

Name of Policy	Performance Review and Planning Program for Academic Staff Policy
Description of Policy	This policy is to assist Academic Staff to develop so as to contribute to the quality of their working life and career; and to align their work with the strategic objectives of the University and the Faculty, School, Institute or Centre, thus enhancing performance at all levels.
Policy applies to	<input checked="" type="checkbox"/> University-wide <input type="checkbox"/> Specific (<i>outline location, campus, organisational unit etc.</i>)
	<input checked="" type="checkbox"/> Staff Only <input type="checkbox"/> Students Only <input type="checkbox"/> Staff and Students
Policy Status	<input type="checkbox"/> New Policy <input checked="" type="checkbox"/> Revision of Existing Policy
Description of Revision	This policy has been reviewed to include the Leadership Competency Framework applicable to those staff in leadership roles.

Approval Authority	Vice-Chancellor and President
Governing Authority	Chief Operating Officer
Responsible Officer	Director, Human Resources

Approval Date	31 July 2013
Effective Date	16 October 2008
Date of Last Revision	July 2013
Date of Policy Review*	

* Unless otherwise indicated, this policy will still apply beyond the review date.

Related Policies, Procedures, Guidelines and Local Protocols	Classification Standards for Academic and Professional Staff Managing Performance Policy Mentoring of Academic Staff Policy Probation for Academic Staff Policy
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1. Introduction

Australian Catholic University recognises the need for performance excellence to be successful in all of its activities and operations. In the context of its Mission, strategic goals and the Minimum Standards for Academic Levels (MSALS) and to enhance excellence in performance, the University has a Performance Review and Planning Policy.

To achieve performance excellence, the University needs to constructively nurture and enhance performance, and have mechanisms to recognise performance excellence and to manage performance improvement.

The Performance Review and Planning process provides a framework for identifying, evaluating and developing performance that assists staff to meet individual professional and work goals as well as their collective work area and organisational goals.

2. Application of Policy

The Performance Review and Planning Policy applies to all Academic Staff who are employed on a continuing or fixed-term basis for a period greater than 6 months.

Staff on probation, participate in the Performance Review and Planning process annually using, as a minimum, the probationary criteria as the basis for their performance objectives. The probation review process is outlined in the Probation for Academic Staff Policy.

3. Purpose

The Performance Review and Planning process is designed to assist staff to develop so as to contribute to the quality of their working life and career, and to align their work with the strategic objectives of the University and the Faculty, School, Institute or Centre, thus enhancing performance at all levels and assisting the University's continued success of activities and operations.

The Performance Review and Planning process is an important process/mechanism to plan, monitor, evaluate, develop and affirm performance excellence to provide that:

- the University's Mission is upheld, strategic goals are achieved, activities and operations are enhanced, and effective customer service, including quality teaching and student support, are delivered;
- staff have a clear and agreed sense of their work, role and individual performance objectives and how these fit within the organisational objectives and the overall planning framework of the University;
- a process is in place for monitoring and reviewing and nurturing the achievements of individual staff and their objectives in the organisational context, and for providing feedback and evaluation on performance;
- a clear focus is placed on developmental strategies in support of the staff member's performance and career aspirations; and
- The University's Leadership Competency Framework (LCF) is utilised to assess and develop the effectiveness and capacity of those staff in leadership roles.

The Performance Review and Planning process provides the staff member and their nominated supervisor the opportunity to:

- affirm the staff member's contributions to the University;
- determine work priorities and performance expectations over the next annual review period;
- discuss the staff member's plans for taking annual, long service and other leave;
- discuss the annual workload and specifically the contribution to scholarship and administration;
- provide feedback in relation to individual performance, also with reference to work area and organisational goals;
- determine if the staff member is eligible for incremental advancement;
- identify if the staff member's performance may warrant reward and/or recognition;
- assess if the staff member is making the necessary progress in meeting probationary requirements;
- discuss and identify assistance and support that will be provided to improve performance where performance is assessed as requiring improvement;
- identify the support that will be provided for professional and career development;
- clarify the staff member's position and expected outcomes, if necessary;
- discuss career pathways, work patterns and/or pre-retirement arrangements;
- discuss knowledge, skills and competencies development to support career pathways; and
- discuss as appropriate, any personal/work issues that may impact on work performance.

