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DEFENCE INSTRUCTIONS (GENERAL)

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Secretary

A.G. HOUSTON, AO, AFC
Air Chief Marshal
Chief of the Defence Force

LIST B—ISSUE NO PERS B/17/2005

New instruction

PERS 10–8 *Performance Appraisal Reporting in the Australian Defence Force*

Single Service filing instructions

This instruction should be filed as:

1. NAVY PERS 60–6
2. ARMY PERS 116–19
3. AIR FORCE PERS 4–28

Cancellations

DI(G) PERS 10–5 ISSUE NO PERS B/31/2002 of 19 DEC 2002 (AL1) and DI(G) PERS 10–6 ISSUE NO PERS B/32/2002 of 19 DEC 2002 (AL2) are cancelled (superseded by DI(G) PERS 10–8).

PERFORMANCE APPRAISAL REPORTING IN THE AUSTRALIAN DEFENCE FORCE

INTRODUCTION

1. A tri-Service performance appraisal system is used for reporting on the current performance and suitability for future employment of members from the ranks of Private (Equivalent (E)) up to the level of O-5 Lieutenant Colonel (Equivalent) (LTCOL(E)) (except those Officer Cadets and Midshipman who are under training) in the Australian Defence Force (ADF). Performance appraisal reporting applies to those full and part-time Permanent/Regular and active Reserve members who meet the period of observation requirements specified in this instruction.
2. This instruction promulgates the policy, associated procedures and reporting requirements concerning performance appraisal. Further guidelines and procedures specific to a single Service are contained in the following single Service instructions:
 - a. Australian Book of Reference 6289—RAN Officers' *Career Management Manual*.
 - b. Australian Book of Reference 10—Sailors' *Career Management Manual*.
 - c. Defence Instruction (Army) PERS 116-16—*Performance appraisal reporting*.
 - d. Defence Instruction (Air Force) PERS 4-21—*Performance Appraisal Reporting Air Force* (issued late 2005).

This instruction is to be read in conjunction with the relevant single Service instructions.

3. Performance appraisal requirements for officers at the level of O-6 Colonel (Equivalent) (COL(E)) to O-8 Major General (Equivalent) are promulgated in Defence Instruction (General) (DI(G)) PERS 37-1—*Appraisal and Development Reporting of Executive and Senior Executive Officers in the Australian Defence Force*.

PURPOSE OF PERFORMANCE APPRAISAL

4. The purpose of performance appraisal reporting is to:
 - a. record performance for the reporting period;
 - b. identify the individual's strengths and weaknesses;
 - c. provide feedback to the individual on performance and developmental needs;
 - d. identify suitability for promotion, courses and postings;
 - e. provide information which will assist in further career management and employability; and
 - f. monitor performance levels to ensure that required standards of effective performance are maintained.
5. Information from Performance Appraisal Reports (PAR) can also be used to support administrative action resulting from unsatisfactory performance.
6. The focus of the PAR is on assessing work performance during the reporting period and not on behavioural or serious misconduct concerns. The PAR is not to be used as a substitute for unsuitability or formal warning/censure reporting. Separate Service administrative processes deal more appropriately with these matters. Additionally, the performance of an officer as a service tribunal in a particular case, that is, acting in the capacity of a summary authority, is not to be reported upon.¹

1 This direction flows from a recommendation in the Abadee Report which was agreed to by the Chiefs of Staff Committee.

RESPONSIBILITIES FOR PERFORMANCE APPRAISAL

7. The responsibilities of organisations and individual personnel associated with the management and conduct of performance appraisal within the ADF are detailed in [annex A](#).

PERFORMANCE APPRAISAL CYCLE

8. **Eligibility requirements for assessors and senior assessors.** The performance appraisal cycle begins at the time the member is first posted to a new unit, or at the start of a new reporting period. The member's assessor and senior assessor are to be designated at the beginning of a new appraisal cycle and the member informed accordingly as detailed in [annex A](#) of this instruction. Details concerning eligibility requirements for assessors and senior assessors are contained in [annex B](#).

9. **Preliminary Review of Performance (PRP) Report.** Counselling and performance feedback is an essential part of the performance appraisal process. Regular and accurate performance feedback by assessors is crucial to the development of an individual. The outcomes of initial and mid-term formal counselling sessions are to be recorded on the PRP. A description of the PRP and guidelines for its completion are contained in [annex C](#). Members are encouraged to ask their superiors about their performance at any time.

10. **PAR.** A description of the PAR and guidelines for its completion are contained in [annex D](#). The assessor and senior assessor are to interview and debrief the member regarding their part of the PAR. Where a face-to-face interview is impractical because of physical separation, then an appropriate alternative means of feedback/debriefing is to occur. [Annex D](#) also provides additional information on performance appraisal debriefing.

11. **Representation.** The Performance Appraisal System utilises a two-stage representation process. The member should normally be afforded the opportunity to represent against the content of Part 2 of their report and be advised of the outcome of this prior to the completion of Part 3. If the member is unhappy with the senior assessor statement or the promotion recommendation they may also represent against the content of Part 3 of their report. The procedures for dealing with a representation are covered in [annex E](#) to this instruction.

12. **ADF Performance Appraisal Supplementary Report (SR).** The SR is designed to record performance when the period of observation is less than four months. SR may be used to complement a PAR where the duties undertaken are not related to the duties covered by the PAR (eg: deployments and significant secondary duties). SR are to be sent to the member's parent unit and forwarded to the Career Management Agency (CMA) attached to the annual PAR. The content of the SR may be considered in the preparation of the annual PAR. [Annex F](#) contains a description of the SR and completion guidelines.

Period of observation

13. **Regular/Permanent members.** The minimum period of observation by an assessor for the completion of Part 2 of the PAR on Regular/Permanent members is four months effective service for those on full-time duty and four months elapsed time for those on part-time leave without pay.

14. **Reservists.** For Army and Air Force Reserve members on full-time duty the minimum period of observation is four months. For all other Reserve members the minimum period of observation is as follows:

- a. Navy full and part-time duty—after periods of Annual Continuous Training (ACT) or Non Continuous Training (NCT) for 10 days or more;
- b. Army part-time duty—after serving a minimum of 14 days per calendar year; and
- c. Air Force part-time duty—after serving a minimum of 26 training days per year for RAAF Active Reserve (RAAFAR) members.

15. **Senior assessor.** There is no minimum period of observation required for the senior assessor to complete Part 3A of the report. However, the senior assessor may amend Part 2 of the report even if there is no representation made by the member. Where a senior assessor makes an amendment to Part 2 of the report then the period of observation requirements specified in [paragraphs 13.](#) and [14.](#) apply.

Reporting dates

16. **Annual report.** Annual PARs are to be raised and submitted to the appropriate CMA in accordance with the reporting cycles and reporting dates contained in the single Service instructions listed in [paragraph 2.](#)

17. **Timely submission.** The timely initiation of the PAR is the responsibility of individuals and their assessors. Timely submission of the report to the CMA is the responsibility of the senior assessor. The importance of the report to many career management functions requires strict adherence to the schedule as outlined in the single Service instructions. Late submission of a report may disadvantage the assessed member. Units are to advise CMAs when a report will be late (past submission date) due to representation.

18. The PAR includes a rating on a member's performance in 'Appraising the Performance of Subordinates'. Assessors who do not conduct performance appraisals on their subordinates in a competent and timely manner can expect a poor rating in this area when their own performance is appraised.

19. **Variation to reporting dates.** There could be circumstances where the report may need to be submitted earlier or later in the reporting cycle. If a member is posted during the reporting cycle, a decision is to be made on which assessor is best placed to complete the report in terms of satisfying the minimum period of observation requirement. Where a member has more than one supervisor during the reporting period, then a decision is to be made on which supervisor is best placed to complete the report. In cases where the minimum observation period cannot be met before a report is due, then the parent unit is to seek advice from the relevant CMA. CMAs are to decide whether to grant an extension or to have a SR raised in lieu.

