

# Staff Performance Planning and Review Procedure

## 1. Purpose and Scope

- 1.1 The Staff Performance Planning and Review Procedure operationalises the Staff Performance Policy as it applies to the annual process of aligning the performance, development and Professional Development activities of staff, with the operational needs of work areas and the strategic priorities of AIAT.
- 1.2 Those aspects of this procedure relating to PPR apply to all academic and non-academic staff with continuing appointments and fixed-term appointments of more than twelve months duration.
  - 1.2.1 Academic staff appointed on a casual basis may be required by the Head of Institute to participate in a PPR process of reduced duration.
  - 1.2.2 Non-academic staff with appointments of less than twelve (12) months may be required by their manager to participate in a PPR process of reduced duration.
- 1.3 Those aspects of this procedure relating to Professional Development apply to all academic and non-academic staff.

## 2. Definition

Refer to *Glossary of Terms*. In addition:

**Manager** in this procedure means the person who is the direct line manager (or supervisor) of the staff member for the purposes of the PPR process and approval of professional development requests.

**Performance** means the work-related activities expected of a staff member and how well those activities are executed. This includes behaviour and conduct.

**PPR** means performance, planning and review; that is, the process of managing a staff member's performance, setting of objectives and goals for the period ahead, and providing opportunities for feedback and identifying staff development and Professional Development needs. It is normally conducted annually although a reduced timeframe may apply in some circumstances.

**Professional Development** means activities that contribute to a staff member's work performance. It may involve formal or informal activities undertaken in the workplace or externally.

## 3. Procedure

### PPR process

- 3.1 Managers will inform those staff who are required to participate in a PPR process and ensure the staff member has a reasonable time to prepare or update their plan prior to the discussion.
- 3.2 The staff member preparing or updating their plan should consider:
  - 3.2.1 Their achievements during the past year (or other stated timeframe) consistent with their classification level and requirements of the job and the measurable goals set in the plan.
  - 3.2.2 Possible goals for the year ahead (or other stated timeframe) and the criteria as to how these achievements can be measured (qualitative and/or quantitative as appropriate).
  - 3.2.3 Professional Development and Scholarship strategies aimed at enhancing work performance.
- 3.3 The PPR discussion will include feedback on all aspects of the staff member's performance and conduct in the job. The aim is for the staff member and manager to have a clear understanding about past performance achievements, and expectations as to future performance, Professional Development goals and the actions needed to achieve these.
  - 3.3.1 The plan should be agreed by the staff member and their manager as soon as practicable after the discussion. The plan should include:
    - a. Expected measurable work goals and criteria for the year ahead (or other stated timeframe); and
    - b. Professional Development goals (including activities that may be subject to approval).
  - 3.3.2 The manager must inform the Human Resources Officer where they are unable to come to an agreement with the staff member in relation to the final plan.
- 3.4 Both the staff member and manager retain a copy of the final agreed plan. The manager forwards an electronic copy to the Human Resources Officer for inclusion in the staff member's personnel file.
  - 3.4.1 The final agreed plan forms the basis to evaluate a staff member's performance in the following year.
- 3.5 Part of the PPR process is regularly following up with the staff member to ensure they are on track to achieve their PPR goals or to review or modify the goals if circumstances require.
  - 3.5.1 In particular, managers should not wait until the formal PPR process to address poor performance by a staff member. Refer to the Dealing with Unsatisfactory Performance and Misconduct (Staff) Procedure for more details.
- 3.6 Successful completion of a PPR is a requirement before eligible staff are entitled to apply for:
  - 3.6.1 progress to a higher salary classification; or
  - 3.6.2 promotion of an academic staff member.

## Professional Development

- 3.7 Outcomes of the PPR process assists in informing each manager’s planning and prioritisation of the Professional Development needs of their staff.
- 3.7.1 The priorities for the development of Academic staff will demonstrate an ongoing commitment to scholarship, as set out in the Scholarship Policy and Procedure.
- 3.7.2 The priorities for non-academic staff will align with understanding best practice (including student engagement and support matters) and legislative requirements.
- 3.8 Managers are responsible for prioritising Professional Development needs within their work-unit for all staff (including those who have not been required to participate in a PPR process).
- 3.8.1 Where a Professional Development has no direct cost to AIAT (for example, in-house skills sharing workshop or mentoring arrangement), a manager may approve participation in the activity.
- 3.8.2 Where the Professional Development has a direct cost to AIAT (for example, cost of registering to attend a conference; extended period away from the workplace), the manager must seek the approval of the CEO prior to a staff member participating in the activity.
- a. The CEO may approve a contribution that covers all or part of the cost of the activity.
- 3.8.3 The CEO may provide one or more of the Executive Management Group members (such as the Head of Institute) with resources for the purpose of supporting Professional Development activities within their work-unit.
- 3.9 Examples of Professional Development activities that may be undertaken are provided in the table below.

