



THE UNIVERSITY OF
NEWCASTLE
AUSTRALIA

PERFORMANCE REVIEW & DEVELOPMENT

HANDBOOK



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WELCOME

MESSAGE FROM THE VICE-CHANCELLOR

The new PRD provides managers and their staff with the tools to have a discussion about performance and development around progress to date and to plan for the year ahead. Through the new PRD, you will have regular conversations with your manager about:

Role clarity – so that you understand the requirements of your job;

Performance clarity – so that you understand what performance is expected of you and how this contributes to the University's strategic objectives; and

Career clarity – so that we can support you to build your career through a program of training and development.

Importantly, through greater role clarity and performance clarity, the new PRD will provide you with a much stronger understanding of how your work contributes to the University's 2025 Vision, and to your area's corporate plan and KPIs.

The University is putting significant effort into developing our future workforce because we know that our staff are without doubt our greatest asset.

By having a conversation through the PRD to talk about how you are tracking and map out plans is a terrific investment in both your own potential and in UON's future.

Professor Caroline McMillen
Vice-Chancellor





01

INTRODUCTION

INTRODUCTION

WHAT IS PERFORMANCE REVIEW AND DEVELOPMENT (PRD)?

Performance Review and Development is a collaborative, on-going process between a manager and staff to plan for, develop, and evaluate a staff member's work.

The PRD focuses on providing staff with clarity as to what is expected of them, aligning individual and University goals, and identifying areas for staff learning and career development.

Effective communication between staff and managers is the key to successful performance review and development outcomes. The UON PRD process focuses on meaningful conversations between staff and managers that result in agreed goals, supported by professional development and career planning. The PRD process is complemented by the UON Leadership Framework and performance expectations calibrated by staff role and level.

UON'S COMMITMENT TO BEING A WORLD-CLASS UNIVERSITY

Performance Review and Development supports our commitment to build a world-class University with an outstanding workforce.

It facilitates on-going conversations between staff and their managers that benefit all. PRD drives consistency and openness across the institution in how we define and evaluate work. It allows staff to enrich their knowledge in their current jobs and gain skills for future positions. The PRD helps staff succeed, which means UON succeeds.

The PRD builds accountability, since staff and managers participate in developing goals, identifying competencies, and discussing career development.



02

OVERVIEW OF THE
PRD PROCESS

OVERVIEW OF THE PRD PROCESS

Performance Review and Development (PRD) is central to the University's Strategic plan at UoN.

PRD is key to the achievement of the University's goals by supporting the effective management of performance and the development of staff throughout their career at UON. It enables:

- Organisational strategic objectives into individual performance goals
- Alignment of staff performance resulting in mutually beneficial outcomes through the achievement of goals aligned with UoN priorities
- Staff development needs to be identified and actions planned to increase skill and capability levels
- The recognition of staff on the basis of merit.



The PRD is a dynamic two-way process where both the staff member and manager have a responsibility to:

- Fairly, objectively and actively participate in the development of the staff member's performance plan
- Take into account professional, personal and organisational needs when engaging in performance review and development discussions
- Identify clear outcomes, clarify expectations and identify appropriate timeframes
- Regularly communicate progress towards achieving outcomes and provide feedback about performance

THE BENEFITS OF PRD

The PRD enables UON managers and staff to:

- Create a shared vision and purpose
- Achieve strategic goals
- Build a high performance workforce and organisation by emphasising an outcomes-focussed culture
- Recognise and celebrate achievements
- Increase staff motivation and job satisfaction
- Improve the communication and understanding between staff and managers.

OVERVIEW OF THE PRD PROCESS

WHAT DOES AN EFFECTIVE PRD PROCESS LOOK LIKE?

The PRD will be effective when performance review and development conversations result in staff and managers:

- Understanding their goals and/or duties and reaching agreement regarding the level of expected performance
- Being clear and transparent about the criteria by which performance will be assessed
- Having open communications and ensuring awareness of how well staff and teams are doing
- Working together to overcome obstacles with managers providing the necessary support for staff and teams
- Acting on opportunities for development and improvement of work performance
- Basing performance reviews on examples and evidence of achievement as compared to agreed goals
- Taking responsibility for the outcomes achieved
- Setting the stage for the next performance planning, development or review conversation through their mutual commitment to the PRD process.

THINGS TO REMEMBER

PRD Guiding Principles

The following principles provide guidance to ensure PRD at UON achieves its desired benefits

PRD is about having a conversation:

- Staff and managers discuss the performance outcomes required and develop a mutual understanding of what is needed to deliver these outcomes.

PRD is a shared responsibility for managers and staff:

- Managers lead the process, ensuring performance expectations are clear for their staff and managing and holding staff accountable for their performance
- Staff provide initiative, input and take responsibility for the delivery of agreed goals.

PRD is a straightforward process:

- The focus is on outcomes, actions, quality and timeframes.

Performance expectations will increase with seniority:

- The standard of work output, quality, impact and effectiveness will be determined by an individual's level in the organisation.

Performance matters:

- The PRD supports career planning, progression, succession planning, preparation for promotion, and awarding of annual increments.

THE ANNUAL PRD CYCLE

The PRD process has an annual cycle of key events that provide a focal point for the everyday conversations about performance and development.



November - February: Performance Review and Goal Setting

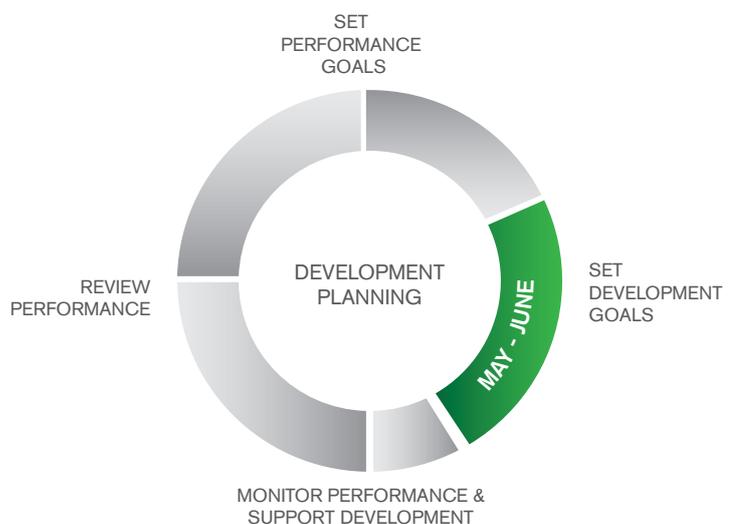
In the period from November to February, managers and staff review performance over the previous year and agree goals for the year ahead.

Good practice is to have a performance review conversation before the end of the year with a discussion about possible goals for the next year. This should be followed by a goal setting conversation in the New Year to finalise the direction and priorities for the next twelve months.

Where more practical, it is acceptable for managers to combine these two elements of the PRD cycle into one meeting.

May - June: Development Planning

To provide Development Planning with sufficient focus and attention, a separate development conversation is scheduled for May-June each year.





03

PERFORMANCE
CONVERSATIONS

PERFORMANCE CONVERSATIONS

Performance Conversations have four key steps:

1. Setting Performance Expectations
2. Agreeing Performance Goals
3. Everyday Conversations about Performance
4. Reviewing Performance against Agreed Goals

Scheduled reviews from November to February

In the period from November to February managers and staff review performance over the previous year and agree goals for the year ahead.



Each step in the Performance Conversation requires preparation and follow-up:

To be effective, managers and staff need to prepare for each step, to follow-up with each other afterwards and also keep good records of what is agreed during performance conversations.

Refer to Section 5 of the PRD Handbook for a guide to preparing for, conducting and following up performance conversations.

PERFORMANCE CONVERSATIONS

Setting Performance Expectations

This step is where managers describe what level of performance is expected of a staff member.

Managers should take into account factors such as:

- Role requirements
- Level of experience
- Job classifications
- Work standards

Managers should also discuss with staff relevant data that provides evidence of current work performance so as to identify strengths or gaps that need to be taken into account when formulating performance goals for the year ahead.



FOR MANAGERS

This step ensures that staff clearly understand what is expected of them in their current role.

This enables staff to take ownership of their work outputs and to formulate performance goals with the knowledge of the expectations that have been communicated to them.

