

## PERFORMANCE DEVELOPMENT REVIEW FOR ALL STAFF

### **Introduction**

The Performance Development Review (PDR) policy was developed in response to the extensive contributions of University staff, gained over consultation and pilot implementation periods commencing in April 2004.

PDR is a continuous process in which managers, supervisors and staff work together towards planned outcomes by defining work goals and standards, monitoring actual performance against these and ensuring that the best results are achieved for all participants: it is not a synonym for performance appraisal, or simply completing an annual 'report card'.

A reasonable definition of 'performance' in this sense is 'effort applied over time to the achievement of meaningful outcomes'. We can therefore distinguish between *performance* and *activity*. Activity occurs all the time at work; much of it is productive, but not all. To know whether a particular activity is useful we must put it in the context of what the organisation needs to achieve through the activities of its staff. PDR is a process that helps members of staff to focus their activities and to translate them into meaningful and successful performance.

PDR is not necessarily a one-to-one process between a staff member and his or her supervisor. Teams may be involved in the process of establishing performance expectations. The important point is that every work area will need to establish the exact form of performance management which is appropriate for their area. Our PDR allows for a high degree of tailoring to suit specific circumstances.

## Objectives of PDR

The primary objective of PDR is to enhance the capability of the University by developing each staff member's work performance to meet or exceed the requirements for their current position or to prepare them for another position or a more senior role that they might wish to pursue.

The objectives of PDR are to:

- assist in the achievement of the goals and objectives of the University Division/.School/ Unit;
- foster the professional development and performance of each staff member, and to ensure their alignment with the needs of their work area and with the University's mission and strategic priorities;
- assist staff members to develop and perform to their full potential;
- provide constructive feedback about performance and progress;
- recognise and reward high performing staff members for their achievements or contributions to the University;
- enable individual staff members' performance problems to be identified and addressed at an early stage; and
- improve or enhance staff members' work performance through identification of professional development needs for their current position or career development needs for a future position.

The PDR process is aimed at facilitating a formal conversation between supervisors and their staff in order to have a shared understanding of work expectations. PDR's focus is on planning, discussing, recognising and reviewing the work performance of University staff in the context of Divisional operational plans and objectives.

PDR provides for the recognition and reward of high-performing individual staff, and the identification of staff requiring support to improve performance. While PDR will identify and address areas where improvement may be necessary it is not the main mechanism for managing poor performance or disciplinary issues. The University has established a related process to assist in improving poor performance through a Performance Improvement Plan (PIP) and also has an established procedure for addressing disciplinary issues, which is linked to the PDR process but is not part of it.

## **Principles**

PDR is based on the following principles:

- **Transparency:** a system that is understood and accepted by all participants
- **Trust:** a partnership between the staff member and their supervisor
- **Respect:** valuing the other's perspective, needs, position, and/or contribution
- **Participation:** constructive and collaborative management of performance issues
- **Monitoring:** a normal part of any supervisor's regular work
- **Communication:** timely, bias free, objective and candid interaction

## **Responsibilities**

The Vice-Chancellor, Deputy Vice-Chancellor, Pro-Vice-Chancellors and Executive Directors are responsible for resourcing, implementing and monitoring PDR within the University and their respective Divisions.

The Director, Human Resources is responsible for overseeing PDR policy, procedures, guidelines, forms and supplementary resources, advice and consultancy , and for coordinating training.

The responsibility of the individual staff member is to:

- freely discuss their work and its progress, including any difficulties;
- seek to clarify expectations if necessary;
- ask for help, training or resources where needed;
- be open to discussion of any feedback in a non-defensive way;
- identify issues which could impact on performance in future; and
- provide feedback to their supervisor.

The responsibility of the supervisor is to:

- be well informed of the staff member's progress through observing actions and outcomes
- listen to the staff member's comments and openly discuss them with the staff member;
- ask questions to clarify performance levels and achievement of objectives;
- provide and openly discuss feedback;
- be open to both positive and negative feedback from the staff member; and

- be prepared to alter plans or individual objectives if circumstances require.

## **Participation**

All staff members will participate in PDR.

