

Performance Review and Planning for Professional Staff

Conversation Guide for Supervisors

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About this guide

This guide, revised October 2016, is designed to assist nominated supervisors undertaking the Annual Performance Review and Planning Process for Professional Staff.

Produced by:

Human Resources Directorate
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Introduction

The Performance Review and Planning (PRP) process provides a framework for:

- (a) managing and communicating about a staff member's work performance and development;
- (b) ensuring that a staff member's development and work align with the strategic objectives of the University and Faculty/School/Directorate; and
- (c) planning a staff member's development to contribute to the quality of their working life and future career.

The PRP process is most effective when there have been regular informal meetings between you as the nominated supervisor, and the staff member, during the year to:

- track progress against performance objectives;
- acknowledge successes;
- identify factors that may be hindering meeting performance objectives;
- discuss professional development activities; and
- where a staff member has a career plan, discuss progress against this plan.

The successful implementation of the process is important in ensuring performance planning and review across the organisation is conducted in line with ACU's strategic objectives. The involvement of all staff members is a key contributor to the University performing against new and emerging quality standards, including those set by TEQSA and the Mission-based Compact. The process benefits staff by providing an opportunity to reflect on work achievements and receive feedback from you about these, as well as being a prompt for them to consider their professional development priorities and activities. The PRP process also provides the opportunity for the staff member to seek guidance and support on their career aspirations, should the staff member wish to engage in a career conversation.



The PRP process incorporates ACU's Capability Development Framework (CDF) which describes the essential competencies that are needed in all ACU staff to achieve our Strategy and support our Mission. It supports conversations between you and your staff in identifying competencies that are most needed in the current role and professional development goals and activities. The CDF Core Competencies assist both in strengthening capability in the staff member's current role and understanding expectations of potential future roles. The competencies support various other management practices such as job design, recruitment and selection, induction, probation, promotion and career planning. Further information about the CDF and the 10 Core Competencies Visit www.acu.edu.au/cdf

The PRP Form has three parts:

Part A – Annual Performance Review

Section 1: The staff member reports on their achievements against the objectives identified in the previous year's plan. Copies of supporting documents may be provided by either yourself or the staff member. You are to comment on their achievements against the objectives.

Section 2: You are to provide an evaluation of the staff member's overall work performance including an assessment of behavioural competencies.

Part B – Annual Performance Plan

The staff member is encouraged to provide their input in draft form prior to meeting with you to aid the conversation. You and your staff member should work together to finalise the three sections.

Section 1: Performance objectives

Section 2: Leave management

Section 3: Professional development

Part C – Career Planning (OPTIONAL)

Part C is optional and can be initiated by the staff member. The staff member having reflected on their career aspirations can use Part C of the PRP Form to record of the outcomes of the career conversation and keep for their reference.

This guide outlines below how the following tools can support you as a nominated supervisor through the PRP process:

- Performance, Development and Career Conversation Model
- Supervisor Checklist
- The CDF
- Examples of SMART Performance Objectives (incorporating the CDF and suggested strategic links)
- Career Coaching Tool for Supervisors

