study may be of some value to the organisation this may be waived subject to Unit Manager approval

> ➢ Relevance of study to future career development, business unit and organisational performance
> ➢ Value for money of study and reputation of tertiary institute

Managers are expected to recruit staff who meet the essential requirements of the role, including the necessary qualifications. However, if staff are appointed to a position without a qualification deemed 'essential' in the position description, the Manager may determine that it is necessary for them to undertake the qualification to support their ability to achieve 100% competence for the role.

In these situations, Carterton District Council will:
- Pay fees and provide study leave, in accordance with this guideline;
- Require the provision of evidence of successful course completion at th end of the semester/course; and
- Approve tertiary study within the first year in the role.

Study Leave

5. The provisions for study leave are contained in the Leave Pol cy (Doc ID 70384). For convenience they are repeated below.

Carterton District Council is committed to supporting staff who wish to continue to develop their personal and/or professional skills through further study, in support of their career development whilst working at Council.

Permanent staff may undertake further study while they continue to perform their primary work responsibilities. Qualifications, courses or papers will be considered where the proposed study is at a recognised tertiary/training institute and the study is relevant and enhances their current or future role, over and above standard on the job training to enable them to perform their normal day to day job tasks and responsibilities.

The decision to support study s at the discretion of the relevant Manager and is subject to eligibility requirements and funding limits.

Subject to their Managers approval an employee who is completing approved study may be granted up to a maximum of six days per year study leave to attend lectures/classes/tutorials during normal working hours. Additional time off may be allowed for exams.

Courses/papers that do not conduct weekly classes; such a distance learning, will not be allocated any regular leave during work hours. In the instance where an employee must sit an exam for a distance learning paper, time may be granted to attend and sit this exam.

Where the study is work related and supports the staff members career development, Carterton District Council will cover 100% of the cost of course/paper fees only, up to an agreed limit per financial year or per paper/course on successful completion. Text books, travel, parking, accommodation or any other levy or additional course associated costs will not be paid for.

Proof of Completion

Staff members must provide proof of successful completion once the course/paper has been passed.

If a staff member decides to choose to withdraw from the paper they will be required to reimburse the course fees to Carterton District Council.

Bond Period

If a staff member chooses to leave Carterton District Council during their study, or within 12 months of completing a course/paper that has been funded under this guideline, Carterton District Council may require reimbursement of the full amount funded. However, Managers can exerci e their discretion to ensure that staff are fairly and equitably treated.

Application for Study Assistance

Staff applying for study assistance must apply to their immediate Manager for each course/paper required and submit this to their manager.

Approved study will be at the discretion of the Unit Manager and if approved will be recorded and held on the staff members employee records.

Applications for study assistance that fall outside the parameters of this guideline can be considered on a case by case basis, and if supported must be signed off and approved by the relevant GM.

Attainment of a qualification gained, with or without the assistance of this guideline will not automatically result in a salary increase nor will it imply a change in role within the organisation.

Professional Development Policy

Purpose

1. Carterton District Council is committed to supporting staff who wish to continue to develop their personal and/or professional skills through further professional development, in support of their career development whilst working at Council. The purpose of this policy is to outline relevant information in support of staff pursuing further professional development which is relevant and beneficial to both the staff member and Council.

Principles

2. Permanent staff may undertake further professional development while they continue to perform their primary work responsibilities. Professional development may encompass secondments to other Councils or organisations and work experience in alternative roles. Qualifications, courses or papers will be considered where the proposed professional development is at a recognised tertiary/training institute and the professional development is relevant and enhances their current or future role, over and above standard on the job training to enable them to perform their normal day to day job tasks and responsibilities.

The decision to support professional development is at the discretion of the relevant Manager and is subject to eligibility requirements and limited funding. Any decision to decline an application must have supporting reasons based on the eligibility criteria.

Scope

3. This guideline applies to:
   a. All permanent staff employed by Carterton District Council, unless otherwise specified
   b. Those employees on fixed term agreements are limited to technical and operational development requirements for their role only

Guidelines

4. The following principles will guide the decision for support through the professional development assistance guideline:
   - Competence in current role
   - That the professional development is a requirement of the employees continued work
   - Demonstration of organisational connected qualities
   - That the professional development is an enhancement and will significantly add to the employees ability.

