



Procedure 3.06 - Performance Management

1.0 Application

This procedure applies to all NQBP Personnel.

2.0 Procedure

2.1 Introduction

This document outlines the requirements for employees, their managers and supervisors for the review / appraisal of individual employee performance. The procedure defines what performance at NQBP is and how performance is evaluated.

2.2 Objectives

There are numerous reasons why NQBP undertakes performance management. They include the following:

- So every employee knows what they should be doing, and how their role contributes to the strategic purpose of the corporation;
- Provides the opportunity for employees to receive and request feedback, formally at least twice a year;
- Provides managers/supervisors the opportunity for them to have a more thorough understanding of their staffs activities; and
- Helps create an open two-way communication between the employee and their manager/supervisor.

2.3 Benefits

The benefits of performance planning and evaluation processes for NQBP and staff include:

- Aligning employee activities, their role accountabilities and duties with the corporation's business goals and strategic thrusts.
- Establishing measurable objectives and track and review results (where applicable);
- Understanding how work objectives are aligned to the organization's objectives; and
- Assessing how employees have effectively applied NQBP's Values;
- Ensuring management accountability for completing performance reviews in a timely manner; and
- Increasing employee involvement in the performance planning and evaluation process.

2.4 Defining Employee Performance

An employee's individual performance at NQBP is defined as the achievement/demonstration of three elements.

They are:

- Undertaking (completing) the employees accountabilities; that is, generic, core and specific (if applicable) accountabilities.
- Demonstrating their role behaviour expectations; and

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- Your commitment to the corporation and the role you perform at NQBP.

2.4.1 Accountabilities

Accountabilities are the outcomes role holders are expected to deliver. An accountability may be defined as ‘broad areas defined by the organisation as the expectations of a role’. There are three types of accountabilities, generic, core and specific.

Generic accountabilities

These accountabilities are the same for every NQBP employee. They are:

- Contribute fully to the long term development and success of NQBP;
- Act with integrity and honesty, upholding the NQBP Values and professional image of NQBP;
- Foster relationships, support a team culture, promote knowledge and skill sharing and appreciate diversity; and
- At all times adhere to the obligations required under NQBP’s policies, including environment and safety policies and relevant legislation.

Core accountabilities

These accountabilities are those outcomes that are relevant to your particular role. They are located in each employees ‘Role Description’. Some employees will have a ‘Statement of Duties’ in addition to Core Accountabilities. These are typically tasks that may be considered of a routine nature that are required to be undertaken on a regular basis.

Specific accountabilities

These accountabilities are optional, not everyone will have them. More typically, they are those accountabilities that have deadlines that need to be achieved by a specific time period. Specific accountabilities are not unlike ‘key performance indicators’. Specific accountabilities should be written ‘S.M.A.R.T’, that is; Specific, Measurable, Achievable, Realistic; and Timely/trackable.

2.4.2 Role Behaviours

Role behaviours are behavioural competencies that we are expected to demonstrate when performing our role.

There are four role contributor levels, the Individual; Supervisor/professional; Manager; and Executive contributor level (refer attachment 1).

2.4.3 Commitment

Commitment is the level of emotional engagement an employee has to the business, evidenced by the amount of contribution and discretionary effort applied. Further, it is the amount of support and assistance an employee provides in the achievement of others performance accountabilities (helping others achieve success).

Its definition is; the level an employee is emotionally engaged to NQBP, its goals and their contribution through their role. Employees who are engaged apply an increased level of discretionary effort.

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2.5 Planning and Setting Performance for the year

Each year, Managers of staff should consider whether any Specific Accountabilities will apply to their employees. Specific accountabilities should relate directly or indirectly to the businesses strategic plan and/or other required business objectives.

Once decided, the manager should meet with the employee to outline the performance measures associated with it and provide coaching and support for the employees achievement of the objective. Specific Accountabilities are recorded on the employees Individual Development Plan.

Additionally, the Role Description should be reviewed to ensure its accuracy. Where amendments are considered, the employee must be consulted prior to the change being made.

2.6 Evaluating Employee Performance

The primary purpose of the performance evaluation of staff is to recognise and/or correct performance with respect the role holder's accountabilities, commitment and behaviours. Further, it provides opportunity for staff to seek feedback on their progress; and / or communicate any barriers they are experiencing in the achievement of their role accountabilities over the period under review. The process also allows the employee to discuss and plan for their learning and career development needs, both short and long term.

