

6.5 PERFORMANCE & DEVELOPMENT – PRINCIPLES AND PROCEDURES

INTRODUCTION

This document describes the annual Performance and Development process for all UTS staff. It contains references to other documents in the HR Manual, which can be also accessed electronically by clicking on the links provided.

The Performance and Development process helps staff and supervisors to plan and review work, to evaluate performance, and to identify development needs. It also helps staff make connections between their work and the objectives of their Faculty or Unit and the University. The Performance and Development process is a compulsory part of work for all UTS staff, including staff on fixed-term and casual contracts, and staff on probation.

In this document you will find:

- > The Principles of Performance & Development at UTS
- > The Performance & Development Cycle
- > Information about your responsibilities at each stage in the cycle
- > Progress and Annual Performance Reviews
- > Recognition (including Incremental Progression, Broadbanding, Promotion and Awards)
- > Roles and Responsibilities
- > Additional Information and Resources (including Fixed Term Staff, Probation, Representation & Documentation)

The framework for Performance and Development at UTS is set out in the relevant collective agreement.

PRINCIPLES – Why do we have a Performance & Development process?

The Performance and Development process provides a practical framework in which staff and supervisors work together to:

- > plan realistic work that supports the strategic goals of the university, including academic work that is consistent with Faculty workload policies
- > clarify expectations about how work will be done
- > anticipate and respond to changing priorities
- > continuously improve how work is done by applying learning from past experience
- > review staff effectiveness and the relevance of the work they do
- > ensure all staff receive regular, objective feedback and recognition about what they achieve and how they achieve it
- > ensure academic staff receive feedback about student evaluation of teaching
- > promote professional growth and career development
- > plan for staff to take leave
- > manage other factors that may impact on the staff member's work.

The Performance and Development Cycle (PDC) complements the university's annual strategic planning cycle: Plan, Do, Review, Improve.



PLAN: Creating and confirming a Performance & Development Plan (workplan).

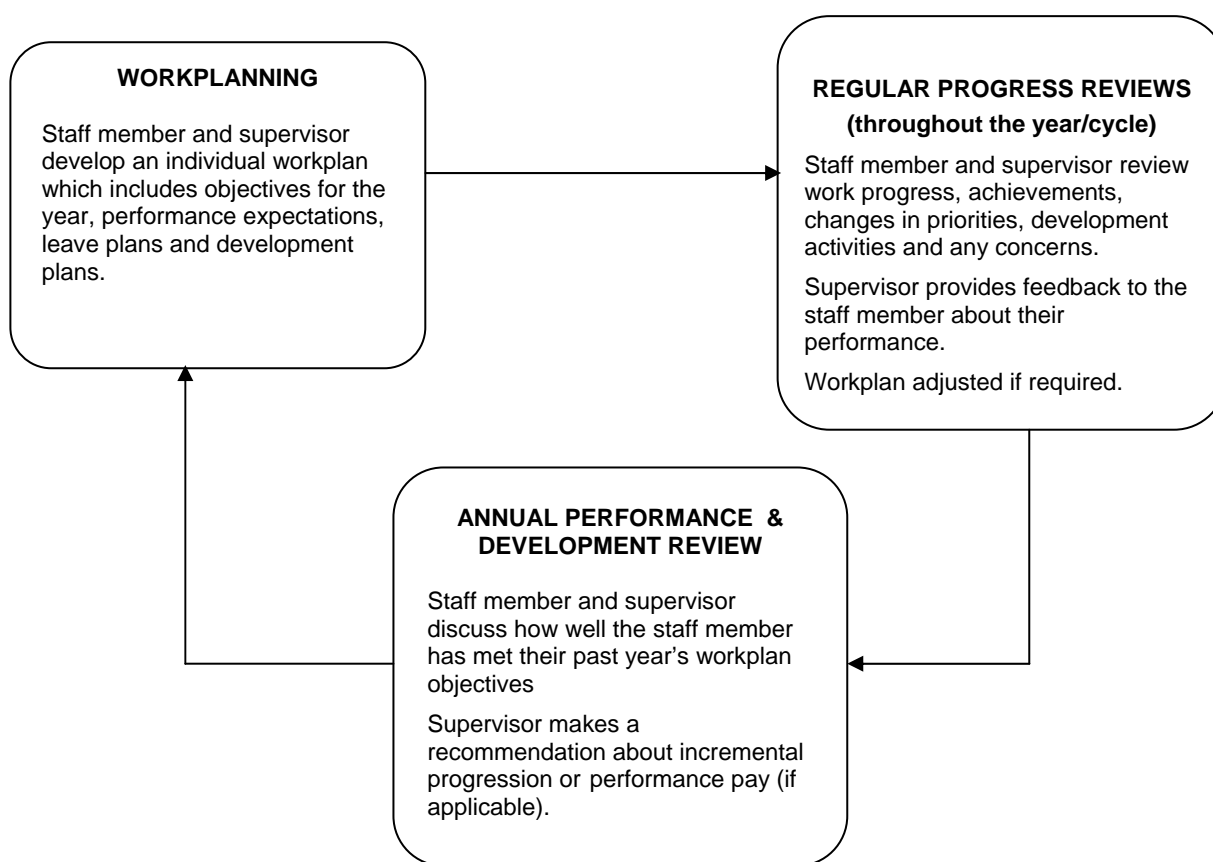
DO: Working towards the objectives, measures and development goals agreed in the workplan.

