

Overview

15.02.01 The Performance Planning and Review protocol is a principal tool in achieving the University's strategic objectives in that it links these objectives with employee goals and achievements. The protocol focuses on improving organisational outcomes through matching individual, team and organisational objectives to the training and development needs of employees at all organisational levels. Supervisors who use this protocol effectively are generally more concerned with performance planning and improvement than in retrospective performance assessment. This forward thinking and developmental philosophy is critical to the success of the protocol.

15.02.02 This policy should be read alongside the specific UNE policies on:

- a) Probation;
- b) Incremental Progression; and
- c) Promotion.

15.02.03 The University is committed to developing a workplace culture that values and recognises high performance. The University recognises that high performance is best fostered in an environment that values open communication, respect for the individual, self-development, and the continuous improvement of work performance and practices within the University. To this end, the University is committed to providing the development opportunities that will enable staff members to meet their individual workplace and career objectives for the mutual benefit of the individual and the organisation.

15.02.04 The Performance Planning and Review protocol will embed best practice performance protocols within the University culture. This comprises the two-way accountabilities of the supervisor and the staff member. These are outlined in detail in this document.

15.02.05 A supervisor or staff member may request a support person if they so choose or an available Equal Opportunity Advisor at any Performance Management meeting.

15.02.06 The UNE Performance Planning and Review protocol will:

- a) Clarify expectations, roles, accountabilities and responsibilities of staff;
- b) Identify and provide effective resources, training and professional development and support to achieve the goals identified for organisational enhancement and individual career progression;
- c) Provide on-going feedback, recognition and reward for high performance;

- d) Provide effective and fair processes for the evaluation of staff performance;
- e) Ensure work performance expectations are reasonable, transparent and appropriate to the classification level, role and position;
- f) Provide early detection, appropriate action and support for insufficient performance;
- g) Provide effective and fair integration of procedures and results of all performance-related processes;
- h) Take into account differences in Faculty/School/Division practice and culture while meeting commonly agreed objectives;
- i) Encourage innovation and diversity;
- j) Operate within a supportive and collegial working environment with an effective balance of individual and peer interaction; and
- k) Contribute to professional development planning by providing aggregated information to key stakeholders;

15.02.07 A staff member may choose to use the outcomes of the Performance Planning and Review protocol to support applications for the formative purposes of:

- a) Study Leave;
- b) Promotion;
- c) Conference attendance and travel; and
- d) Leave without pay for developmental purposes.

Policy

15.02.08 Academic Performance Planning and Review is a continuous professional management process that encourages high performance and the ongoing development of both staff and the University. It is the joint responsibility of staff and their supervisors.

15.02.09 The Performance Planning and Review protocol should commence during the induction phase of a staff member's employment at the University including any probation and confirmation period, and then continue throughout the staff member's career with the University as they progress through salary increment decisions, promotion applications and periodical reviews.

15.02.10 The Performance Planning and Review protocol applies to all staff and includes assessments of their performance for the purposes of:

- a) Their professional and career development;

- b) Incremental progression (see policy **12.14**);
- c) Probation (see policy **10.04**);
- d) Promotion (see policy **14.01**);
- e) Determining unsatisfactory performance (see policy **15.06**);
and
- f) General performance review if staff were not assessed for any of the above purposes in the preceding four years.

15.02.11 The results of the performance reviews may be used to inform all of the processes outlined in **15.02.10**.

15.02.12 Supervisors are also encouraged to use the Performance Planning and Review protocol to establish team/workgroup/collegial outcomes where appropriate.

Academic Staff Supervisors

15.02.13 Each academic will have a nominated supervisor, and will be advised in writing of the name and position of the nominated supervisor. Academic staff may request the nomination of an alternative supervisor through the Head of Cost Centre or the Pro Vice-Chancellor and Dean. If an alternative supervisor is so delegated, workload implications must be considered.

15.02.14 Supervisors will provide academic and administrative leadership and are responsible and accountable for monitoring the performance of academics and for providing assistance to academics whose performance is assessed as requiring improvement.

15.02.15 Wherever possible supervisors will be competent in areas of expertise of the academics for whom they are responsible. This is the responsibility of the Head of Cost Centre.

15.02.16 The supervisory structure for the Performance Planning and Review protocol will be determined at the Faculty and School level by the Pro Vice-Chancellor and Dean in consultation with Vice-Chancellor and Heads of School.

15.02.17 Supervisors must be at Level C and above, and as a general rule will be the head of the academic unit in which the staff member is employed. Exceptions must be approved by the Pro Vice-Chancellor and Dean.

15.02.18 All staff nominated as supervisors must undertake appropriate training in Performance Planning and Review techniques and the provisions of this Policy before embarking on any Performance Planning and Review processes.