2.6.1 Frequency of performance evaluation

Evaluating performance should be an activity managers and supervisors do frequently.

Formal evaluation, at a minimum, occurs between managers and their subordinates around the middle of the financial year (December) and towards the end of the year (May/June).

2.6.2 Weighting performance

The weightings applied to the different performance elements are:

- Accountabilities – 60%
 - Generic – 10%
 - Core and Specific – 50%
- Commitment – 10%
- Role Behaviour Expectations – 30%

Managers may customised how the core and specific accountabilities are weighted. That is, the following options apply.

- Only Core Accountabilities (no specific) - weighted individually; or all equal.
- Core and Specific Accountabilities
 - Each Core accountability weighted individually, plus each Specific Accountability weighted individually; or
 - Each Core accountability weighted the same, as one, plus each Specific Accountability weighted individually.

2.6.3 Conducting/participating Performance Evaluation meetings

A formal review meeting provides a structured approach to reviewing, negotiating and understanding the employee's performance and achievements. Managers, prior to meeting should look for evidence to determine the level of performance.

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2.6.4 Rating and commenting on performance

When rating performance, the rating scales referred to in Attachment 1 are used.

2.6.5 Process

a) Plan for the appraisal discussion – Employee

Firstly, the employee can choose to provide comments against the respective performance areas. Employees should take this opportunity to provide evidence and reasons for the level of performance he/she believes has been achieved or demonstrated.

Consider; what was achieved?, what was successful since the last appraisal?; what was not achieved /demonstrated and the reasons why it wasn't? and what obstacles were 'roadblock' for successfully achieving/demonstrating the desired outcome/ behaviour/ commitment?

- Accountabilities:
 - Generic – a comment may be made for the generic accountabilities;
 - Core and Specific – Where you have specific accountabilities, comment against each one. For core, you may choose to provide a comment for all the core accountabilities, or each separately;
- Role behaviours - Either comment on all the set of behaviours, or those you believe are a strength, and those you acknowledge you require development in, or additional development; and
- Commitment – Provide examples of your commitment to NQBP.
- In addition to inserting comments, the employee provides a rating that he/she believes represents their level of achievement of each performance element.

b) When complete, the employee forwards the performance review to their supervisor / manager, prior to the date agreed to discuss performance.

c) Plan for the appraisal discussion – Manager

The manager should, prior to receiving the employee's evaluation of performance, take the time to reflect and consider their performance, creating their view as to their performance in the various dimensions of performance., and to have examples to support his/her appraisal.

d) Appraisal meeting (1st) - December

The employee and manager meet to discuss his/her performance for the past six (6) months. The goal of the meeting is for both parties to have a clear understanding of the level of performance attained, in the 3 areas of performance. The manager should listen to the employee and give concise feedback so the employee understands the elements where performance was achieved, or those areas requiring more work. Managers should be clear, by providing examples of performance, or examples where performance was not as good as expected.

By the end of the discussion, the Manager will have formed a view as to the level of performance, but does not communicate it to the employee.

e) Executive and Manager meeting - moderation

The manager meets with his/her executive to discuss the performance of each team member. By the end of this meeting, the executive will have agreed a performance level.

Each executive meets with the CEO to provide their reasons for performance, alternatively forwards the performance ratings for all their staff to HR. The CEO

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and the MHR/IR moderate the performance ratings. Where a performance rating change is decided for an employee, the CEO and/or MHR/IR will consult with the executive and /or manager their reasons.

HR will communicate the approved performance ratings to each executive and manager.

f) Appraisal meeting (2nd)

A second meeting is held between the Manager and employee where the final rating is communicated. The Manager should be ready to provide an explanation of the ratings he/she puts forward to provide to the employee. Development areas requiring improvement is also discussed.

At this second meeting, next year's process may commence, where a review of the Individual Development Plan is conducted, as well as discussing any *Specific Accountabilities* the employee will be expected to achieve for the upcoming year.

