

PERFORMANCE PLANNING AND DEVELOPMENT POLICY 2012

The Vice-Chancellor and Principal as delegate of the Senate of the University of Sydney, adopts the following policy.

Dated: 3 September 2012

Last amended: 5 June 2017 (administrative amendments only)

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1 Name of policy

This is the Performance Planning and Development Policy 2012.

2 Commencement

This policy commences on 24 September 2012.

3 Policy is binding

Except to the extent that a contrary intention is expressed, this policy binds the University and staff.

4 Overview

The purpose of performance planning and development is to provide staff with the opportunity to document their performance achievements and discuss them with their supervisor or advisor. It also enables staff to identify development and career planning objectives, and enables the University to evaluate and manage the performance of staff against expected standards.

5 Application

This policy applies to the University and to all staff other than:

- (a) senior staff for whom the Senate HR Committee determines arrangements for performance planning and development; and
- (b) casual staff, except as provided in clauses 13(3) and 14.

6 Definitions

academic planning and development (“AP&D”)	means the process of performance review, planning and development, and evaluation for academic staff.
advisor	means a person appointed to perform the functions detailed in clause 8 of this policy.
consultation	means a process by which the parties exchange information about a matter or issue, hold discussions to explain points of view, and take into account each other’s views. It does not necessarily mean that agreement can be reached.
delegate	means a person or entity to whom or to which a delegation has been made by Senate in the University of Sydney (Delegations of Authority – Administrative Functions) Rule 2016
Enterprise Agreement	means the University of Sydney Enterprise Agreement 2013-2017 , or its replacement.
executive supervisor	means the relevant Dean, Director or other chief officer of an administrative unit, Deputy Vice-Chancellor or Vice-Chancellor, as the case may be.
professional staff planning and development (“PP&D”)	means the process of performance review, planning and development, and evaluation for professional staff.
review period	means the period, no longer than 12 months, during which a staff member’s performance is assessed.
supervisor	means the person referred to as a staff member’s supervisor in their letter of offer, or as otherwise notified to the staff member by the University.

7 Role of supervisors

- (1) A supervisor is responsible, within their accountability area, for managing the overall performance of staff, including:
 - (a) setting performance objectives;
 - (b) setting development objectives aligned but not limited in scope to performance objectives;
 - (c) ensuring planning and development reviews are conducted with staff;
 - (d) approving achievement objectives and development plans; and
 - (e) in the case of academic staff, assessing whether expected minimum standards have been met; or
 - (f) in the case of professional staff, evaluating and rating performance in accordance with clause 13(2).

8 Role and appointment of advisors

- (1) Advisors may be appointed to mentor, coach and assist staff. Advisors will usually be appointed for academic staff, but subject to approval in accordance with sub-clause 8(3), may also be appointed for professional staff.
- (2) An advisor is responsible, in relation to staff for whom they have been appointed advisor, for:
 - (a) providing guidance to assist the staff member to:
 - (i) achieve and exceed the expected standards of performance;
 - (ii) establish and progress career goals.and
 - (b) conducting planning and development reviews to:
 - (i) discuss and summarise achievements;
 - (ii) assist staff to develop new achievement objectives and development plans.
- (3) Advisors may be appointed by an executive supervisor, Head of School or Head of Administrative Area. A supervisor may nominate a proposed advisor.
- (4) The role of advisor is separate and distinct from that of supervisor. For academic staff it will usually be preferable (although not mandatory) for someone other than the staff member's supervisor to be appointed as their advisor. Any concerns relating to the staff member's performance or conduct are, however, the responsibility of the supervisor.

9 Setting achievement objectives

- (1) The main purpose of setting achievement objectives is to:
 - (a) define the activities, goals, actions and conduct for which the staff member will be held accountable during a review period; and
 - (b) define how the staff member's achievements will be measured in key achievement areas.

- (2) For academic staff, the key achievement areas are:
 - (a) research and scholarship;
 - (b) learning and teaching; and
 - (c) service.
- (3) For professional staff, the key achievement areas are:
 - (a) client focus;
 - (b) learning and innovation;
 - (c) resource management and quality; and
 - (d) teamwork and leadership.