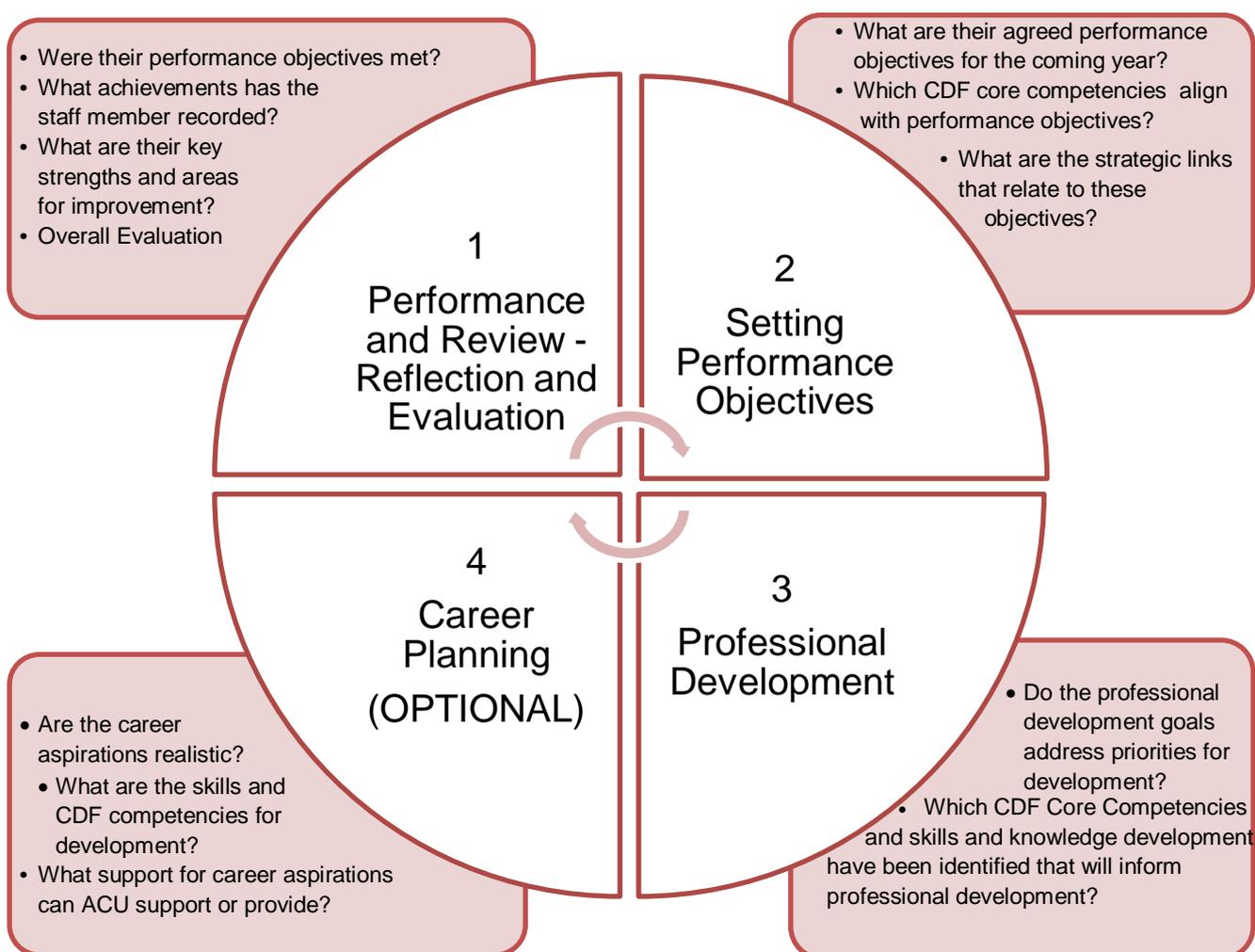
Performance, Development and Career Conversation Model

The Performance, Development and Career Conversation Model illustrates the cycle of the performance review, professional development and career planning processes.

The first three quadrants need to be addressed in the PRP conversation between you and the staff member. In the first quadrant, performance is reviewed against previously set objectives, which sets the scene for quadrants 2 and 3, where the focus is on setting performance objectives and professional development. The fourth quadrant is optional and is normally initiated by the staff member. It is an opportunity for the staff member to record the outcomes of the career conversation with you. The career conversation can be held at the same time as the PRP conversation or at any time during the year.

This Model interfaces with the *Performance Review and Planning Form for Professional Staff*, and the Supervisor Checklist (see page 6).

Figure 1: The Performance, Development and Career Conversation Model



Supervisor Checklist

The Supervisor Checklist will help you in preparing for your annual performance review and planning meeting with staff members. It contains prompts, reflections and questions to ensure that the meeting meets its purpose. You should review this checklist before you commence the annual performance review and planning meeting with your staff member.