- That the professional development, while not directly related to the employees work, may be beneficial to their future career prospects. In these cases the following additional criteria will apply:
  - ➢ Completion of more than one year service with Carterton District Council, although where a manager believes the professional development may be of some value to the organisation this may be waived subject to the Managers approval
  - ➢ Relevance of professional development to future career development, business unit and organisational performance
  - ➢ Value for money of professional development and reputation of tertiary institute

Managers are expected to recruit staff who meet the essential requirements of the role, including the necessary qualifications. However, if staff are appointed to a position without a qualification deemed 'essential' in the position description, the Manager may determine that it is necessary for them to undertake the qualification to support their ability to achieve 100% competence for the role.

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- Pay fees and provide leave, in accordance with this guideline;
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Leave

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Doc ID 90908

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This Policy was reviewed in November 2020.

This Policy will next be reviewed in November 2023.

Partnership for Performance (P4P) Guide
Your performance and development conversation

CARTERTON
DISTRICT COUNCIL
TE KAUNIHERA-Ā-ROHE O TARATAHI

Set, agree and review: Up to 3 performance objectives,   3 competencies, and
At least 1 development objective

Note: new/important expectations rather than a task list

NAME: **GROUP:**   **REVIEW DATE:**

P4P provides opportunities to boost your engagement and succeed in your work through:
- Clear expectations of what and how you need to contribute
- Support for your growth and development through on going coaching and f edback – no surprises
- Formal assessment and granting of rewards according to performance

Conversation One: Agree and set your performance and development plan by:
- Reviewing relevant information e.g. your team/group business plan/manager objectives, job description/project brief, behavioural; descriptions (e.g. leader/staff profile, health and safety objectives (mandatory for managers/team leaders and field officers) and success measures.
- Drafting up to three performance objectives, and a developmental objective for the next performance year. (could be team objective) Spell out what it looks like if you were to meet the objective (outputs and behaviours), note any risks or obstacles and any support/resources you need (e.g. regular feedback and review with your manager, chance to practice or share with others). Going **beyond** meeting an objective will be confirmed by a moderation group made up of your leadership team and HR representative at the end of the year.

Conversations Two and Three: Formally review your performance for the year (in January/February and July) by:
- Drafting a self-assessment of what and how well you have achieved each objective and competency.
- Discuss your performance and development with your manager, sharing your perspectives based on facts. You may also agree to include third party feedback in the conversation.
- Agree on and overall rating and sign the form in July.

Planning and review conversations focus on your performance and development rather than remuneration. Note that your overall performance rating and the link to remuneration will be moderated so any rating agreed at the review meeting is a proposed rating until confirmed.

DOC ID 55348

On-going Conversations: Regular informal coaching and review with your manager is critical and recommended at least monthly.

Performance Objective 1 (what and how)

- Refer to business/group/team plans, goals, competency/behaviour descriptions, risks and/or success measures
- Describe the outcome and what behaviours you will use to meet the objective
- Note what resources and support you need

1. Objective	What success looks like when you meet objectives (including when this will be achieved)	Team or CDC goal that the objective aligns to (optional)
Plan, coordinate and deliver my work programme, including: - Planning and monitoring (e.g, rodent programme as per biodiversity protocol) - Providing advice/educating - Understanding and applying relevant policy requirements e.g. health and safety, P4P, leave - Continuous improvement Behaviours used to deliver the work are: - Collaborate, building partnerships and working collaboratively with others to meet shared objectives - Plans and aligns: planning and prioritising work to meet commitments aligned with Council goals - Decision quality: making good and timely decisions that keep the organisation moving forward	Outputs produced meet customer outcomes/targets (on time, to standard and budget). This will be completed by XX Date Manage exceptions in policy compliance (e.g. effort made to manage health and safety risks), to be completed on an on-going basis	Meets team goal 1 "Our work programme will deliver on LTP goal"

REVIEW

Include any third-party feedback, evidence of performance e.g. measures

Objective	Your comments	Manager/team leader comments	
Interim 6 month review (Jan/Feb) - What did you observe/ measure/achieve? - Any actions or revisions to the objective?			
Final 12 month review (July)			Recommended Rating

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		(circle one) Not Partial Meets Beyond
• What did you observe/achieve? • Record any agreement for future actions		

Performance Objective 2 (what and how)

- Refer to business/group/team plans, goals, competency/behaviour descriptions, risks and/or success measures
- Describe the outcome and what behaviours you will use to meet the objective
- Note what resources and support you need

2. Objective	What success looks like when you meet objectives (including when this will be achieved)	Team or CDC goal that the objective aligns to (optional)
Successfully complete the new data system project, including: • Contribute to design of system through development of user requirements from key customers/stakeholders • Contribute to delivery through testing and implementation of requirements and training users in the new system Behaviours used to deliver the project include: • Customer focus: building strong customer relationships and delivering customer-centric solutions • Communicates Effectively: developing and delivering multi-mode communications that convey a clear understanding of the unique needs of different audiences • Drives results: consistently achieving results, even under tough circumstances	Project deliverables completed by XX Date and to quality and cost standard	System implementation results in employees using data more effectively

REVIEW

Include any third-party feedback, evidence of performance e.g. measures

Objective	Your comments	Manager/team leader comments
Interim 6 month review (Jan/Feb) • What did you observe/ measure/achie e?		

