PERFORMANCE AND DEVELOPMENT REVIEW PLANNING PROCEDURES

Section	People and Culture
Contact	People and Culture
Last Review	October 2022
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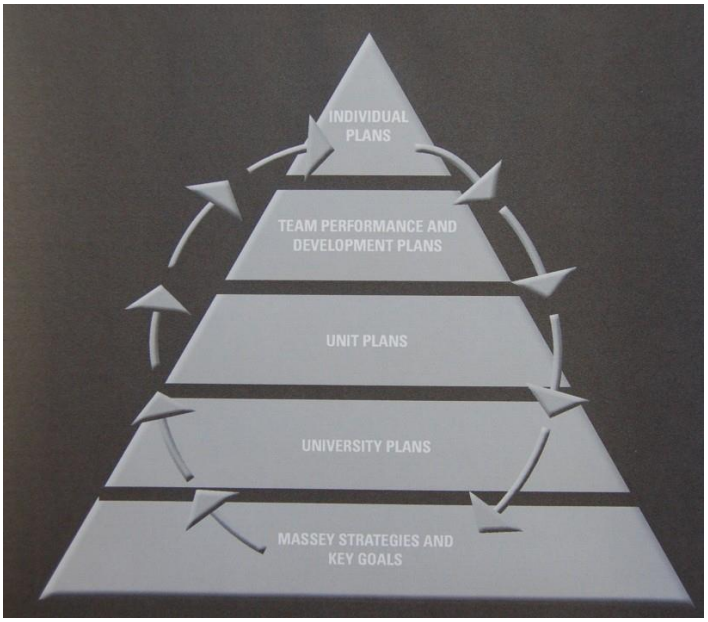
Approval	SLT 15/11/239

1.0 Overview

1.1 The Performance and Development Planning (PDP) process is a significant part of the University's way of aligning individual abilities, activities and aspirations with university strategic goals and operational needs. The University, as a community, values and encourages self-improvement, personal initiative, and high levels of individual responsibility. As far as it is possible to do so, the conduct of the PDP process by both staff members and managers should emphasise and reflect those community values.

The PDP process is based on an annual planning and review cycle to effectively align individual goals with university objectives. In establishing the PDP, the agreement of clear time defined, performance objectives are intended to reflect workplace priorities and team and organisational plans as well as to focus on continued improvement and career development.



2.0 Purpose

2.1 To provide a performance review and planning process that aims:

- To help individual staff members to review and improve the performance of their duties and to identify career and professional development opportunities; and
- To align individual performance contributions to the overall goals and objectives of the University and their unit; and

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- To provide managers and staff members with a clear understanding of the objectives and deliverables that have been agreed for the relevant and agreed planning cycle e.g., the following year; and
- To ensure appropriate development, training and/or support is provided to assist continuous improvement.

2.2 All Massey University staff employed for more than 12 months duration are required to fully participate in the PDP process. To support the PDP process, managers will annually report the number and percentage of PDP's completed to their relevant SLT member.

3.0 Definitions

3.1 Terms used in these procedures are defined as follows:

- **Core Duties**
  The three or four most significant areas of work activity for a staff member. For example, for Lecturers through to Professors, core duties are undertaking research, teaching, academic service including management and administration duties, entrepreneurial activities, and community service. For professional/general services staff, core duties will relate specifically to the particular position, the duties of which can range from administrative to specialist and technical functions.

- **Responsibility**
  An activity or an area of activity which the staff member has the delegated authority to manage. For example, an academic staff member might be responsible for the design and delivery of a paper offering, pedagogic innovation, the development of a strategic partnering relationship or activities which link directly to income generation through research or enterprise and a professional/general services staff member may be responsible for the timely outcome of a project or a manager for the combined outcome of his/her area of work.

- **Accountability**
  A statement setting out the minimum standard of performance for some aspect of the staff member's activities or responsibilities. It must be clear to both the manager and the staff member what criteria could or would be used to determine whether the set standard has been met or exceeded. For example, a Head of School might be accountable for the completion of 90% of PDPs in their School in a calendar year.