The Manager should consider and enter a comment on the employees overall performance. Once this is done, the Manager signs and forwards the completed form to the employee. If the employee wishes to he/she may provide a comment on their performance overall on the form.

g) Record Individual Performance evaluation

Once the completed, following comments and signatures, the finalized evaluation is forwarded to HR. The employee and manager should keep a copy.

3.0 Performance Management Policy, Procedure and Legislative Framework

NQBP is a Government Owned Corporation and a port authority and is required to comply with its own policies, prescribed applicable legislation and State Government policies and procedures. This procedure should be read in conjunction with:

- (a) Policy 3 – Human Resources Management.

4.0 Procedure Review Date

The procedure should be reviewed by 30 June 2018.

5.0 Definitions

NQBP: means North Queensland Bulk Ports Corporation Limited ACN 136 880 128.

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Attachment 1 – Performance Rating

Overall Performance

- **Exceptional Performance (90% +)**
 Performance is demonstrably exceptional and well beyond what other high achieving performers would be expected to produce in this role. Delivered outcomes over the review period that significantly contributed to positive bottom line financial outcomes, future corporate opportunity, and/or permanent innovation. Added substantial value to others in the corporation by collaborating and driving not only their role requirements, but the goals of others in the corporation.
- **High Performance (80% up to 90%)**
 Consistently exceeds performance to a degree that is clear to all observers, including their manager, customers and colleagues. Consistently excels in demonstrating the knowledge, skills, and competencies that result in the effective performance of the position requirements, a role model to others. An outstanding level of contribution, well beyond role requirements during the entire performance period. Frequently assists colleagues in achievement of their goals.
- **Above Average Performance (65% up to 80%)**
 Consistently performs at a level that is above average for the role. Demonstrates knowledge, skills and competencies that result in the effective performance of the role and indicates the potential for promotion. Meets deadlines. Frequently exceeds in one or more established position expectations. Occasionally contributes to assist colleagues in achievement of their goals.
- **Good Performance (50% up to 65%)**
 Performs at a level that any other similarly qualified person appointed to the role would be expected to achieve. The performance makes the required contribution to organisational performance expected of the role. Demonstrates the knowledge, skills and competencies expected from someone in this role. May perform above expectations of the position on occasion.
- **Below Standards Required - Needs Improvement (Less than 50%)**
 Does not consistently meet performance expectations, nor consistently demonstrates knowledge, skills, and competencies required to perform the role. Is not performing at the level that would be expected of anyone else in this or a similar role. May meet some of the minimum position requirements. Performance needs to be improved. A performance improvement plan is required or is in place.

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Attachment 2 - Detailed Role Behaviours

INDIVIDUAL ROLE BEHAVIOUR EXPECTATIONS		
Displays Interpersonal communication	Develops and maintains positive relationships, and exchanges ideas and opinions.	<ul style="list-style-type: none"> ○ Treats others with respect ○ Communicates openly and honestly ○ Communicates with tact ○ Resolves conflicts in a positive way ○ Expresses self verbally in a clear and organized way ○ Expresses facts and thoughts in writing in a clear and organized way
Supports Strategic Objectives	Understands NQBP's and sections purpose and mission.	<ul style="list-style-type: none"> ○ Understands the organization's services and priorities. ○ Appreciates the dynamics that exist inside and outside the organization. ○ Seeks ways to combine efforts to address common issues. ○ Understands how his or her job impacts business results. ○ Responds to external and internal forces affecting work environment.
Displays Personal Effectiveness	Develops oneself, solves problems and demonstrates resilience. Plans, organises, and manages own time and work.	<ul style="list-style-type: none"> ○ Develops self and helps co-workers learn and develop, and assist when they are having difficulty ○ Identifies own strengths and weaknesses ○ Defines and solve problems ○ Deals effectively with pressure; remains optimistic and persistent, even under adversity. ○ Considers costs, benefits and risks before acting & takes responsibility for actions ○ Organizes and prioritizes work & uses time and resources wisely ○ Prepares for potential problems before they occur ○ Demonstrates repeated effort over a period of time, overcoming obstacles in order to achieve goals
Achieves Results	Attains goals and objectives.	<ul style="list-style-type: none"> ○ Sets oneself clear and challenging objectives, striving to achieve them within agreed deadlines ○ Pursues work with energy, drive, and a need for completion ○ Applies innovative ideas ○ Adapts to varying work situations and is flexible in approach to resolving challenges ○ Takes initiative with a clear business purpose in mind ○ Continually seeks to improve business processes ○ Flexible in approach to change. Seeks to understand change benefits & adopts new ways of doing things
Displays Teamwork & Collaboration	Collaborates and cooperates to get the job done.	<ul style="list-style-type: none"> ○ Values the input and know-how of other team members ○ Asks for help, when needed ○ Offers help to other team members, when needed ○ Builds trust and respect among fellow team members ○ Takes actions that demonstrate consideration for the feelings and needs of others ○ Works with other team members toward a common goal ○ Supports fellow employees in their work to contribute to NQBP's success.
Customer Oriented	Fulfils the needs of internal and external customers.	<ul style="list-style-type: none"> ○ Anticipates customers' needs ○ Provides services in a respectful manner ○ Delivers services accurately and on time ○ Establishes and maintains effective contacts with customers ○ Suggests ways to improve processes to fulfill customer needs