15.02.19 No untrained supervisor will undertake the appraisal of staff.

15.02.20 Additional training may be required from time to time. Supervisor training will incorporate:

- a) Induction programs for supervisors on appointment;
- b) Training directed towards assessment of job performance rather than individual characteristics, and techniques for identifying developmental needs;
- c) Training which includes equal opportunity and affirmative action policies and guidelines;
- d) Training on academic staff assessment techniques, the Performance Planning and Review protocol, counselling, and the provisions of this Policy; and
- e) Training on general administrative requirements of the supervisory position as required.

Accountabilities

15.02.21 The **staff member** is accountable for:

- a) Completing the Performance Planning and Review training session/s;
- b) Preparing for Performance Planning and Review discussions;
- c) Participating actively in the Performance Planning and Review protocol;
- d) Listening to and considering any feedback; and
- e) Undertaking any agreed actions to improve performance.

15.02.22 The **supervisor** is accountable for:

- a) Carrying out the Performance Planning and Review protocol;
- b) Completing all mandatory Performance Planning and Review training sessions prior to conducting any aspect of the process;
- c) Ensuring that staff are informed about and provided with the time to complete all training required for participation in the Performance Planning and Review protocol;
- d) Ensuring that staff are treated fairly and equitably at all stages of the process and that any issues beyond the control of the individual that impact performance will not adversely affect the process;
- e) Providing ongoing feedback and support to the staff member;
- f) Taking every opportunity to acknowledge good performance by a staff member, and when appropriate finding ways to recognise and reward high performance by staff;

- g) Encouraging staff members to continue to update and develop their skills;
- h) Reviewing the continuing relevance of the goals with each staff member throughout the relevant review period;
- i) Scheduling the formal review discussions at a mutually convenient time (at least 10 working days' notice should be given to the staff member to prepare for this meeting and preparation time should be allowed within working hours);
- j) Preparing thoroughly for each discussion and listening carefully to staff throughout the discussions;
- k) Recognising and acknowledging that external factors and organisational constraints can have an impact on performance; and
- l) Ensuring that the form used to record the formal discussion is correctly completed and signed. No comments should be committed to the form unless mutually agreed or both parties' views are represented. The staff member should be given the opportunity to take at least three working days to review the final report before signing off on the report.

15.02.23 The Pro Vice-Chancellor and Dean (or Deputy Vice-Chancellor (Academic) in the case of TLC) is accountable for:

- a) Overseeing, championing and coordinating the Performance Planning and Review protocol in their area; and
- b) Making decisions regarding disagreements or issues between staff and their supervisors regarding Performance Planning and Review discussions.

15.02.24 The **Organisational Development Unit** is accountable for:

- a) Delivering all relevant training on the Performance Planning and Review protocol;
- b) Monitoring ,reviewing and reporting on the Performance Planning and Review protocol on an annual basis using the Human Resource Management Information System;
- c) Advising supervisors when a Performance Planning and Review meeting is due;
- d) Developing and reviewing policy; and
- e) Filing completed forms and related paperwork in a confidential manner on staff members' files.

NB: Content of forms is not reviewed by the Organisational Development Unit. Any issues arising out of the process must be raised separately with the Pro Vice-Chancellor and Dean or the Deputy-Vice-Chancellor (Academic).

Procedures

- 15.02.25** Ideally the supervisor will conduct a discussion with each new staff member within the first month of that staff member commencing a new position to clarify expectations and outcomes, and where relevant this would include a discussion of probationary requirements.
- 15.02.26** Supervisors should identify which review period applies to each of their staff members (ie: probation, promotion, incremental progression, unsatisfactory performance, cyclical review, professional/career development) either from regular reports provided by Human Resource Services or by taking action on performance issues as they arise. Supervisors are encouraged to engage in on-going informal meetings with their staff members to review and discuss progress.
- 15.02.27** As a general rule the formal discussion will take place at the end or at the beginning of a calendar year to coincide with the University's planning cycle,. Informal discussions will occur regularly throughout a review period.
- 15.02.28** The Performance Planning and Review discussions will include:
- a) Establishing the key measurable outcomes (key performance indicators) for the relevant performance process and establishing the timeframes;
 - b) Discussing the future directions and plans of the School or work unit in the longer term and the staff member's role in these plans;
 - c) Reviewing the key outcomes achieved during the previous review period taking into account any unforeseen or mitigating circumstances or new opportunities which arose during the year;
 - d) Providing feedback on the individual's overall level of performance during the review period; and
 - e) Reviewing any training and development undertaken during the review period.
- 15.02.29** As part of the Performance Planning and Review protocol staff will undertake a self reporting exercise, following which the staff member's own assessment will be reviewed by their supervisor with one of the following outcomes:
- a) High performance (consistently exceeds expectations);
 - b) Performance meets expectations; or
 - c) Insufficient performance.