FOR STAFF

This provides staff with the opportunity to clarify what are the performance expectations in their current role.

During this discussion staff may raise aspects of their role or situation that requires consideration when setting performance expectations.

PERFORMANCE CONVERSATIONS

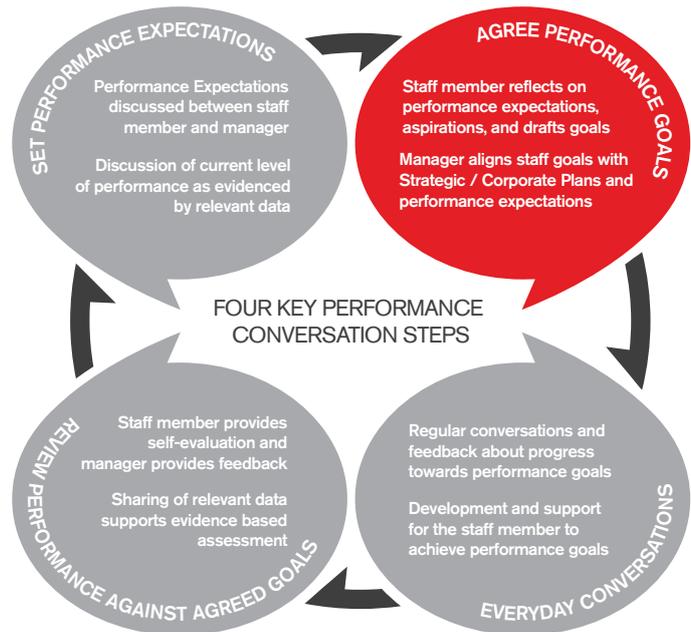
Agreeing Performance Goals

This step is where managers and staff agree on performance goals for the year ahead.

Staff members start the conversation by sharing the goals they have drafted based on;

- Their areas of expertise, interest and work aspiration
- The performance expectations described by their manager
- Opportunities for improvement based on the previous year's performance review feedback
- Their knowledge of the strategic priorities and corporate plans for their work group.

Managers will provide feedback and guidance on the performance goals, ensuring alignment with strategic and corporate plans as well as the performance expectations for the staff member's role.



FOR MANAGERS

Enables individual staff goals to be formulated with organisational priorities in mind and for Faculty/School or Division/Unit plans to be achieved.

FOR STAFF

Provides the opportunity to have a significant input to their performance plans, receive feedback, and commitment from their manager to the agreed performance goals.

The staff member is the 'owner' of the goals in their performance plan.

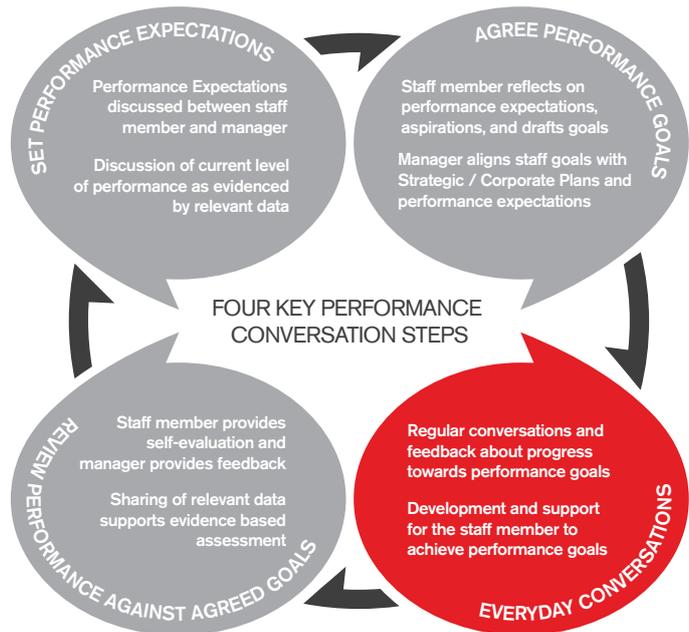
Refer to Section 6 for a guide on how to write quality, outcome focused goals.

PERFORMANCE CONVERSATIONS

Everyday Conversations

This is the step where performance goals are accomplished.

Everyday conversations, whether these be regular catch-up meetings or informal discussions throughout the year make the real difference between a process where managers and staff work together to accomplish their goals and one that does not.



FOR MANAGERS

This step is about keeping track of a staff member's progress, identifying if additional support or follow-up is required and checking if staff are clear on the actions required to accomplish their goals.

It may be necessary to adjust plans if circumstances change.

Development needs or opportunities may emerge. Close contact with staff provides the opportunity to take advantage of these as they arise and to increase the skill or capability level of their staff

FOR STAFF

Regular conversations allow staff to provide updates or feedback on how things are going, seek their manager's support or to notify them if there are challenges or obstacles in the way.

PERFORMANCE CONVERSATIONS

Reviewing Performance against Agreed Goals

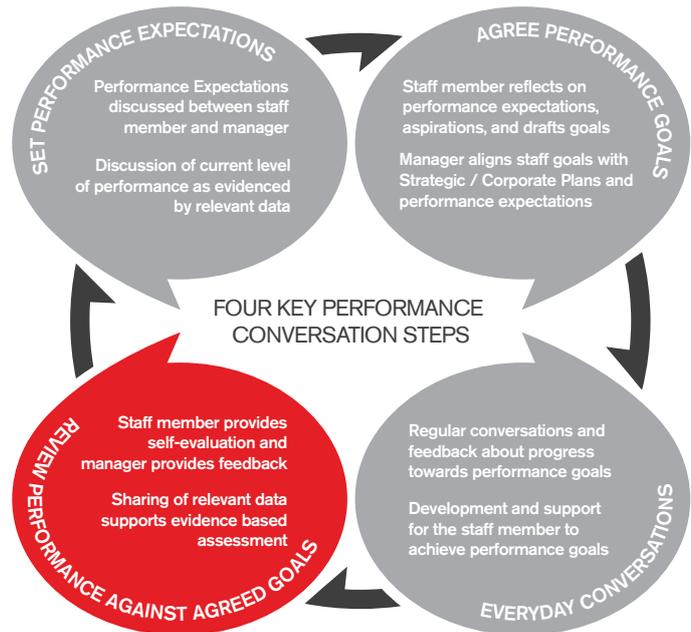
The Performance Review is the final step in the annual cycle when the staff member and the manager stop and reflect on the accomplishments throughout the year.

As the 'owner' of the performance goals, the staff member undertakes a self-assessment of their accomplishments and shares this with their manager.

Staff are encouraged to support their self-assessment with evidence of their performance.

Managers will provide feedback on the staff member's performance, making reference to the evidence presented as well as data relevant to the staff member's:

- Agreed performance goals
- Role and responsibilities
- Performance expectations.



FOR MANAGERS

This is the opportunity to formally recognise the contribution made by staff throughout the year and to set the scene for the year ahead.

For staff that do not accomplish some of their performance goals, it is an opportunity to discuss the reasons behind this, identify learnings and explore possible remedies.

Actions and strategies to improve performance should be carried over into the performance plans for the following year.

FOR STAFF

This is an opportunity to showcase your accomplishments, receive feedback on your performance and confirmation that your contributions are valued.



04

DEVELOPMENT
CONVERSATIONS

DEVELOPMENT CONVERSATIONS

Development Conversations have four key steps;

- Managing Career Expectations
- Agreeing Development Goals
- Everyday Conversations about Development
- Reviewing Development Actions

Development conversations quite naturally overlap and often combine with conversations about performance. Sometimes development conversations become secondary to performance conversations.

The intention of having Development Conversations in its own section is not to separate every discussion or cause duplication, but rather ensure that staff development receives sufficient time and attention by managers and staff.

May to June

In the period from May to June managers and staff should review development plans over the previous year and agree goals for the year ahead.



Each step requires preparation and follow up:

To be effective, managers and staff need to prepare for each step, to follow-up with each other afterwards and maintain a documented Personal and Career Development Plan.

Refer to Section 8 of the PRD Handbook for a guide to preparing for, conducting and following-up development conversations.