SUPERVISOR CHECKLIST - Preparing for the PRP conversation	Tick when complete ✓
General preparation	
<p>Communicate to staff that the annual performance review and planning process is underway. Request staff to begin preparing for meeting with you. You should notify them three to four weeks prior to the review meeting.</p>	
<p>Establish a mutually convenient meeting time for the performance review and planning conversation (preferably a face-to-face meeting) with the staff member.</p>	
<p>Review the <i>Performance Review and Planning for Professional Staff – Policy and Procedures</i>, the <i>Performance Review and Planning (PRP) Form for Professional Staff (PRP Form)</i>, the <i>Professional Development for Professional Staff policy</i>, and any other relevant policies. Check if there are any outcomes from the probation review which may be relevant (if applicable).</p>	
<p>Review University, Faculty/School/Directorate strategic priorities, and ensure that you understand how they apply to the staff member’s position and objectives.</p> <p>Review the CDF and reflect on the Core Competencies that would describe how the performance objectives in the Performance Plan would be achieved and what competencies may inform professional development plans. Further information about the CDF and the 10 Core Competencies Visit www.acu.edu.au/cdf</p>	
<p>Request that the staff member provide you with their draft <i>PRP Form</i> at least one week prior to the meeting. The staff member is to provide a draft of Part A Section 1 (with any supporting documents), Part B - Section 1, 2, 3.</p>	
<p>Part C (OPTIONAL) – The staff member may have indicated that they would like to have a career conversation with you during the PRP meeting. Part C of the PRP form has been provided for the staff member to record the outcomes of the career conversation with you and retain for their records. They are not required to complete Part C before the conversation.</p> <p>A copy of the Career Planning Self-Assessment for staff is provided at Appendix 2. This is a tool to aid the staff member in preparing for a career planning conversation.</p> <p>The Career Coaching Tool for Supervisors is provided at Appendix 3 as a set of questions that can be used to facilitate the career conversation with the staff member.</p>	
<p>Understand your responsibilities within each part and section of the <i>PRP Form</i> as outlined below.</p>	
Part A: Annual Performance Review	
<p>Section 1: Review of work achievements based on agreed objectives</p> <div data-bbox="220 1753 325 1861"> </div> <p>Review the staff member’s completed <i>PRP Form</i>. In preparing for the review conversation, you should consider the 12 month review period and assess:</p> <ul style="list-style-type: none"> • if the staff member’s objectives were met and the progress made, informed by the relevant CDF Core Competencies; • their key capabilities, achievements and areas of improvement; • any factors that impacted on achieving their objectives; and • the staff member’s view of their achievements. These may be different to yours, therefore you should prepare examples and specific details to support your view. 	

SUPERVISOR CHECKLIST - Preparing for the PRP conversation

Tick when complete



Section 2: Evaluation of overall work performance

You will need to draft this section prior to the conversation with the staff member. You should:

- consider any issues that have impacted on their performance;
- evaluate their performance against behavioural competencies during the review period; and, if a competency is not achieved, discuss the areas where the staff member has not met standards, what improvements are expected in the next review period, and how they will be monitored with review and feedback; and
- provide an overall rating, considering achievements in relation to performance objectives, factors that impacted on achieving their objectives (KPIs), other major achievements, behavioural competencies and where applicable, supporting documents/evidence should be provided. At the end of the review process, finalise the overall rating and give the staff member the opportunity to provide their comments and/or response.

Part B: Annual Performance Plan

Section 1: Performance objectives



Discuss and confirm with the staff member their main duties and priorities for the next 12 months, in the context of their position description and University and Faculty/School/Directorate strategic priorities. Use the SMART principles to assist you with setting performance objectives and ensure the agreed performance objectives are recorded. CDF Core Competencies relevant to performance objective and the achievement level of the role are identified for the performance objectives to describe *how* the objective will be achieved. See Appendix 1 for examples of SMART performance objectives with suggested relevant Strategic links and CDF Core Competencies included. For further information about the CDF and the 10 Core Competencies visit www.acu.edu.au/cdf

Setting objectives: The SMART Principles

Specific

Does the objective explain precisely what has to be achieved?
 Does the objective clearly explain the level/standard of expected outcome?
 Does the objective incorporate competencies from the CDF?
Choose words that describe the objective in action oriented terms, e.g. increase, reduce, provide, establish, eliminate, complete, etc. Objectives may or may not have specific measures attached, depending on the objective. Identify appropriate CDF Core Competencies that describe how the objective can be achieved.

Measurable

Does the objective indicate how the results will be measured?
Each objective must have at least one measure so everyone is clear on how success will be assessed.

Achievable

Is the objective challenging, yet achievable?
Are there appropriate resources (including time, money, and people) to enable its achievement?

Relevant

Is it clear why the objective is important and how it contributes to short and/or longer-term goals?
Does it align to University and School/Faculty/Directorate strategic objectives?

