

Performance Planning and Review Protocol Handbook



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The protocol is designed to assist staff to achieve the University's goals by linking the strategic objectives with employee goals and achievements.

The protocol focuses on improving organisational outcomes by aligning organisational, individual, and team objectives.

PERFORMANCE PLANNING AND REVIEW PROTOCOL—WHY DO WE NEED THIS?

UNE aims to be significantly more productive and efficient; more active in developing its strengths in teaching, learning and research; and more able to operate competitively in a modern environment where flexibility, speed, quality and responsiveness to key stakeholders is all important. The UNE Strategic Plan 2007—2010 outlines our organisational priorities, and strategies for achieving them. Performance planning is one of the strategies, and its success rests with all participants.

The Higher Education sector is extremely competitive, and it is imperative that we modernise our current working environment, have a clear and focussed strategic plan that outlines our vision for the future, and a performance protocol that fairly and consistently records our progress as we work towards our vision. The aim of the Performance Planning and Review (PPR) protocol is to achieve this by emphasising continuous improvement and encouraging our most valuable resource—our people.

BENEFITS TO UNE

The PPR protocol is being implemented as part of the annual workplace planning cycle to provide the University with a tool to:

- Improve and measure quality of service, systems, processes, risk management and planning
- Manage staff work plans and resources
- Disseminate information about work plans
- Acknowledge and reward excellence of service and effort
- Identify performance metrics and record outcomes
- Identify areas where additional support and resources need to be focussed

BENEFITS TO YOU

Participating in the PPR protocol will provide you with:

- An understanding of your position in the context of UNE, its strategic goals and vision for the future
- Clarity about your responsibilities in the annual planning cycle of your work area
- Regular discussions with your supervisor about your work and career goals
- Opportunities for professional development to help you achieve your goals
- Recognition of the value you bring to your work area and to UNE
- A mechanism to identify any challenges you face in your work and develop strategies to succeed with these
- The opportunity to develop and apply new and more efficient ways of working
- Constructive feedback

ALL STAFF—RESPONSIBILITIES AND ACCOUNTABILITIES

- Complete all required training in the PPR protocol
- Adopt a cooperative approach to the setting and review of work goals including the process of continuous improvement
- Complete a self review of achievements for the previous 12 months
- Set goals for the next 12 months in line with UNE, work unit and personal career goals
- Meet regularly with their supervisor to discuss progress towards goals
- Undertake an appropriate professional development program where required

SUPERVISORS—ADDITIONAL RESPONSIBILITIES AND ACCOUNTABILITIES

- Ensure all staff are informed about the PPR protocol and are provided with the necessary time to complete all requirements of the process
- Work with staff to develop goals and Key Performance Indicators (KPI) relevant and appropriate to their position and level, and ensure alignment with the goals of the work unit and the University
- Provide ongoing constructive feedback and support to staff
- Encourage staff to continue to update and develop their skills, and ensure that funds available for professional development are allocated equitably
- Ensure that all staff are treated fairly and equitably in all aspects of the protocol and avoid direct and indirect discrimination
- Meet regularly with their staff members to discuss progress and refine goals where necessary
- Prepare thoroughly for each discussion
- Ensure that all requirements of the PPR policy are completed
- Refer any issues arising out of the PPR protocol to their Head of Cost Centre

HEAD OF COST CENTRE—ADDITIONAL RESPONSIBILITIES AND ACCOUNTABILITIES

- Ensure all staff within the Cost Centre who have a supervisory role are appropriately trained, and that skills currency is maintained
- Resolve any issues arising out of the PPR protocol within their Cost Centre, unless the issue relates directly to themselves in which case the matter should be referred to the relevant DVC or PVC
- Report on any issues arising out of the PPR protocol to the relevant DVC or PVC

ODU—ADDITIONAL RESPONSIBILITIES AND ACCOUNTABILITIES

- Provide all required training in the PPR protocol
- Annually monitor, review and report on the PPR protocol, policy and forms
- Advise supervisors on the timing of the PPR protocol and ensure participation in the protocol
- File completed forms and related paperwork in a confidential manner

GUIDING PRINCIPLES

1. No-one is perfect all of the time

UNE does not expect perfection but it does expect that staff endeavour to perform as well as possible and to make a commitment to continuous improvement

2. Acknowledgement and praise produce better results than criticism

Research has shown that acknowledgment and praise encourages and motivates people whereas criticism is often de-motivating