DEVELOPMENT CONVERSATIONS

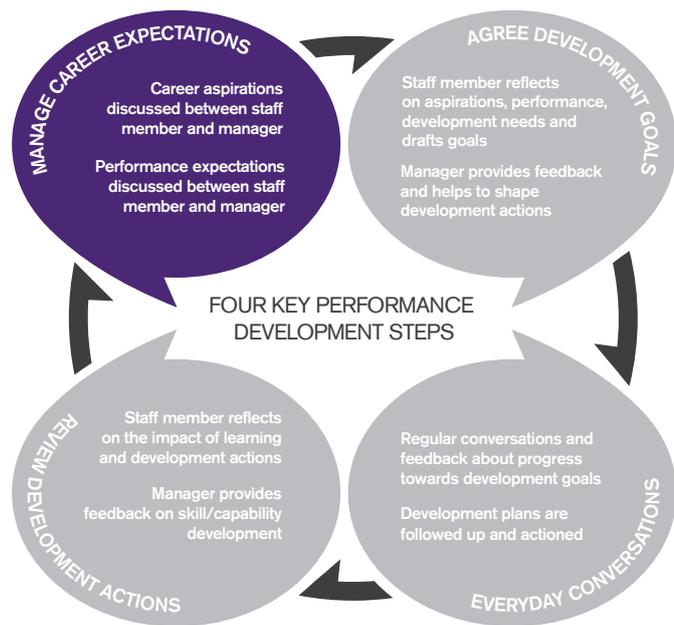
Managing Career Expectations

This is where a conversation about personal and career development begins. Staff are encouraged to share their career aspirations with their manager.

Managers provide input and feedback on factors such as (but not limited to):

- Desired Role requirements – performance expectations
- Level of knowledge and experience
- Leadership Capabilities and behaviours demonstrated
- Alignment with organisational needs.

Managers will also discuss with staff relevant data that provides evidence of current work performance so as to identify strengths or gaps that need to be taken into account when formulating personal and career development plans.



FOR MANAGERS

This step aligns staff career aspirations with team and organisational needs, and provides an assurance that the expertise and skills to be developed will meet future requirements.

Staff also start with realistic and attainable personal, professional or career development goals that build on their strengths and are able to be supported with available resources.

FOR STAFF

This step provides staff with clarity about their career expectations. Staff are able to seek feedback and understand the possible options for their desired career path or professional goals.

It enables staff to take ownership of their development goals and to start to formulate development plans with the knowledge of the requirements of the role or the career path they aspire to follow.

DEVELOPMENT CONVERSATIONS

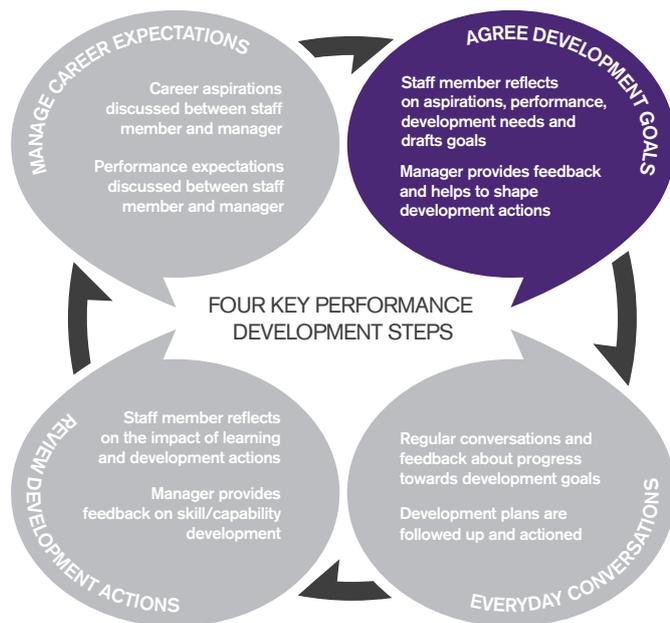
Agreeing Development Goals

This step is where managers and staff agree on development goals.

These goals may be short, medium or long term and stretch beyond a staff member's current role to another role to which they aspire.

Staff members will start the conversation by sharing the goals they have drafted based on:

- Their personal, professional or career aspirations
- Feedback on their strengths and development needs
- Future role requirements or performance expectations
- Self-reflection about their Leadership capabilities and behaviours.



FOR MANAGERS

Managers will provide feedback and guidance on the development goals, ensuring alignment with career aspirations and UoN's capacity to support or provide the resources necessary to action the development plans.

FOR STAFF

Provides the opportunity to obtain their manager's insight, experience and advice as to how to develop skills and capabilities as well as their support and commitment to the development goals and actions. The staff member is the 'owner' of the goals in their development plan.

Using 360° Feedback

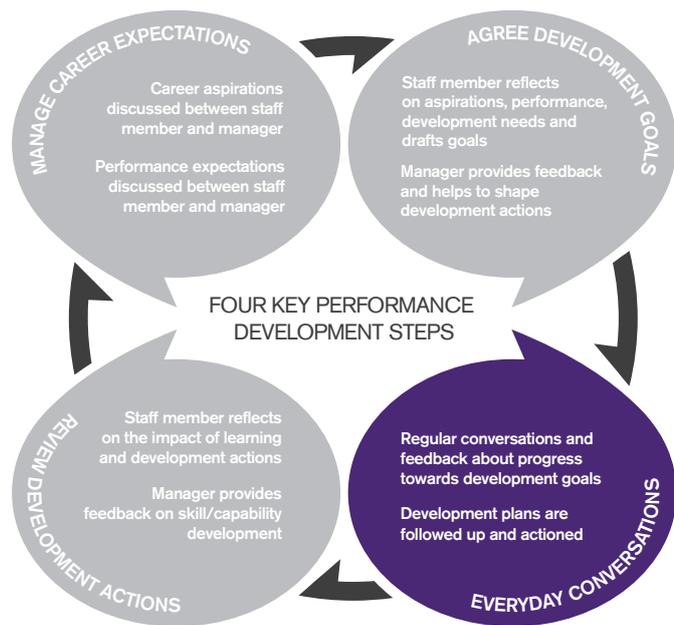
For leaders, 360° feedback is a valuable source of information when building development plans. Leaders should participate in a 360° feedback process every two years. Contact Human Resource Services for more information about options.

DEVELOPMENT CONVERSATIONS

Everyday Development Conversations

This is the step where development goals are actioned.

Everyday conversations, whether these be regular catch-up meetings or informal discussions throughout the year, provide the opportunity for feedback and support to make sure development actions happen.



FOR MANAGERS

This step is about keeping track of a staff member's progress by encouraging self-reflection and identifying if additional support or follow-up is required.

Unplanned development opportunities may emerge. Regular contact means the manager and staff member are able to take advantage of these as they arise.

FOR STAFF

Regular conversations allow staff to provide updates or feedback on how things are going, seek their manager's support or to notify them if there are challenges or obstacles in the way.

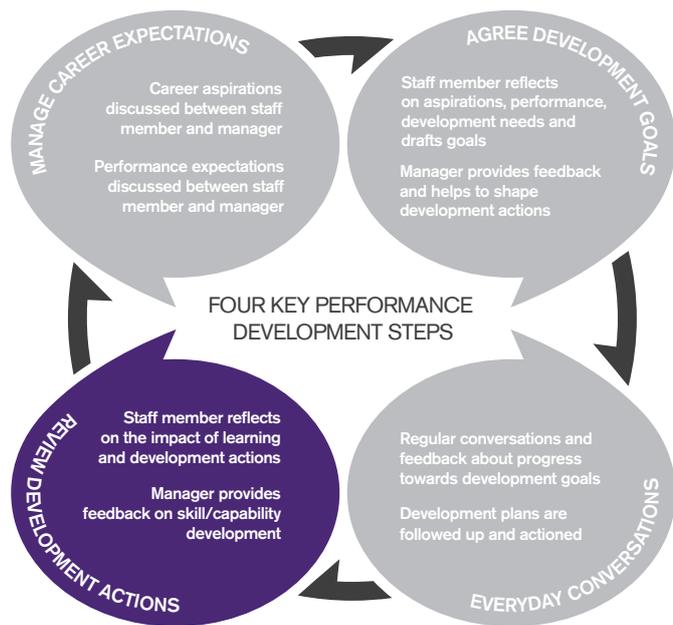
DEVELOPMENT CONVERSATIONS

Reviewing Development Goals

This is the final step in the annual development planning cycle when the staff member and the manager stop and reflect on the learning and acquisition of knowledge, skills and experience throughout the year.