4. Process

The process is supported by the Academic Performance Review and Plan Conversation Guide for Academic Staff Members.

- 4.1 The Performance Review and Planning process is retrospective for the performance review element of the process and prospective for the performance planning element.
- 4.2 During the performance planning year, the staff member will maintain an Academic Performance Portfolio that reflects their achievements, consistent with their career goals and annual performance objectives.
- 4.3 Each year the staff member and the nominated supervisor meet to:
- discuss, review and assess the staff member's progress towards achievement of the career goals and agreed performance objectives, and
 - establish the plan with career goals and performance objectives that are aligned to the academic career pathway,
 - affirm contributions to the University, and
 - identify any relevant professional development activities.
- 4.4 The nominated supervisor will normally be the National Head of School, State Head of School or Deputy Head of School in which the staff member is located. The National Head of School will provide advice and guidance to the State Head of School and Deputy Head of School in establishing performance objectives to ensure these meet the needs of the Faculty/School/Institute as well as giving consideration to the career aspirations of the individual staff member. National Heads of School will be appraised by the Executive Dean. Executive Deans will be appraised by the Provost and Deputy Vice-Chancellor (Academic).

- 4.5 The nominated supervisor initiates the process by contacting the staff member in writing to schedule a meeting.

In preparation for this meeting, the staff member will provide the nominated supervisor, the Performance Review and Planning form with a self-evaluation report, supported by their Academic Performance Portfolio. This will include prepared draft performance objectives for the next year. This information will be provided to the nominated supervisor on an agreed date prior to the scheduled meeting, normally no later than one week prior to the meeting date. For applicable positions the staff member and the nominated supervisor (in preparation for the meeting) would refer to the LCF to assist in identifying leadership competency areas of strength and areas for development in relation to the staff member's position in a leadership role as well as future career directions.

- 4.6 During the meeting the staff member and the nominated supervisor will discuss achievements in relation to the agreed objectives, areas of concern and/or extenuating circumstances and acknowledge and assess progress towards achieving professional and career development goals. The nominated supervisor and/or assistant supervisor will record comments regarding the staff member's performance against agreed performance objectives, workload relative to their career pathway, behavioural competencies, and, provide an overall performance rating. The staff member can record reflections regarding their achievements against agreed performance objectives and any factors impacting on the achievement of objectives. Further, through consultation, the nominated supervisor will discuss and refine the performance objectives for the next year, record the agreed career pathway and any professional development activities. For applicable positions, the nominated supervisor will also record development activities that are supported in relation to the LCF target levels for the staff member's position in a leadership role.
- 4.7 The Performance Review and Planning form will be signed by both the nominated supervisor and/or assistant supervisor and the staff member. A copy will be provided to the staff member and the Executive Team Member. The original will be then forwarded by the nominated supervisor to Human Resources. Copies of the documentation arising from the discussions should be retained by the staff member and the nominated supervisor.
- 4.8 Discussions will be confidential to the staff member and the nominated supervisor and the Executive Dean, who will be sent the completed Performance Review and Plan. A staff member may share relevant aspects of the Performance Review and Plan in support of other University processes.
- 4.9 The Performance Review and Planning Program Process will be informed as applicable by the University's Equal Opportunity Policy, and will take account of the special needs of individual staff arising from different career histories.

5. Frequency of Review

Staff members (except casual staff members and those on contracts of less than 6 months) are to be reviewed annually under this Policy. The Performance Review and Planning process for Academic Staff normally occurs in the second semester of each year.

In addition to the formal annual process, regular informal discussions will occur between Academic Staff and their nominated supervisor about matters relating to their work and workplace. Such informal meetings may be initiated at the request of the staff member and/or the nominated supervisor.

6. Policy Review

The University may make changes to this policy from time to time to improve the effectiveness of their operation. In this regard, any staff member who wishes to make any comments about this policy may forward their suggestions to Human Resources.

7. Further Assistance

Any staff member who requires assistance in understanding this policy should first consult their nominated supervisor who is responsible for the implementation and operation of these arrangements in their work area. Should further information or advice be required staff should visit [Service Central](#).

8. Associated Policies

Classification Standards for Academic and Professional Staff
Managing Performance Policy
Mentoring of Academic Staff Policy
Probation for Academic Staff Policy
Professional Learning for Academic Staff Policy