- **Job Profile**
  A document, also called a job description or an accountability statement, which sets out all the core duties, the responsibilities, and the accountabilities of the staff member. This document should be reviewed and updated as necessary and should always be current.

- **Performance Objective**
  A statement setting out the desired standard of performance for some or all aspect(s) of the staff member's core duties and responsibilities that is to be achieved within a clearly defined period of time. It must be clear to both the manager and the employee what criteria would be or could be used to determine whether the set standard has been met or exceeded. For example, an academic staff member might be expected to submit two substantive research papers to international peer-reviewed journals in a calendar year, create and exhibit a major exhibition or publish a major scholarly work. A professional/general services staff member may be expected to process a number of applications within an agreed timeframe or participate in a major service development project and a manager may be expected to secure operational efficiencies and make targeted savings in a particular area to meet his/her budget by the final quarter of the financial year.

- **Manager**
  The Head of a Department, School, Institute, Unit, Centre or equivalent, or his/her delegated nominee.

- **Manager's Manager**

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Pro Vice-Chancellors and Deputy Vice-Chancellor of his/her delegated nominee.

- **University Personal File**
  The staff member's personal file which is held by People and Culture.

- **Local Personal File**
  The staff member's personal file which is held by the manager of his/her local work area.

4.0 Annual PDP Interviews

4.1 The PDP interview is a formal process through which the expectations of the manager and staff member are aligned, agreed/set, and recorded. It is expected that a line manager and employee will meet on a regular informal basis to discuss and review general progress and resolve issues that may be impeding good performance. Annual participation in the formal PDP process is compulsory and the mutual responsibility of the manager and staff member. Managers have a responsibility to schedule and facilitate meaningful conversations about performance and development, with staff that report to them.

4.2 Ideally, the annual PDP interview should be held before the beginning of the new academic year. It is therefore expected that PDP annual interviews, particularly for academic staff, will take place in October or November each year.

4.3 The annual PDP interview should be the formal culmination of formal and/or informal discussions that have been held during the academic year between the staff member and his/her manager on progress against objectives, identified development needs, further support or changes to the objectives themselves or the PDP Plan. These discussions do not have to be by way of a formal meeting, unless either party has concerns or issues they wish to raise in a formal meeting. Informal discussions can occur as staff and their managers meet in a variety of work situations and talk informally about progress towards agreed objectives, challenges, issues and their resolution, and the development of emerging opportunities.

4.4 Informal but regular discussions during the year are invaluable for ensuring that both parties remain committed to the objectives set and are agreeable to the rate of progress being achieved. Further, issues of difference or concern can be raised by either party as they occur, and the parties can look to resolve them.

4.5 General requirements for new employees are set out in section 8.0 of these procedures.

4.6 Checklists which set out the basic requirements for preparing for the annual interview are attached as Appendix 4 (for managers), and Appendix 5 (for staff members). Prior training is available to managers in order for them to understand their role and responsibility in the PDP process as well as to be able to lead and assist their staff in developing meaningful performance and development plans. Further information is available on the POD Development Calendar.

4.7 The PDP interview must, amongst other things, address specifically:

- Core duties, responsibilities, and accountabilities.
- Evaluations (including the use of relevant benchmarking tools), feedback, concerns, and issues.
- The assessment and update of scholarly academic work through an evidence portfolio (in accordance with the University Research Strategy, Code of Conduct for Research and Researchers and other relevant agreed processes for academic staff in Lecturer through to Professor positions).
- Evaluation of teaching effectiveness, pedagogic innovations etc using a range of data sources (e.g., MOST, peer review and observation of teaching, student completion rates, etc).
- Workload.
- Training, development, and support.
- Promotion (where relevant).
- Annual Leave
- Long Leave and Short Leave with agreed deliverables
- Adherence to policy and procedures.

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- Observance of University occupational health and safety requirements (where relevant) and any health and safety concerns.
- The capabilities necessary for successful achievement of performance objectives.
- The extent to which performance objectives have been achieved and the contribution of the outputs and outcomes to the University's goals and objectives.