Each staff member will have a nominated supervisor for the purposes of PDR.

Where a mentor has been assigned to an individual staff member, the mentor may, at the invitation of the employee and with the agreement of the supervisor, participate in the PDR process.

## **The PDR cycle**

The basis of the PDR model is an annual discussion between a staff member and their supervisor. The discussion has two parts:

- A first meeting that will focus on understanding goals, expectations and aspirations for the following 12 months.
- A second meeting that reviews the accomplishments and difficulties of the year and identifies completed goals, goals to continue and new areas to be developed.

The purpose of these meetings is to plan staff activity, clarify performance expectations and to review and reflect on achievements. PDR does not replace normal supervisory responsibility for regular monitoring, communication and contact between staff and their supervisors. During the review period informal discussions are needed to ensure that planned objectives remain appropriate and feedback on performance is exchanged.

The PDR discussions give staff members and their supervisors an opportunity to:

- review the staff member's duty statement/responsibilities;
- set performance objectives and develop a plan to achieve the performance objectives;
- discuss professional development objectives and where appropriate develop a plan to achieve the professional development objectives; and
- identify high performance that could be considered for reward.

## **The paperwork**

A generic template is provided at Appendix A to guide the supervisor and the staff member through the process. The template is provided as a guide to assist the process and to give a flexible way to record the PDR discussions between staff members and their supervisors. The template is not prescriptive; it may be modified to suit local work place or individual needs. While it is important to complete the paperwork to record the details of the discussions, the major focus is on the constructive discussion between the staff member and the supervisor, rather than simply completing the paperwork.

The template has a number of general areas of focus. The decision about which of the key areas are to be the focus in any PDR cycle will arise from the discussion between the staff member and the supervisor and will vary according to individual roles and areas of activity.

Access to an employee's PDR documents will be limited to the employee, the employee's supervisor, the employee's Pro Vice-Chancellor/Executive Director, Head of School/Director and the Director, Human Resources or nominee.

## **Information about PDR**

The Human Resources website has more information on the PDR process, including the necessary forms. For documentation and training available to staff and supervisors in using the process see

<http://www.canberra.edu.au/hr/development/pdr/>

## **Complaints**

A staff member who has been personally affected and feels aggrieved by a decision or process under this policy may seek redress as provided by the relevant workplace agreement (currently *University of Canberra Enterprise Agreement 2004 - 2006*, clause 8).

## **Identifying and rewarding high performing individual staff**

The required standard for high performance is that the staff member has fully met all expectations, targets and performance indicators that were set at the commencement of the PDR cycle and has far exceeded most of them.

Consistency in high performance assessments across the Division and University are necessary for purposes of equity. A supervisor who considers that a staff

member has demonstrated high performance will discuss recognition and reward with their Head of School/Director or Pro Vice-Chancellor/Executive Director as appropriate. Apart from the Vice-Chancellor's awards and other acknowledgement in the work place, measures to recognise and reward high performance include:

- Travel and/or research grants;
- Additional paid leave;
- Annual performance loading
- Accelerated salary progression;
- Promotion;
- Selection for external developmental courses/ conferences/seminars;
- Selection for participation in training and development opportunities or courses; these could include professional development activities, including secondment, staff exchange and job rotation;
- Awards of a monetary or non-monetary nature; and
- Study/developmental leave;

### **Performance improvement**

Normally the regular monitoring and feedback that occurs throughout the PDR cycle will ensure that the staff member will fully meet all of the performance expectations. Supporting staff in continuous performance improvement is part of the standard role of any supervisor.

### **Poor performance**

Normally Step 1 will apply, however if at any stage of the PDR cycle a staff member fails to adequately meet all performance expectations, or fails to meet expectations to a significant degree in several areas, Step 2 below may be appropriate. A supervisor considering this action should first consult the Director, Human Resources.

### **Step 1**

If at any stage of the PDR cycle a supervisor believes that the staff member is not fully meeting and maintaining some performance expectations they should discuss with the staff member the specific areas requiring improvement, and make a plan of action including a period of time to improve the performance (a Performance Improvement Plan). Ongoing coaching and constructive feedback is then provided as part of the Performance Improvement Plan (PIP) to support the staff member in achieving the performance improvement required.