As the 'owner' of the development plan the staff member undertakes a self-assessment of their development activities and shares this with their manager.

Managers provide feedback on the staff member's development, making reference to examples or observations of work performance, behaviour and development activities.



FOR MANAGERS

This is the opportunity to recognise the capability and skill levels of the staff member.
 Provide encouragement and support for the staff member's career goals.
 Reset or recalibrate the development goals if challenges arose.

FOR STAFF

This is an opportunity to discuss what worked and what didn't, reflect on the effectiveness of development actions and what they learned from their experiences.
 Assess the performance and development gap between current and future roles or next career step.
 Development goals and actions, if still current, should be carried over into development plans for the next year.



05

MAKING THE MOST
OF YOUR CONVERSATIONS

MAKING THE MOST OF YOUR CONVERSATIONS

PRD will be most beneficial when managers and staff meet face-to-face and have a conversation about performance.

Having an outline, or conversation format, can assist managers to have effective and productive discussions with their staff.

This section of the PRD Handbook contains the University's recommended format for performance conversations including:

- Setting performance expectations
- Agreeing goals
- Reviewing performance.

What does a good conversation look like?

An effective conversation is where both manager and staff share the responsibility to:

- Prepare
- Actively participate
- Collaborate on outcomes
- Commit to action
- Follow-up with each other.

Following this format for the scheduled or more formal performance conversations will ensure that the foundations for the informal, everyday conversations are in place.

Recommended Performance Conversation format

The conversation format is designed as a guide for:

- Academic and Professional staff
- Managers and Staff - to each 'prepare and share' during the conversation
- Conversations where the review of last year's performance and goal setting for the year ahead are combined in the one meeting, or are held in separate meetings.

Options for using the Performance Conversation format

Managers may use their discretion as to whether the performance conversation format is appropriate to use with a staff member.

Instances where an informal approach may be more effective are when the staff member has an outstanding track record of achievement and has previously demonstrated the ability to produce these outcomes with minimal supervision.

The aim of these informal meetings remains the same as regular performance conversations, that is, staff are aware of the performance expectations for their role, individual and organisational goals are aligned and as required they receive feedback on their performance.

A diary note of the meeting taking place should also be kept.

MAKING THE MOST OF YOUR CONVERSATIONS

Managing large teams (More than 10 direct reports)

It is recognised that in some Schools and Units managers have very large teams due to flat organisational structures, and this makes the supervision of staff challenging, especially the amount of time that needs to be allocated to this task.

To overcome these challenges, managers may adopt the following practices:

Utilise PRD Mentors

- PRD Mentors are staff members who take on the role of supporting the performance and development of their colleagues
- PRD Mentors provide guidance to colleagues to assist them in developing goals that will meet performance expectations and are aligned with School/Unit Corporate Plans
- PRD Mentors may provide feedback and advice to assist colleagues in the achievement of goals
- PRD Mentors may support the development of their colleagues through coaching and feedback.
- PRD Mentors regularly feed back to managers on the outcomes of PRD conversations

Small group meetings to set Performance Expectations

- Communicate UoN's performance expectations in team meetings with staff at the same academic level or discipline, or same professional level
- Share relevant data to recognise good performance and highlight areas requiring focus or improvement
- Communicate the work standards and contributions required as well as the type of goals that staff members should set for themselves
- Hold the small group meetings Nov-Feb to align with the corporate planning cycle
- Involve PRD Mentors in these meetings.

Staff to take Ownership for their PRD

- Ask staff to prepare their own performance goals and share them with their manager
- Managers provide feedback and guidance to staff on their goals
- During the performance review meeting, staff come with a self-assessment of their own performance, allowing the manager to provide feedback and recognition.

Requirement for Managers to meet with all staff at least once a year

- Even though managers may adopt the above practices to help them manage large teams, there remains a requirement for managers to meet with all staff through the year
- This meeting should discuss progress towards performance goals as well as personal and career development needs
- Where a PRD Mentor is in place they should also participate in this PRD meeting.

MAKING THE MOST OF YOUR CONVERSATIONS

Achieving the best outcomes by flexing your management style

Managers are best positioned to understand the needs of their staff and how best to manage their performance.

The conversation format is not designed to be a 'one size fits all' approach, and managers should use their own judgement as to the level of supervision in the PRD process based on the needs of the individual staff member.

FOR STAFF WHO...		MANAGERS SHOULD...
Very experienced, high performing staff	Have a strong track record of accomplishments who set themselves high standards, formulate their own goals, often exceed performance expectations and who hold themselves accountable for their outcomes:	Provide these staff members the latitude to work with significant independence, and should use the PRD process to offer them recognition, support and encouragement to strive for excellence.
Experienced, competent staff	Consistently deliver against agreed goals or job responsibilities, who actively participate in developing their own goals in line with performance expectations and take responsibility for their outcomes:	Use the PRD process to encourage these staff members to take ownership of their goals and empower them to work with a fair degree of independence whilst providing advice and support.
Inexperienced, developing staff	Are new or inexperienced, recently promoted or aspiring to be promoted, and are motivated to develop themselves:	Provide these staff members with guidance in the formulation of their goals, some independence in their role and more frequent coaching, support and feedback.
Under-performing staff	Are not meeting job requirements, without mitigating circumstances:	Use the PRD process to provide these staff members with clarity as to performance expectations, provide direction in the formulation of goals, regularly monitor performance, and provide constructive feedback, ongoing support and hold staff accountable for their outcomes.

MANAGER PERFORMANCE REVIEW CONVERSATION FORM

MANAGER PERFORMANCE REVIEW CONVERSATION FORM

This form is designed to support an effective PRD conversation between a Manager and their Staff Member when:

- Reviewing Performance; or
- Setting Performance Expectations; or
- Agreeing Performance Goals; or
- A combination of all these elements of a PRD conversation

Specifically the Manager PRD Conversation Format assists Managers in:

PREPARING FOR A PRD MEETING BY PROVIDING A CHECKLIST FOR:

- Reviewing documents relevant for the conversation
- Reflecting on inputs and outputs of your staff
- Assessing performance of and goals for your staff

PARTICIPATING IN A PRD MEETING BY:

- Providing the format of the conversation
- Showing where the Staff Member or the Manager leads the conversation
- Encouraging two-way discussion

ACTION PLANNING FOLLOWING A PRD MEETING BY:

- Providing a record of the conversation
- Showing how to access PRD on-line system

MANAGER'S NAME

STAFF MEMBER'S NAME

DATE

Manager's preparatory notes for Performance Review conversations. Prepare with staff member by reviewing documents, gaining staff input and drawing co

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- r staff member
- its performance
- 3 review period and
- raise feedback

MOVING FORWARD

- Review the staff member's job description/workload
- Review performance expectations (start that have been previously discussed for reassess for
- 3. Review of Corporate the
- 4. F

Where it is deemed to be helpful, follow the guidelines on the cover page of the Conversation Format and use the checklists to help you prepare and participate in a performance conversation.



For all resources to support the performance review development please visit the UoN website here: www.newcastle.edu.au/unit/human-resource-services/performance-review-and-development



STAFF PERFORMANCE REVIEW CONVERSATION FORM

STAFF PERFORMANCE REVIEW CONVERSATION FORM

This form is designed to support an effective PRD conversation between a Staff Member and their Manager when:

- Reviewing Performance; or
- Setting Performance Expectations; or
- Agreeing Performance Goals; or
- A combination of all these elements of a PRD conversation

Specifically the Staff PRD Conversation Planner assists staff in:

PREPARING FOR A PRD MEETING BY PROVIDING A CHECKLIST FOR:

- Reviewing documents relevant for the conversation
- Reflecting on inputs and outputs of your role
- Self-assessing performance and goals

PARTICIPATING IN A PRD MEETING BY:

- Providing the format of the conversation
- Showing where the Staff Member or the Manager leads the conversation
- Encouraging two-way discussion

ACTION PLANNING FOLLOWING A PRD MEETING BY:

- Providing a record of the conversation
- Showing how to locate PRD on-line system

	MANAGER'S NAME
	STAFF MEMBER'S NAME
	DATE

Where it is deemed to be helpful, follow the guidelines on the cover page of the Conversation Format and use the checklists to help you prepare and participate in a performance conversation.