4.8 The following areas of discussion are suggested for the PDP interview:

- Whether the core duties and accountabilities as detailed in the job profile, accountability statement or job description, are still current.
- The level of achievement against the objectives in the current performance plan.
- Whether there are any objectives to be completed by the end of the current year and is progress still on track.
- Whether either party has any concerns with regard to the level of achievement or other matters related to the current performance year.
- What is proposed for next year's performance objectives and performance plan.
- Is the resulting workload reasonable and manageable.
- Does the staff member intend to take reasonable breaks during the year.
- Regular review of a staff member's CV and a determination of the professional development and/or support the staff member needs to achieve the planned future objectives.
- Consideration of a longer-term (2 – 5 year) development plan which supports achievement of wider University objectives, career development and promotion (where applicable) aspirations.
- Whether planned support and assistance was provided.

4.9 The outcome of the formal PDP interview should be formally documented using either the available standard forms set out in the appendices to these procedures or a suitable alternative document. The appendices include: the Performance and Development Plan Form, the Performance and Development Plan Review Form and the Annual Leave Plan Form. These forms should be completed with the aim of encapsulating the discussions which have occurred during the PDP interview. Relevant additional supporting information (e.g., an up-to-date CV, summary of scholarly outputs, evidence of income generation, supervision of higher research degree students, leave reports, other strategic outcomes) can be attached to the forms by either party.

4.10 In line with what must be addressed in the PDP interview, the Performance and Development Plan forms should reflect the core duties, responsibilities, and accountabilities of the staff member.

4.11 During a PDP Interview, a manager and employee may agree that any part of the discussions can be confidential and not recorded in the Review. The staff member may bring a support person to their PDP interview. The support person will not be a participant in this meeting, however.

4.12 The manager will complete the Performance and Development Plan and Review forms/documentation promptly, ideally within two weeks following the PDP interview, based on the discussion and agreements made at that meeting. The forms will be sent to the staff member to sign and make further comment. Where there is agreement, the signed forms will be returned to the manager for his/her signature. When signed by all parties, the original forms/documentation and any attachments will be filed on the staff member's local personal file held in their Department, School, Institute, Unit Centre or equivalent.

4.13 If the parties cannot agree on the content of the forms/documentation, the manager and the staff member should meet again to try to resolve any differences. If this does not result in resolution, the issues in dispute should be escalated to the manager's manager. The manager's manager may consider whether assistance from third party mediators could resolve the dispute. In the event that the matters in dispute are not resolved, the decision of the manager's manager will be final. The staff member may be represented in any dispute.

5.0 Performance Plans

5.1 Performance and development plans should be relevant to the staff member's core duties, responsibilities, and accountabilities. Core duties, responsibilities and accountabilities should be discussed at the annual

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interview to ensure they are current and relevant. Specific and identified performance objectives which arise from these duties, responsibilities and accountabilities should always be measurable, achievable and time-bound.

5.2 Performance and development plans must be focused, as a minimum, on the continuous improvement of the individual staff member's knowledge and application of skills and the alignment of their agreed work plan to the University goals and objectives.

5.3 Performance and development plans for all staff members should be structured under the key activities of the staff member's core duties and accountabilities. For example, the key areas for performance achievement for the positions of Lecturer through to Professor are:

- Teaching, pedagogic innovation, curriculum development
- Research and Scholarship
- Administration
- Academic and Community service
- Academic Enterprise
- Contributions to the wider University goals and objectives, e.g., internationalisation, responsibility, enabling excellence, income generation.

Similarly, the key areas of performance for an Executive Assistant, subject to the particular job profile, could be:

- Office and diary management
- Inwards and outwards correspondence
- Prioritisation of workflow and contributions to key executive projects
- Professional and appropriate communication with both internal and external stakeholders

5.4 As a further example, the areas of performance achievement for managers should be structured from their core duties and accountabilities to include:

- Staff management (including completion of PDPs for all staff)
- Financial management
- Academic and professional leadership (where relevant)
- Risk management (including health and safety compliance)
- Contributions to the development and leadership of major strategic projects
- Collaborative contribution across colleges and/or services

5.5 Performance plans should be discussed, debated, and agreed by the manager and the staff member as part of the PDP interview. However, the plans should also be flexible enough to be changed or adjusted throughout the performance year wherever the staff member and their manager agree this is necessary or where it is determined as necessary to meet changes to College/Service or University priorities, following consultation with the employee.