Special reports

20. Special PARs (ie those other than annual reports) may be raised at the request of the CMA or on those occasions specified by the individual Services.

Exemptions

21. Exemptions from annual performance reporting requirements differ from Service to Service. Details are provided in the single Service references listed in [paragraph 2.](#) of this instruction.

Service with foreign/United Nations forces

22. Members serving with United Nations or foreign forces, either on attachment or exchange, should be reported upon by the unit/establishment in which they are serving. The member should provide a copy of the PAR to the overseas unit for completing.

Guidance from the Career Management Agency

23. If circumstances arise such that the requirement to complete a PAR is unclear, the CMA is to be contacted for guidance.

REPORT ADMINISTRATION

Valid report

24. A valid PAR is one where the assessor and the senior assessor meet all eligibility criteria, where any representation has been determined, and any supporting material requested by the member has been provided.

Privacy handling

25. PARs are 'in-confidence' between the member, the assessor, the senior assessor, the reviewing officer (where applicable), Unit Commanders/Directors and the CMA. After any part of the appraisal report has been completed, that part becomes 'STAFF-IN-CONFIDENCE' and is to be handled in accordance with the provisions of Defence Security Manual (DSM) for privacy marked material. SRs or PRPs, and any copies made of these reports, are to be treated in the same way. All assessors, senior assessors, reviewing officers and Unit Commanders/Directors must take care to preserve privacy in processing the reports.

26. When the PAR has been completed, and any representation dealt with, the assessed member must be given a printed copy of the final report.

Processing to Career Management Agencies

27. The senior assessor is to arrange for the completed original report to be forwarded to the appropriate CMA. CMAs will not normally accept photocopied pages. CMAs will only accept faxed/photocopied reports through prior arrangement and agreement with the CMA and where the authenticity of the document can be proven. The senior assessor is also to forward an electronic copy, preferably via email, or by disk if not on the Defence Restricted Network.

28. When reports are forwarded to the relevant CMA, the provisions of the DSM are to be observed. As a minimum, PARs are to be forwarded to the CMA in a single opaque envelope.

Disclosure and retention of assessments

29. Personnel staff at units/establishments are to ensure that any PARs and any supporting documents are sighted only by persons who are authorised to do so. In accordance with *Privacy Act 1988*, under no circumstances are personnel staff to make reports available to persons outside the prescribed reporting chain. Personnel staff are to not make a copy of any assessment reports, except as provided for in this instruction where such staff act as assessors, senior assessors or reviewing officers. Personnel staff are to provide access and copies of the report to the member upon request by the member.

30. Once the *original copy* of the performance appraisal report, including any SRs, is completed and forwarded to the CMA and a copy provided to the assessed member, all other copies of the report are to be destroyed/erased. Where relevant, copies of representations and associated material (printed and/or electronic) are also to be destroyed/erased once all action with the representation has been finalised and all relevant original copies of material associated with the representation have been forwarded to Defence Archives for filing and archival action.

31. Assessors are not to retain copies of PRPs but are to forward these to Defence Archives for retention and filing once the PAR is completed and despatched to the CMA. As these are official documents, they are to be retained in accordance with Defence Instruction (General) (DI(G)) ADMIN 27-2—*Implementation of the Access Provisions of the Archives Act 1983 in the Department of Defence* and archival requirements.

32. The address for Defence Archives is: Defence Archives, Queanbeyan, Annex 1, Department of Defence, CANBERRA ACT 2600.

Records storage

33. Completed PARs, PRPs and SRs must be retained in accordance with Australian Archives Records Disposal Authority No 1176, dated 15 September 1997, which states:

confidential evaluation reports, including assessments of performance, suitability, efficiency and/or conduct, including members' statements, must be retained for 100 years after members' date of birth.

34. CMAs and Directorate of Military Personnel Policy (DMPP) are to make arrangements with archival authorities to comply with this requirement. DI(G) ADMIN 27-2 also refers.

35. All completed performance appraisal records must be protected against loss, unauthorised access, use, modification or disclosure to accord with the requirements of Principle 4(a) of the *Privacy Act 1988*.

Access to previous reports

36. In accordance with Information Privacy Principle 6 of the *Privacy Act 1988*, an individual is entitled to have access to any record that contains personal information. Individuals may obtain copies of their previous PARs and SRs by writing to their CMA.

37. Individuals may request copies of their PRPs and representation documentation by emailing dpe.sompp@defence.gov.au.

38. If past PRPs or representation documentation are required for the purposes of investigating a redress of grievance, then DMPP will, upon request, arrange for copies of these records to be made available to the relevant redress of grievance authority within seven working days of receipt of the request.

Contact details

39. Proposals for the amendment/notification of error in this instruction are to be forwarded via email: dpe.sompp@defence.gov.au.

Related publications

DI(A) PERS 47–1—*Career Management of Australian Regular Army Officers*

DI(A) PERS 47–2—*Career Management of Australian Army Reserve Officers*

DI(A) PERS 116–8—*Promotion, Reduction and Relinquishment of Rank of Soldiers in the Regular Army and Army Reserve*

DI(G) PERS 34–1—*Redress of Grievance—Tri-Service Procedures*

DI(G) ADMIN 27–2—*Implementation in the Department of Defence of the Access Provisions of the Archives Act 1983*

Australian Book of Reference 6289—*RAN Officers' Career Management Manual*

Australian Book of Reference 10—*Sailors' Career Management Manual*

DI(A) PERS 116–16—*Performance appraisal reporting*

DI(AF) PERS 4–21—*Performance Appraisal Reporting Air Force* (issued late 2005)

DI(G) PERS 35–6—*Formal Warnings and Censures in the Australian Defence Force*

Defence Security Manual

Annexes:

- A. [Responsibilities for performance appraisal within the Australian Defence Force](#)
- B. [Eligibility requirements for assessors and senior assessors](#)
- C. [Description and completion guidelines—Preliminary Review of Performance for members of the Australian Defence Force](#)
- D. [Description and completion guidelines—Performance Appraisal Report for members of the Australian Defence Force](#)
- E. [Representation process](#)
- F. [Description and completion guidelines—Australian Defence Force Performance Appraisal Supplementary Report](#)

Sponsor: DGCMP (DMPP)

RESPONSIBILITIES FOR PERFORMANCE APPRAISAL WITHIN THE AUSTRALIAN DEFENCE FORCE

1. The Australian Defence Force (ADF) performance appraisal system is comprised of policy documents, performance appraisal instruments and administrative and information technology processes. The responsibilities of organisations and individual personnel associated with the management and conduct of performance appraisal within the ADF are as follows:

- a. **Directorate of Military Personnel Policy (DMPP).** DMPP, as the primary sponsor, is responsible for:
 - (1) developing, promulgating and reviewing policy in relation to performance appraisal in consultation with relevant organisations;
 - (2) sponsoring the suite of reports and appraisal instruments;
 - (3) providing policy support for the education and training of users of the performance appraisal system;
 - (4) records management of completed Preliminary Review of Performance (PRP) and any representation documentation associated with performance appraisal; and
 - (5) providing online Performance Appraisal reference material.
- b. **Service Personnel Branches.** As the Service Personnel Branches (including Career Management Agencies (CMA)) use performance appraisal reports in a range of personnel management processes, they are responsible for:
 - (1) processing Performance Appraisal Reports (PAR);
 - (2) reviewing single Service performance appraisal policy and practices, in conjunction with Service units/formations/commands/personnel policy agencies;
 - (3) providing specific to Service performance appraisal information to Commanders/Directors/units/courses and individuals; and
 - (4) records management of completed PARs.
- c. **Director-General Workforce Planning, Recruitments and Retention (DGWPRR).** DGWPRR, through the Directorate of Strategic Personnel Planning and Research (DSPPR), is responsible for:
 - (1) providing technical performance appraisal advice to and/or through DMPP and the CMA;
 - (2) reviewing the performance appraisal system in consultation with CMA every two years, or as requested by DMPP;
 - (3) analysis of performance appraisal data at the completion of each reporting period; and
 - (4) general performance appraisal research and evaluation.
- d. **Director-General Personnel Systems (DGPS).** DGPS is responsible for the implementation, development and management of the Personnel Management Key Solution (PMKeyS) system, the Defence corporate human resource management information system. DGPS is responsible for recording, maintaining and providing performance appraisal data for officers of O1 to O5 ranks and for the other ranks in a form suitable for both performance appraisal processing and analysis.