Notes for Performance Expectations & Goal Setting Conversations

Understanding of Unit/Corporate for the year ahead
 Reflect on previous year's accomplishments
 5. Reflect on aspirations
 6. Draft performance goals
 7. Send draft goals to manager prior to meeting

CONCLUDE

AFTERWARDS

1. Signoff Performance Summary for prior year in PRD on-line
 2. Input Performance Goals for year ahead in PRD on-line

RECORD

Finalise conversation and record outcome in PRD on-line

PERFORMANCE REVIEW CONVERSATION

LOOKING BACK

OPENING
Set the scene - welcome the staff member, explain the purpose and benefits of the review, provide an overview of the process, and reinforce the shared responsibility for the PRD process

Make notes

List key talking points

START WITH STAFF SELF ASSESSMENT & DISCUSS
Allow staff to review own performance, highlight and underline. Seek clarification and understanding. Refer to prepared notes

Make notes

PROVIDE FEEDBACK ON PERFORMANCE & DISCUSS
Review the progress made toward the performance goals, share your opinion of successes and concerns, discuss any special circumstances that may have influenced performance

Record outcomes

ACHIEVE CONSENSUS & CONCLUDE
Summarise review of performance and confirm your confidence in the employee's ability to either continue performing well or improving. End on a positive note

LOOKING FORWARD

PERFORMANCE GOAL SETTING CONVERSATION

OPENING
Provide context for year ahead, explain how staff member contributes to UoN strategic goals

Make notes

List key talking points

START WITH STAFF GOALS & DISCUSS
Listen to staff members ideas and aspirations for the year ahead, encourage staff to challenge themselves to improve performance and meet set goals

Make notes

PROVIDE FEEDBACK ON GOALS & DISCUSS
Provide encouragement, and advice to strengthen the quality of goals, ensure alignment with corporate goals and motivate staff to strive for excellence

Record outcomes

ACHIEVE CONSENSUS AND CONCLUDE
Agree performance goals, commit to and support their goals, recognise achievement and sign off

MANAGER LEADS CONVERSATION

START MEMBER LEADS CONVERSATION

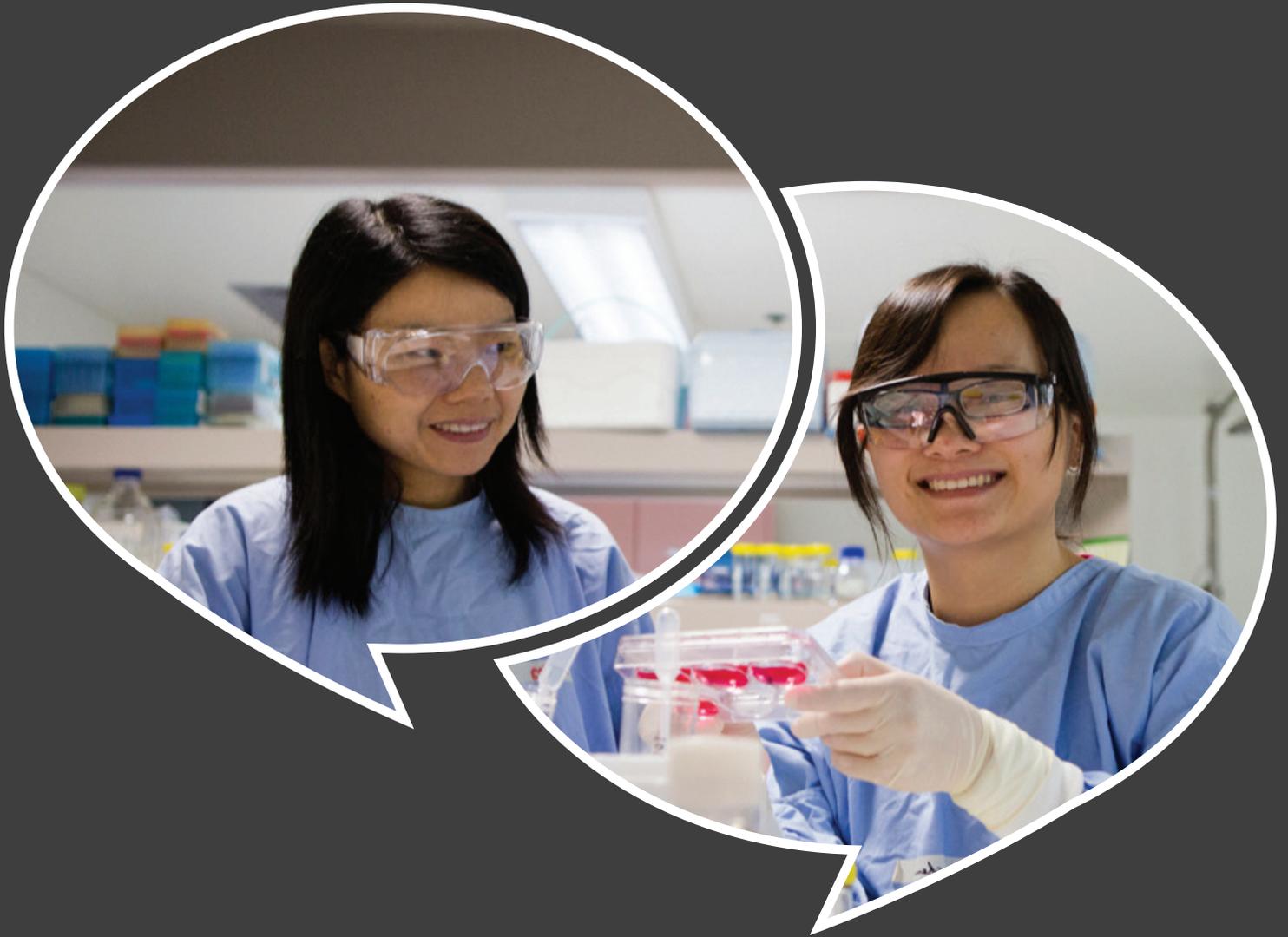
DOCUMENT PERFORMANCE CONVERSATION
Record performance summary in PRD on-line

DOCUMENT PERFORMANCE CONVERSATION
Record goals in PRD on-line



THE UNIVERSITY OF
NEWCASTLE
AUSTRALIA

For all resources to support the performance review development please visit the UON website here:
www.newcastle.edu.au/unit/human-resource-services/performance-review-and-development



06

PRACTICAL GUIDES & MATERIALS

- A. WRITING QUALITY GOALS
- B. REVIEWING PERFORMANCE
- C. CAREER DEVELOPMENT PLANNING
- D. USING THE LEADERSHIP FRAMEWORK

A. WRITING QUALITY GOALS

This section is a practical guide to help you write quality goals that provide focus for you and your team.

1. The benefits of quality, aligned objectives
2. What quality, aligned objectives look like
3. Steps to follow in order to write quality objectives

Quality goals are aligned

The benefits of quality, aligned objectives

Quality, aligned objectives provide clarity and focus, define accountability and foster a shared understanding of how work will be done to achieve a collective outcome.

Individual performance plans will vary according to the specifics of the role, School/Unit priorities and individual development needs or career aspirations.

Objectives or goals that are aligned will support the achievement of School/Unit Corporate Plans, through:

- Shared opportunities being identified across work groups, locations or functions
- Work that requires teamwork and collaboration being identified and team based actions defined
- Staff understanding how their work contributes, supports and possibly impacts on others – including staff within their work area as well as outside their work area
- Goals remaining relevant and responsive to external changes.

The importance of transparency

When staff are aware of what each other's goals are (upwards and downwards), the linkages to corporate goals are easier to see clearly. Individuals then understand how their goals support and align with their team, manager and the rest of the organisation.

Performance planning is a living process, not an annual event

Reviewing goals with your manager and adjusting them during a performance period enables you to respond to changes 'in the moment', speeding up the organisational response to change.

Tracking, reporting and interim reviews

Visible goal tracking, real time goal reporting and periodic reviews facilitate appropriate adjustments and help re-calibrate alignment to corporate goals.

A. WRITING QUALITY GOALS

What does a quality goal look like?

Most of us are familiar with the longstanding SMART acronym. It's a simple and effective way to ensure each goal, and your accountability, is clear.