REVIEW: Reviewing work performance and development activities throughout the year and participating in an annual review of performance and development progress.

IMPROVE: Continuously improving performance and quality; seeking feedback from supervisors and peers about how to enhance work.

THE PERFORMANCE AND DEVELOPMENT CYCLE – What is the Cycle?

The Performance and Development Cycle has three main phases during the year/cycle: Workplanning, regular progress reviews and the annual Performance & Development review.



Timing

Support staff: Each Faculty and Unit has a Performance and Development cycle of either the calendar year (January – December) or the financial year (July – June). For example, in the calendar year cycle, annual reviews from the previous year followed by workplanning for the year ahead, usually take place between January and March. Staff should check with their supervisors about which cycle applies in their area.

Academic staff: workplanning usually takes place to coincide with the Faculty's workload planning for the year ahead. Staff should check with Faculty management or their supervisor about timing in their Faculty.

Senior Staff: the performance review cycle for SSG staff is January – December. This complements the annual performance and remuneration process, details of which are contained in the [SSG Performance and Remuneration Guidelines](#).

WORKPLANNING

During the planning phase, staff and supervisors work together to discuss work priorities and develop a written workplan for each staff member for the year. Both the staff member and the supervisor are responsible for ensuring that the workplan is appropriate to the staff member's role and level and supports the objectives of the Unit or Faculty and the university.

A workplan should contain:

- > Objectives - major goals that can be easily measured. Objectives are more specific than the general accountabilities in position descriptions or workload documents. For more information see: [Guide to Developing Workplan Objectives](#).
- > Criteria for each objective that explain the agreed standard of performance and how it will be measured. Criteria may be quantitative (time, quantity etc.) or qualitative (clarifying the quality or distinctive nature of the work)
- > Development plans and how these will be supported
- > Leave plans and any work-related travel plans
- > Any planned "outside work"
- > Comments about any personal or work issues that may impact on work performance

Academic Staff

Academics generally set objectives under these headings:

- > Teaching and educational development
- > Research, scholarship, and the advancement of knowledge and its application
- > Contributions to the University and the community
- > Professional and career development

For details see:

[Guide to Developing Workplan Objectives](#)

Workplans must be signed by the staff member and supervisor and sent to the supervisor's manager for endorsement. During the workplan period, the original plan should be stored securely in the work Unit in accordance with Records Management policy. Both the staff member and the supervisor may keep copies. Workplan templates are available for download from the [HRU website](#).

PROGRESS REVIEWS

During the year, the staff member and supervisor regularly discuss how the work of the staff member is progressing and document any changes that need to be made to the workplan. Progress reviews provide staff and supervisors with opportunities to recognise work achievements and anticipate likely priority changes or problems. Supervisors are responsible for providing staff with regular feedback about their performance, guidance and support. The number of progress reviews will differ from staff member to staff member depending on support required. The staff member and supervisor should discuss and agree on the number of meetings at the beginning of the year/cycle.