5.6 Where agreement on the performance plan cannot be reached between the manager and the staff member, the matters in dispute should be escalated to the manager's manager. Before escalation however, the manager and the staff member are required to meet again to try to resolve matters. When the matter is escalated, the manager's manager may consider whether assistance from third party mediators could resolve the dispute. In the event that the matters in dispute are not resolved, the decision of the manager's manager will be final. The staff member may be represented in any dispute.

6.0 Development & Support

6.1 Staff members should be encouraged to set out their professional and personal development priorities as part of their performance and development plan. These development priorities should be linked to the improvement or enhancement of their knowledge, skills and/or application in their current position and their career aspirations within the University sector.

For example, a staff member may want to:

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- attend a training and development course or seminar
- undertake papers related to their area of work
- lead a work project
- work in a different area to gain wider experience
- secure experience in another professional environment
- access a mentor or coach

6.2 The manager may also put forward professional and personal development options, which the staff member may agree to include in their performance plan. If an improvement in performance is necessary, the manager may require a staff member to take up a nominated development option as part of their performance and development plan.

6.3 The manager and staff member should also consider and agree the level of support that may be needed to achieve the agreed performance plan. This support could include:

- coaching
- mentoring
- training in defined operational and technical functions
- teaching relief
- temporary administrative assistance
- regular meetings
- peer review of work
- support for collaboration with other Universities
- additional financial support for research and scholarly activities

6.4 Provided that the employee is performing their current role to a satisfactory or higher level, the manager and staff member should consider the staff member's longer-term career development and (where applicable) promotion aspirations and, to the extent that these are supportable by the University, map out and develop a suitable development plan. The focus of the plan should be on the competencies and work experiences that would enhance the staff member's aspirations. Examples of such opportunities could include specific training, mentoring, job-enrichment and higher duties assignments, special projects, committee service opportunities, and job secondments. For academic staff in particular, the criteria and evidence for enhanced contributions to Teaching, Research/Scholarship, Academic Service and Academic Enterprise should be used as an informative guide for the establishment of career focused development plans as well as for framing an annual Performance and Development Plan.

7.0 Leave Management

7.1 Annual leave management is an important part of planning the distribution and timeframes of performance objectives, in addition to ensuring that the staff member enjoys necessary breaks from the workplace. In conjunction with the development of the performance and development plan at the annual interview, consideration should be given to when the staff member intends to take any annual leave in that performance year or to apply for any leave in accordance with University Duties Overseas Guidelines. These periods can then be factored into any time-bound objectives.

7.2 If the staff member is firm on the dates, he/she wants to take as annual leave in the new performance year when developing the performance and development plan, and these are agreed by the manager, the dates can be recorded in the leave plan (attached as Appendix 3), appended to the performance plan, and entered into the MyHR system.

7.3 Annual leave is planned and booked as a routine process to manage leave balances. If the staff member has an excessive annual leave balance (e.g., over 30 days) he/she will be required to complete an annual leave plan (attached as Appendix 3) as part of his/her performance plan to which he/she will be held. The leave plan will be entered into the MyHR system when completed.

7.4 For academic staff, when establishing performance and development plans, regard may be had to extended leave for research, such as sabbatical type leave or other forms of leave for research.

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8.0 New Employees

8.1 Staff who join the University or who take up a new position within the University, can expect to meet with their new manager within four weeks of taking up their position to agree a performance and development plan for the remainder of the current year.

8.2 Managers of new academic staff members in the Lecturer/Senior Lecturer scales are required to ensure that these staff members are met with formally, at least quarterly for the first two years of their employment so that they understand what is required of them in terms of their performance, their progress can be regularly monitored, and they receive the support and assistance to achieve the level of performance required. Managers may nominate a senior academic member of staff to carry out this support and advisory role and to meet regularly with new academic employees for the term required.