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• Any actions or revisions to the objective?		
Final 12 month review (July) • What did you observe/achieve? • Record any agreement for future actions		**Recommended Rating** (circle one) Not Partial Meets Beyond

Performance Objective 3 (what and how)

- Refer to business/group/team plans, goals, competency/behaviour descriptions, risks and/or success measures
- Describe the outcome and what behaviours you will use to meet the objective
- Note what resources and support you need

3. Objective	What success looks like when you meet objectives (including when this will be achieved)	Team or CDC goal that the objective aligns to (optional)
Complete a maintenance plan in X location as per maintenance schedule. Behaviours used to deliver the plan are: • Plans and aligns: planning and prioritising work to meet commitments that are aligned with Council goals • Decision quality: making good and timely decisions that keep the organisation moving forward • Drives results: consistently achieving results, even under tough circumstances	Maintenanc plan meets agreed service levels Maintenance plan meets agreed budget	

REVIEW

Include any third-party feedback, evidence of performance e.g. measures

Objective	Your comments	Manager/team leader comments
Interim 6 month review (Jan/Feb) • What did you observe/ measure/achieve? • Any actions or revisions to the objective?		

DOC ID 55348

Final 12 month review (July)			Recommended Rating
• What did you observe/achieve? • Record any agreement for future actions			(circle one) Not Partial Meets Beyond

Competencies (Behaviours)

The following are behaviours that all Council staff are expected to aspire to.

Competency	What success looks like	Manager Comments	
CLIENT SERVICE ORIENTATION Making efforts to listen to and understand clients (both internal and external); anticipating client needs; giving high priority to client satisfaction.	• Customers are greeted and approached in a way that is natural and fits the individual situation • Customer report that we understand what their needs are • Customers report that there needs have been satisfied, or if not, they understand why • Customers report that they felt like we went out of their way to help • Customers report that they felt like we really cared about them as a person, and not just as a customer • Council has a good reputation in the community		**Recommended Rating** (circle one) Not Partial Meets Beyond
TEAM DEVELOPMENT Using appropriate interpersonal styles and methods to develop team spirit and intra-team co-operation.	• Staff know the names of all their colleagues • Activities are happening across teams • Team members have a shared purpose • Staff defending others especially those not in their teams • Staff celebrating each others success • Teams have systems to celebrate diversity, handle conflict, provide support and challenge individuals		**Recommended Rating** (circle one) Not Partial Meets Beyond
INTEGRITY Maintaining and promoting social, ethical, and organisational norms in conducting internal and external business activities.	• Staff holding colleagues to account • Staff not tolerating unethical behaviour • High levels of trust and confidence in ourselves and the organisation		**Recommended Rating** (circle one)

DOC ID 55348

			Not
	• Courage to speak up for what's right (courageous conversations) • Staff feel listened to and don't give up on standards • Staff empowered to speak up		Partial Meets Beyond

Development planning (mandatory)

- When writing objectives look for ways to enrich your current job and/or clearer to your career needs
- Development could include better delivery of a specific skills or behaviour, or both
- Focus on development to become competent in your role if you are new to it and seek feedback on any areas of development
- Discuss your career goals and development opportunities that will help you achieve them

Development is most effective when:

- 70% is on the job (projects, new tasks, work shadowing, acting up, managing events, facilitating or presenting)
- 20% is learning from others (coaching, peer/buddy, mentoring)
- 10% is formal training (courses, conferences, study)

Development objectives are not included in the performance rating

Development objectives/s and action/s • Focus on developing your current role and/or career • Consider development that is on-the-job, learning from others nd formal training	What success looks like when you meet objectives	By when…
Able to manage small to medium projects Attend a projects essentials course Buddy with experienced project manager Behaviours used to meet this objective: • Nimble learning: actively learning through experimentation when tackling new problems, using both successes and failures as learning fodder • Demonstrate self-awareness: using a combination of feedback and reflection to gain productive insight nto personal strengths and weaknesses	Training and buddying completed, skills and knowledge applied as a project team member. Project successfully managed	XX Date

DOC ID 55348

DEVELOPMENT REVIEW – Note ant evidence of your development

Objective	Your comments	Manager/team leader comments
What can you do now?		
What is the impact of this on your team?		