<p><b>On the job:</b></p> <ul style="list-style-type: none"> <li>• Increased responsibilities</li> <li>• Secondment to another role</li> <li>• Assignment to a special project</li> <li>• Individual mentoring or team coaching</li> </ul>
<p><b>Reading:</b></p> <ul style="list-style-type: none"> <li>• Professional association newsletters</li> <li>• Professional or academic publications</li> </ul>
<p><b>Being a member of internal or external:</b></p> <ul style="list-style-type: none"> <li>• Working group / committee / panel</li> <li>• Professional membership</li> </ul>
<p><b>Attending online and/or presenting at, in-house or external:</b></p> <ul style="list-style-type: none"> <li>• Training or information sessions / course / workshop / seminar / conference</li> </ul>
<p><b>Writing in:</b></p> <ul style="list-style-type: none"> <li>• Professional or academic newsletters</li> </ul>

<ul style="list-style-type: none"> <li>• Professional or academic publications</li> </ul>
<p><b>Undertaking:</b></p> <ul style="list-style-type: none"> <li>• Formal study (award courses / tertiary studies)</li> <li>• Research</li> </ul>

## 4. Roles and responsibilities

- 4.1 The CEO is responsible for:
- 4.1.1 Encouraging all managers (in particular the Executive Management Group) to engage in PPR processes with eligible staff in a positive manner, recognising the role of staff as contributors to AIAT's success.
  - 4.1.2 Assessing draft PPR plans where the manager and staff member concerned are unable to agree a final plan.
  - 4.1.3 Developing an annual budget (for approval by the Board of Directors) that (inter alia) provides support for approved Professional Development activities for staff.
- 4.2 Staff member's responsibilities are to:
- 4.2.1 Engage in constructive and respectful dialogue with their manager and seek clarification on job expectations.
  - 4.2.2 Provide input on performance goals and be open when evaluating their own achievements in PPR process.
  - 4.2.3 Seek opportunities and take responsibility for professional development and where they need to enhance performance (skills and conduct).
  - 4.2.4 Provide a draft PPR plan in readiness for the annual meeting with their manager.
  - 4.2.5 All staff - keep a record of Professional Development undertaken during the year and summarising progress and outcomes.
- 4.3 The manager's responsibilities are to:
- 4.3.1 Initiate and complete the PPR process each year for all eligible staff members.
  - 4.3.2 Treat staff members in a fair and equitable manner, providing recognition where appropriate.
  - 4.3.3 Provide staff with expectations about their current role (position description) and how they relate to other roles and AIAT priorities.
  - 4.3.4 In the PPR process:
    - a. Constructively work with the staff member in setting performance goals and reasonable timeframes for their achievement that aligns with the work units' operational needs and AIAT's strategic priorities.
    - b. Review performance against these criteria at subsequent PPR meetings.
  - 4.3.5 Discuss work performance with staff members on an on-going basis, including identifying and clarifying underperformance issues and identifying strategies for improving performance.
  - 4.3.6 Facilitate staff members undertaking Professional Development opportunities that align with the work-units' operational needs, AIAT's strategic priorities and budget.

4.4 The Human Resources Officer is responsible for:

- 4.4.1 Supporting managers meet their responsibilities under this procedure, including ensuring managers are reasonably supported and skilled in undertaking the PPR process.
- 4.4.2 Implementing clear, consistent practices and templates across AIAT for PPR matters.

## 5. Procedure Details

Institution	Australian Institute of Advanced Technologies (AIAT)
Procedure name	Staff Performance, Planning and Review Procedure
Procedure Reference No.	PROC – 53b
Procedure Approval	Board of Directors
Procedure Authority	Executive Management Group
Responsible Officer	CEO
Governance Reference Threshold Standards	HESF 2021: 3.2.3a and 3.2.3b
Related Documents	Staff Performance Policy Dealing with Unsatisfactory Performance and Misconduct (Staff) Procedure Scholarship Policy and Procedure
Related Legislation	Higher Education Standards Framework (Threshold Standards) 2021 (HESF)
References	AIAT has referred and benchmarked with the following institutions and policies during the creation of this policy:  TEQSA Guidance Note: Scholarship v2.5 (December 2018) Adelaide Institute of Higher Education (May 2019) Professional Development Policy Adelaide Institute of Higher Education (April 2019) Professional Development Procedure Southern Cross University (April 2020) Performance, Review and Planning Policy Southern Cross University (April 2020) Performance, Review and Planning Procedures University of the Sunshine Coast (June 2021) Performance, Planning and Review (PPR) Procedures
Date of approval	3 February 2022
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Policy Category	Operational
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## 6. Document Version Control

Document No	PROC – 53b	Last Modify Date	Summary of Changes
Version No	1.0	NA	Initial version approved by Board of Directors
	1.01	8/4/2022	Modified policy number
Created Date	Feb 2022		