- 15.02.30** The documented outcomes from the Performance Planning and Review protocol include:
- a) An assessment of the staff member's achievements and performance for the previous review period against the goals set for that period;
 - b) Individual work planning key outcomes and an action plan documented for the following review period that are realistic, achievable, measurable, timely and appropriate to the individual staff member's classification level and specific requirements of the position; and
 - c) An action plan indicating any development activities that the staff member will undertake to support them in achieving key outcomes; and where necessary any strategies or resources required to assist the staff member to improve work practices.
- 15.02.31** In preparation for Performance Planning and Review discussion the staff member should collate evidence to support their achievements during the review period.
- 15.02.32** The staff member must be given a copy of the review and at least three working days to reflect on the supervisor's review of their performance and to add any additional comments if required.
- 15.02.33** Once a formal review has been completed the process should be signed off by the staff member and their supervisor. Any issues that arise from the Performance Planning and Review protocol should be referred to the supervisor's manager.
- 15.02.34** Staff are encouraged to engage in on-going informal meetings with their supervisor to review and discuss progress.
- 15.02.35** The Performance Planning and Review protocol covers the areas of Teaching and related duties, Research, Administration and Service to UNE and Service to the community (including the professions). The weighting of these components in the Performance Planning and Review protocol should relate to the position of the staff member and their career aspirations.

Absence of Bias

- 15.02.36** Assessment of performance must be conducted in a manner which is free from bias in any form and without discrimination, direct or indirect, on any of the grounds set out in the University's Equity policy. It must also be conducted on the basis of objective, evidence-based assessments of performance using established and agreed Key Performance Indicators (KPI).

Confidentiality

- 15.02.37** All personnel involved in the Performance Planning and Review protocol are subject to the provisions of the NSW Privacy and Protection of Personal Information Act 1998.

Training

- 15.02.38** All staff members involved in the Performance Planning and Review protocol will receive training in the processes and the provisions of this policy.

Rewarding High Performance

- 15.02.39** Supervisors should utilise appropriate means to reward high performance ensuring that such means comply with the University's relevant policies and procedures and are based on transparent and fair criteria.
- 15.02.40** Supervisors should also give equal consideration to finding ways to reward team and/or workgroup performance wherever outcomes have been produced as a direct result of team effort and collegiality. Staff teams and individual staff members should be encouraged to suggest appropriate means for reward.
- 15.02.41** The method of rewarding high performance should be appropriate and relevant to the individual staff member. This should provide recognition and motivation to continue to improve performance.
- 15.02.42** Recommended actions to reward high performing staff and teams could include:
- a) Public acknowledgement, commendation and recognition that is timely and relevant for the staff member;
 - b) Nomination for awards for excellence;
 - c) Timely informal acknowledgement, commendation and recognition within the staff member's work area;
 - d) Accelerated incremental salary progression (refer to **12.14: Incremental Progression**) and support for promotion or study leave, where available and appropriate; or
 - e) The provision and funding of appropriate and timely developmental opportunities such as participation in relevant professional development.

Managing Insufficient Performance and Promoting Good Performance

- 15.02.43** The supervisor is expected to identify problems with a staff member as they arise and both parties are expected to resolve the issues in a positive and developmental way.

- 15.02.44** Insufficient performance is defined as not meeting the expected outcomes for the role. The supervisor must be able to support this assessment with appropriate documentation.
- 15.02.45** If the outcome of any review discussion identifies that performance is insufficient immediate remedial action must be taken and, where appropriate, the resources and development opportunities identified to support the staff member to improve their performance.
- 15.02.46** The supervisor together with the staff member will design the required development and/or remedial action plan. This action plan should include:
- a) The development and/or remedial actions, including any appropriate resources and professional development, which need to be completed by the staff member taking into account their workload. The actions need to be fair, clear, quantifiable and appropriate to the classification level and position;
 - b) The time frame within which these actions need to be completed;
 - c) A regular review schedule that enables the staff member to be fully supported during the development and/or remedial period;
 - d) A signed statement by the staff member indicating their commitment to the development and/or remedial plan; and
 - e) A signed statement by the supervisor indicating their commitment to fully support the staff member during the development and/or remedial plan period.
- 15.02.47** At the end of the review period the supervisor may recommend a further review period to give the staff member sufficient time to make the necessary improvements. If a further review period is unlikely to result in the necessary improvement, the supervisor may then, and only then, commence action under the separate Unsatisfactory Performance procedure.

Failure to Reach Agreement

- 15.02.48** If agreement cannot be reached between the staff member and their supervisor, advice should be sought from the supervisor's manager in the first instance.
- 15.02.49** An adverse recommendation from any Performance Planning and Review protocol discussion will be reviewed at the next supervisory level, after any response by the staff member.

15.02.50 It is expected that most disagreements will be settled informally in the workplace. Where this is not possible, the University's grievance procedures may apply.

Documentation

15.02.51 A copy of the completed forms should be kept by the staff member.

15.02.52 Completed forms are to be forwarded at the end of a review period to the Organisational Development Unit for filing.

Further Information

Organisational Development Manager, ext 2541

Organisational Development Officer, ext 3614

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