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INDIVIDUAL ROLE BEHAVIOUR EXPECTATIONS		
Focuses on quality and attention to detail	Sets high quality standards and strives for continuous improvement	<ul style="list-style-type: none"> ○ Delivers a high level quality of work ○ Works meticulously and remains focused when dealing with detailed information , making few mistakes, ○ Deals with complaints/errors constructively to make sure they do not reappear ○ Checks whether the work quality is to the customers required standard

SUPERVISOR or PROFESSIONAL ¹ ROLE BEHAVIOUR EXPECTATIONS		
Effective teamwork	Develops/ contributes to, the capability, cohesion and performance of the team	<ul style="list-style-type: none"> ○ Takes responsibility for team development ○ Uses development plans to address skills / knowledge gaps or to strengthen current capability ○ Identify a broad range of development opportunities for team members ○ Develops staff for high performance by providing appropriate guidance and supporting them to resolve their own issues. ○ Participates willingly in activities as a good role player that works well with others. ○ Puts goals of the team ahead of one's own agenda, and supports and acts in accordance with final teams decisions even when such decisions may not entirely reflect one's own position. ○ Solicits the input of others who are affected by plans or actions and gives credit and recognition to others who have contributed. ○ Works to build consensus within the team.
Plans and organises	Determines goals, priorities and assesses the actions, resources and time required to achieve goals. Delegates	<ul style="list-style-type: none"> ○ Develops strategic priorities for section/self, based on the organisation's direction ○ Translates organisational goals into feasible action plans ○ Sets priorities with NQBP-wide goals in mind ○ Sets realistic budgets ○ Assigns people and resources effectively ○ Manages time and structures work effectively ○ Uses project management standards effectively ○ Assigns responsibilities to the right employees, taking their interests, ambitions, development and competency into account.
Displays Initiative	Recognises and creates opportunities to act/make decisions. Not passive.	<ul style="list-style-type: none"> ○ Takes on responsibilities and activities, proactive ○ Puts forward ideas, proposals and/or plans without being asked ○ Observes opportunities and translates them into benefits for the organization ○ Takes a clear position in unclear situations in which others do nothing; makes efforts to get out of an impasse

¹ Professionals will demonstrate these competencies for their own behaviour

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SUPERVISOR or PROFESSIONAL ¹ ROLE BEHAVIOUR EXPECTATIONS		
Empowering staff	Conveying confidence in employees' abilities, delegating responsibility and authority; allowing employees freedom to decide how they will accomplish their goals	<ul style="list-style-type: none"> ○ Gives people latitude to make decisions in their own sphere of work. ○ Is able to let others make decisions and take charge. ○ Encourages individuals and groups to set their own goals, consistent with business goals. ○ Expresses confidence in the ability of others to be successful. ○ Encourages staff and groups to resolve problems on their own; avoids prescribing a solution.
Motivates staff	Enhance others' commitment to their work	<ul style="list-style-type: none"> ○ Recognizes and rewards people for their achievements and thanks people for their contributions. ○ Expresses pride in staff and encourages people to feel good about their accomplishments. ○ Identifies and promptly tackles morale problems. ○ Gives talks or presentations that energize staff.
Solves Problems	Detects problems, recognises important information, and links data so as to identify potential causes.	<ul style="list-style-type: none"> ○ Distinguishes facts from opinions/assumptions ○ Investigates the cause of a problem ○ Gets to the heart of a matter readily by asking the right questions and using the right sources ○ Notices problems that occur and oversees their consequences for the work's progress ○ Sees connections between seemingly unconnected problems; finds a common denominator ○ Makes fix to eliminate problem where possible/feasible