- e. **Assessed member.** The assessed members are responsible, with their assessor, for the initiation of the performance appraisal cycle and subsequent conduct of initial counselling and mid-term reviews. The timely initiation of the performance appraisal report is also a shared responsibility between the assessed member and their assessor(s). The assessed member also should:
 - (1) request from their assessor a clear statement of what is expected;
 - (2) seek regular feedback from their assessor; and
 - (3) if required, represent against a performance appraisal report.
- f. **Assessor.** In addition to those responsibilities detailed for the assessed member, the assessor is:
 - (1) to be aware of their responsibilities as an assessor promulgated in this and relevant single Service instructions,
 - (2) to be familiar with the performance dimensions on which subordinates are assessed,
 - (3) not to raise a PAR until they have met the minimum period of observation requirements,
 - (4) to provide regular counselling and performance feedback to assessed members, and
 - (5) to inform the member where the reporting process to be used differs from that detailed in this policy.
- g. **Senior assessors.** Senior assessors are responsible for the timely submission of the PAR report to the relevant CMA. Senior assessors are to:
 - (1) be aware of their responsibilities as a senior assessor as promulgated in this and relevant single Service instructions;
 - (2) be familiar with the performance dimensions on which subordinates are assessed;
 - (3) provide performance feedback to assessed members;
 - (4) record comments on the assessed member's performance;
 - (5) assess a member's suitability for the next rank (senior assessors should pay particular attention to the member's suitability for future employment if the assessor is the same rank as the assessed member);
 - (6) mentor subordinate assessors; and
 - (7) arrange for the completed original report to be forwarded to the appropriate CMA.
- h. **Unit Commander/Director.** Unit Commanders/Directors are responsible for:
 - (1) establishing and promulgating reporting chains, (including the appointment of reviewing officers as necessary) so that assessors are aware of whom they are assessing and members are aware of who their assessors are;
 - (2) ensuring that assessors are aware of their responsibilities;
 - (3) providing guidance to subordinate assessors on how to appraise personnel and providing the opportunity to undertake appropriate Performance Appraisal training if required; and

- (4) ensuring that performance appraisal documentation is completed correctly and dispatched in a timely and accurate manner. Commanders/Directors may view unit members PARs. However, Commanders/Directors are not to make any changes to an individual's PAR unless they are the designated assessor or senior assessor.
- i. **Reviewing officer.** Reviewing officers are responsible for making determinations on representations. In undertaking this task they are to:
- (1) ensure that the principles of procedural fairness are adhered to;
 - (2) consider the written material comprising the representation, the appraisal report and all the records or other evidence/information upon which the initial assessment was based, when reaching a decision;
 - (3) discount any personal knowledge of, or feeling towards, either the member making the representation or the assessor;
 - (4) ensure that the decision is supported by evidence; and
 - (5) ensure that the member is given a personal copy of the finding on the representation.
- j. **Training Command.** Respective Service Training Commands are to provide Performance Management Training at a range of courses including initial training courses as well as Promotion and Leadership training courses.

REVIEW AND EVALUATION OF THE PERFORMANCE APPRAISAL SYSTEM

2. In undertaking review and evaluation of the ADF performance appraisal system, the following principles are to be applied:
- a. **Privacy.** PARs are 'in-confidence' between the member, the assessor(s), the reviewing officer, Unit Commanders/Directors, the CMA and DMPP. When data is provided for review and evaluation by DSPPR it is not to include Service number/Employee ID, name, initials or address details. Other biographical information (eg rank, employment category, etc) may be provided if the research question posed warrants its inclusion;
 - b. **Timeliness.** The nature of performance appraisal systems dictate that they have a finite period of usefulness. A prescribed review period will help ensure the efficacy of the system by applying corrective action before the system deviates too far;
 - c. **Technical performance appraisal considerations.** The key requirements for an effective performance appraisal system are reliability, validity, and 'useability'. Factors affecting reliability include the extent to which performance dimensions are observable and measurable behaviours, the design of rating scales, instructions for use, the supervisory performance of assessors, and the training of assessors. Factors affecting validity include work-related performance dimensions, supervisory performance of assessors, and the application of the appraisal data to career management decision making. Factors affecting 'useability' include comprehension of the system and its components, ease of (physical) use, and training/education of all members. Any proposed change to the ADF performance appraisal system must not degrade enhanced reliability, validity and useability;
 - d. **Procedural fairness.** The aim of procedural fairness is the prevention of unlawful discrimination against individuals and groups of individuals. Procedural fairness in performance appraisal is especially important in the ADF as performance appraisal data is used in promotion decision making, with consequent implications for remuneration. The concept of procedural fairness applies equally to members, assessors, and users of performance appraisal data. Members must be able to seek a review of appraisal reports with which they disagree. Subordinates have the right to expect assessors to be able to justify the content of their appraisal report. Assessors can not be expected to

provide a performance appraisal of work that either has not been observed or has not been performed. Moreover, organisations should not use appraisal data for purposes for which it was not designed (and of which the member is not aware). Any proposed change to the ADF performance appraisal system must not degrade procedural fairness of the system's processes; and

- e. **Legal defensibility.** The use of appraisal data to arrive at personnel decisions implicitly assumes that the data is reliable and valid. Accordingly, performance appraisal instruments must be subjected to the same scrutiny (in terms of reliability and validity) as tests of intellectual abilities. The onus is on the organisation using a performance appraisal system to verify the reliability and validity of the instrument and appraisal data applications. To use an unverified system is to expose the ADF to legal challenge. Any proposed change to the ADF performance appraisal system must not degrade legal defensibility of the system.
3. An outline of the performance appraisal review and evaluation process is as follows:
- a. **Step 1.** DMPP initiates process.
 - b. **Step 2.** Stakeholders meet to determine aim and scope of review.
 - c. **Step 3.** DSPPR prepares review and evaluation plan.
 - d. **Step 4.** CMA, Directorate of Senior Officer Management and DGPS provide data as requested.
 - e. **Step 5.** DSPPR conducts review and evaluation.
 - f. **Step 6.** Stakeholders meet to discuss preliminary findings.
 - g. **Step 7.** DSPPR provides final report to DMPP.
 - h. **Step 8.** DMPP seeks stakeholder endorsement.
 - i. **Step 9.** DMPP authorises changes as necessary.

ELIGIBILITY REQUIREMENTS FOR ASSESSORS AND SENIOR ASSESSORS

Assessor

1. The assessor who completes Part 2 of the Performance Appraisal Report (PAR) should be the person with the greatest amount of supervisory contact with the person under assessment. It should be noted that there may be situations where the person with the greatest amount of supervisory contact is not necessarily in the formal chain of command. The assessor:

- a. should normally be the member's immediate supervisor and/or be functionally responsible for that member's day-to-day activities;
- b. should normally be at least one rank higher than the member being assessed;
- c. may be outside the assessed member's normal chain of command;
- d. is to be designated at the beginning of the reporting period and be aware of the requirement to conduct the assessment;
- e. must have directly observed the performance of the member for the minimum period of observation specified in this instruction or, where the assessor does not have direct observation of the member's performance, have been provided with material of the member's performance over the minimum period of observation;
- f. may be a member of any part of the Australian Defence Force (ADF);
- g. may be a member of another nation's forces responsible for an ADF member's activity while either the assessor or the assessed member is on exchange with the other nation's forces; and
- h. may be a civilian who is responsible for the activity of an ADF member.

