

Overview

- 15.03.01** 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.
- 15.03.02** This policy should be read alongside the UNE policies on Probation and Incremental Progression for General Staff.
- 15.03.03** The University is committed to developing a workplace culture that values, rewards 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.
- 15.03.04** 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.
- 15.03.05** A supervisor or staff member may request the support and/or presence of another staff member if they so choose or an available Equal Opportunity Advisor at any Performance Planning and Review meeting.
- 15.03.06** 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 classification level, role and position;
- f) Provide early detection, appropriate action and support for insufficient performance;
- g) Operate within a supportive and collegial working environment;
- h) Contribute to professional development planning by providing aggregated information to key stakeholders;
- i) Provide effective and fair integration of procedures and results of all performance-related processes;
- j) Take into account differences in School/Division practice and culture while meeting commonly agreed objectives; and
- k) Encourage innovation and diversity.

Policy

15.03.07 The Performance Planning and Review protocol 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.

15.03.08 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 **12.15**);
- c) Probation (see policy **10.05**);
- d) Determining unsatisfactory performance (see policy **15.07**); and
- e) Annual Performance Planning and Review.

15.03.09 The results of the performance planning and review meetings may be used to inform all of the processes outlined in **15.03.08**.

15.03.010 The Performance Planning and Review protocol includes an annual formal review (as set out in clause **15.03.08(e)**) and regular informal discussions between staff members and their supervisor. The aims of these discussions are to:

- a) Align individual staff member work objectives and skills development with the goals of the work unit and the University;
- b) Recognise and acknowledge high performance;

- c) Provide a mechanism for constructive feedback for both the individual staff member and the supervisor;
- d) Recognise any work issues as they arise to prevent them from becoming long term problems;
- e) Enhance the flexibility, performance and efficiency of the staff member in all required skills, current and future;
- f) Ensure continuous improvement in the quality of service, risk management, and planning within the work unit;
- g) Identify skills development and training needs at both the individual and work unit levels; and
- h) Develop an appropriate training and development plan.

The annual Performance Planning and Review discussion should not be the first time a staff member learns about an insufficient performance issue or that an increment is being withheld. All performance issues should be managed as they arise.

15.03.11 Supervisors are also encouraged to use the annual Performance Planning Review meetings to establish team/workgroup/collegial outcomes where appropriate.

15.03.12 Each staff member will have a nominated supervisor according to the UNE organizational structure. A staff member may request the nomination of an alternative supervisor. If an alternative supervisor is so delegated, workload implications must be considered.

Accountabilities

15.03.13 The *staff member* is accountable for:

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

15.03.14 The *supervisor* is accountable for:

- a) Carrying out the annual Performance Planning and Review protocol. This may vary from area to area and the Head of School/Unit is responsible for making the final decision on actual arrangements within their area;
- b) Completing all mandatory Performance Planning and Review training sessions prior to conducting any aspect of

- the process; including additional training that may be required from time to time;
- c) Ensuring that staff are informed about and provided with the time to complete all training required for participation in the annual Performance Planning and Review;
 - 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 on 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) Ensuring that the funds allocated to each cost centre for general staff development (equivalent to 1% gross general staff salaries minimum) is apportioned to the general staff in their work area based on principles of fairness, equity and appropriateness to individual staff development needs;
 - i) Reviewing the continuing relevance of the goals with each staff member throughout the year;
 - j) Scheduling the formal annual discussion 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);
 - k) Preparing thoroughly for each discussion and listening carefully to staff throughout the discussions;
 - l) Recognising and acknowledging that external factors and organisational constraints can have an impact on performance;
 - m) 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;
 - n) Ensuring that the completed form is sent to the Organisational Development Unit when all of the relevant sections are completed; and
 - o) Completing a review of their staff for the benefit of the staff member and their next supervisor, on the occasion of a

supervisor expecting to terminate their role within four months of the end of a review period.

15.03.15 The *Pro Vice-Chancellor and Dean/Director* is accountable for:

- a) Following up on any issues that arise out of the Performance Planning and Review discussion such as a disagreement between a staff member and their supervisor, or performance and/or training issues.

15.03.16 The *Organisational Development Unit* is accountable for:

- a) Delivering all relevant training on Performance Planning and Review processes;
- 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) Ensuring that all staff members complete the review;
- e) Developing and reviewing policy; and
- f) Filing completed forms and related paperwork in a confidential manner on staff members' files.

N.B. Content of forms is not reviewed by the Organisational Development Unit. Any issues arising out of the process must be raised separately with the relevant Pro Vice-Chancellor and Dean or Director.

Procedures

15.03.17 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.

15.03.18 Supervisors will conduct the formal annual planning and performance review discussion with each of their staff members every 12 months. This will usually occur at the end or at the beginning of a calendar year to coincide with the University's planning cycle. The timing of the review can be negotiated with the Pro Vice-Chancellor and Dean/Director/Head of the work area to best suit work flows within the particular work area. Organisational Development should be informed of this for record keeping and reporting purposes. Informal discussions will occur regularly throughout the year.

15.03.19 The annual Planning Performance and Review formal discussion will include:

- a) Establishing the key measurable outcomes (key performance indicators) for the following 12 month period. Where outcomes will take longer than 12 months to achieve an appropriate time line with progress reviews should be established;
- b) Discussing the future directions and plans of the work unit in the longer term and the staff member's role in these plans;
- c) Reviewing the key outcomes achieved during the past year 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 past year.

15.03.20 As part of the annual 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.

15.03.21 The documented outcomes from the annual Performance Planning and Review protocol include:

- a) An assessment of the staff member's achievements and performance over the previous 12 months against the goals set for that period.
- b) Individual work goals that are realistic, achievable, measurable, timely and appropriate to the individual staff member's classification level and specific requirements of the position for the next 12 months; and
- c) An action plan which may also indicate any development activities that the staff member will undertake to support them in achieving key goals; and where necessary any strategies or resources required to assist the staff member to improve work practices.

15.03.22 In preparation for the Performance Planning and Review discussion the staff member should collate evidence to support their achievements during the past twelve months.

15.03.23 The staff member must be given at least three working days to reflect on the supervisor's review of their performance and to add any additional comments if required.

15.03.24 Once the formal review has been completed the process should be signed off by the staff member and their supervisor. Any issues that arise from the annual Performance Planning and Review protocol should be referred to the supervisor's manager.

Absence of Bias

15.03.25 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

15.03.26 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

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

Rewarding High Performance

15.03.28 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.

15.03.29 Supervisors should also give equal consideration to finding ways to reward team and/or workgroup high 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.

15.03.30 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.

15.03.31 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 where available and appropriate (refer to **12.15: Incremental Progression**);
- e) A market loading for a 12 month period;
- f) The opportunity for accelerated career progression through broad-banded positions; or
- g) The provision and funding of appropriate and timely developmental opportunities such as participation in relevant professional development and attendance at conferences.

Managing Insufficient Performance and Promoting Good Performance

15.03.32 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. The annual Performance Planning and Review protocol should not be used for disciplinary purposes against a staff member.

15.03.33 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.

15.03.34 If the outcome of any review discussion identifies that performance is insufficient immediate remedial action must be taken and the resources and development opportunities identified to support the staff member to improve their performance.

15.03.35 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 the necessary resources and professional development, that need to be completed by the staff member. 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.

15.03.36 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

15.03.37 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.

15.03.38 An adverse recommendation from any annual Performance Planning and Review discussion will be reviewed at the next supervisory level, after any response by the staff member.

15.03.39 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

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

15.03.41 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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