SUPERVISOR CHECKLIST - Preparing for the PRP conversation		Tick when complete ✓
Time framed	Does the work objective clearly state when it needs to be achieved by? <i>Timeframes must be realistic.</i>	
<i>Note: Examples of SMART performance objectives that incorporate suggested links to the ACU Strategic Plan and relevant CDF Core Competencies are provided in the Appendix for demonstration purposes only</i>		
Section 2: Leave management plan		
Check your staff member's current leave balances. Discuss and confirm the staff member's Leave Management Plan for the coming year to assist the staff member achieve a work/life balance while also considering work unit operational requirements at different times of the year; and ensure the University's leave liability is managed in accordance with leave policies including policies regarding annual and long service leave.		
Section 3: Professional development		
	<p>It is important for you and the staff member to consider the professional development that will assist them to meet the agreed performance objectives and to potentially contribute to their career goals. As the supervisor you can review the draft professional development goals that the staff member has provided and consider:</p> <ul style="list-style-type: none"> • the staff member's performance objectives; • the CDF Core Competencies that are required in the staff members current role and any gaps to inform professional development priority areas; • the skills and knowledge required in the staff member's current role and any gaps to inform professional development priority areas; • the actions and resources they need to acquire further skills/knowledge or competency development; and • realistic timeframes to undertake development activities. <p>In the context of the staff member's performance objectives and/or career goals, their professional development may include the development of:</p> <ul style="list-style-type: none"> • <i>specialist skills</i> – skills related to their specific role; • <i>technical skills</i> – information and communication technology for work purposes; • <i>Core Competencies at the staff member's Achievement Level in the CDF</i> - the essential competencies that are needed in all ACU staff to achieve our strategy and support our Mission; and • <i>transferrable skills</i> – can be applied across work contexts or tasks (e.g. communication, team work, interpersonal savvy, engaging customers and building partnerships). <p>After identifying the staff member's current skills, knowledge and competency levels focus on their development priorities and plans for the future. The professional development conversation with you is an opportunity for the staff member to examine their identified strengths and understand any priority areas for further development. Staff value your feedback and perspective in considering their development needs and you are in a position to add importance context of what is needed from the broader team and to guide staff development accordingly.</p> <p>The outcomes of the conversation should contribute to a meaningful and relevant plan for the coming year. Record the agreed professional development goals and activities to support these goals.</p>	

SUPERVISOR CHECKLIST - Preparing for the PRP conversation

Tick when complete



If you have identified any gaps or incomplete sections while reviewing the staff member's *PRP Form, for Professional Staff*, you should address these gaps in the context of the conversation with the staff member.

As a final note, most adult learning is informal and self-directed in nature. Informal and self-directed types of learning may include, for example: reflections during the course of one's work; obtaining a paper or book on a topic and thinking about the writer's viewpoint, completing online or eLearning Modules or attending a presentation and reflecting on the salient points. This is a consideration when planning professional and career development activities.

Ongoing discussions and sign-off

Once the PRP Form for Professional Staff has been completed, schedule regular meetings with the staff member throughout the year to discuss their progress in relation to the performance objectives, development and career aspirations (if required).

This gives you and the staff member an opportunity to discuss any challenges or new opportunities that may arise during the year. It also supports you to provide an accurate evaluation of overall work performance when it comes time to formally assess their performance at the end of the year.

Sign-off

Both you and the staff member indicate completion of the PRP process by signing and dating the PRP form. The supervisor retains a copy of Part A and B and provides a copy to the Executive Staff member and the staff member. Further information regarding recording and filing of the form are provided in Section 3 of the PRP form. As Part C is optional, this section is not required to be signed off and the staff member may retain for their reference.

**Part C: Career Planning (OPTIONAL)****Career Planning**

The staff member may choose at the time of the PRP conversation to discuss their career aspirations with you. Whilst this can be a natural outcome of the PRP conversation, you or the staff member may choose to have the career conversation at any time during the year. A Career Planning Self-Assessment is provided to help the staff member reflect and identify their career aspirations. See Appendix 2 for a copy of the self-assessment.

To help you as the supervisor to play your role in coaching the staff member during the career conversation, the **Career Coaching Tool for Supervisors** is provided at Appendix 3. It contains questions drawn from the **Goal, Reality, Obstacles/Options and Way Forward (GROW)** coaching model that can be used to inform the conversation with the staff member.

Your role as the supervisor in career planning is to provide support and feedback to the staff member in identifying appropriate and realistic career goals and activities. In relation to the CDF, staff may turn to you for guidance in thinking through how they could work towards demonstrating competence at a higher Achievement Level in preparing for a future role. The staff member may choose to record the outcomes of this conversation in Part C of the PRP form and retain for their records and reference.

During the career conversation with the staff member you may identify activities that also align with professional development, there can be incorporated these into the Professional Development Plan for the coming year.

However note that, ACU may be able to provide some support to career plans through professional development or work opportunities these are the individual's aspirations. While they may align to careers at ACU they may also align to longer term career aspirations or aspirations unrelated to ACU. The staff member needs to be encouraged to consider all the support and where this will come from to achieve their aspirations.