3. Constructive feedback promotes learning and development

Feedback is an essential part of the learning process—quality feedback is balanced, specific, constructive and timely

4. We all need to continue learning and developing

All staff, regardless of seniority or length of service, need to have strategies to learn, remain current in their field, and/or maintain freshness and enthusiasm

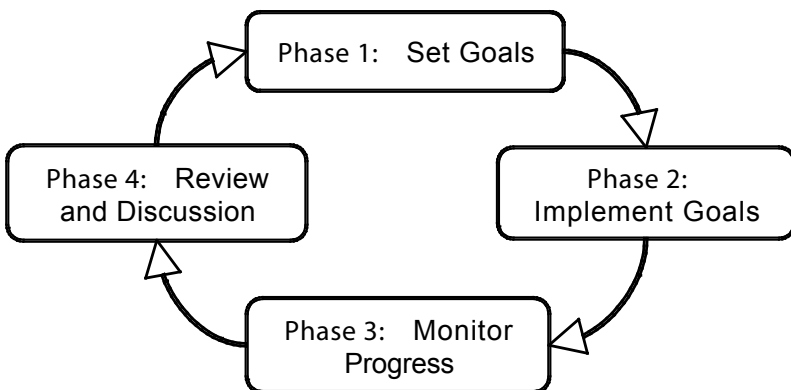
5. There should be no surprises at the annual review discussion

With regular informal meetings between staff and their supervisors any issues will be managed as they arise ensuring that the formal review discussion is not the first time a staff member learns about a performance matter—it is the supervisor’s responsibility to appropriately manage performance issues in a timely manner

6. Equity and fairness

In any conversation every participant already has certain assumptions about the other person(s) and about what to expect from the discussion long before a word is spoken—all staff should comply with the Anti-Discrimination legislation and University policy, and practice appropriate interpersonal communication skills

PPR PROTOCOL PHASES



The PPR protocol is a cyclical process that commences with goal setting. Ideally, the cycle begins within the first few weeks of a staff member’s employment at UNE and completes with a final review before they leave their employment.

Phase 1: Set goals and clarify expectations

All staff should make work plans, set goals and clarify role expectations with their supervisor. Clearly defined, measurable goals (Key Performance Indicators—KPI) are the most effective way to fairly evaluate performance. Effective workforce planning allows supervisors to understand and support the strengths and aspirations of their staff and provides a mechanism to create strong team outcomes that meet the University's strategic objectives (see Workforce Planning Policy: www.une.edu.au/hrs/handbook/06/odwpc.htm).

Goals (KPI) need to be clearly defined and measurable so it can be easily established whether the goals have been achieved or not.

Phase 2: Implement goals

Staff should have a clear plan to work towards their goals. This plan will include all relevant professional development both work and career related—for UNE-wide required professional development and training please refer to the HR Development Plan 2007-2010 at <http://www.une.edu.au/od/files/HRDevPlan2007-2010.xml> (see page 9 for more details).

Implementing goals is simply:

- Having an action plan and a task list
- Undertaking any training and development
- Regularly reviewing and updating the action plan and task list

Phase 3: Monitor progress and modify goals if necessary

Circumstances may change during a planning period requiring a modification of goals. Supervisors should touch base regularly with their staff to review progress towards goals, acknowledge milestones achieved, provide feedback and discuss strategies to overcome any problems that may arise, including providing coaching, training and development where appropriate.

Phase 4: Formal Discussion and Review

Staff should prepare for the formal discussion by undertaking a self-review of all achievements and/or any issues faced during the year. Supervisors should also prepare thoroughly for each discussion. This discussion ensures a common understanding between staff member and supervisor.

Feedback given during this discussion should come as no surprise to either the staff member or the supervisor. Effective feedback is timely, balanced, specific, and constructive. Feedback, sensitively given, is essential to foster an environment of continuous improvement to enable UNE to meet its strategic objectives. When agreement has been reached the results of this discussion are documented on the relevant form.

For staff who did not formally set goals in the previous year, the self-review will reflect their achievements relative to their position description and/or provide a progress report on longer term goals.

ESTABLISHING KEY PERFORMANCE INDICATORS (KPI)

What are KPI?

KPI enable an organisation to effectively and fairly evaluate outcomes. KPI are a tool for UNE staff at all levels and for external stakeholders to monitor how well the University is progressing towards achieving its strategic priorities.

A KPI must be quantifiable and is 'key' to achieving UNE's strategic goals. It is imperative that all staff understand how they can contribute to UNE's overall success and to know when UNE has achieved its priorities. All KPI for staff and work units should reflect the strategic priorities outlined in the UNE Strategic Plan 2007—2010.