What is a S.M.A.R.T. objective?

S.M.A.R.T. stands for:

SPECIFIC	Does the goal answer the questions who, what, when, which, and why?
MEASURABLE	Can you measure the goal using either quantitative or qualitative assessments?
ACHIEVABLE/ ATTAINABLE	Can you achieve the goal given the resources that are at your disposal?
RELEVANT/ REALISTIC	Is the goal in alignment with the goals of your manager, department, and the organization as a whole?
TIMEFRAMED	Do you have a clear start and end date for your goal?

How can I build a S.M.A.R.T. objective?

VQTQ (Verb, Quantity, Time, Quality) is a methodology designed to make setting objectives easier.

VQTQ is easy to use, delivers clear concise objectives that can be easily self-assessed (employee) and easily reviewed by the manager. VQTQ objectives which are set for employees leave no room for misinterpretation. These employees understand exactly what is expected of them.

Each objective will take a similar grammatical pattern, of Verb – Quantity – Timeframe – Quality.

VERB Start with an action word	<p>Start building every goal with a verb – an action word. A few typical verbs include:</p> <ul style="list-style-type: none">AchieveCompleteProvideAnalyseApplyBuildReduceManageLeadConductDeliver <p>You need to describe an active change, which must be completed, such as obtaining a particular result.</p>
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A. WRITING QUALITY GOALS

<p>QUANTITY</p> <p>Be clear about the quantum required</p>	<p>The action word needs to be explained with a statement that quantifies and helps to define what the goal is about – for example:</p> <p><i>'Reduce expenses by 4% within the next 12 months, without reducing customer satisfaction'.</i></p> <p>This part of your goal describes the quantitative change associated with your action. So, if your action is to improve customer satisfaction ratings, or reduce rejections of grant applications, then this part of the statement will give an indication as to the percentage change or absolute change required.</p> <p>Some examples include:</p> <ul style="list-style-type: none"> xx of Service x xxx of service x % decrease of % increase of % xxx xxx people xxx units project aaa program bbb
<p>TIME</p> <p>Clarify the timeframe involved</p>	<p>The next part of the goal statement is the time frame during which it is to be achieved.</p> <p>While certain matters may happen over a very short time, even as little as a few days, they could be over a medium line such as some months or they could be over a substantial time such as some years.</p> <p>Some examples include:</p> <ul style="list-style-type: none"> by August 20xx by EOFY 20xx by EOQ1 by EOY 20xx by February 20xx
<p>QUALITY</p> <p>What are the constraints or quality requirements for achieving the goal?</p>	<p>Finally, your goal needs to express how the result can be achieved while maintaining the integrity of the intent of the goal and on the overall quality of the outcomes for the business. For example, consistent with the UON Customer Charter, or keeping within a set financial budget.</p> <p>By better defining the parameters for the goal, it helps to prevent potentially limitless amounts of money or people or resources to achieving a goal. This could, in some cases, be closely associated with the first "Q", the quantity. It could relate to such things as retention of students, or an improvement in customer satisfaction with the services or it could relate to matters such as employee engagement or the like.</p> <p>Some examples include:</p> <ul style="list-style-type: none"> to levels set out in the xxx Service Agreement to AS14000' to academic standards while maintaining xxx within current xxx limits

A. WRITING QUALITY GOALS

Checklist

Writing a good goal is not just about the structure of your goal statement, and SMART. Goals exist in a context, and there are many ways in which they need to be tailored for you, the team and your part in the overall business plan.

When you are agreeing objectives at an individual level, here's a checklist to help make sure the goal is appropriate:

- Are my goals relevant to the business?
- Is the scope of my goal appropriate?
- Are there too few or too many measures?
- Are my goals coordinated with others' goals?
- Are my goals results-based and measurable?
- Are measures of success set at the right level?
- Are my goals practical and achievable?
- Is achievement of goals under my control?
- Do I have the skills necessary to achieve these goals?
- Is the goal truly a goal or is it a competency?
- Is the due date/time frame for completing the goal appropriate?

Corporate goal	Your aligned goal	Goal description	Measures of success
Position UON and our people for future growth.	Engage and retain high performing staff.	Cultivate a diverse, high performance team environment that attracts, develops, recognises and retains the best people.	95% direct reports have SMART goals and development plans entered in the system by 31 July.

View the short eLearning module on the HR website, 'How to write SMART goals'. Use the list of 'action verbs' in the appendix of the PRD Handbook.

B. REVIEWING PERFORMANCE

A performance review is a formal discussion of a staff member's performance compared to their agreed goals.

The review should assess achievement with reasonable accuracy and objectivity. It provides a way to help identify areas for performance improvement and to help promote professional development. It should not, however, be considered a manager's only communication tool. Open lines of communication and everyday conversations throughout the year help to make effective working relationships.

Why review performance?

Everyone is entitled to a thoughtful and evidence based review. The success of the process depends on the manager's preparedness for a constructive and objective conversation; on the staff member's active involvement as demonstrated by self-assessment, responsiveness to constructive suggestions and willingness to work with their manager to accomplish future goals.

We need feedback to reflect upon and improve our achievements.

Effective and constructive feedback allows staff to identify areas where learning and development can occur around the specific work you are doing.

Performance Review is a two-way process

The performance review is usually conducted one-one with your manager, together with feedback (sometimes in the 360° format) from key stakeholders and colleagues.



Please refer to the PRD conversation format for guidelines on preparing for and conducting a Performance Review meeting.

A positive approach: objective and balanced feedback

Focusing on strengths, and identifying opportunities for change or improvement is a better approach than finding faults with someone's performance.

Of course, starting with well-written and clear goals provide a good foundation for an objective and balanced review.

- People need to feel respected and have a sense of self-worth and when they do they are more likely to be motivated and committed to their work
- High self-esteem produces confidence
- Confident people are more willing to share responsibility, confront challenges and adapt to change

How to enhance the self-esteem of others

Acknowledge good thinking and ideas

- Everyone likes to know that they are valued. Such appreciation encourages people to think and contribute

Recognise accomplishments

- People want to hear specifically what they have done to contribute to a successful outcome. It lets them know that you appreciate their contributions

Express and show confidence

- When someone voices confidence in your ability it boost trust in yourself and heightens feelings of self-worth
- You maintain the self-esteem of others by being careful not to damage their self confidence

Choose your words carefully and avoid attacking

- Focus on the facts of the situation and what was actually said or done (behaviour/event not the person)

B. REVIEWING PERFORMANCE

When you are receiving feedback, be:

EXPLICIT	Make it clear what kind of feedback you are seeking.
AWARE	Notice your own reactions, particularly rejection or censorship on your part.
SILENT	Refrain from making a response until you have listened carefully to what has been said and have considered the implications.

When you are giving feedback, be:

REALISTIC	Direct your comments to things that the person can do something about and not areas that are beyond their control or influence.
SPECIFIC	Give them sufficient information to pinpoint areas that you have concerns about and avoid generalising.
SENSITIVE	Just because another person's actions have not met your goals doesn't mean that their contribution is not valued.
TIMELY	There is no use in offering feedback after a long delay. Always respond promptly when your feedback is requested.
DESCRIPTIVE	Describe your viewpoint rationally and without emotional manipulation.
NON-JUDGEMENTAL	Offer your personal view and avoid acting as an authority or making comments that are highly judgemental.
DILIGENT	Make sure that you have your facts right and understand the full picture. There is nothing more annoying to receive criticism from someone who hasn't paid attention to what you have done.
DIRECT	Say what you mean, rather than use 'flowery' language to mask the real message.

B. REVIEWING PERFORMANCE

Be prepared

Both manager and employee need to prepare for the performance discussion.

On agreeing the time and location for the meeting, both parties need to commit to being prepared so the focus is on Performance over the previous period. These discussions are an opportunity to build understanding, trust and commitment – and should not be juggled around diaries. You will need a private room, and avoid any interruptions from mobile phones and other distractions.



FOR MANAGERS

Ensure that you are well prepared for performance appraisal by considering the employee's past performance appraisals, training records and other objective evidence of performance (e.g. attendance records, billings, customer feedback, error rates). If necessary, obtain feedback from other colleagues.

You should be prepared to answer any questions that the employee could potentially ask, and be ready to discuss remuneration and career progression.