MANAGER ROLE BEHAVIOUR EXPECTATIONS		
Displays Behavioural Flexibility	Adapts to changing circumstances, change one's behavioral style and/or views in order to attain goals.	<ul style="list-style-type: none"> ○ Is able to develop professional relationships with colleagues and customers from different cultural backgrounds, religions, and with different personalities, acts appropriately ○ Adjusts own views and objectives in order to achieve a shared goal ○ Does not fixate on a certain approach or argument in order to attain a goal ○ Holds on to an objective but is able to change approach, view or behavior ○ Demonstrates emotional intelligence ○ Understands when a chosen approach is ineffective & is able to change approach when facing persistent resistance (other point of view) ○ Alternates various behavioral styles in order to influence others effectively ○ Uses various techniques to influence others (lobbies, approaches decision makers, finds sponsors)
Displays an 'intrepreneurial' orientation	Demonstrates attitude of a business owner, thinking & acting as if the business was	<ul style="list-style-type: none"> ○ Considers fair treatment in all things, including assets and people ○ Cost conscious, spending money 'as if it were your own' ○ Always looking to find and deliver increased value for NQBP ○ Innovative and business/commercially focused in all dealings

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MANAGER ROLE BEHAVIOUR EXPECTATIONS		
	your own	
Manages performance	Enhances employees performance; defining targets, identifying improvements and providing the culture, tools and resources for success	<ul style="list-style-type: none"> ○ Able to assess and utilise employees' qualities and strengths ○ Communicates clearly expected results and behaviours & provides regular feedback on performance and behaviours ○ Encourages and motivates employees to look beyond their own area in order to enhance the organisation's development ○ Provides adequate resources, facilities and conditions for an effective work process ○ Translates strategic goals into practical, feasible activities (strategic plan) ○ Is able to motivate the employee so that they are performing at their peak ○ Corrects and manages proactively underperforming staff
Develops Staff	Develops the ability of others to perform and contribute to the organization by providing ongoing feedback and by providing opportunities to learn through formal and informal methods.	<ul style="list-style-type: none"> ○ Discusses employees' development needs with employee and facilitates appropriate support, development, coaching and/or training opportunities ○ Assists employee to see their strengths and weaknesses and to explore their full potential. Coaching on the job in order to enhance employees' development ○ Is able to link the quality of employee work to their lack of, and need to enhance specific skills, knowledge or competencies ○ Finds ways to bring employees' development needs in line with the organization's strategy ○ Is aware of the variety of ways to enhance employees development ○ Is proactive and intentional in developing staff to reach their potential and career/work interests
Exhibits Business Acumen	Broad understanding of principles of Financial, Human Resources, Risk and Technology Management	<ul style="list-style-type: none"> ○ Exercises sound business acumen in corporate governance areas, such as financial, contract, and project management ○ Understands the origin and reasoning behind key policies, practices and procedures ○ Acute perception of the dimensions of business issues, financially, human resources and impact and use of technology.
Displays system and strategic thinking	Tackles problems by using logical, systematic, and sequential approach. Looks beyond boundaries.	<ul style="list-style-type: none"> ○ Works across different agencies, levels of government and the private and not-for-profit sectors to develop organisation wide strategic plans and actions ○ Adopts a system-wide view of issues, and draws on a range of information, ideas and perspectives to understand problems ○ Works to remove legislative, regulatory or other roadblocks in the pursuit of outcomes