2. A designated assessor who cannot directly observe the day-to-day activities of a subordinate member should seek to transfer the responsibility to a person who is better placed to conduct a valid performance appraisal. Such a transfer should occur as early as possible in the reporting period.

Senior assessor

3. The senior assessor:

- a. should normally be the assessor's immediate supervisor (ie the assessed member's second level supervisor);
- b. is to be designated at the beginning of the reporting period and be aware of the requirement to conduct the assessment;
- c. must be senior in rank to the assessed member;
- d. should be senior in rank to the assessor;
- e. may be someone who is outside the assessed member's normal chain of command;
- f. may be a member of any arm of the ADF;
- g. may be a member of another nation's forces responsible for an ADF member's activity while either the assessed member or senior assessor is on exchange with the other nation's forces; and
- h. may be a civilian who is responsible for the activity of an ADF member.

4. **Defence Advisers/Attaches.** The senior assessor for Defence Advisers/Attaches (DA) is the Vice Chief of the Defence Force.

Promulgation

5. Assessors and senior assessors are to be identified and designated at the local (unit/ship or establishment) level at the commencement of the reporting period or on changing their place of employment if it is associated with a change of assessor(s).

DESCRIPTION AND COMPLETION GUIDELINES—PRELIMINARY REVIEW OF PERFORMANCE FOR MEMBERS OF THE AUSTRALIAN DEFENCE FORCE

1. The Preliminary Review of Performance (PRP) Report is available in two versions, one for officers and one for other ranks. The respective form numbers are:
 - a. Form AC 833-14—*Preliminary Review of Performance (PRP) for ADF Officers.*
 - b. Form AC 833-24—*Preliminary Review of Performance Report (PRP).*

The relevant form can be accessed through Web Forms System and should be read in conjunction with this annex and relevant single Service instruction. Where Web Forms System is unavailable, a copy is to be obtained from the relevant Career Management Agency (CMA). The form has been designed for electronic completion but may be typed or neatly handwritten in lieu.

2. The PRP has two general purposes. These are to:
 - a. be a personal development and counselling tool for the assessed member; and
 - b. assist the assessor in the preparation of the assessed member's annual Performance Appraisal Reports.
3. As a development and counselling tool, the PRP focuses on the member's progress and approaches to improving performance. The PRP is designed to record agreed goals, provide performance feedback to the member under assessment, identify strengths and weaknesses and provide constructive guidance for the remainder of the reporting period. The PRP provides the assessor with a documented account on the progress of the member throughout the reporting period.

Initial counselling

4. An initial counselling session must be held at the start of the reporting period or, for a member recently posted to a unit/establishment, within 30 days of the effective date of posting. At this initial session, the assessed member and their assessor are to raise the PRP and discuss work-related goals. For guidance on completion of 'Personal and job details' (Part 1A of the PRP) reference should be made to annex D, [paragraph 7](#). of this instruction. General work related goals that are agreed with or assigned to the member for the ensuing assessment period are to be recorded in Part 1B of the report. Goals can be based on organisational objectives or be specific tasks that will guide the member's work activity and provide the basis for subsequent counselling and assessment. For more information on goal setting, refer to the single Service instructions. The assessor is to retain the PRP (as completed to that point) and a copy is to be given to the member.

Mid-term counselling/review of performance

5. Mid-way through the reporting period, or after at least six weeks observation, the member's progress against the goals should be reviewed and recorded on the PRP and the member personally counselled on performance to date. In addition, the assessor can use this opportunity for the identification of training or other developmental requirements needed to enhance individual performance. Where appropriate, goals for the remainder of the reporting period can also be revised. The mid-term review should form a sound basis for the final assessment and serve to minimise any surprises at the time of the final appraisal. There may be more than one formal review during the reporting period.

REPORT COMPLETION

6. **Performance dimensions.** During this review a rating is to be made against the relevant performance dimensions listed in Part 2A of the report by entering the appropriate check letter as defined on the form. The performance dimensions on the PRP are identical to those on the performance appraisal report.

7. **Assessment of Performance in current job.** A brief word picture describing the member's work performance during the first part of the reporting period is to be recorded in Part 2B of the PRP. Assessors are to review the principles of assessment in [annex D](#) of this instruction. In particular, assessors must ensure they can justify their assessment. Assessors are to use specific examples to highlight the member's level of performance against goals detailed in Part 1B of the PRP. The assessor is to highlight the member's strengths and weaknesses.

8. **Revised goals.** Goals may change throughout the reporting period for various reasons. If there are any changes to work goals, it may be beneficial to give reasons for these changes. Goals may change as a result of a task being completed or a new organisational focus. Goals may need to be revised in order to extend a member in order to allow them to reach their potential. Likewise, goals may need to be adjusted where it is identified a member does not have the required skills or training to achieve the stated goal. Goals may be updated or added to progressively.

9. **Suggested action plan.** If an assessor has identified some shortcomings in a member's performance, then strategies to improve performance should be recorded in Part 3B of the PRP. The action plan should record practical guidance to assist the member to achieve the stated goals. The action plan may detail training or specific courses the member requires.

10. **Assessed member's certification.** The assessed member is to be provided with a copy of the PRP and confirm the receipt of counselling by signing Part 4B of the form. If the assessed member disagrees with the mid-term counselling, then that disagreement is to be noted in Part 4B of the PRP.

11. **Refusal by member to sign.** A member who refuses to sign Part 4B of their completed PRP is not to be subjected to any adverse administrative action as a result of the refusal. If the member refuses to sign the completed PRP, then the assessor is to, in the presence of a witness, formally ask the member to sign the completed report. If the assessed member still refuses to sign, the assessor is to undertake the actions highlighted in [annex D, paragraph 24.](#) of this instruction.

Archiving of PRP documentation

12. The PRP is a local tool recording personal exchanges on development and counselling between the assessor and the member. PRPs are not to be forwarded to the CMA. However, as it is an official document, the PRP and evidence or information supporting the assessments is to be retained in accordance with Defence Instruction (General) ADMIN 27-2—*Implementation of the Access provisions of the Archives Act 1983 in the Department of Defence* and archival requirements. Consequently the assessor is to forward all PRP documentation to Defence Archives for filing once the annual report is finalised and despatched to the CMA.

13. The address for Defence Archives is: Defence Archives, Queanbeyan, Annex 1, Department of Defence, CANBERRA ACT 2600.

DESCRIPTION AND COMPLETION GUIDELINES—PERFORMANCE APPRAISAL REPORT FOR MEMBERS OF THE AUSTRALIAN DEFENCE FORCE

1. The Performance Appraisal Report (PAR) is a common tri-Service report, available in six separate versions that use, where appropriate, Service specific terminology. The respective form numbers are:

- a. Form AC 833-11—*Navy Officer Performance Appraisal Report.*
- b. Form AC 833-12—*Army Officer Performance Appraisal Report.*
- c. Form AC 833-13—*RAAF Officer Performance Appraisal Report.*
- d. Form AC 833-21—*Sailor Performance Appraisal Report.*
- e. Form AC 833-22—*Soldier Performance Appraisal Report.*
- f. Form AC 833-23—*Airmen and Airwomen Performance Appraisal Report.*

The relevant form can be accessed through Web Forms System and should be read in conjunction with this annex and relevant single Service instruction. Where Web Forms System is unavailable, a copy is to be obtained from the relevant Career Management Agency (CMA). The form has been designed for electronic completion but may be typed or neatly handwritten in lieu.