The purpose of progress reviews during the year is to:

- > record progress to date
- > recognise achievements and successes
- > discuss and agree on any priority changes
- > confirm whether the staff member's performance meets the expectations detailed in the workplan
- > identify and record any performance issues that need to be addressed and incorporated into the workplan
- > discuss how to address any problems/difficulties (dealing with these early prevents more serious problems developing)
- > discuss and assess any development activities undertaken
- > record any additional development needs and opportunities that have emerged
- > adjust the workplan if required (amending objectives and/or performance criteria)

Progress reviews may be documented by the staff member and supervisor. Both should sign and keep a copy of any documentation.

ANNUAL PERFORMANCE AND DEVELOPMENT REVIEW

During the annual review phase the staff member and supervisor should meet to discuss how well the staff member has met their workplan objectives. This is also an opportunity to consider work priorities, objectives and development plans for the next workplan.

If regular progress reviews take place throughout the year, the annual review should contain no surprises for either the staff member or supervisor.

The focus of the annual review meeting should be to:

- > recognise achievements
- > confirm what has already been discussed to date
- > discuss what will be documented in the Performance and Development Review sections of the workplan (see below)
- > discuss any outstanding problems
- > review development activities undertaken
- > consider the workplan and development priorities for the next year

The outcomes of the Annual Performance and Development Review discussion are recorded in the appropriate sections of the workplan and should include:

- > comments about how the agreed objectives were met
- > comments about development and support activities undertaken
- > an overall comment and rating on performance in relation to the agreed objectives set out in the workplan
- > certifications and space for supervisors to make recommendations about incremental progression or performance pay where applicable.

At the end of the workplan period, the fully completed workplan and review document is to be sent to Human Resources Unit for staff records.

RECOGNITION

Recognition and reward for staff are part of the UTS Performance and Development process. There are various methods for acknowledging staff performance and these take into account the outcomes of the Annual Performance and Development Review.

Incremental Progression

Support staff: Support staff are eligible for incremental progression on their area's Unit Increment Date (UID) when they are not on the maximum point for their salary level. Each Faculty and Unit has an annual UID of either 1 April or 1 October. Fixed-term and continuing staff who are newly appointed, appointed to a new position (eg as a result of a change process) or have their positions reclassified must complete at least 6 months service prior to their area's UID to be considered for incremental progression. If a staff member's appointment / reclassification commences less than six months prior to the area's UID staff will become eligible for incremental progression on the UID in the following year.

Recommendations for eligible support staff to receive a salary increment on the area's UID are based on how well the staff member has performed in their role for the past year. These recommendations are made as part of the Annual Performance and Development Review in which the supervisor must state whether or not the staff member's performance has been satisfactory or "achieved expectations".

Academic staff: Academics who are not on the maximum point for their salary level are eligible for incremental progression on the completion of 12 months' service. If the staff member's performance during the 12-month period is satisfactory, they will receive incremental progression to the next salary step within the classification. Depending on the timing of completion of 12 months' service, the performance assessment will be conducted either as part of a progress review or as part of the Annual Performance and Development Review.

Periods of leave without pay may affect the timing of incremental progression. For more information refer to [Leave without Pay Guidelines](#).

For more information about incremental progression, see Clause 15 of either the [UTS Support Staff Agreement 2006](#) or the [UTS Academic Staff Agreement 2006](#).

Accelerated Incremental Progression for Support Staff

When a support staff member's performance has been rated by their supervisor as "exceeds expectations", they may be eligible for accelerated incremental progression (progression by two steps in a salary level). A supervisor may recommend accelerated progression if the staff member's performance is consistently at a high level and represents a sustained contribution to the work of the area. The Dean/Director of the area will consider recommendations for accelerated incremental progression based on performance review reports and workplans and may seek further information.

Decisions about accelerated incremental progression will normally be made before the Unit Increment Date (UID) and will take effect from the UID.

Broadbanding

Some support staff hold broadbanded positions which are classified in terms of two or three successive classification levels. A staff member in a broadbanded position may progress to the next level(s) of their position if they are assessed to have performed at the appropriate level and have met other progression criteria as set out in their position description and broadbanding arrangements for their work unit.

Career and Professional Development Awards for High Performing Support Staff

The Career and Professional (CAP) Development Awards recognise and reward high performing support staff through professional development opportunities. For more information see the Human Resources Manual [5.25: Career & Professional Development Awards](#).

Promotion/Progression for Academic Staff

The review summary section of academic staff workplans must be submitted as part of a staff member's application for promotion or progression in accordance with HR Manual [5.12: Annual Academic Promotion Guidelines](#), and [5.23 and 5.24: Progression of Academic Staff - Levels A-B Guidelines and Procedures](#).