Summary and recommended rating

	Interim Review	Final Review	
Employees overall comments:			
Manager/team leader's overall comments:			Recommended overall rating (circle one) Not Partial Meets Beyond

Commitment Statement

Employee

As a CDC employee and team member I commit to keeping you inf rmed on how I am developing and identifying what I require to help me meet any challenges that occur during the year.

_____   _____   _____
Employee Name   Employee Signature   Date

Manager/Team Leader

As your manager I commit to coaching and developing you to be the best that you can be while you are at CDC and supporting your development and progress towards your objectives.

_____   _____   _____
Manager Name   Manager Signature   Date

DOC ID 55348

Partnership for Performance (P4P)

TE KAUNIHERA-Ā-ROHE O TARATAHI
CARTERTON
DISTRICT COUNCIL

Set, agree and review up to 3 performance objectives, 3 competencies and at least 1 development objective

NAME: **GROUP:**   **REVIEW DATE:**

Performance Objective 1 (what and how)

1. Objective	What success looks like when you meet the objective (including when this will be achieved)	Team or CDC goal that the objective aligns to (optional)

REVIEW

Include any third-party feedback, evidence of performance e.g. measures

Objective	Your comments	Manager/team leader comments	
Interim 6 month review (Jan/Feb) • What did you observe/ measure/achieve? • Any action or revisions to the objective?			
Final 12 month review (July) • What did you observe/achieve? • Record ant agreement for future actions			**Recommended Rating** (circle one) Not Partial Meets Beyond

DOC ID 55349

Performance Objective 2 (what and how)

2. Objective	What success looks like when you meet the objective (including when this will be achieved)	Team or CDC goal that the objective aligns to (optional)

REVIEW

Include any third-party feedback, evidence of performance e.g. measures

Objective	Your comments	Manager/team leader comments	
Interim 6 month review (Jan/Feb) • What did you observe/ measure/achieve? • Any action or revisions to the objective?			
Final 12 month review (July) • What did you observe/achieve? • Record ant agreement for future actions			**Recommended Rating** (circle one) Not Partial Meets Beyond

Performance Objective 3 (what and how)

3. Objective	What success looks like when you meet the objective (including when this will be achieved)	Team or CDC goal that the objective aligns to (optional)

REVIEW

Include any third-party feedback, evidence of performance e.g. measures

Objective	Your comments	Manager/team leader comments	
Interim 6 month review (Jan/Feb) • What did you observe/ measure/achieve? • Any action or revisions to the objective?			
Final 12 month review (July) • What did you observe/achieve? • Record ant agreement for future actions			**Recommended Rating** (circle one) Not Partial Meets Beyond

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Competencies (Behaviours)

The following are behaviours that all Council staff are expected to aspire to.

Competency	What success looks like	Manager Comments	
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TEAM DEVELOPMENT Using appropriate interpersonal styles and methods to develop team spirit and intra-team co-operation.	• Staff know the names of all their colleagues • Activities are happening across teams • Team members have a shared purpose • Staff defending others especially those not in their teams • Staff celebrating each others success • Teams have systems to celebrate diversity, handle conflict, provide support and challenge individuals		**Recommended Rating** (circle one) Not Partial Meets Beyond
INTEGRITY Maintaining and promoting social, ethical, and organisational norms in conducting internal and external business activities.	• Staff holding colleagues to account • Staff not tolerating unethical behaviour • High levels of trust and confidence in ourselves and the organisation • Courage to speak up for what's right (courageous conversations) • Staff feel listened to and don't give up on standards • Staff empowered to speak up		**Recommended Rating** (circle one) Not Partial Meets Beyond

DOC ID 55349

Development planning (mandatory). Note development objectives are not included in the performance rating

Development objectives/s and action/s • Focus on developing your current role and/or career • Consider development that is on-the-job, learning from others and formal training	What success looks like when you meet objectives	By when...

DEVELOPMENT REVIEW – Note any evidence of your development

Objective	Your comments	Manager/team leader comments
What can you do now?		
What is the impact of this on your team		

Summary and recommended rating

	Interim Review	Final Review	
Employees overall comments:			
Manager/team leaders overall comments:			Recommended overall rating (circle one) Not Partial Meets Beyond

Commitment Statement

Employee

As a CDC employee and team member I commit to keeping you informed on how I am developing and identifying what I require to help me meet any challenges that occur during the year.

_____	_____	_____
Employee Name	Employee S gnature	Date

Manager/Team Leader

As your manager I commit to coaching and developing you to be the best that you can be while you are at CDC and supporting your development and progress towards your objectives.