A useful tool for effective goal setting is to use the acronym SMART:

Specific—the more specific and clearly defined the goals are then the easier it is to achieve them

Measurable—identify how the goal can be measured and/or evaluated

Achievable—all goals should be within a staff member's current capabilities and the resources available, and may allow for the staff member to stretch or develop their capabilities

Relevant and realistic—goals should be linked to UNE's strategic goals, the operational plans of the work unit, and the individual's career aspirations

Time based—sufficient time and resources are available to complete the goals, and a timeline for goal completion is specified

KPI Examples

Service: [staff name] is a member of [name of Committee] and will attend [number] meetings during [timeframe], and provide a report on the Committee's activities by [time] to [person]

Professional Development: [staff name] will successfully complete [development program] within [time frame]

Customer Service: [staff name] will effectively handle [number] of student enquiries to completion within 24 hours

Reporting: [staff name] will meet [specified deadlines, eg monthly] for submission of [titles and number] report (or reports)

Project: [staff name] will complete [project name] within [timeframe] to [standard]

Research: [staff name] will complete proposals for [number] grants in [timeframe]; [staff name] will complete [number] refereed papers in [timeframe]

Teaching: [staff name] will undertake a peer review for [name] unit by [timeframe]

Write a KPI relevant to your position:

WORKFORCE PLANNING, HR DEVELOPMENT PLAN AND PPR PROTOCOL

The PPR protocol is a principle tool for aligning the University's strategic directions with staff work and professional development activities, and this should be preceded by sound workforce planning (see Workforce Planning Policy www.une.edu.au/hrs/handbook/06/odwpc.htm). Supervisors should use the PPR discussion to engage staff in development activities appropriate to their role and career stage that will assist the University to meet its goals.

The HR Development Plan provides actions and targets to achieve this. Supervisors should use the HR Development Plan 2007-2010 <http://www.une.edu.au/od/files/HRDevPlan2007-2010.xml> to inform their work unit planning and PPR discussions with their staff. The HR Development Plan is summarised in the following table:

PRIORITIES 2007-2010	1: Identify and Develop Leadership Capacity	2: Effective Workforce Planning	3: Business Process Improvement	4: Empower Staff, Strengthen Accountability	5: Build a Quality Work Environment
GOALS 2007-2010	UNE's leadership is visionary and performance driven	UNE attracts and retains high quality staff UNE develops a capable, adaptive and effective workforce	UNE staff respond positively to change, and embrace continuous improvement strategies	UNE staff are empowered to make responsible work choices based upon organisational values	UNE provides an inclusive, safe and friendly work environment that is harmonious, innovative and enhances staff satisfaction and performance
STRATEGIES 2007-2010	1.1 Actively develop leadership skills	2.1 Undertake skills audit and training needs analysis across the University	3.1 Refine management of workplace change skills and practices	4.1 Implement and embed UNE Performance Planning and Review (PPR) protocol	5.1 Design and implement flexible work practices
		2.2 Develop strategies to manage the aging staff profile	3.2 Streamline UNE processes	4.2 Reward and recognise excellent performance	5.2 Develop high staff morale and a high performance culture
		2.3 Increase staff diversity	3.3 Maintain and manage records efficiently		5.3 Develop strong customer focus
		2.4 Implement succession planning			5.4 Improve grievance management skills and practices
		2.5 Update and/or renew staff skills			5.5 Increase commitment to health and safety
		2.6 Identify and develop opportunities for staff professional development			5.6 Increase awareness of and engagement with OHS and risk management practices

FREQUENTLY ASKED QUESTIONS (FAQ)

Are training sessions just for supervisors or should all staff attend?

It's a Policy requirement that all staff attend a PPR training session. If staff have previously attended a performance review training session then they don't need to attend unless that session was more than three years ago—then it is recommended that you attend a refresher. The essential phases of the PPR Protocol are similar to those in previous Performance Management and GSPR Policies.

Can all of the members of my work area attend PPR training as a group?

Absolutely. It's useful for ongoing communication if all of your staff hear the message at the same time and have the opportunity to ask questions directly. Contact us to set up a session.

Is it possible to work with OD to reframe the PPR forms under special circumstances?

We appreciate that there are some work areas who may find completing the forms difficult. Please speak to OD if you have special requirements for your work area.

Can I undertake PPR with my team—or does it have to be on an individual basis?