Performance Pay for Senior Staff

Members of the Senior Staff Group may be eligible for annual performance-related remuneration increases. These increases are made in the early part of the year and are based on the supervisor's recommendations about staff member's work performance in the preceding year. For detailed information see the [SSG Performance and Remuneration Guidelines](#).

Faculty and Unit Awards Schemes

Outcomes of the annual performance and development review can also inform Faculty and Unit-based reward and recognition schemes. For more information contact your Faculty or Unit.

WORKPLAN AND REVIEW DOCUMENTATION

Once a workplan has been agreed and signed, copies must be made for the staff member, supervisor and the supervisor's manager (for academics, the Dean). Performance and Development information, including planning and review discussions, are confidential to the staff member, supervisor and supervisor's manager. All University staff are responsible for maintaining this confidentiality. Documentation will not be made available to recruitment selection committees, although review details will be used for academic promotion (see above). Staff may choose to provide information about their own performance reviews for selection purposes.

Supervisors are responsible for notifying Staff Services in the Human Resources Unit about completion of workplans for all their staff and for submitting completed review documentation to HRU at the end of the workplan period for staff records.

ROLES AND RESPONSIBILITIES

Supervisors

A critical part of a supervisor's role is to guide, coach, monitor, support, review and develop staff. As part of their own workplanning, supervisors are expected to devote adequate time to reviewing and developing the staff they supervise. It is important that staff be given regular feedback throughout the year in addition to feedback provided in the annual review.

Supervisors are responsible for initiating and implementing the Performance and Development process for all their staff. They must ensure that the planning and review discussions are undertaken in accordance with the time-frames appropriate to Faculty/Unit's Performance and Development Cycle. They must ensure documentation is completed and filed.

Supervisors are responsible for:

- > providing regular and objective feedback to staff about their performance
- > recognising staff achievements
- > discussing and confirming staff workplans for the year ahead in the context of the strategic directions of the University and organisational Unit. Workplans will outline a workload which is reasonable & realistic.
- > encouraging staff to undertake appropriate staff development activities and to support them during these activities
- > working with their own manager to plan and review their work
- > advising HRU when workplans are in place and sending completed planning and review documentation to HRU for staff records at the end of the workplan period.

Academic supervisors

Academic supervisors are appointed to academic staff members by the Dean. Supervisors will normally be at Level C or above in a designated academic leadership role within the staff member's academic Unit. Wherever possible the supervisor will be competent in the staff member's area(s) of expertise.

In exceptional circumstances, when requested in writing by the staff member, the Senior DVC may appoint an alternative supervisor.

When a supervisor is on extended leave the Dean will appoint an alternative supervisor and the staff member will be notified.

Staff Members

Staff are responsible for:

- > familiarising themselves with the Performance and Development process
- > preparing for and participating in planning and review discussions
- > working with their supervisor to develop their own workplan
- > suggesting appropriate career or staff development activities they would like to participate in. This may include relevant courses, secondments, plans to submit an application for academic promotion, academic Professional Experience Program (PEP), etc.
- > implementing their workplan
- > providing details of plans for annual and other leave.

Academic staff

Academics must provide their supervisors with a summary of their academic activities over the period since the previous meeting, including recent student evaluations of teaching.

For more information see [Academic Staff Agreement 2006, Clause 36 \[Evaluation of Teaching\]](#).

Senior staff

In addition, members of the Senior Staff Group are responsible for:

- > Role-modelling best practice people management by leading, promoting and participating in the UTS Performance and Development process.
- > Working with managers in their area to ensure all staff participate in the Performance and Development process.
- > Contribute to ongoing development and improved relevance of the Performance and Development process by tailoring the approach and materials for their areas, and by discussing improvements with the Executive and Human Resources Unit.

ADDITIONAL INFORMATION & RESOURCES

Support Staff Position Descriptions

When discussing workplans it is useful to look at the position description. If there is a significant change in job content and complexity the position description should be updated and, if appropriate, submitted for re-evaluation. However, it is important that staff and supervisor monitor staff workload to ensure it is reasonable. For information about Position Descriptions and Job Evaluation, supervisors should contact their HR Partner. Staff members should contact Staff Services in HRU.