REPORT FORMAT

2. The PAR is designed to record:

- a. the assessed member's personal and job details;
- b. the nature of duties performed by the assessed member during the reporting period;
- c. the broad nature of service (ie Permanent/Regular or Reserve, full-time or part-time), period start date, period end date and the number of days worked in the case of Reserve service;
- d. rated assessments by an assessor on a range of performance dimensions;
- e. a word picture on the member's performance during the reporting period;
- f. an assessment on the member's suitability for future employment;
- g. the results of any representation made by the member against the Part 2 assessor;
- h. a declaration by the assessed member in regard to Part 2 of the report;
- i. narrative comments and a promotion recommendation by a senior assessor;
- j. the results of any representation made by the member against the Part 3 senior assessor; and
- k. a declaration by the assessed member in regard to Part 3 of the report.

PRINCIPLES OF ASSESSMENT

3. The following principles of assessment are to guide the assessor and senior assessor:
- a. members are assessed against a set of performance dimensions using a behaviourally anchored rating scale. For each performance dimension, the assessor should select the description that best matches the member's observed work performance throughout the reporting period;
 - b. the assessor is to consider the consistency of the member's performance throughout the reporting period. Rare or occasional performances (either good or bad) are not to form the basis of performance ratings. A particularly serious or significant incident may however define the performance of a member with respect to one or more criterion. These must be recorded in the narratives and be placed in the appropriate context (ie as occasional, singular or rare);
 - c. in making comment on the member's performance, the assessor should be cognisant of the requirement to base comments on only personal observations, combined with any input from external assessors and supervisors during the period;
 - d. training course reports provide results of short-term training courses which may be undertaken by members during their normal reporting period. Assessors may use appropriate information provided in relevant training course reports when making assessments. However, the assessor must take care not to unduly bias the assessment towards these reports. If deemed necessary, the results of courses may be included in the narrative section of the member's report;
 - e. the content of any Supplementray Report received by the assessor may be considered in the preparation of the annual PAR;
 - f. where the person best placed to conduct the performance appraisal cannot observe directly the day-to-day activities of the member to be assessed, 'quality of outcomes' should be used as the primary basis for conducting the performance appraisal. If the assessor has not had frequent face-to-face work contact with the assessed member, then a statement to this effect must be included in the narrative;
 - g. the assessor and senior assessor must ensure they can justify their assessment. They are to provide material or other information, which justify or support assessments and make it available on request to the member;
 - h. formal warnings and censures are to be mentioned on the annual performance appraisal report;
 - i. the assessor is not to compare the assessed member's performance with that of any other person; and
 - j. the assessor is to take into account the way in which the member has met security and ethical responsibilities expected of all Defence personnel.

Report completion

4. **Electronic completion.** All sections of the performance appraisal report should be completed electronically on Web Forms System. Guidance on this is provided in the page 'Helpful Hints' when the form is first opened. As an electronic form, the PAR is produced and printed as a collection of loose pages. Each page of the report has provision for a unique identifier to ensure that the integrity of the printed report is preserved.

5. **Unavailability of Web Forms System.** Where Web Forms System is unavailable, reports are to be typed or neatly handwritten and forwarded to the CMA. Copies of the form should be obtained from the relevant CMA. In these circumstances, members will not have access to electronic field help contained within the form and will therefore be reliant on the information in this and the relevant single Service Instruction.

Personal job details

6. When completing Part 1A of the report, much of the information sought is self evident. However, amplifying details for the following 'boxes' of required information is as shown below:

- a. **Employee ID.** This is a Personnel Management Key Solution (PMKeyS) number that replaces the Service number and contains numerical characters only;
- b. **Worn rank.** The rank that the member is wearing at the time that the report is raised;
- c. **Substantive rank.** The confirmed rank of the member;
- d. **Date of seniority:**
 - (1) **Navy and Army.** The date member was promoted provisional/substantive to rank; and
 - (2) **Air Force.** The seniority date promulgated in PMKeyS.
- e. **Period start date.** The date of the first day of the reporting period.
- f. **Period end date.** The date of the last day of the reporting period.
- g. **Duty type.** Relevant character to be entered from:
 - (1) A—Reserve Force part-time duty.
 - (2) B—Permanent Force part-time duty.
 - (3) C—Reserve Force full-time duty.
 - (4) D—Permanent Force full-time duty.
- h. **Res days.** Total number of Reserve days attended during the reporting period; and
- i. **Date of mid-term review.** The date that the member was formally counselled and the Preliminary Review of Performance (PRP) was signed. (If more than one PRP review has occurred, then the date of the first review is to be used).

Nature of duties

7. When completing Part 1B of the report (Nature of duties), the first sentence must include the job title. This part should briefly describe the nature of duties performed during the reporting period, listing any significant activities to which the member contributed, including any significant secondary or regimental duties.

Performance dimension ratings and narrative

8. When completing the performance appraisal report, the assessor is to record the member's performance as follows:

- a. For each applicable performance dimension: record a tick in the box adjacent to the description that best describes the member's performance throughout the reporting period. For Officers Parts, 2A and 2B of the report refer. For Other Ranks, Parts 2A, 2B, 2C and 2D refer.
- b. For narrative: record a concise word picture that provides a complete description of the member's performance throughout the reporting period. The narrative is to be limited to the character spaces provided on the form; attachments will not be accepted. For more detail on the content of the narrative, refer to field help or the relevant single Service instruction.

9. Performance dimension definitions. A definition of each performance dimension is provided in the PAR. Additional information is provided in the report's 'Field Help'.

Suitability for future employment

10. The assessor is to provide an assessment (rated and narrative) of the member's suitability for future employment. The rating codes to be used are shown in the report.

11. The following apply to both Officers and Other Ranks:

- a. **Representational duties.** Representational duties refers to the non-specialist public activities component of Australian Defence Force (ADF) exchange appointments, positions in diplomatic missions and similar employment positions. In rating the member's suitability for representational duties, the assessor should consider how well the member would represent the ADF in work settings, social settings and within professional as well as non-professional groups.
- b. **Promotion recommendation.** In assessing a member's suitability for the next rank, an assessor should consider whether the member could satisfactorily perform jobs at the next substantive rank. The assessor is not to consider the member's suitability for promotion beyond the next substantive rank. In completing the appropriate promotion recommendations, consideration is to be based on suitability. Additionally, no account is to be taken of present limits on promotion in the assessed member's employment category.

12. The following apply to Officers only:

- a. **Command.** In this context, Command refers to appointments such as Commanding Officer where legal powers are clearly defined. It also includes the appointment of Director (and higher) at the Command and Service headquarters/departmental level.
- b. **Charge Appointment/Sub-Unit Command.** Charge Appointment/Sub-Unit Command encompasses appointments such as Head of Department, Company Commander, Flight Commander, Section Commander or similar subordinate appointments.
- c. **Command and Staff Course.** Recommendation for Command and Staff course applies to officers at the O-4 (Major (Equivalent) (MAJ(E)) level, and in the case of Air Force also for officers at the O-5 (Wing Commander) level.
- d. **Higher Defence College.** Recommendation for Higher Defence College applies to officers at the O-5 (Lieutenant Colonel (Equivalent)) level.

13. The following apply to Other Ranks only:

- a. **Commissioning.** If the member has not indicated interest in seeking a commission, then this is 'Not applicable' and the relevant code is used.
- b. **Instructional duties.** Instructional duties refers to instructional jobs in teaching establishments such as Service schools, recruit training facilities and field training centres. Specific to Service guidance can be found in the form's field help and in the relevant single Service instruction.