If you want to set performance goals for a team then it's appropriate to undertake PPR at the team level and to establish team development plans (eg. Customer service training). You should also meet with staff on an individual basis to establish specific goals and development plans.

What about casual staff, should they participate in the PPR and attend training?

Casual staff are not required to undertake the PPR protocol however they are welcome to attend a PPR training session. It's useful for all staff to understand the expectations of their role.

Our work unit will be going through major change over the next couple of months. Do we still have to do PPR?

During change is an ideal time to meet with staff to review work roles and expectations. During the implementation phase of the change, set realistic KPI and develop professional learning plans based upon the revised needs of the work unit.

What happens if we didn't set any performance goals for last year? How do we do PPR?

It's OK if there are no specific goals to measure against. You are encouraged to reflect on your achievements over the past 12 months relative to your role expectations and discuss these. Then establish goals relevant to what is planned for the next 12 months in the work unit. Finally, consider any specific professional development needs you have to meet work and/or personal career goals.

I am supervising a staff member who will be going study leave next year / is still on probation / is coming up to an incremental progression / will be applying for promotion next year. Do I need to do PPR with them?

Yes. The PPR protocol is designed to cover all aspects of performance assessment including probation, incremental progression, and applications for study leave and promotion. Simply combine, or substitute, the PPR form with the relevant form for the assessment you are undertaking with the staff member. In all of these forms of assessment it is important that the staff member has clearly defined goals to work towards and receives constructive feedback on their performance.

When do we use 360° feedback?

All senior staff (employed above Level E and HEO 10) will be expected to engage in 360° Feedback. This is an anonymous online process set up by OD.

I'm interested in measuring my effectiveness and obtaining feedback from colleagues outside my workplace. Can I use 360°?

Definitely, 360° feedback is a powerful performance measurement tool available to any staff member who requests it. You may use it to inform your PPR and professional development discussion and include a summary of the feedback on your PPR form.

What happens if my PPR is unsatisfactory?

If this happens you will be required to participate in a development program within a defined time frame. You will be provided with appropriate support to enable you to develop your skills and improve your performance.

Additional Information and Support for Supervisors

Used well the PPR protocol is an important and useful management tool that can enhance team outcomes, increase job satisfaction and boost morale.

It is important that supervisors at all levels fully understand and feel competent in all aspects of the PPR protocol, including effectively managing under-performance and other performance issues. Supervisors must be trained in all aspects of PPR and are responsible for ensuring that they acquire the necessary skills and continue to develop these skills.

To meet these responsibilities and fulfil their part in meeting the strategic objectives of UNE each supervisor should have an ongoing learning and development program as part of their own PPR.

OD offers Staff Leadership and other development programs specifically designed for supervisory staff and those staff aspiring to supervisory roles, and will advise on external development options where requested.

All supervisors should complete both modules of EO Online and the Managing and Resolving Poor Performance course, and may request coaching and/or advice from the Employment Equity and Diversity Office (EE&D) or the OD team for resolving specific issues.

Important Links and Resources

Workforce Planning Policy and form:

www.une.edu.au/hrs/handbook/06/odwpc.htm

PPR Policy and forms:

<http://www.une.edu.au/hrs/handbook/15/perfman.htm>

General PPR information:

<http://www.une.edu.au/od/ppr.php>

HR Development Plan 2007-2010:

<http://www.une.edu.au/od/files/HRDevPlan2007-2010.xml>

UNE Strategic Plan 2007-2010:

http://www.une.edu.au/2006-strategic-plan/UNE_Strategic_Plan_2007-2010.pdf

EO Online Module 1 should be completed by all staff, supervisors should also complete Module 2:

<http://www.une.edu.au/eoo/eonline.php>

OD has a professional development resource library available for loan to all staff. To borrow library resources feel free to call into the OD Office or browse online at:

<http://www.une.edu.au/od/books.php> and <http://www.une.edu.au/od/video.php>

The OD team provide professional development advice on request and will source and/or coordinate suitable courses and programs for groups and individuals. If you require customised training for your team please call us to discuss your needs.

For advice on any aspect of PPR or general OD Services please contact:

Kay Hempsall (Manager, ODU) ☎ 2541

Leanne White (ODU Consultant) ☎ 3905

For general enquiries ☎ 3583 or od@une.edu.au

For advice on EE&D matters please contact:

Lyn Tucker (EE&D Officer) ☎ 3242

Bernice O'Mahoney (Project & Admin Officer) ☎ 3591