10 Planning and development framework

- (1) A planning and development review must be conducted at the end of the review period, which will occur at least, every 12 months. Mid-way through each review period, the supervisor (or advisor where appointed) should meet with the staff member to discuss the staff member's progress.
- (2) The purpose of the planning and development review is to assess the staff member's achievements during the review period, and to prepare achievement objectives and a development plan for the next review period.
- (3) For academic staff, participation in the review process is a prerequisite for participation in the Special Studies Program and for promotion.

Note: Refer to the [Special Studies Program Policy](#)
- (4) A planning and development review comprises the following steps.
 - (a) The staff member completes a written review (AP&D or PP&D) of their achievements, which reflects on what the staff member set out to achieve at the beginning of the review period against their actual achievements.
 - (b) The written review is provided by the staff member to:
 - (ii) the relevant advisor; or
 - (iii) the supervisor if an advisor has not been appointed.
 - (c) The staff member meets with the relevant advisor or supervisor (as per (b) above):
 - (i) to discuss and summarise the staff member's achievements during the review period, the factors which influenced those achievements, and development activities undertaken during the review period;
 - (ii) for the advisor or supervisor to provide feedback on the staff member's achievements and conduct;
 - (iii) to develop and document objectives to be achieved in the next review period;
 - (iv) to develop and document an individual career and development plan.
 - (d) Following the meeting the staff member may update and re-submit their written AP&D or PP&D to the relevant advisor or to the supervisor if an advisor has not been appointed.

- (e) Where an advisor has been appointed, the advisor submits the AP&D or PP&D to the supervisor for their review after the steps in sub-clauses 4 (a) to (d) have been completed.
- (f) For academic staff for whom an advisor has not been appointed, the supervisor acts in the role of advisor in this context and submits the AP&D to the supervisor's supervisor after the steps in sub-clauses 4 (a) to (d) have been completed.
- (g) When the AP&D or PP&D is reviewed, the relevant supervisor:
 - (i) in the case of academic staff, assesses whether expected minimum standards have been met and determines whether there is a case for further investigation and consideration if the staff member is not meeting expected minimum criteria; or
 - (ii) in the case of professional staff, assigns an evaluation in accordance with clause 13 of this policy;
and
 - (iii) either approves the achievement objectives and the development plan for the next review period, or amends them after further consultation with the staff member.
- (5) Planning and development reviews for all academic executive staff (Deans, Heads of School and Deans (University School), Heads of School, Chair of Discipline, Deputy Deans, etc.) will be conducted by the relevant executive supervisor.
- (6) If a staff member fails to complete any of the steps outlined in sub-clauses 4(a), (b) or (c), or if agreement cannot be reached at a planning and development review meeting, the matter will be referred to the executive supervisor in accordance with clause 13(5). In the meantime, their supervisor may assess the staff member's performance and set objectives for them.

11 Performance evaluation during probation

- (1) Where a staff member is on probation, there should be a mid-probation review and a further review prior to the end of probation.
- (2) A staff member must meet expected standards of performance and conduct in order to successfully complete probation.

Note: *For staff to whom the Enterprise Agreement applies, the procedures set out in the [Enterprise Agreement](#) must be followed if performance during probation is unsatisfactory.*

12 Performance planning and development during confirmation (academic staff only)

- (1) The procedures outlined in clause 10 apply during the confirmation period.
- (2) An academic staff member must meet expected standards of performance and conduct (including any objectives specified in the staff member's letter of appointment or set during the confirmation period) in order to successfully complete confirmation.

Note: *For staff to whom the Enterprise Agreement applies, the procedures set out in the [Enterprise Agreement](#) must be followed if performance during confirmation is*

unsatisfactory or not meeting the objectives as specified in the letter of appointment or set during the confirmation period.

13 Performance planning and development evaluations

- (1) Performance planning and development outcomes for **academic staff** are not normally evaluated, except when a supervisor in reviewing a plan for an academic staff member believes there is evidence to suggest that the staff member is not meeting expected minimum standards, in which case the procedures in clause 14 are followed.
- (2) At the end of each performance planning and development review for **professional staff** the supervisor will rate the staff member's performance in accordance with the scale below:
 - (a) far exceeded expected objectives
 - (b) exceeded expected objectives
 - (c) met expected objectives
 - (d) met most expected objectives
 - (e) not met expected objectives
- (3) The performance of **casual staff** may be evaluated through performance planning and development where:
 - (a) determining their suitability for re-engagement (whether as a casual staff member or otherwise);
 - (b) assessing an application for conversion to a continuing or fixed-term appointment; or
 - (c) the casual staff member has been engaged on a regular and systematic basis for 12 months or more.
- (4) Agreement between the supervisor and the staff member on the performance planning and development evaluation is not required
- (5) If the staff member disagrees with the appointment of an advisor, or with an evaluation, they may make a submission to their supervisor, who will consider the submission. If the staff member is not satisfied with the supervisor's decision, the supervisor or staff member may refer the matter to the executive supervisor, whose decision will be final.