FOR STAFF

Complete a self-assessment of your own performance. Review the objectives agreed in your Performance plan and make notes about how you have gone, notable achievements and areas where you see opportunities for improvement.

PRD should be 'no surprises'

The performance appraisal should not be viewed as an isolated event at which an employee is given feedback about their performance, particularly if the feedback is negative. Employees should be given constructive and regular feedback throughout the year and this should be documented.

Balance: don't just focus on the negatives!

In any discussion with the employee, both the positive and negative aspects of their performance should be discussed. Giving behaviour based examples using the STAR framework is good practice. The employee should be given objective and constructive feedback and an opportunity to respond, for example, to mention any mitigating circumstances.

Encourage them to do most of the talking, as an effective appraisal allows them to take responsibility for their own performance and growth.

Together, explore strategies to improve performance and set relevant objectives for the year ahead. Where previous objectives have not been met, identify why they were not met and develop a plan to ensure they will be met.

Take the time to review the employee's positive attributes that occurred during the review period, and consider how they can be applied to help them improve in those areas where a change in behaviour is desired.

Ensure that the employee understands what is required of them and has been able to raise any concerns or issues.

B. REVIEWING PERFORMANCE

EVIDENCE BASED ASSESSMENT

The most meaningful feedback is framed in real-life examples of results and behaviour that you have observed.

Some evidence will be in the form of quantity, cost and time. This is relatively straightforward to observe and assess. It is also the “how” a goal has been achieved – and the quality of the results – that matters.

It is important to describe behaviour objectively, because:

- Objectivity deals with facts
- Subjectivity distorts facts with personal feelings, prejudices and interpretations.

When you are describing behaviour, consider these questions:

- Am I labelling behaviour, rather than describing something specific I have observed?
- Is my evidence, or the source from which I have obtained data, reliable?
- Is my evidence measurable in terms of the results achieved?

USING THE STAR FRAMEWORK

One way to structure feedback is using the STAR framework. STAR stands for Situation, Task, Action and Result.

An example of STAR feedback may look like this:

SITUATION	When the deadline for completing the submission was moved forward two weeks.
TASK	Jane (as project manager)
ACTION	Consulted with the team to determine where everyone was up to with their tasks, and engaged the team in finding ways to shorten the time required to complete the proposal according to the new deadline. She also sought advice from a broader range of stakeholders about what other options were available.
RESULT	She successfully negotiated for both additional resources, and reduced scope for some aspects of the planned submission so the team could achieve the new deadline incorporating their time-saving ideas. The submission was completed on time and was generally acclaimed for its high quality, as well as successful funding for the new program.

Follow-up

Ensure that you follow up progress against the objectives that were set within a reasonable period of time. Provide your team with regular updates on their performance, but not in a way that is overbearing and leads to them feeling stressed, and becoming unproductive.

Keep records of the discussion and any decisions that were made. Don't give high scores or a glowing performance review if there are genuine performance issues. Remember the performance appraisal can be utilised as evidence.

C. CAREER DEVELOPMENT & PLANNING

Importance of a Career Development Plan

A Career Development plan is a document which brings together and records a staff member's reflections and aspirations into an actionable agreement with their manager for their personal and career development.

Staff can use career development plans to set goals for success in their current position, as well as short to long term career aspirations.

Managers can use career development plans to set goals for staff which build capability where there may be skills gaps or to inspire high achievers.

The staff member owns the plan, with the manager playing a key supporting and facilitating role.

WHAT A GOOD CAREER DEVELOPMENT PLAN LOOKS LIKE

A quality career development plan will be built upon a range of inputs including but not limited to:

- Personal and career aspirations
- Self-assessment of skill and capability levels
- Reflection on feedback received

The plan needs to be aligned with:

- Job requirements
- Strategic direction of UON
- UoN's capacity to actually provide the development action

The plan needs to be action oriented with:

- Well defined goals
- Realistic and achievable actions
- Outcomes defined
- Timeframe for completion

C. CAREER DEVELOPMENT & PLANNING

Where does the most effective learning take place?

The most effective way to learn a new skill or behaviour is to apply and practice it on the job.

<p>70% of learning comes from EXPERIENCE</p>	<ul style="list-style-type: none"> ▪ on-the-job experiences ▪ challenging or stretch goals ▪ special projects ▪ secondments
<p>20% of learning comes from relationships with others EXPOSURE</p>	<ul style="list-style-type: none"> ▪ coaching ▪ mentoring ▪ partnering with a more experienced colleague ▪ observing and working with role models such as managers and peers
<p>10% of learning comes from EDUCATION</p>	<ul style="list-style-type: none"> ▪ formal training programs ▪ formal qualifications ▪ attending lectures ▪ reading

Steps to follow to action a Career Development Plan

<p>IMPLEMENT YOUR PLAN</p> <p>Undertake the development actions; Reflect on the impact of your development actions and modify throughout the year if needs or priorities change.</p>	<p>SELF ASSESSMENT</p> <p>Reflect on work performance, challenges and issues; Understand your personal interests, values, skills and abilities, current knowledge, achievements, personal qualities, needs and responsibilities.</p>	<p>DEVELOP A PLAN</p> <p>Map out the Experience, Exposure and Education required to develop the skills and competencies required; Explore the resources required to engage in these development activities (eg: time, support, budget); Using S.M.A.R.T. format of goal setting, write out the development goal and associated development actions, including measure of success and a target date.</p>	<p>EXPLORE OPTIONS</p> <p>Explore opportunities both inside and outside the University. Decide on short to medium term career aspirations as well as goals for success in your current position; Identify the skills and competencies that need development to achieve your performance goals and career aspirations.</p>
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D. USING THE LEADERSHIP FRAMEWORK

Leadership Capabilities at UON

The UON Leadership Framework comprises a set of principles that clearly outlines the expected behaviours and characteristics required to successfully deliver NeW Futures and the 2025 Vision. It highlights the University's commitment in the Future Workforce Plan to building leadership capacity and capability and a strong leadership culture at UON.

The Leadership Framework provides support for all University staff and is not limited to those who manage others, or who are in designated leadership roles. At UON, we believe that leadership can be exercised by anyone with the capacity and desire to make real improvements to the University, regardless of their position.

The UON Leadership Framework describes six Leadership Capabilities that provide a common language and focus for all academic and professional staff to role model good leadership practice and to develop their own and others' leadership capability.