14. Judgment of a member's 'Suitability for Future Employment' is of prime importance for promotion as well as for selection for other positions. While assessment of an individual's job performance may be relatively straightforward, being based on direct observation, the assessment of promotion recommendation and suitability for Representational Duties, Command, Charge Appointment/Sub-Unit Command, Command and Staff College, Higher Defence College, Commissioning and Instructional duties will be less precise. The assessor is to draw conclusions, based on the assessed member's performance and experience, on how well the assessed member may perform in the future:

- a. in other jobs;
- b. at the next rank; and/or
- c. under different circumstances.

Part 2—Representation intention

15. Once the assessor completes the relevant sections of Part 2 of the report, the assessed member should normally be given a copy and debriefed on its contents. The member then indicates whether a representation is to be made against that assessment. The procedures for dealing with a representation are covered in [annex E](#) of this instruction.

Review of representation against Part 2 assessment

16. If a representation is made against the Part 2 assessor, a reviewing officer is to review the representation. The reviewing officer is to indicate if the representation is supported or not supported. The reviewing officer is to indicate any changes that have been made to the report as a result of the representation being supported. For more details on the role and responsibility of the reviewing officer, refer to [annex E](#) of this instruction.

Part 2—Assessed member's declaration

17. At the completion of Part 2 of the report, the assessed member is to sign and date the report. The assessed member is to indicate they have read Part 2 of the report and they have been debriefed on the contents of Part 2 of the report. If the member refuses to sign, action should be taken in accordance with [paragraph 24](#).

Statement by senior assessor

18. The senior assessor may record narrative comments on the assessed member's performance in Part 3A of the report. A senior assessor may also amend Part 2. Where a senior assessor makes an amendment to Part 2 of the report, the senior assessor must meet the minimum period of observation requirements and clearly articulate the changes they have made and why. The narrative is to be limited to the character spaces provided on the form; attachments will not be accepted.

19. In Part 3A, the senior assessor makes a promotion recommendation in accordance with the codes contained in the form. In assessing a member's suitability for the next rank, an assessor should consider whether the member could satisfactorily perform jobs at the next substantive rank. The senior assessor is not to consider the member's suitability for promotion beyond the next substantive rank. If the senior assessor disagrees with the assessor's promotion recommendation, then the reasons for this must be stated in the senior assessor's comments.

Part 3—Representation intention

20. Once the senior assessor completes Parts 3A and B of the report, the assessed member is to be given a copy and debriefed on its contents. The member then indicates in Part 3C whether a representation is to be made against the senior assessor's comments and/or recommendation. The procedures for dealing with a representation are covered in [annex E](#).

Review of representation against Part 3 assessment

21. If a representation is made against the Part 3 assessor, a reviewing officer is to review the representation. The reviewing officer is to indicate if the representation is supported or not supported. The reviewing officer is to indicate any changes that have been made to the report as a result of the representation being supported. For more details on the role and responsibility of the reviewing officer, refer to [annex E](#) of this instruction.

Part 3—Assessed member's declaration

22. At the completion of Part 3 of the report, the assessed member is to sign and date the report. The assessed member is to indicate they have read Part 3 of the report and they have been debriefed on the contents of Part 3 of the report. If the member refuses to sign, action should be taken in accordance with [paragraph 24](#).

PERFORMANCE APPRAISAL DEBRIEF

23. The assessor and senior assessor are to interview and debrief the member regarding their sections of the PAR report. Where a face-to-face interview is impractical because of physical separation, then an appropriate alternative means of feedback/debriefing is to be arranged. The assessor and senior assessor are to ensure that the member fully understands the comments and assessments concerning performance and suitability for future employment. They are to provide material or other information which justify or support assessments, and make it available to the member. If the member disagrees with any part of the assessment, then the grounds of the disagreement should be discussed with the assessor. Assessors and senior assessors may change any part of their appraisal if desired and justified, but they are under no compulsion to do so. The report should be handed to the member who, after studying its contents, should indicate whether they intend to make a representation.

24. **Refusal by member to sign:** A member who refuses to sign a completed Part 2 or Part 3 of their performance appraisal report is not to be subjected to any adverse administrative action as a result of the refusal. If the member refuses to sign the completed PAR, then the assessor is to, in the presence of a witness, formally ask the member to sign the completed report. If the assessed member still refuses to sign, the assessor is to undertake the following actions:

- a. in the 'assessed member signature block', insert the annotation: 'Assessed member refused to sign', initial and date the annotation;
- b. have the witness sign and date the annotation; and
- c. provide a copy of the report to the member and continue further processing.

25. When the PAR has been completed, and any representation dealt with, the assessed member must be given a printed copy of the final report.

Appendixes:

1. [Additional Information on Performance Dimensions Officer Performance Appraisal Report](#)
2. [Additional Information on Performance Dimensions Other Ranks Performance Appraisal Report](#)

ADDITIONAL INFORMATION ON PERFORMANCE DIMENSIONS OFFICER PERFORMANCE APPRAISAL REPORT

Part 2A—Assessments for officers with subordinates

Performance dimension	Additional information
Appraising the performance of subordinates	Did the officer provide subordinates with frequent formal feedback on work performance and personal development? Did the officer satisfy mandatory appraisal and counselling obligations? Did the officer complete annual performance appraisals before the promulgated deadlines? Did the officer respond appropriately to representations from subordinates?

Part 2B—Assessments for all officers

Performance dimension	Additional information
Job competence	How much supervision or guidance did the officer need to perform competently? Did the officer always display technical competence in undertaking the tasks assigned?
Self development	Did the officer seek to understand work-related disciplines outside the officer's specialisation? Did the officer's expanded personal horizons result in enhanced professional competence?
Productivity	Did the officer assign appropriate priorities to tasks? Did the officer complete the tasks assigned? Were deadlines met? Was the officer working under pressure or with unreasonable constraints? Was the officer 'work smart'? Did the officer make efficient use of resources?
Service ethos	This facet of performance embraces issues such as personal responsibility, accountability, conduct, personal appearance, commitment to equity and diversity principles and commitment to the laws of armed conflict. In this context, regard/disregard for the values, traditions and practices of the Australian Defence Force does not refer simply to obedience/disobedience. Rather it refers to the extent that the member is committed to the principles and applies them sensibly, given the work circumstances of the member.
Human relations	In the work environment, did the officer mix easily with others at all levels and on all occasions? Did the officer actively promote workplace harmony without compromising the welfare of individuals or the organisational objectives? Did the officer adhere to the principles of workplace diversity?
Judgment and commonsense	Did the officer realistically balance the need for quick decisions or advice against the need for comprehensive information on which to base the decision or advice? Did the officer exercise due caution in respect of decisions or advice not based on full appreciation of the relevant factors? Did the officer's judgment indicate a suitable blend of idealism and pragmatism?