Appendix 1:
Examples of SMART performance objectives with suggested strategic links and CDF Core Competencies

Service Desk/Student Centre

- a) *Take personal accountability to provide an effective and efficient service to allocated customers with minimal errors and according to established guidelines. This will be measured by review of the customer service call data base and customer feedback.*

Strategic Link: UPI 4.1 Service Quality

CDF Core Competencies: Deliver Stakeholder Centric Service, Be Responsible and Accountable for Achieving Excellence, Communicate with Impact.

- b) *Take personal responsibility in providing accurate and timely advice to the required standard to students regarding a range of processes including applications, selection and offering. Advice given is in accord with University policy and guidelines. This will be measured by management observation and customer feedback.*

Strategic Link: Strategic Link: KRA 2.1 Student Experience

CDF Core Competencies: Deliver Stakeholder Centric Service, Be Responsible and Accountable for Achieving Excellence, Know ACU's Processes and Systems.

Executive/Administrative Services

Coordinate Director's diary so that meetings and Director's availability is prioritised as agreed, there are no errors and core office applications are used effectively. Ensure relevant and comprehensive meeting materials are provided to the Director so they can prepare for the meeting. This will be measured by management observation.

Strategic Link: UPI 4.1 Service Quality

CDF Core Competencies: Communicate with Impact, Deliver Stakeholder Centric Service, Know ACU's Processes and Systems.

Communications Services

- a) *Manage the departmental website in accordance with standards in the ACU Brand Identity Guidelines. Convey facts, concepts and technical information clearly and concisely using terms that most people can understand. Ensure content is updated on a weekly basis and meets departmental priorities for information sharing. Liaise and work collaboratively with departmental units to ensure appropriate content is provided. This will be measured by management observation and customer feedback*

Strategic Link: UPI 4.1 Service Quality

CDF Core Competencies: Communicate with Impact, Deliver Stakeholder Centric Service, Be Responsible and Accountable for Achieving Excellence.

- b) *Produce an informative, topical and engaging departmental monthly newsletter, coordinating content from authors and writing stories where required. Ensure departmental and University style guidelines are met. Convey facts, concepts and technical information clearly and concisely using terms that most people can understand Review with Director at least one week prior to scheduled publication. This will be measured by management observation and feedback from readers.*

Strategic Link: UPI 4.1 Service Quality

CDF Core Competencies: Communicate with Impact, Collaborate Effectively, Be Responsible and Accountable for Achieving Excellence.

School/Faculty Administrative Services

- a) *Take personal accountability to coordinate effective, timely and appropriate student placement programs for professional experience ensuring all students have an appropriate placement. Maintain effective liaison with placement providers as appropriate. This will be measured by feedback from students, providers and management observation.*

Strategic Link: UPI 2.2 Quality Learning and Teaching Experiences or Strategic Link: UPI 4.1 Service Quality

CDF Core Competencies: Communicate with Impact, Deliver Stakeholder Centric Service, Collaborate Effectively

- b) *Coordinate and prepare the school timetable each semester on time and to the required standard, and ensuring effective and efficient use of resources and timely availability of an accurate timetable. Accommodate staff requests wherever possible and appropriate. This will be measured by feedback from Timetabling, staff of the school and management observation.*

Strategic Link: UPI 4.1 Service Quality

CDF Core Competencies: Deliver Stakeholder Centric Service, Be Responsible and Accountable for Achieving Excellence, Know ACU Work Processes and Systems.

Leadership

Provide leadership and guidance to the team through day to day management, holding of regular team meetings, individual performance discussions and development of improved processes. Actively coach direct reports and others within the unit and conduct regular career development discussions. This will be measured by management observation.

Strategic Link: KRA 4.2 Workplace Culture, Staff Performance and Development

CDF Core Competencies: Coach and Develop, Be Responsible and Accountable for Achieving Excellence, Collaborate Effectively, Make Informed Decisions.

Academic Skills

Provision of timely consultations with students that provide up to date and effective strategies to support improved student academic performance. Coach students to foster a culture of learning and improvement. This will be measured by management observation, review of consultation database and feedback from customers and lecturers.

Strategic Link: UPI 2.2 Quality Learning and Teaching Experiences

CDF Core Competencies: Coach and Develop, Deliver Stakeholder Centric Service, Be Responsible and Accountable for Achieving Excellence.