9.0 Performance Review

9.1 The Performance Review should be completed by comparing what was planned for the current year with what has been achieved.

9.2 Each staff member should gather relevant material to support their achievement against the agreed performance and development plan. This material should be presented to their manager before the PDP interview so that it might be considered by their manager and discussed with them at the interview. Academic Staff in the positions of Lecturer through to Professor shall submit their research evidence portfolios for assessment, other evidence of scholarly work, and other relevant outputs and outcomes.

9.3 Supporting material can include evidence of teaching quality, pedagogic innovation, relevant research, and scholarly materials, external or internal comment on the standard of delivery or service achieved, project or other documentation that attests to progress or completion, customer/client survey information etc.

9.4 The manager should discuss with the staff member their view of the standard of performance achievement and the reasons for that view. These reasons should be supported by factual information including relevant benchmarking reports where available. The discussion on performance achievement should contain no surprises for the employee as any concerns or problems should have been raised and discussed at the time they occurred or were identified during the performance year as they occurred or were identified.

9.5 The manager should complete the Performance and Development Plan Review Form or other suitable documentation promptly, ideally within two weeks of the annual interview and send it to the staff member. If the staff member agrees with the Review, he/she should sign the form, include any further comment, and return it to their manager promptly (within one week). The Review will then be filed with the relevant plan on the staff members locally held personal file.

9.6 Where agreement on the Performance and Development Plan Review recorded outcomes and/or comments cannot be reached between the manager and the staff member, the matters in dispute should be escalated to the manager's manager. Before escalation however, the manager and the staff member are required to meet again to try to resolve matters. When the matter is escalated, the manager's manager may consider whether assistance from third party mediators could resolve the dispute. In the event that the matters in dispute are not resolved, the decision of the manager's manager will be final. The staff member may be represented in any dispute.

10.0 Concerns About Performance

10.1 Wherever a manager considers that a staff member is not meeting the core duties, responsibilities and accountabilities of their position or is not making adequate progress on performance objectives agreed in their Performance Plan, the manager must raise the matter directly with the employee. The manager must set out clearly the areas of concern and discuss options for how the staff member's performance can be improved and over what timeframe. The manager must also support and assist the staff member to improve his/her performance in the first instance. The staff member will be informed that they may be represented prior to any discussion on performance concerns.

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10.2 For those staff covered by the MUCEA or MUIEA, the procedure to be followed for performance causing concern is set out in Clause 10.1 of the employment agreement. For all other staff, the terms and conditions of their agreements will prevail.

10.3 For those staff covered by the MUCEA and MUIEA, if, after a reasonable period of time and following the support and assistance of the manager, the staff member's performance is still causing concern, the manager may consider using the provisions set out in Clause 10.2 of the employment agreement. For all other staff, the terms and conditions of their agreement will prevail.

10.4 The Performance and Development Planning and Review Meeting cannot to be used as a disciplinary meeting for unsatisfactory performance. Concerns about performance can however be raised in a Performance and Development Planning and Review Meeting and actions to improve performance can be agreed and recorded in the Performance and Development Plan. The staff member will be informed that they may be represented prior to any discussion on performance concerns.

11.0 Documentation

11.1 The Performance and Development Plan and The Performance and Development Plan Review template forms are attached to these procedures as Appendices 1 and 2.

11.2 Signed and completed Performance and Development Plans and Reviews will be held on the staff member's local personal file, along with any supporting attachments. Performance and Development Plans will be held by managers as working documents until completed. At the point they are completed, they will be filed with the relevant Performance and Development Plan Review form on the staff member's local personal file. All information held on staff personal files will be held securely and in accordance with the requirements of the principles of the Privacy Act 1993.

11.3 The Performance and Development Plan Review documentation held on the staff member's local personal file may be used to support University processes. The staff member will be advised if this information is to be used in this way.

Audience:

All University managers and supervisors
All University staff who have an employment agreement of 12 months or more duration.