Performance dimension	Additional information
Oral communication	Did the officer speak fluently with a jargon free vocabulary (remember that jargon is context dependent)? Was the officer politely assertive? Were the officer's arguments clear, logical and well structured?
Written communication	Did the officer use a rich jargon free vocabulary (remember that jargon is context dependent)? Was the officer's written work interesting and easy to read? Were the officer's arguments clear, logical and well structured?
Analysis	Did the officer reduce problems or situations to their constituent parts? Did the officer explain the relationship between the constituent parts? Did the officer include the situation or problem context in the analysis and explain its relevance?
Foresight	Did the officer project sufficiently into the future? Was the officer able to assign realistic likelihoods to forecast outcomes? How broad was the scope of the officer's forecasts?
Responsibility	Did the officer refer to you matters (for decisions) that they should have dealt with? Did the officer overstep their authority? Did the officer accept responsibility for tasks outside the scope of their competence? Did the officer seek greater authority or responsibility than normally assigned in that job? Did the officer have a tendency (or attempt) to pass the buck?
Adaptability	Did the officer have a positive attitude to organisational change and workplace change? Did the officer unreasonably promote or oppose change? In accepting or resisting change, did the officer place the longer term needs of the organisation as the highest priority?
Decisiveness	Did the officer unreasonably defer or delay decisions or actions? Was the officer unreasonably hasty in acting? Were decisions well informed? Were decisions or actions appropriate to the demands of the situation?
Leadership	Leadership involves harnessing the energy, enthusiasm and skills of a group to achieve assigned organisational objectives in a range of work situations. In a practical sense, it involves: <ul style="list-style-type: none"> • influencing peers and superiors, • motivating and inspiring peers and subordinates, and • directing and controlling subordinates

Performance dimension**Additional information**

In rating the leadership of a member, assessors should consider the following:

- Leadership plays a key role in an organisational environment of change, uncertainty and confusion. The primary purpose of leadership is to reduce that uncertainty and confusion, and establish a clear pathway to achieve the organisational objective.
- In the leadership context, an implicit organisational objective is group harmony and cohesion. Failure to establish and maintain group harmony and cohesion is a failure of leadership.
- Motivating, inspiring, and setting a personal example are means by which leaders may harness the energy and enthusiasm of the group.
- Organising, giving orders and directions, and assigning tasks are means by which leaders harness the skills of the group.
- Effective leadership in situations of low complexity and challenge does not necessarily indicate the potential for effective leadership in more complex and demanding circumstances.

Some officers may not be observed in all aspects of the leadership roles. An assessor may use observations of related aspects of an officer's performance to estimate that officer's capacity to perform as a leader of others.

ADDITIONAL INFORMATION ON PERFORMANCE DIMENSIONS OTHER RANKS PERFORMANCE APPRAISAL REPORT

Part 2A—Assessments for members with subordinates

Performance dimension	Additional information
Training of Others	<p>Supervisors have a formal responsibility for ensuring that their subordinates have the necessary knowledge, skills and experience to perform assigned tasks. In some situations, supervisors will be required to conduct the training themselves. In other situations, supervisors may be required to arrange the necessary training. When assessing the member on this performance dimension, consider the following:</p> <ul style="list-style-type: none">• Did the member's subordinates show any shortfalls in knowledge, skills and experience?• Did the member make reasonable efforts to conduct or arrange the necessary training for subordinates?• If the member did not make reasonable efforts to conduct or arrange the necessary training, were there any mitigating circumstances beyond the member's control?
Appraising the Performance of subordinate	<p>Did the member provide subordinates with frequent formal feedback on work performance and personal development? Did the member satisfy mandatory appraisal and counselling obligations? Did the member complete performance appraisals before the promulgated deadlines? Did the member respond appropriately to representations from subordinates?</p>

Part 2B—Assessment for CPL(E) and below

Basic Service Skills	<p>To what extent was the member current on first aid, firefighting, ground defence, personal protection, radio and telephone procedures, map reading, drill, military law, boarding parties etc appropriate to their Service and/or work environment? Did the member undertake all of the necessary training courses to maintain currency? If training opportunities existed, and the member's performance was below the required standard, then the member should expect the lowest rating.</p>
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Part 2C—Assessments for all members

Oral Communication	<p>Did the member speak fluently with a jargon free vocabulary (remember that jargon is context dependent)? Was the member politely assertive? Were the member's arguments clear, logical and well structured?</p>
Productivity	<p>Did the member complete the tasks assigned? Were deadlines met? Was the member working under pressure or with unreasonable constraints? Was the member 'work smart'? Did the member make efficient use of resources?</p>

Performance dimension**Additional information**

Application of Job Knowledge and Skills

To what extent did the performance of assigned tasks indicate that the member had the specialist knowledge and skills required for the job? A member whose trade knowledge and skills were well suited for routine tasks but fell short of requirements on other tasks should not be rated above the lower-middle grade.

Organisation of Work

Did the member assign correct priorities to tasks? Where relevant, did the member arrange the necessary resources for subordinates? A member who performed well on routine tasks but not so well on other activities should not be rated above the lower middle grade.

Problem Solving

Did the member separate the real problem from the apparent problem? Did the member use novel, innovative and common solutions appropriately? Were the problems complex? Did the activated solution exceed the scope of the member's authority? A member whose problem solving involved only routine problems and common solutions should not expect to be rated above the middle grades.

Service Ethos

This facet of performance embraces issues such as personal responsibility, accountability, conduct, personal appearance, commitment to equity and diversity principles and commitment to the laws of armed conflict. In this context, regard/disregard for the values, traditions and practices of the Australian Defence Force does not refer simply to obedience/ disobedience. Rather it refers to the extent that the member is committed to the principles and applies them sensibly, given the work circumstances of the member.

Capacity for Work

This performance dimension is a measure of the capacity of the member to accept increasing workloads while maintaining the desired standards of performance and high levels of efficiency. A rating for this performance dimension should be based on the member's capacity for work in the context of a normal length working day.

Resourcefulness

Resourcefulness is a combination of initiative, commonsense, imagination and willingness to take a calculated risk. To what extent did the member use his/her resourcefulness to prevent or resolve unusual or difficult situations? To what extent did the member seek guidance or assistance on matters that were within the scope and authority of the task/job and the competence of the member? A member whose resourcefulness yielded mixed outcomes should not expect higher than a lower middle rating.

Interpersonal Skills

In the work environment, did the member mix easily with others at all levels and on all occasions? Did the member actively promote workplace harmony without compromising the welfare of individuals or the organisational objectives? A member for whom the response to these questions is an empathetic 'yes' should receive at least an upper middle rating.

Performance dimension**Additional information**

Teamwork

Did the member actively encourage members of work teams or groups to contribute their ideas? Was the member considerate of other's ideas and opinions, particularly where they differed from the member's opinion? Did the member actively promote harmony and cohesion within the work team/group? A member for whom the response to these questions is an emphatic 'yes', should receive at least the upper middle rating.

Part 2D—Assessment for CPL(E) and above

Written Communication

Did the member use a rich jargon free vocabulary (remember that jargon is context dependent)? Was the member's written work easy to read, interesting and convincing? Additionally, how consistent was the standard of written work? Were the member's arguments clear, logical and well structured?

Leadership

Leadership involves harnessing the energy, enthusiasm and skills of a group to achieve assigned organisational objectives in a range of work situations. In a practical sense, it involves:

- influencing peers and superiors;
- motivating and inspiring peers, and subordinates; and
- directing and controlling subordinates.

In rating the leadership of a member, assessors should consider the following:

- Leadership plays a key role in an organisational environment of change, uncertainty and confusion. The primary purpose of leadership is to reduce that uncertainty and confusion, and establish a clear pathway to achieve the organisational objective.
- In the leadership context, an implicit organisational objective is group harmony and cohesion. Failure to establish and maintain group harmony and cohesion is a failure of leadership.
- Motivating, inspiring, and setting a personal example are means by which leaders may harness the energy and enthusiasm of the group.
- Organising, giving orders and directions, and assigning tasks are means by which leaders harness the skills of the group.
- Effective leadership in situations of low complexity and challenge does not necessarily indicate the potential for effective leadership in more complex and demanding circumstances.

Some members may not be observed in all aspects of the leadership roles. An assessor may use observations of related aspects of a member's performance to estimate that member's capacity to perform as a leader of others.

