

<b>Name of Policy</b>	<b>Interim Performance Review and Planning Program for Academic Staff Policy and Procedures</b>	
<b>Description of Policy</b>	This policy is to assist academic staff to enhance their performance and thus that of the School/Faculty and the university.	
<input type="checkbox"/> New Policy	<input checked="" type="checkbox"/> Revision	
<b>Description of Revision</b>		

### Human Resources Directorate

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## 1 Introduction

The University is committed to excellence in its teaching and learning, research and scholarship, and community engagement. In line with the *Australian Catholic University Revised Strategic Plan 1999-2008*, excellence needs to be appropriately recognised and constructively nurtured with relevant support and reward programs and with strategies designed to assist staff meet their individual professional and work goals as well as their collective work unit goals. The Performance Review and Planning Program for Academic Staff at ACU provides a framework for identifying, evaluating and developing performance.

The Program, conducted annually with each academic staff member by their nominated supervisor, is designed to assist academic staff to enhance their performance and hence that of the University. This policy needs to be read in conjunction with the *ACU Staff Enterprise Agreement, 2005-2008* and the Minimum Standards for Academic Levels (MSALs) which state that:

*“An academic appointed to a particular level may be assigned and may be expected to undertake responsibilities and functions of any level up to and including the level to which the academic is appointed or promoted. In addition, an academic may undertake elements of the work of a higher level in order to gain experience and expertise, consistent with the requirements of the University’s promotion process”.*

## 2 Principles

The following principles underpin the Program:

- 2.1 The Performance Review and Planning Program for Academic Staff is future-oriented, seeking to bring together the needs of the individual staff member with the professional and work goals of the School/Faculty and the University.
- 2.2 Emphasis is placed on reaching a mutual understanding of the staff member's role and performance expectations, and of the staff member's learning and development objectives for the forthcoming period.
- 2.3 Academic staff whose appointment is for more than twelve months (except staff on probation) are required to participate in the Program. Where an academic staff member is serving a period of probation, the University's *Probation for Continuing Academic Staff Policy*, and *Probation for Fixed-Term Academic Staff Policy* will apply and the probation review procedures will substitute for this process.
- 2.4 Each year the staff member and the nominated supervisor meet to discuss, review and assess the staff member's progress towards achievement of the agreed performance objectives.
- 2.5 The staff member and the nominated supervisor prepare for the review discussion, which is based on the staff member's self-assessment and collated evidence that reflects the performance plan objectives. A summary of relevant documentation from the review may be used for other reporting purposes, such as a School or Faculty annual report and to support an application for promotion.
- 2.6 Discussions will be confidential to the staff member and the nominated supervisor. However, either party may share relevant aspects of the annual report with the Executive Dean.
- 2.7 A copy of the documentation arising from the discussions is to be retained by the staff member and the nominated supervisor and the original placed on the staff member's personal file held in Human Resources.
- 2.8 The Performance Review and Planning Program Process will be guided by the University's Equal Opportunity Policy and take account of the special needs of individual staff arising from different career histories.

### **3 Purpose and Objectives of the Program**

- 3.1** The purpose of the Performance Review and Planning Program is to assist academic staff to enhance their performance and thus that of the School/Faculty and the University.
- 3.2** The principle requirements of the Program are for the supervisor and staff member consultatively to:
- develop with the academic staff member a clear sense of her/his role;
  - review the achievement of previous performance objectives;
  - record the staff member's performance objectives for the coming year;
  - identify and discuss the measures of performance
  - focus on any learning or developmental needs, which may be required to assist enhanced performance or career development, including the development of an Individual Development Plan for the staff member;
  - discuss and consider the individual career aspirations of the staff member;
  - assist in the assessment of suitability for incremental progression; and,
  - inform decisions relating to performance-based recognition and reward for academic staff.