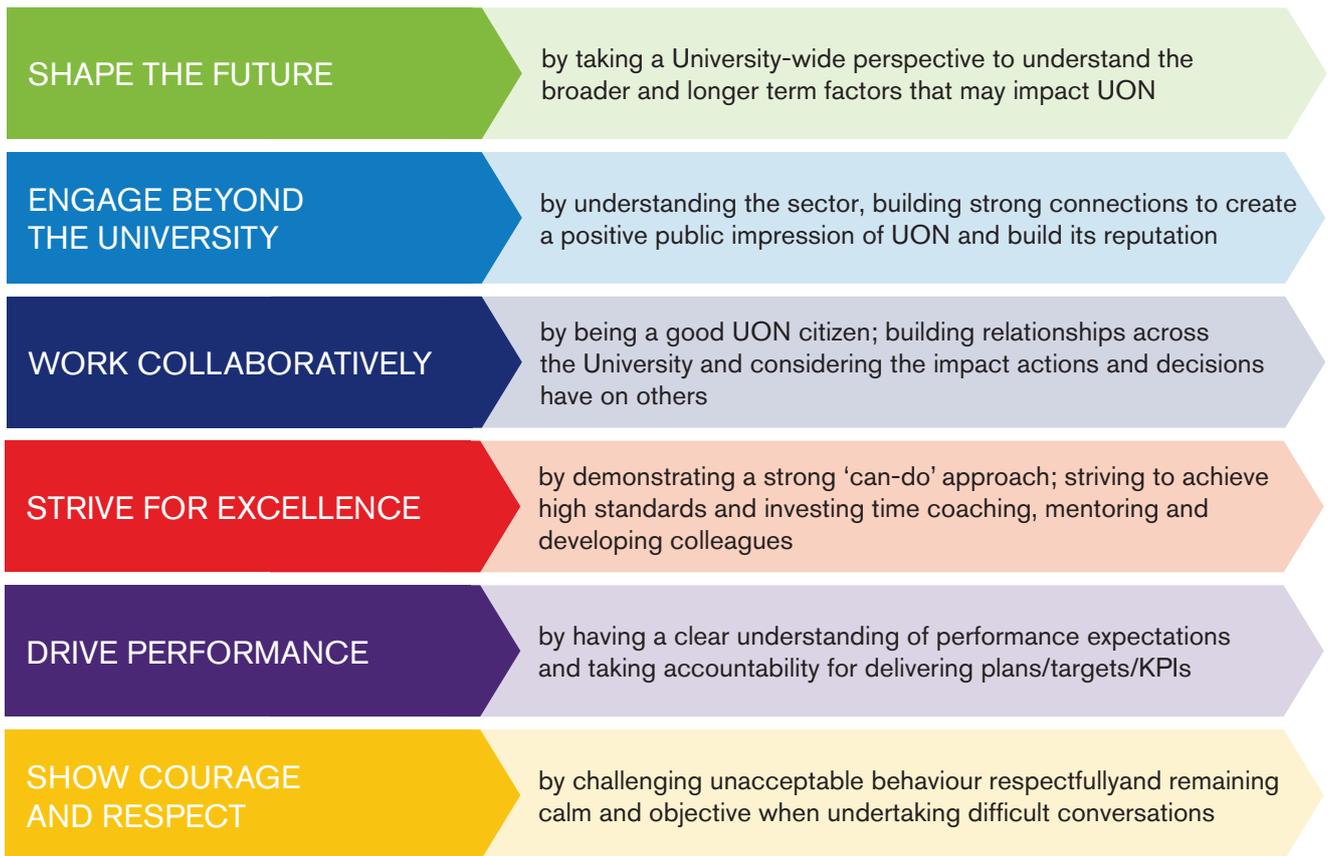


THE UON LEADERSHIP FRAMEWORK

D. USING THE LEADERSHIP FRAMEWORK

Leadership Capabilities at UON

The six Leadership Capabilities are defined as follows:



The detailed behavioural descriptors for each Leadership Capability are described in the document 'UON Leadership Framework Handbook'. This document provides a useful guide on the behaviours one 'would expect to see' and 'would not expect to see' for different leadership levels at the University



D. USING THE LEADERSHIP FRAMEWORK

Providing feedback on behaviour

In order to become more confident and capable, everyone needs to know what they're doing well or what needs improvement, and that requires targeted feedback and ongoing conversations.

As a manager responsible for the performance and development of staff it's important to understand how to provide feedback on behaviour.

Characteristics of effective feedback

Feedback needs to be specific, timely and constructive, providing clear direction and action steps that will drive improvement.

Effective feedback:

- Focuses on the behaviour not the person and is sensitive to the possible emotional impact
- Is descriptive, rather than labelling or judgemental - ask yourself if you are seeing the person's behaviour objectively
- Provides specific examples of the behaviour based on your observations or those of other people
- Creates an understanding of the effect of their behaviour on others
- Begins with "I" statements and avoids blaming, staying focused on the situation/behaviours

Giving effective feedback:

Always ask permission to provide feedback. The stronger the person's willingness to receive feedback and understanding of their impact on others, the more likely they are to take action following feedback. As feedback provider, you can have a strong influence on the individual's receptiveness to the messages by;

- Balancing challenge and support
- Focusing on the behaviour and its impact

Challenge by:

- Being frank and honest about their behaviour
- Picking up on anomalies and attempts to excuse behaviours
- Challenging them to think about the implications of their behaviours

Support by:

- Acknowledging their feelings (e.g. "I am sorry you feel that way; it can feel like that")
- Offering ideas, options or information
- Reassuring them that support is available to address their development needs

People may excuse or explain their behaviour by discussing what they meant to do (i.e. their positive intent) rather than discuss what actually happened. Keep feedback on track by acknowledging their intentions, yet focusing on the observed behaviours and the impact /implications. Using the diagram below start with observed behaviours (1), then impact (2), and then if necessary, explore their intentions/thinking (3).

INTENTION (3)

BEHAVIOUR (1)

IMPACT (2)

D. USING THE LEADERSHIP FRAMEWORK

Why conversations about behaviours are important

For UON performance is not just about what you achieve, it is also about how you achieve your goals.

The Leadership Capabilities provide the focus and structure for providing feedback on behaviour in an objective, clear and consistent manner. This provides valuable input for the creation of both performance goals and personal and career development plans.

During the Development Conversation (see Section 4) managers and staff discuss the Leadership Capabilities to identify strengths and areas for development for staff, having independently rated each Capability applying the following scale:

- Priority area for development.
- Some development required.
- Demonstrates expected behaviours.
- Shows strength in this capability.
- Significant area of strength: is a role model to others.

Both managers and staff can provide specific behavioural examples for each of the Leadership Capabilities to support their ratings. As a result, a more meaningful conversation occurs and learning takes place.

For example

Work Collaboratively: Alex's success in delivering the Faculty Innovations project to time and budget was a direct result of the involvement of the key people in each of the Schools. This gained strong commitment to achieving the right outcome for the faculty while ensuring individual schools' concerns were listened to.

Managers are encouraged to refer to the UON Leadership Framework Handbook to support and enhance the conversation and provide insight on what one 'would expect to see' or 'would not expect to see' at different staff levels. While this will provide a stimulus for the conversation it is not intended as a definitive checklist and recognises that people express their leadership capabilities according to their unique situation, personality and preferred style.

Staff are also encouraged to examine their behaviour and provide specific examples that highlight their strengths or development gaps. This creates greater ownership of their personal and career development plans. Together with their manager they identify how their behaviour will support (or potentially derail) the achievement of performance and development goals.

D. USING THE LEADERSHIP FRAMEWORK

Including Leadership Behaviours in PRD Performance Goals

Performance Goals & Behaviour

In setting performance goals during the Performance Conversation, the Leadership Capabilities provide guidance and direction on how to achieve the goal by clearly signalling the behaviours that will lead to success. The referenced behaviour can either build on existing strengths or provide an opportunity for development. This is likely to generate better outcomes for both the individual and the University.

An example of Performance Goal containing leadership behaviour:

Support research by creating a comprehensive, high quality and functional research area website by mid-year, benchmarking internally and externally and leveraging the strength of existing network.

This goal references two of the Leadership Capabilities;

- Strive for Excellence - benchmarking drives high standards
- Engage beyond the University – leveraging contacts to bring in fresh thinking and ideas.

Development Goals & Behaviour

Development goals can be directed towards current role requirements and focused on driving improvements or changes or stretch beyond a staff member's current role requirements to another role to which they aspire.

During the Development Conversation the Leadership Capabilities stimulate discussion and provide insight on strengths and areas for development. Current role requirements and career aspirations then inform development priorities and actions.

An example of a Development Goal containing leadership behaviour:

Improve relationships with peers in the School. Take time to understand their goals and needs, and learn to work together as a School to help achieve each other's goals and deliver the School's plan.

This goal references two of the Leadership Capabilities;

- Work Collaboratively – improving relationships and understanding
- Drive Performance – delivering the plan.

A development goal that focuses on the future might look like:

Develop my ability to see the big picture and take a longer range, broader University-wide perspective to move into a more senior role. Learn to step back from the day-to-day tactical details of my unit and develop my understanding of how the Unit's work contributes to the University strategic plan and the 2025 Vision.

This goal references two of the Leadership Capabilities;

- Shape the Future – taking a University-wide perspective
- Drive Performance – contribution to the University strategic plan

In sum the UON Leadership Capabilities stimulate a meaningful and insightful Development Conversation and provide focus for describing expected behaviours in setting performance or development goals.

The next section will provide a practical guide for:

- Where to find Resources to help you
- Reference materials
- Who to contact for support.



07

RESOURCES
TO SUPPORT PRD

RESOURCES TO SUPPORT PRD

1. ONLINE SYSTEM USER GUIDE
2. CHECKLISTS/ REFERENCE MATERIALS
3. TRAINING PROGRAMS
4. HRS TEAM SUPPORT
5. FREQUENTLY ASKED QUESTIONS

For all resources to support the Performance Review & Development
please visit the UON website:

www.newcastle.edu.au/unit/human-resource-services/performance-review-and-development



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