



Procedure: Performance and development - Professional staff

Purpose

To outline the process for the establishment and review of performance objectives/indicators and development plans for professional staff, in accordance with guiding principles outlined in the [Performance and Development Policy](#) and the Career and Performance Development provisions within the Enterprise Agreement.

Definitions

Performance and Development Process (PDP): The process which guides performance management practices within the University, assisting staff to excel and meet their career goals and job expectations. The principal aims of the performance development process are to build on and support a culture of academic excellence.

Performance and Development Review (PDR): is the pro-forma designed to record a staff member's performance objectives/indicators, development needs and actual performance over a defined period.

Performance Objectives: Describe the tasks and outcomes to be achieved by the staff member as a result of carrying out prescribed roles and responsibilities. Where appropriate, this may also include the identification of milestones which extend beyond the length of the review period. Performance objectives may also extend to the manner in which work is undertaken to ensure consistency with the Code of Conduct and ANU Values.

Performance Indicators: Describe the way in which a staff member and supervisor will define whether a performance objective has been achieved.

Achievement relative to opportunity: Assessing achievement against performance objectives/indicators relative to opportunity, taking into consideration any changes which may have impacted on performance and were beyond the control of the manager or staff member.

Procedure

1. The PDP is the process of setting measurable objectives and indicators and reviewing achievement against these; ensuring that individual contributions are aligned with the University's strategic goals.
2. The PDP normally takes place over a 12 month period and will be managed by the following:
 - * Establishing an agreed PDR via discussion between the staff member and their supervisor, including a review of contribution to date and career goals.
 - * Taking into consideration any college or local guidelines, setting at least annually and through discussion between an individual staff member and their supervisor, clear performance objectives for the period. Objectives may be varied according to emerging needs of the work area.
 - * A formal progress review (mid-term review) against agreed performance objectives and indicators normally conducted six months after commencement of a 12 month PDR cycle, (unless contribution or commitment requires an earlier review or the supervisor and staff member prefer more frequent reviews).
 - * In the event where performance improvement is required, the staff member will be advised in writing and in accordance with the relevant policies and procedures.

Probation

3. It is expected that the PDP, and related PDR(s), will be used to inform the probation process.
4. Within the first month of employment, supervisors will provide the staff member with a clear understanding of the PDP and work with them to clearly define objectives for the probationary period.

Defining objectives

5. The supervisor will meet with each staff member to discuss and identify measurable performance objectives, relevant indicators of performance, and career development goals for the coming year that reflect the staff members':
 - * key accountabilities and goals (expectations) for the review period, taking into consideration the relevant operational work plan;
 - * key skills and attributes required to achieve success in their position and future career progression;

- * specific objectives and indicators for all staff with a supervisory and/or resource management role; and
- * identified development actions to assist the staff member achieve personal excellence, maximise their contribution to the University and, where possible achieve career aspirations.

6. These discussions are to be summarised within the PDR.

Review of progress and achievements

7. At the mid-term of the PDR the supervisor shall meet with each staff member to review progress and achievement. These review discussions are an opportunity to provide feedback, support, direction and encouragement in relation to the progress and achievement of the staff member's objectives.

8. The review also provides the opportunity for the supervisor and staff member to have a general discussion including workload allocation and the operations of the college, school, division or area that impact the staff member.

9. An end of term assessment will be held at the end of the designated PDR period. The staff member should reflect on their experiences at work over the period, the supervisor and staff member should then meet to discuss and review the overall progress and achievements of the staff member relative to opportunity.

10. Based on the outcomes of the discussion under clause 9, and any other relevant evidence, the supervisor will identify an overall performance rating for the staff member against the performance objectives.

11. A summary of the staff member's actual performance, self-reflection and performance rating should be recorded in the PDR.

12. Where a staff member consents to sharing the content of their PDR for development purposes for others, this will be recorded for example in the comments section on the form or via email between staff member and supervisor.

13. In cases where development is required or progress and achievement is unsatisfactory, action to address possible underperformance or misconduct should be taken at the earliest time possible and in accordance with the relevant policies and procedures. Any action should not be delayed pending a formal review.

14. Performance objectives and indicators should be reviewed and updated during the PDR period and when any substantial change occurs, such as a change of supervisor, this will be subject to discussion and agreement between the supervisor and staff member.

Performance ratings

15. The following ratings are used in the PDP:

- * **Outstanding:** Where a staff member demonstrates performance and behaviour which consistently exceeds expectations.
- * **Meets all expectations:** Where overall the staff member demonstrates consistent and sustained performance, with all objectives being met, and exhibits behaviour which is consistent with ANU Values and the Code of Conduct. The vast majority of staff would be expected to be in this category.
- * **Unsatisfactory:** Where the staff member's performance and/or behaviour falls short of what is expected for the position they hold, and/or the required performance objectives and indicators.

16. In these circumstances the supervisor will have initiated or be in the process of initiating action under the managing underperformance procedures. This rating will be applied where:

- * the staff member's outcomes and/or behaviour frequently do not meet expectation and/or objectives/indicators are not achieved and/or are considered unsatisfactory.
- * frequent direction/coaching and/or extensive development (not consistent with the classification level of the staff member) is required.
- * the staff member does not apply skills/knowledge and attributes in a manner consistent with the ANU Code of Conduct.

17. Where a staff member does not take steps to improve to an acceptable level, in quality and/or commitment, the options available to the University include demotion to a lower level or action that may lead to termination of their employment with the University. For these purposes, the processes identified in the [Unsatisfactory Performance and Misconduct Policy](#) and the [Managing Unsatisfactory Performance Procedure](#), developed under the provisions of the [ANU Enterprise Agreement](#), will be followed including the appeal provisions, and may lead to disciplinary action.

Differences of Opinion/Disagreements

18. If a supervisor and a staff member cannot agree on the proposed PDR the staff member may seek a review of the performance objectives by the supervisor's supervisor.

19. If the staff member is not satisfied with the outcome of that review, they may request the Director - Human Resources review the matter with a view to resolving the issue in accordance with University policy and procedure.

20. The Director - Human Resources may confirm the PDR after considering the relevant Classification Standards for the position and level of assigned duties.

Storage of forms

21. The PDR is Staff-in-Confidence and the information contained may only be used in matters that are relevant to the staff member's employment within The Australian National University. Any copies of the form should be stored appropriately on the staff member's personnel file in accordance with the University [Records and archives management policy](#).

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