The staff member and supervisor will jointly review the results on completion of the improvement period. If the required improvement is achieved, the supervisor/manager will inform the staff member verbally and in writing; if the required improvement is not achieved Step 2 will apply.

## **Step 2**

Step 2 is normally commenced immediately if Step 1 has been worked through and the staff member has failed to meet the PIP expectations to a significant degree. This Step is also appropriate if there is recurrence of unsatisfactory performance that was managed under Step 1, or in extreme cases of poor performance as discussed above.

This step is undertaken in consultation with a representative of the Director Human Resources.

The supervisor/manager will follow the process set out in the Unsatisfactory Performance provisions of the relevant workplace agreement (currently the *University of Canberra Enterprise Agreement 2004 - 2006*).

<http://www.canberra.edu.au/hr/conditions/ea-04-06.rtf>

The relevant clauses are:

- for academic staff - clause 63
- for general/ELICOS staff - sub-clause 49

## **Guide to Using the PDR Template**

The PDR template is provided as a guide to assist the process and to give a flexible way to record the PDR discussions between staff members and their supervisors. The template is not prescriptive; it may be modified to suit local work place or individual needs.

The PDR template has a number of general areas of focus. Each area should be seen as equal in importance regardless of sequence. It is not necessary to complete all areas. The decision about which of the key areas are to be the focus in any PDR cycle will arise from the discussion between the staff member and the supervisor and will vary according to individual roles and areas of activity.

### **The areas of focus for academic staff**

- Research—may relate to research work, grants, grant applications and publications
- Teaching—may relate to lecturing, tutoring or supervision of postgraduate students
- Administration—may relate to management, coordination of courses or other school responsibilities
- Community service—may relate to contributions to or involvement in the University or the broader community
- Team relationships—may relate to working with colleagues within the school or other groups or committees
- Other—may relate to longer term career aspirations and goals

### **The areas of focus for general staff**

- Functional area—may relate to a specific area of work, such as finance, admissions, student services, school/unit administration, property services
- Customer service—may relate to interactions with students, other staff as customers, or people external to the University
- Team relationships—may relate to working with colleagues within the school/unit, department or other groups or committees
- Other—may relate to longer term career aspirations and goals

### **The areas of focus for ELICOS staff**

- Teaching—may relate to English language teaching, tutoring or supervision of students
- Administration—may relate to management, coordination of courses or other school responsibilities
- Customer service—may relate to interactions with students, other staff as customers, or people external to the University
- Team relationships—may relate to working with colleagues within the school/unit, department or other groups or committees
- Other—may relate to longer term career aspirations and goals

### **Pointers and questions**

Each area of focus has a number of pointers or questions that may assist your discussions and recording them. These include:

- What are you going to achieve? In this section you may choose a goal related to a new program or your duty statement or job description may be a guide.
- How will you know you have achieved it? You may wish to include in here not only a method of assessment but also a timeline.
- What support do you need? Are there others who are also contributing in some way? Is there a particular resource vital to achieving your goal?
- What development do you need? Is there an area of knowledge that you need or a skill that needs to be learned or improved?
- Links to Divisional operational plan. As plans develop and change it is useful to articulate where your goals fit with and match those wider goals.

There is a key area labelled 'other'. It is in here that you could write about an important area not covered under the preceding headings or where you could also include a record of discussion about aspirations. It may be useful to record longer term plans looking five to ten years ahead.

There is space under each area to write a joint shared understanding or agreement arising from the discussion notes. There is also a space for the end of cycle review meeting comments for each area considered.

The process is strictly confidential. Electronic versions should be password protected and hard copies should be stored securely.