_____	_____	_____
Manager Name	Manager Signature	Date

DOC ID 55349

Remuneration, Rewards, and Performance Management Policy

Purpose

The purpose of this policy is to guide the remuneration of employees, enable exceptional performance to be rewarded, and ensure achievements, competence progression, and personal development are regularly reviewed and acknowledged. It also ensures that performance issues are identified and addressed appropriately.

Principles

Carterton District Council (CDC) values its staff team and is committed to developing a strong performance and development oriented organisational culture. We recognise that remuneration is an important factor in attracting, motivating and retaining talented and skilled people that the Council needs, to ensure its services meet the needs of the District now and into the future.

Scope

This policy applies to all staff.

Guidelines

Remuneration

Salaries at CDC are based on two main elements: the market value of the job and the individual's competency in the role. The council may also consider other factors including reputational issues, and affordability.

Establishing Market Value

The market value of jobs is determined using Strategic Pay data as at the end of the March quarter each year. Every position has been assigned a Strategic Pay job title. Strategic Pay provides market salary data for each job, including market median for each position and lower and upper quartiles. Salary values relevant to Carterton District Council jobs are the "Rest of North Island" values[1].

Using the data, the market value and movements for each job are calculated, and these form the basis for market salary adjustments. Assuming the job holder is performing at the same level from year to year, the market movement will be paid. Where the market value of a position drops from one year

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[1] Other values relate to Metropolitan and South Island

to the next, the market movement will be assumed to be 0% for the purposes of applying an adjustment.

An additional 3% of the market value of a position will be paid for each position. This recognises that the Council previously paid an annual "bonus" of up to 3%. At the time this was removed, it was agreed that 3% would be added to the market value.

Recognising competency
Each person in their role will be assessed as to their competency. Generally, this will be within a range of 88% to 118%. A person fully competent will be assessed as 103% (100% of the market value plus 3%). A person new to a job may start at 88%. A person will exceptional experience and skills may be assessed at 118%. As a person grows in their job and gains skill, their increasing competency will be recognised by moving them up in the competency percentage.

In August each year, the person's competency in their role will be reasse   ed and an adjustment made to their position relative to the 103% fully competent mark. This wi l be determined by the staff member's manager in consultation with the individual. This will take the form of a review of the previous year's performance, and a conversation between the manager and the individual as to how they have performed.

The new position in range will be applied to the adjus ed market value, to produce a final salary adjustment.

Ensuring equality across the Council
At the conclusion of the reviews, all the managers' recommendations are presented to the Chief Executive for approval. The Chief Executive, when considering the recommendations, will ensure the policy has been applied consistently acros the various teams and individuals.

Timing of salary adjustments
Where a team member's salary is adjusted, it will be effective from 1 July each year.

Rewards

The Council also encourages managers to acknowledge a team members' contribution through employee service programmes or other appreciation methods. In addition, teams may acknowledge certain events in a team members life with appropriate gifts or contributions.

Professional development

CDC uses the *Partnership for Performance* (P4P) Framework to outline clear expectations of team members' performance; identify opportunities for growth, development, and progression; and gather evidence to support movement within the competency range.

Regular, informal conversations between managers and team members is critical, and recommended at least monthly.

Early intervention is also key to resolving poor performance matters and can be started by either party. Even a single incident of performance below the required level calls for some feedback to the staff member (either formally or informally). It is always important to consider whether there may be underlying factors which are contributing to, or causing, a poor performance issue.

CDC's *Performance Management Procedures* outline informal and formal processes to address poor performance issues.

This Policy was reviewed in June 2020.

This Policy will next be reviewed in June 2023.

Related Policies and Procedures

Partnership for Performance (P4P) Procedures   Doc ID 55348
Partnership for Performance (P4P) Template   Doc ID 55349
Performance Management Procedures   Doc ID 125702
Serious Misconduct Policy   Doc ID 37899

CARTERTON
DISTRICT COUNCIL
TE KAUNIHERA-Ā-ROHE O TĀRATAHI

Why is Wellbeing important?

With a focus on wellbeing and   health in our workplace, not only do we improve the quality of life for our staff, and our people enjoy a happy, healthy work environment, we become a successful council through our engaged, high performing res li nt team. It just makes good sense!