REPRESENTATION PROCESS

1. A disputed assessment should be dealt with, in the first instance, by discussion between the member and the relevant assessor. If the outcome of these discussions is not to the satisfaction of the member, then the member may make a formal written representation. The member should prepare their written member statement within five working days of indicating their intent to represent.
2. **Member's statement.** The member must specify the particular rating(s) and/or narrative comment that is the subject of dispute. The member should justify, using specific examples or detailed explanations, any requested changes. The content of the member's statement should be factual and should not be emotive.
3. **Assessor's statement.** The assessor being represented against is to respond in writing to the representation. The assessor should complete their response within five working days. The assessor should provide factual evidence to support any challenged assessment. The assessor is to only address the matters raised by the assessed member and should not introduce any new adverse material.
4. If the response from the assessor being represented against introduces additional adverse comments, then procedural fairness requires that the report and associated submissions must be returned to the member for sighting and possible written rebuttal. It should be noted that the time to complete the representation process is controlled by the assessor.
5. The assessor is to forward the disputed report, and all documentation associated with the representation, to the designated reviewing officer.

Eligibility requirements for reviewing officers

6. If a representation is made against the Part 2 assessor, then the senior assessor is expected to act as the reviewing officer. If a representation is made against the Part 3 assessor, then the senior assessor's supervisor is to review it. However, reviewing officers who feel that they cannot provide an impartial evaluation of the representation may disqualify themselves and arrange for the review to be conducted by another person of appropriate rank.
7. In general, the reviewing officer should be one rank higher than the assessor, and may be within or external to the assessed member's reporting chain.

Responsibilities of the reviewing officer

8. Reviewing officers are responsible for making determinations on representations. The review of the report and representation is to be done objectively and is to be based only on the written evidence presented. The reviewing officer may seek additional information for clarification from either the member or the assessor. The reviewing officer must be cognisant of the deadline for the submission of the performance appraisal reports to the Career Management Agency (CMA). The reviewing officer should aim to conclude a representation within five working days of the material being forwarded by the assessor.
9. Reviewing officers should adhere to the following principles when making a determination on a representation:
 - a. ensure that the principles of procedural fairness are adhered to;
 - b. discount any personal knowledge of, or feeling towards, the member making the representation or the assessor; and
 - c. ensure that the decision is supported by evidence.
10. The reviewing officer is responsible for ensuring that both the member and the assessor are debriefed on the outcome of the representation. The reviewing officer is to put their findings in writing and provide a copy of their report to both the assessor and assessed member. The reviewing officer is to complete their personal details on the performance appraisal report.

11. **Representation not supported.** The reviewing officer is to indicate on the Performance Appraisal Report (PAR) that the representation is not supported. The report is to be signed by the member and processed to the CMA without delay. A complete, signed report is to be given to the member, who can either accept the finding on the representation or take 'redress of grievance (ROG)' action in accordance with Defence Instruction (General) (DI(G)) PERS 34-1—*Redress of Grievance—Tri-Service procedures*. The reviewing officer is to inform the member of their right to redress a disputed assessment. Units are to notify CMAs if a member lodges a ROG in relation to performance appraisal.

12. **Representation supported.** The reviewing officer is to indicate on the PAR that the representation is supported/partially supported. The reviewing officer may amend the contentious sections of the report. There is no minimum period of observation for the reviewing officer. The reviewing officer should make a statement on the PAR indicating the report has been amended as a result of support for representation. The statement must clearly indicate which aspects of the report have been amended.

13. An amended report is not subject to further review in accordance with this instruction, but may be subject to review through ROG procedures in accordance with DI(G) PERS 34-1 or through external agencies. Once finalised and signed, the amended report is to be submitted to the CMA and a completed copy provided to the assessed member. Units are to notify CMAs if a member lodges a ROG in relation to performance appraisal.

Archiving of Representation documentation

14. Representation documentation is not to be forwarded to the CMA. All Representation documentation, including member's statements, assessor's statements, reviewing officer's findings and any superseded reports, are to be forwarded to Defence Archives for filing once the report is finalised and despatched to the CMA.

15. The address for Defence Archives is: Defence Archives, Queanbeyan, Annex 1, Department of Defence, CANBERRA ACT 2600.

NIL REPRESENTATION

16. A member who does not seek representation at the time of signing the report, cannot subsequently initiate representation action once the appraisal report has been despatched to the CMA. The member is still entitled, however, to seek further review in accordance with ROG procedures detailed in DI(G) PERS 34-1, or by external agencies. In this latter case, however, the fact that a timely representation was not made could be taken into account when the ROG is being considered.

17. **Part 2 amendment by senior assessor.** A senior assessor may amend Part 2 of the report even if there is no representation made by the member. Where a senior assessor makes an amendment to Part 2 of the report, the senior assessor must satisfy the minimum period of observation as stated in paragraphs 13 and 14 of this instruction. Where the report has been amended, the senior assessor must state in Part 3A that the report has been amended and clearly indicate the performance dimensions ratings which have been adjusted or any changes that have been made to future employment recommendations or narrative. Senior assessors must also provide the reasons for the changes. Should the senior assessor decide to re-write the report, the 'Assessor Personal Details' in Part 2 are left blank and the 'Senior Assessor Personal Details' in Part 3B are completed. The superseded report is to be forwarded to Defence Archives for filing and archival action. The senior assessor should advise the assessor of any changes that have been made to the PAR.

DESCRIPTION AND COMPLETION GUIDELINES—AUSTRALIAN DEFENCE FORCE PERFORMANCE APPRAISAL SUPPLEMENTARY REPORT

1. Form AC 833-30—*ADF Performance Appraisal Supplementary Report* should be accessed through Web Forms System and read in conjunction with this annex. Where Web Forms System is unavailable, a copy should be obtained from a higher Headquarters. The form has been designed for electronic completion but may be typed or neatly handwritten in lieu.
2. The Supplementary Report (SR) is designed to record performance when the period of observation is less than four months. SRs are particularly appropriate when members are on an operational deployment, temporarily posted or attached to another unit for a period of less than four months. SRs may also be used for members with significant secondary duties and for some types of Reserve service.
3. In the case of a member being detached from the parent unit, both the member and the member's new supervisor are to be advised of the requirement for a SR at the commencement of the attachment. The designated assessor or the assessed member may request a supplementary assessment.

Royal Australian Air Force Reserve duty

4. SRs (on Form AC 833-30) are to be raised on:
 - a. Royal Australian Air Force Active Reserve members who have completed less than 26 training days during the observation period; and
 - b. RAAF Reserve Staff Group members who undertake projects during which they are observed by their immediate supervisor or project sponsor for a minimum period of 26 days.
5. SRs raised on RAAF Reserve members in these circumstances are to be forwarded to Director Reserves—Air Force.

REPORT COMPLETION

6. **Assessed member's personal details.** For guidance on completion of 'Personal and job details', reference should be made to annex D, [paragraph 6](#). of this instruction.
7. **Narrative.** In the Narrative section, the assessor should record a brief statement describing the performance of the member during the period of observation. Where appropriate, reference should be made to assigned tasks, level of autonomy, standard of performance, special achievements and/or shortcomings. For more guidance, refer to the relevant single Service instruction.
8. **Representation Intention.** A member may represent against the content of a SR. The representation process is described in [annex E](#). As there is only one part to the SR, the member is afforded only one opportunity to represent against the report.
9. **Review of representation.** If a representation is made against the assessor, a reviewing officer is to review the representation. The reviewing officer is to indicate if the representation is supported or not supported. The reviewing officer is to indicate any changes that have been made to the report as a result of the representation being supported. For more details on the role and responsibility of the reviewing officer refer to [annex E](#) of this instruction.
10. **Assessed member's declaration.** When the report has been finalised, including all representation, the assessed member is to sign and date the report. The assessed member is to indicate they have read the report and they have been debriefed on the contents of the report. A completed copy of the report is to be provided to the member.

11. Counselling, performance feedback and debriefing action should be made in accordance with the principles described in this instruction.

REPORT ADMINISTRATION

12. SRs are to be sent to the member's parent unit and forwarded to the Career Management Agency with the annual Performance Appraisal Report (PAR). The content of the SR may be considered in the preparation of the annual PAR.