# PERFORMANCE DEVELOPMENT REVIEW—*ACADEMIC STAFF*

**FIRST MEETING**

**DATE:**

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NAME:

POSITION TITLE:

SUPERVISOR:

*Goals and expectations for 12 months.*

<b>Teaching</b>	
<i>What are you going to achieve?</i>	<i>How will you know you've achieved it?</i>
<i>What support do you need?</i>	<i>What development do you need?</i>
<i>How is this linked to your school plan?</i>	
<b>Shared agreements and understandings</b>	
<b>12 MONTH REVIEW COMMENTS</b>	<b>DATE:</b>

Research	
<i>What are you going to achieve?</i>	<i>How will you know you've achieved it?</i>
<i>What support do you need?</i>	<i>What development do you need?</i>
<i>How is this linked to your school plan?</i>	
Shared agreements and understandings	
<b>12 MONTH REVIEW COMMENTS</b>	<b>DATE:</b>

**Administration**

*What are you going to achieve?*

*How will you know you've achieved it?*

*What support do you need?*

*What development do you need?*

*How is this linked to your school plan?*

**Shared agreements and understandings**

**12 MONTH REVIEW COMMENTS**

**DATE:**

**Community service**

*What are you going to achieve?*

*How will you know you've achieved it?*

*What support do you need?*

*What development do you need?*

*How is this linked to your school plan?*

**Shared agreements and understandings**

**12 MONTH REVIEW COMMENTS**

**DATE:**

**Team Relationships**

*What are you going to achieve?*

*How will you know you've achieved it?*

*What support do you need?*

*What development do you need?*

*How is this linked to your school plan?*

**Shared agreements and understandings**

**12 MONTH REVIEW COMMENTS**

**DATE:**

Career and Professional Development (eg longer term goals, aspirations)	
<i>What do you want to achieve?</i>	<i>How will you know you've achieved it?</i>
<i>What support do you need?</i>	<i>What development do you need?</i>
<i>How is this linked to your school?</i>	
Shared agreements and understandings	
<b>12 MONTH REVIEW COMMENTS</b>	<b>DATE:</b>

Other (Specify) (eg important areas not included above)	
<i>What are you going to achieve?</i>	<i>How will you know you've achieved it?</i>
<i>What support do you need?</i>	<i>What development do you need?</i>
<i>How is this linked to your school plan?</i>	
Shared agreements and understandings	
<b>12 MONTH REVIEW COMMENTS</b>	
<b>DATE:</b>	

# PERFORMANCE DEVELOPMENT REVIEW—*GENERAL/ELICOS STAFF*

**FIRST MEETING**

**DATE:**

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NAME:

POSITION TITLE:

SUPERVISOR:

*Goals and expectations for 12 months.*

<b>Operational area</b>	
<i>What are you going to achieve?</i>	<i>How will you know you've achieved it?</i>
<i>What support do you need?</i>	<i>What development do you need?</i>
<i>How is this linked to your school/unit plan?</i>	
<b>Shared agreements and understandings</b>	
<b>12 MONTH REVIEW COMMENTS</b>	<b>DATE:</b>

<b>Customer Service</b>	
<i>What are you going to achieve?</i>	<i>How will you know you've achieved it?</i>
<i>What support do you need?</i>	<i>What development do you need?</i>
<i>How is this linked to your school/unit plan?</i>	
<b>Shared agreements and understandings</b>	
<b>12 MONTH REVIEW COMMENTS</b>	
<b>DATE:</b>	

<b>Team Relationships</b>	
<i>What are you going to achieve?</i>	<i>How will you know you've achieved it?</i>
<i>What support do you need?</i>	<i>What development do you need?</i>
<i>How is this linked to your school/unit plan?</i>	
<b>Shared agreements and understandings</b>	
<b>12 MONTH REVIEW COMMENTS</b>	
<b>DATE:</b>	

**Career and Professional Development (eg longer term goals and aspirations)**

*What do you want to achieve?*

*How will you know you've achieved it?*

*What support do you need?*

*What development do you need?*

*How is this linked to your school/unit?*

**Shared agreements and understandings**

**12 MONTH REVIEW COMMENTS**

**DATE:**

Other (specify) (eg important areas not included above)	
<i>What are you going to achieve?</i>	<i>How will you know you've achieved it?</i>
<i>What support do you need?</i>	<i>What development do you need?</i>
<i>How is this linked to your school/unit plan?</i>	
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