Purpose

The purpose of having a wellbeing strategy is to ensure we have an environment that supports our vision *"PEOPLE FLOURISH"*.
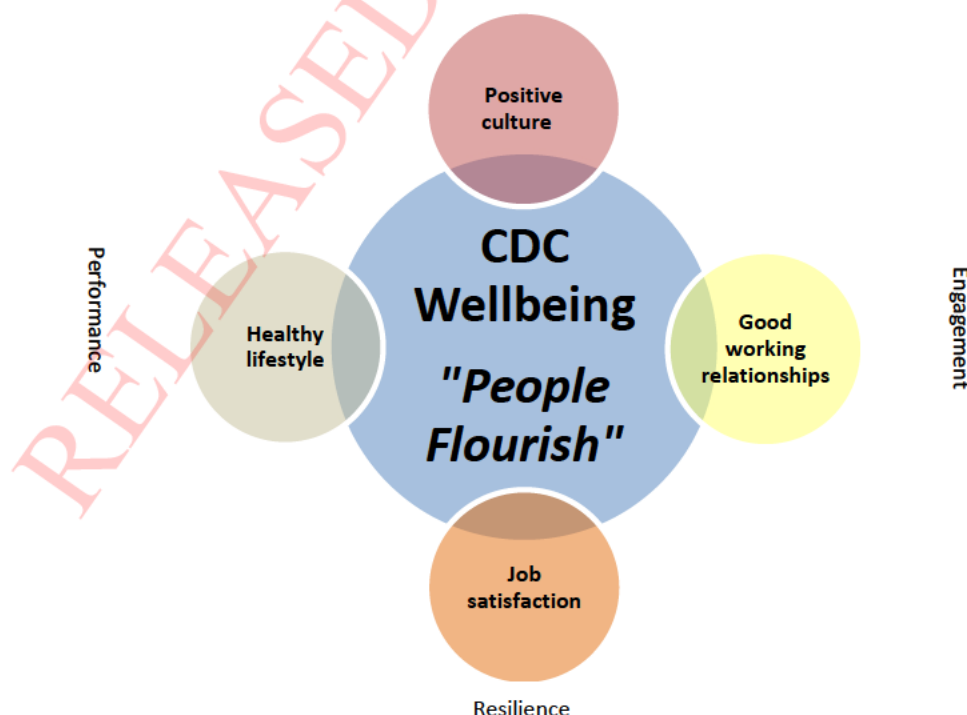
Our approach

Our approach to wellbeing is holistic, with focus on a number of areas which contribute to staff wellbeing. A lot of strategies focus only on the healthy lifestyle aspects of wellbeing, we see merit in supporting our staff with healthy lifestyle, but know it is important that you need to look wider than just lifestyle to foster wellbeing at work.

Through a POSITIVE CULTURE, an environment where people enjoy GOOD WORKING RELATIONSHIPS, staff are given opportunities of JOB SATISFACTION, and promoting a HEALTHY LIFESTYLE, we are building an ENGAGED, RESILIENT, HIGH PERFORMING eam.

Wellbeing focus areas
The four areas of wellbeing we focus on here at CDC are:

Positive culture

Performance

Healthy lifestyle

CDC Wellbeing
"People Flourish"

Good working relationships

Engagement

Job satisfaction

Resilience

DOC ID 121461

Wellbeing focus areas
What does that mean?

Healthy lifestyle initiatives

- White Ribbon accreditation
- Trauma insurance
- Sun smart policy
- Domestic violence leave
- Eye tests
- Flu injections
- Melanoma checks
- Drug and Alcohol policy
- EAP
- Retirement planning

Healthy lifestyle

Positive culture initiatives

- Social club
- Code of conduct
- Anti-bullying and harassment policy
- Working from home policy
- Te Reo
- Learning and development opportunities
- Staff newsletter

Good working relationship initiatives

- Leadership development
- Kolbe
- Team meetings
- Staff functions
- Health and safety committee
- Open and transparent communication

Good working relationships

Job satisfaction initiatives

- Pre start welcome
- Induction process
- Personal development plans
- Partnership for performance appraisal
- Living wage
- Flexible sick leave and other leave provisions
- Long service leave
- Workstation assessments
- Physical work environment
- Employer contribution to KiwiSaver over 65's

DOC ID 121461

RELEASED UNDER LGOIMA

Engaging our staff in Wellbeing

Our Health and Safety Committee have input into our wellbeing planning and initiatives, making sure we don't take an ad-hoc approach, wellbeing is fostered across all areas of council, and we stick to the plan. Wellbeing is a regular agenda item on all Health and Safety Committee meetings.

All staff were given the opportunity to attend our Knowledge Cafes and through the Knowledge Cafés staff fed into our vision, let us know what wellbeing means for them and gave us ideas on actions we could take.

Following the staff engagement, Knowledge Cafes, and drawing on what our staff told us, we are able to start to frame up our wellbeing strategy – our roadmap on how we are going to get there.