Note: Refer to the following documents: [Casual Employment Policy](#) and [Sessional Casual Academic Employment Policy](#).

14 Performance improvement and unsatisfactory performance

- (1) The provisions of this clause apply to staff (including casuals), other than staff undertaking a period of probation or confirmation.
- (2) If a supervisor has concerns about a staff member's performance or conduct, the matter should be discussed at the time the concerns are identified. Discussions about performance or conduct are not limited to the performance planning and development review meeting.
- (3) If a staff member who is covered by the Enterprise Agreement is failing to perform their duties to a satisfactory standard or has received an evaluation of 'not met

minimum expected standards' or 'not met expected objectives', the procedures in [clauses 303-308 of the Enterprise Agreement](#) will apply.

- (4) In all other cases, the staff member
 - (a) will be advised in writing of the deficiencies in their performance or conduct, the improvements necessary to meet the expected standard, and the consequences of failing to improve to the expected standard; and
 - (b) will be given a reasonable period of time to address the deficiencies in their performance or conduct.
- (5) If the staff member fails to improve their performance or conduct to the expected standard within the time allowed, the University may take appropriate action which may include termination of employment

15 Periods of absence and performance of other duties

Where a staff member has been absent from their position for extended periods, or is, by agreement, performing other duties:

- (a) their performance will be evaluated on the basis of the balance of the review period; and
- (b) performance objectives set, or adjusted, to reflect the shorter review period or other duties being performed.

16 Special Studies Program (academic staff only)

- (1) Appropriate performance objectives will be set for academic staff participating in a Special Studies Program. The performance objectives will relate to the outcome of their Special Studies Program.
- (2) The academic staff member must submit a report at the conclusion of their Special Studies Program which will be considered as part of their academic planning and development review.

Note: As provided for in clause 10(3), participation in performance planning and development in accordance with this policy is a prerequisite for participation in the Special Studies Program under the [Special Studies Program Policy](#) and [Special Studies Program Procedures](#); and in [promotion](#).

17 Redeployment trial period

Staff must meet expected standards of performance and conduct in order to complete a redeployment trial period successfully. Appropriate performance objectives will be set for staff who are redeployed on a trial basis. Performance during a trial period will be assessed in accordance with the [Redeployment Policy 2014](#).

NOTES

Date adopted: 3 September 2012
 Date commenced: 24 September 2012
 Date amended: 5 June 2017 (administrative amendments only)
 Administrator: Director, Human Resources
 Review date: September 2015
 Related documents:

[University of Sydney Enterprise Agreement 2013-2017](#)

[University of Sydney \(Delegations of Authority - Administrative Functions\) Rule 2016](#)

[Academic Promotions Policy](#)

[Code of Conduct – Staff and Affiliates](#)

[Casual Employment Policy](#)

[Sessional casual academic employment policy](#)

[Special Studies Program Policy](#)

[Special Studies Program Procedures](#)

[Performance Planning and Development website](#)

[Redeployment Policy 2014](#)

[Redeployment Procedures 2014](#)

AMENDMENT HISTORY

Provision	Amendment	Commencing
Clauses 6,7,8,9,10,13	References to general staff replaced with references to professional staff, to align with Enterprise Agreement	02/07/2014
Clauses 6,14	References to Enterprise Agreement updated	02/07/2014
Clause 13(c)	Reference to 6 months changed 12 months	02/07/2014
Clause 17	Reference to the Redeployment Policy 2014 for performance assessment during a redeployment trial period	02/07/2014

Provision	Amendment	Commencing
6; related documents	Updated references to <i>University of Sydney (Delegations of Authority – Administrative Functions) Rule 2016</i>	5 June 2017
8(3)	Administrative amendment	5 June 2017
10(5)	Amendment relating to organisational design changes	5 June 2017
13(5)note; related documents	Remove reference to rescinded policy document	5 June 2017