Casual and Short Fixed-Term Staff

For casual staff and staff employed on a fixed-term basis of less than twelve months, the Performance and Development process is tailored to suit the duration of the staff member's employment and the nature of their work.

Support Staff and Senior Staff

Regardless of length of employment, this should involve defining key objectives and determining the extent to which the objectives are being met during the staff member's employment. A final review should take place towards the end of the period of employment.

Academic staff

The specific Performance and Development process for casual academic staff is contained in the [Casual Academic Employment Guidelines](#).

Probation

All staff participate in the Performance and Development process, including those on probation.

Support Staff and Senior Staff Group:

Within a week of starting work or a new position, the staff member and supervisor need to discuss and begin developing a workplan. There are two options for workplans during the probationary period:

EITHER

- > develop a workplan at the beginning of the probationary period that includes long-term objectives which extend beyond the probationary period to the end of the Performance Review and Development cycle for the work Unit,

OR

- > develop a workplan specific to the probation period only, then develop another workplan for the remainder of the Performance & Development period once a decision has been made to continue employment.

Academic Staff:

Specific details about Performance and Development for academic staff on probation are contained in the HR Manual: [6.25 Probation – Academic Staff Planning and Review for Performance and Development](#).

See the HRU website for more information about the [Probation process](#) for all staff.

Dealing with Performance Problems

Participating in the Performance Development process can help address and manage performance problems before they become serious. Supervisors in particular are responsible for planning and conducting regular reviews to help identify issues early, and to provide structure and support to facilitate improvement in performance. Support may include training, identification of critical skills needed, identification of further objectives, addressing any other job-related concerns and/or workload issues. For further assistance, supervisors should contact their HR Partner. Staff members should contact the Staff Services team in HRU.

If staff performance problems are not resolved through feedback and support, it may be appropriate to initiate action under the University's procedures for managing unsatisfactory performance. Supervisors can initiate this process prior to the Annual Performance Review and, in the first instance, should discuss the process with the HR Partnership team. Details of the process are contained in the Managing Unsatisfactory Performance Clause of the relevant UTS Collective Agreement.

Representation

The staff member may seek advice and representation from their chosen representative at any time during the review and planning cycle.

Documentation

Supervisors are responsible for maintaining confidentiality of copies of Performance Review and Development information kept in their work unit and for maintaining the privacy of review discussions. At the completion of each year/cycle documents should be forwarded to the Human Resources Unit for filing on personal files.

OTHER RESOURCES

Further information can be accessed via the following links:

PERFORMANCE & DEVELOPMENT

- > [Performance and Development - Factsheet for Staff](#)
- > [Performance and Development - Factsheet for Supervisors](#)
- > [Supervisor's Performance and Development Process Checklist](#)
- > [Supervisor's Guide to Monitoring and Reviewing Performance](#)
- > [Guide to Developing Workplan Objectives](#)
- > [Performance & Development faqs](#)
- > [HRU Website: Performance and Development](#)

ENTERPRISE AGREEMENTS

- > [UTS: Support Staff Agreement 2006](#)
- > [UTS: Academic Staff Agreement 2006](#)
- > [UTS: Senior Staff Group Agreement 2004](#)

OTHER RELEVANT INFORMATION

- > Grievance Policy and Guidelines
- > Job Evaluation
- > Probation Guidelines
- > UTS Strategic Plan

CONTACTS

If you would like to speak to someone about Performance and Development, please use the following contacts.

Staff enquiries: staffservices@uts.edu.au or ext 1060
Supervisors: Your HR Partner in [HR Management Services team](#)
Learning and Development: [HRU Organisation & People Development team](#)

Current staff and contact details can be found on the [Contacts page of the HRU website](#).

APPROVALS

EFFECTIVE DATE	31 May 2007		
REVIEW DATE	2009 (after current collective agreements have been replaced)		
ACCOUNTABLE OFFICER	Director, Human Resources Unit		
CURRENT INCUMBENT	Jennifer Gilmore		
IMPLEMENTATION OFFICER	Project Officer, Organisation & People Development		
CURRENT INCUMBENT	Liz Hurley	CONTACT NO	Extension 1075

REVISION/MODIFICATION HISTORY

Date	Version	Current title	Summary of changes	Approved/rejected	Approval authority	Resolution or file number
31/5/07	1	Performance and Development Principles and Procedures	Consolidation of separate guidelines for academic, support and senior staff	Approved	Director, HR	