Student Matters

- a) *Information sessions about new policies and procedures are held for students on each campus within six weeks of government or legislative changes. Convey facts, concepts and technical information clearly and concisely, using terms that most people can understand. Sessions are advertised effectively and the sessions are succinct and highlight important changes. Student evaluations of sessions should receive no less of an average score of 3.5 out of a possible 5 (where 5 is the most favourable).*

Strategic Link: UPI 2.1 Student Experience and Satisfaction

CDF Core Competencies: Communicate with Impact, Deliver Stakeholder Centric Service, Know ACU Work Processes and Systems.

- b) *Coordinate response to student appeals ensuring appeals are handled in a timely and effective manner according to University guidelines. This will be measured by management observation.*

Strategic Link: KRA 4.1 Student Experience and Satisfaction

CDF Core Competencies: ,Know ACU Work Processes and Systems, Communicate with Impact, Deliver Stakeholder Centric Service,

Policy Management

Develop, review and maintain effective policies relevant to the function ensuring they are compliant with legislation and incorporate best practice. Ensure stakeholders are consulted as appropriate. Follow up to ensure stakeholder satisfaction. This will be measured by management review and observation.

Strategic Link: KRA 4.1 Strategic Approach and Governance

CDF Core Competencies: Know ACU Work Processes and Systems, Communicate with Impact, Be Responsible and Accountable for Achieving Excellence.

Executive Services

As Committee Executive Officer, ensure all meetings are scheduled as planned, all delegates are invited within 2 months of the meeting schedule, agenda is tabled one month prior to scheduled meeting and all agenda papers are provided two weeks prior to meeting. Ensure all minutes are accurate and completed and distributed within two weeks of each meeting. Convey facts, concepts and technical information clearly and concisely using terms that most people can understand. This will be measured by management observation and feedback from delegates.

Strategic Link: UPI 4.1 Service Quality

CDF Core Competencies: Communicate with Impact, Deliver Stakeholder Centric Service, Be Responsible and Accountable for Achieving Excellence.

Appendix 2

NOTE: This is a copy of the Career Planning Self-Assessment tool provided at Appendix 2 in the Conversation Guide for Staff.

Career Planning Self-Assessment

If you choose to have a career planning conversation with your supervisor, you may wish to reflect on the questions below and make a few notes to help you prepare. Use Part C of the PRP Form to record the outcomes of the career conversation and keep for your reference and ongoing guidance. The CDF can assist in understanding expectations of your current or future potential roles and identifying capabilities that require further development. For further information about the CDF and the 10 Core Competencies, visit www.acu.edu.au/cdf

Past	Responses
1. What roles have I enjoyed in the past? (E.g. Administrative, Executive Support, Project Role)	
2. How has my skill set changed from my early career? (E.g. moved into Management/Leadership)	
Present	
3. How well am I performing against current performance objectives? What are my development areas?	
4. How would I express my value to the organisation? What are my greatest strengths?	
5. What parts of my job would I like to do more frequently?	
6. What job areas am I interested in? In which other areas or projects in ACU could I contribute and add value?	
Future	
7. What are my aspirations? (E.g. What do you want to accomplish and why?)	
8. Where do I see myself in 2 to 5 years?	
9. In which areas of growth or change in the University could there be opportunities that might interest me?	
Gaps	
10. How do my strengths and development areas fit with my career aspirations and potential role opportunities?	

11. What do I need to do to achieve my career aspirations?	
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Appendix 3

Career Coaching Tool for Supervisors

The questions below (or similar) can be used whilst planning for or during the career conversation with the staff member. These questions incorporate the GROW Model principles of coaching.

Questions to Consider	Responses
<p>GOAL – <i>The end point the staff member wants to achieve</i></p> <ol style="list-style-type: none"> 1. Are the career goals nominated by the staff member SMART (achievable and time-bound?) 2. Has the staff member considered CDF competency development in their career plan? 3. Are there career goals the staff member has not considered? 	
<p>REALITY – <i>Where the staff member is now</i></p> <ol style="list-style-type: none"> 4. Where is the staff member now? 5. What are the current issues and challenges? 6. How far away is the staff member from their goal? 	
<p>OBSTACLES/OPTIONS – <i>Obstacles stopping the staff member from achieving their goal(s) and different options/ways to deal with them</i></p> <ol style="list-style-type: none"> 7. What are the obstacles stopping the staff member from achieving their goals? 8. How could the staff member identify different options to deal with the obstacles? 	
<p>WAY FORWARD – <i>Necessary action steps to meet the staff members goal(s)</i></p> <ol style="list-style-type: none"> 9. Has the staff member identified activities or action steps? 10. Are there other options e.g. projects, opportunities for growth I could suggest? 11. What activities can be supported by ACU? 	