Initiatives we are working on
embedding Wellbeing into how we work

When we are considering new and revised policies, procedures, protocols, we make sure they align with our Wellbeing strategy and that they are:

- Fair
- Equitable
- Engaging
- People Centric

Wellbeing calendar (attached)

We have an annual wellbeing activities calenda , which enables us to take a considered, planned approach to wellbeing activities. Promoting some initiatives for staff to uptake themselves and taking a more proactive approach with others Our wellbeing calendar also aligns with some community wellbeing promotions and initiatives.

Tools and Resources

Following the development of the Strategy, we will need to consider the tools and resources required to support identified actions and activities.

How do we measure success?

The best way we can measure how effective our Wellbeing Strategy is to ask our people how they are doing through:

- Knowledge Cafes
- We will do an initial survey to give us a baseline, then follow up at a future date to see how we have tracked
- As CDC is a small council it will be easy for Managers and HS Committee members to do impromptu temperature checks on how wellbeing is tracking for our people.

Other metrics to measure Wellbeing

- Sick leave taken
- Retention
- CDC is seen as a good place to work, people seek us out as somewhere to work
- Annual performance appraisals and development plans are completed

DOC ID 121461

- Policies are reviewed
- Team meetings held
- Calendar activities are undertaken
- Effective inductions
- Council has successful high performing teams

PERFORMANCE MANAGEMENT PROCEDURE

1. Purpose

Carterton District Council ("CDC") believes that performance management and review is an important component of supporting employees in their work, ensuring accountability for work performed and identifying the professional development needs of the employee.

CDC is committed to ensuring that all employees:

- have a clear understanding of the work they are required to complete;
- are clear about the organisation's expectations and requirements of their work performance;
- are provided with adequate direction and support in their work;
- perform their role to the best of their ab lities and
- are accountable for the quality and outcomes of their work.

2. Guidelines

To meet these aims, all employees in CDC will take part in regular supervision and in an annual formal structured review process.

2.1 Supervision

The purpose of the regular supervision process is to provide accountability and direction for work completed within a period and:

- ensure that each employee member is completing agreed activities satisfactorily;
- identify any impediments to the satisfactory completion of tasks;
- identify any assistance, resources or professional development required; and
- reach agreements about work goals and performance for the coming period

2.2 Performance review

The purpose of the employee performance review process is to provide a formal assessment of work performance over a longer period and:

- develop agreed realistic expectations in relation to the employee's position description and work plan, against which assessment of performance can be made;
- provide a formal means by which achievements can be assessed and recognised;
- discuss and document how the employee is performing from their point of view and from their manager's/supervisor's point of view;
- seek a common ground for ways to improve employee performance where needed;
- identify strengths in skills and knowledge and consider if these can be better utilised;
- identify any weaknesses or problems in performance from the point of view of the employee and their supervisor;
- identify training needs and discuss other forms of support or on-the-job development required; and
- reach agreement on any specific goals to be pursued in the period following the assessment.

3. Procedures

3.1 Supervision

Employee will meet with their manager for formal/informal discussions. Employees may request informal consultation or direction from their manager at other times, and the manager will attempt to meet these requests within a mutually agreed time frame.

Formal supervision sessions will be held in a meeting room/office that provides privacy.

Supervision sessions will be structured so as to enable the employee member and manager to:
- identify and agree on KPI/work plans or tasks;
- discuss any issues of concern or impediments experienced in performing duties;
- discuss strategies or actions for achieving desired outcomes;
- set priorities for the coming period; and
- identify any professional development or training needs.

3.2 Performance review

The performance review is to be conducted by the employees' manager using the P4P template and guide. It is their responsibility to schedule the review at a mutually convenient time.

3.2.1 Timing

The performance reviews will generally annually. More frequent reviews e.g. Quarterly or 6-month, may be held as agreed between the employee, their manager and the People and Wellbeing Manager.

3.2.2 Review process

- The employee completes a self-appraisal.
- The completed self-appraisal is made available to the reviewer (Manager) at least 3 days prior to the review meeting.
- Managers prepare their own assessment comments for the review meeting.
- The employee, and Manager meet to discuss findings, performance, future goals and development needs. The discussion includes opportunities for both parties to clarify and explain their comments.
- The outcome is documented and agreed actions included into relevant work plans.

3.2.3 Review discussion

The manager will address the following in discussion with the employee:

1. Review work goals.

- Review the Job Description or the duties of the position and any other documentation about the role, ensuring that the job description reflects the current duties of the role.
- Review work goals established at the last review.