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EXECUTIVE ROLE BEHAVIOUR EXPECTATIONS		
Leads change	Leading, sponsoring, and implementing organizational change; helping others/teams to successfully manage and embrace change.	<ul style="list-style-type: none"> ○ Anticipates changes in the strategic or operational environment and adjusts accordingly ○ Quickly understands the implications of new information and developments, and how things may play out in the future ○ Adapts leadership approach to reflect individual needs and environmental changes ○ Adopts a planned and comprehensive approach to implementing organisational change
Leads strategically with vision	Analyzes the organization's competitive position by considering market and industry trends, existing and potential customers (internal and external), and strengths and weaknesses as compared to competitors.	<ul style="list-style-type: none"> ○ Communicates a clear and compelling vision for the organisation that is meaningful to others ○ Articulates and drives the implementation of strategies that align with organisational vision and purpose ○ Commits the organisation to customer service in its vision, strategies, and culture ○ Is future-oriented in analysis, thought and action
Builds organisational capability	Develops managerial and leadership capability	<ul style="list-style-type: none"> ○ Commits to succession planning, talent identification and management, coaching, mentoring and developing direct reports and others ○ Actively builds a learning culture that values continuous improvement and promotes flexibility and access to learning opportunities
Manages organisational performance	Establishes and drives a culture of performance, monitoring and addressing organizational weaknesses	<ul style="list-style-type: none"> ○ Inspires and motivates staff to delivery high performance ○ Directs and prioritises resources, including human capital and other assets, towards matters that are important to the organisation, sector and/or government ○ Manages performance through systems and processes, empowering people to get on with the job ○ Maintains an appropriate level of oversight and involvement in the work of the area
Build Coalitions	Develops networks, builds alliances; collaborates across boundaries to build strategic relationships to achieve common goals.	<ul style="list-style-type: none"> ○ Seeks out actively for colleagues' information and expertise in other sections ○ Looks to cooperate with internal and external partners out of a shared interest & uses network (e.g. for information) to support achievement of strategic outcomes ○ Is cooperative and incorruptible, uses network without manipulating it ○ looks beyond cultural differences and other barriers in search for useful contacts ○ Engages others in creating a broader basis for their organization to achieve its goals

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Attachment 3 – Summary Process and Timeline

Process Step	Activity	Responsibility
Set Individual Performance Plan By 30 Jun	Manager identifies Specific Accountabilities required to be achieved, discusses with the employee and inserts it in the Individual performance plan Manager reviews Role Description, amends and discusses with employee.	Manager
Mid-Year Performance Review By 31 Dec	Plan for appraisal discussion Consider performance; accountabilities, commitment and role behaviours. Make comments to support your perspective of performance attained and add a rating level (optional mid-year review)	Employee
	Forward performance evaluation Forward the performance evaluation to your supervisor / manager	Employee
	Plan for the appraisal discussion Consider performance; accountabilities, commitment and role behaviours. Consider evidence collated	Manager
	Meet to discuss performance – 1 st Each element of performance is discussed. Manager listens for understanding.	Manager and employee
	Moderation meeting(s) Explain performance level proposed for each employee. Endorsed by the CEO final agreed performance level	Manager with Executive Executive with CEO / HR
	Meet to discuss performance – 2 nd Manager meets to with employee and provides final performance level, comments, signature and comments on development areas for improvement.	Manager and employee
	Record final evaluation Forward final performance evaluation to HR - hr@nqbp.com.au Copy kept by manager and employee.	Manager
	End-Year Performance Review By 15 Jun	Plan for appraisal discussion Consider performance; accountabilities, commitment and role behaviours. Make comments to support your perspective of performance attained and add a rating level (optional mid-year review)
Forward performance evaluation Forward the performance evaluation to your supervisor / manager	Employee	
Plan for the appraisal discussion Consider performance; accountabilities, commitment and role behaviours. Consider evidence collated	Manager	
Meet to discuss performance – 1 st Each element of performance is discussed. Manager listens for understanding.	Manager and employee	

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Process Step		Activity	Responsibility
	Moderation meeting(s)	Explain performance level proposed for each employee. Endorsed by the CEO final agreed performance level	Manager with Executive Executive with CEO / HR
	Meet to discuss performance – 2 nd	Manager meets to with employee and provides final performance level, comments, signature and comments on development areas for improvement.	Manager and employee
	Record final evaluation	Forward final performance evaluation to HR - hr@nqbp.com.au Copy kept by manager and employee.	Manager
	Plan for the appraisal discussion	Consider performance; accountabilities, commitment and role behaviours. Make comments to support your perspective of performance attained and add a rating level (optional mid-year review)	Employee

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Approval	This procedure requires subject matter expert approval except where substantive changes may impact on the rights and obligations of directors.			Date Approved	28/06/2016