### **4 Process**

- 4.1** Throughout the year the staff member will maintain an Academic Performance Portfolio that reflects their achievements consistent with their annual performance objectives, personal career goals, the relevant MSAL and the Faculty and University Strategic Plans.
- 4.2** An academic staff member whose appointment is for more than twelve months (other than casual staff members and staff on probation) will have her/his performance reviewed annually, in line with this Policy, by the nominated supervisor.
- 4.3** The nominated supervisor shall normally be the Head of School in which the staff member is located. In those Schools with more than 10 academic staff the Executive Dean, after consultation with the Head of School, may recommend to the Deputy Vice-Chancellor (Academic) that an "assistant supervisor" for Performance Review and Planning Program purposes be appointed, taking account of the desirability of gender balance. Assistant supervisors will consult with the Head of School/nominated supervisor in relation to establishing performance objectives to ensure these meet the needs of the School/Faculty/University as well as the individual staff member.
- 4.4** Heads of School will be appraised by the Executive Dean. Faculty Executive Deans will be appraised by the Deputy Vice-Chancellor (Academic).
- 4.5** The nominated supervisor initiates the process by contacting the staff member in writing to schedule a meeting.
- 4.6** In preparation for this meeting, the staff member will provide the nominated supervisor (or assistant supervisor) with a self-evaluation report supported by her/his Academic Performance Portfolio (the Faculty pro forma document associated with this Policy). This report will be provided to the nominated supervisor/assistant supervisor at least 10 working days prior to the scheduled meeting.
- 4.6.1** The report will include a summary of activities over the past year in each of the following areas, as appropriate to the performance objectives and the relevant MSAL:
- a.
    - teaching and learning (including evaluations from the Unit Evaluation Program)
    - curriculum development and implementation, and
    - community engagement related to the staff member's expertise in teaching and learning
  - b. administration/leadership/service within the University

- c. research/scholarly activities and community engagement related to the staff member's expertise in research and scholarship
  - d. professional/community contributions/consultancies;
- 4.6.2** reflections/evaluation of performance related to previously established objectives noting achievements, difficulties encountered and/or any matters arising from each of the above areas;
- 4.6.3** proposed performance objectives, activities and projects, including any aspects of the staff member's role requiring clarification or possible adjustment;
- 4.6.4** issues relevant to this Program, which the staff member would like to have addressed at School/Faculty or a higher level;
- 4.6.5** possible inclusions in the staff member's Individual Development Plan;
- 4.6.6** any examples of high level achievement(s) that demonstrably represent excellent performance relative to academic/scholarly activity and/or the objectives set for the period being reviewed; and,
- 4.6.7** any other work-related matter which the staff member and or the nominated supervisor/assistant supervisor wish to discuss.
- 4.7** The nominated supervisor/assistant supervisor will meet with the staff member as arranged to discuss the report and/or Academic Performance Portfolio.
- 4.8** Matters for discussion might include but are not limited to:
- reflections by the staff member and the nominated supervisor/assistant supervisor on the achievement of performance objectives and other activities over the past year;
  - matters raised in the staff member's report (or Academic Performance Portfolio);
  - matters raised by the nominated supervisor/assistant supervisor;
  - future performance objectives and plans, activities and projects and the School/Faculty/University needs as indicated by the nominated supervisor/assistant supervisor;
  - areas of high level achievement that may warrant recognition and/or reward; and
  - the Individual Development Plan.
- 4.9** The nominated supervisor/assistant supervisor will record comments on the staff member's performance in relation to the areas set out in section 4.6. (above) in the space provided in the Faculty pro forma document associated with this Policy. Following completion as detailed in the Faculty pro forma document associated with this Policy, the document is signed by both the nominated supervisor/assistant supervisor and the staff member. A copy is provided to the staff member and the Executive Team Member. The original is then forwarded by the nominated supervisor to Organisational Learning and Development who will record receipt of a plan in PayGlobal. The nominated supervisor also retains a copy.

## **5. Frequency of Review**

All academic staff (except casual staff members, those on contracts of less than 12 months and those on probation) are to be reviewed annually under this Policy. The Performance Review and Planning Program for Academic Staff will normally occur in the second semester of each year and be concluded by 30 November.

As well as a formal annual performance review under the Academic Staff Performance and Review Planning Program, the process also incorporates regular informal discussions between academic staff and their nominated supervisor/assistant 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 and Procedures from time to time to improve effectiveness of their operation. In this regard, any staff member who wishes to make any comments about this Policy and Procedures may forward her/his suggestions to the Director, Human Resources.

**7. Further Assistance**

Any staff member who requires assistance in understanding this Policy and Procedures should first consult her/his nominated supervisor who is responsible for the implementation and operation of these arrangements in her/his work area. Should further advice be needed, she/he should contact the Human Resources Consultant responsible for their campus.