2. Review performance

- Review progress against documented work goals
- Review assessment information provided by employee, reviewer and any others, identifying areas of strength and achievement and areas for improvement
- Review impediments to work performance and factors impacting on the person's job performance and satisfaction

3. Identify action

- Identify any training and development needs, focussing on areas that could be improved or where outstanding performance could enable the employee to play a mentoring and support role with other employees.

- Identify any resourcing or support required.
- Identify any other actions.

4. Agree goals for next twelve months (shorter period can be arranged if necessary).

- Review the organisation's strategic plans and the team's objectives or service plan.
- Establish work goals which are closely related to the job role and the outcomes required in the objectives.
- Agree how the goals will be measured and reported.
- Identify any training and development needs necessary for the employee person to achieve the goals.
- Where performance is satisfactory or above satisfactory, identify any incentives, rewards or recognition appropriate to acknowledge the achievement of goals.

3.2.4 Documentation

- A record of the main discussion points and agreed actions is written at the meeting or immediately thereafter by Manager
- The record of discussion is reviewed by Manager and employee, corrections or changes made, and a final version signed by both parties.
- Documentation of the review should be completed within 2 weeks of the review meeting.
- The record is sent to the People and Wellbeing Manager to be kept on a confidential personnel file
- The record is should be used as reference for the implementation of the agreed actions and for consideration of progress at the next review.

3.2.5 Managing Poor Performance

If, as the result of a performance review, performance problems are identified, the manager and the People and Wellbeing Manager will implement the following steps:

3.2.6 Formal counselling (first warning)

A meeting will be scheduled and the employee member informed of the reason. The manager will:
- Ensure the employee understands the objectives and serious nature of the counselling.
- Give the employee the opportunity to have an observer or union representative present.
- Identify and agree on reasons for non-achievement of goals.

- Clarify for the employee member why their performance is unsatisfactory and the possible ramifications.
- Discuss a plan of action to address the reasons.
- Provide them with the opportunity to respond.
- Set a timeframe by which the performance issues will be addressed. 6-8 weeks is recommended.
- Identify any further training and development needs necessary for the employee member to achieve the goals.

Document the interview including all agreed outcomes. Where a formal counselling process has commenced, the manager will notify the People and Wellbeing Manager

3.2.7 Formal counselling (second warning)

If the performance issues have not been addressed within the agree time frame, the Manager will schedule another review meeting at which the issues will be reviewed, and a revised timeline agreed for the performance issues to be addressed. 4-5 weeks is recommended.

3.2.8 Final warning:

If after the first and second warnings have been given and the performance does not improve then the Manager will schedule a final warning meeting. The purpose of this meeting is to clarify for the employee member that they are required to address the issues immediately and advise them of the options if they do not achieve the agreed goals. The People and Wellbeing Manager will be asked to attend this meeting.

3.2.9 Termination

The Manager will consider all other options available including extension of the counselling process, restricting work done in the role and/or delaying salary progression. If there is still no agreed improvement in performance, then termination may be the final step.

Before commencing termination, the People and Wellbeing Manager will review all documentation to ensure that the processes have been fair and objective and that the employee has been given both the opportunity and the support to improve their performance   Termination will be the decision of the Chief Executive following advice from the Manage and the People and Wellbeing Manager.

This Policy was developed in June 2020.

This Policy will next be reviewed in June 2023.

TRAINING POLICY

1. **Training Necessary to Carry Out the Duties of the Position**

   The Council is committed to providing employee training necessary for the effective completion of their position.

   All reasonable and approved expenses incurred for attending approved training programmes will be met by the Council.

   On training programmes where the total cost is $2500.00 or greater the employee may be required to enter into a bond with Council i.e. If the employee leaves Council's employment within two years (or a lesser agreed period) of completing the course the employee will reimburse the cost of the course on a pro-rata basis calculated monthly according to the complete months remaining until the end of the period.

   Total costs mean course fees, accommodation, travel, etc.

2. **Training where the Majority of the Benefit will be Personal to the Employee**

   Where the employee undertakes a training programme which is not essential to the employee effectively being able to carry out the duties of their position, but it is determined by the employer that there is some benefit to the Council, the employer may make a contribution towards this training, up to a maximum of 20% of course fees, paid on successful completion of the course.

3. **Study Leave**

   Subject to the employee's Manager prior to enrolment, an employee may be granted up to two hours paid study leave per week for study appropriate to their employment. However employees must remember it may not be possible to grant study leave on a regular basis due to operational constraints.

   All training courses and costs must be approved by the Chief Executive in writing and be filed in the employee's personal file.

Doc ID 42046