Related procedures / documents:

Performance and Development Planning Policy
Manager and Staff Development Policy

Document Management Control:

Prepared by: Employment Relations Advisor
Authorised by: DVC – University Services Development
Approved by: SLT 15/11/239
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New review: October 2025

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Appendix 1

Performance and Development Planning and Review (PDP)

PERFORMANCE AND DEVELOPMENT PLAN

Name: **Unit:**

Position: **Date of interview:**

Period covered by the plan:

List key objectives for the coming year:
(Set out under specific headings and include timelines and expected outcomes where appropriate)

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Professional Development:

Support and Assistance:

List any attachments:
*(**Such as the position description, project plan, etc.**)*

Signed: **Date:**
(Manager or Nominee)

Additional comments by staff member (optional):

Signed: **Date:**

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Appendix 2

Performance and Development Planning (PDP)

PERFORMANCE AND DEVELOPMENT PLAN REVIEW

Name: **Unit:**

Position: **Date of interview:**

Period covered by the review:

To be completed by the Manager or supervisor

Achievement of Performance Plan for the Period Under Review:
*(**Attach a copy of the relevant plan and comment on each objective set**)*

Achievements not covered by the Plan:

Details of performance or progress which has exceeded the agreed Plan

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Overall performance in the position:

Signed: **Date:**

(Manager or Nominee)

Additional comments by staff member (optional):

Signed: **Date:**

Note: One copy of the review is to be given to the staff member and the original is to be held on the staff member's personal file in his/her work area.

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Appendix 3

Performance and Development Planning (PDP)

ANNUAL LEAVE PLAN

Name: **Unit:**

Position: **Date of Plan**

Annual Leave Balance:

From:	To:	Number of days

Signed: **(Staff Member)**	
Approved: **(Manager or Nominee)**	

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Appendix 4

Performance and Development Planning (PDP)

ANNUAL INTERVIEW PREPARATION SHEET

Name: **Unit:**

Position **Date of interview:**

Period covered by the plan:

To facilitate the PDP interview, staff are encouraged to submit written comments or documentation that support their achievements, in advance of the annual interview. The manager or nominee can then consider this information and respond to the staff member during the interview.

CHECKLIST FOR MANAGERS (OR NOMINEES)

If the staff member has not previously had an annual interview, you should, about one month in advance of the interview, brief the staff member on how the PDP annual interview will work.

PDP forms should be distributed prior to the annual interview, and you should ensure that the staff member also has a copy of the PDP Procedures.

You are required to have undergone training with People and Organisational Development before undertaking any annual PDP interview.

You should ensure that you have prepared for interviews by collating and considering information/documentation relevant to the staff member's achievement against the performance objectives agreed in the current plan and the framework for setting objectives for the following year.

This information/documentation could include:

a) The University Charter
b) College or similar Strategic plans and objectives
c) Unit Plans
d) The job profile for the staff member's position
e) The agreed Performance Plan,
f) Staff member's MOST results,
g) Staff member's research progress,
h) Supporting documentation provided by the staff member
i) Previous meeting notes where applicable
j) Information on relevant development options

You should notify staff members of their annual interview time, about two weeks in advance and allow at least one hour for the interview. A staff member may bring a support person.

You should consider what may be appropriate objectives for the new performance year and be prepared to discuss why these are relevant and appropriate.

You should consider what development opportunities may be relevant to the staff member and also what support options may be appropriate.

Appendix 5

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Performance and Development Planning (PDP)

ANNUAL INTERVIEW PREPARATION SHEET

Name: **Unit:**

Position **Date of interview:**

Period covered by the plan:

To facilitate the PDP interview, staff are encouraged to submit written comments or documentation that support their achievements, in advance of the annual interview. The manager or nominee can then consider this information and respond to you on those achievements during the annual interview.

CHECKLIST FOR STAFF MEMBERS

Ensure you have copies of the PDP forms, procedures, and any additional information you may wish to consider.

Consider your job profile, evidence of teaching quality if you teach, curriculum and pedagogic innovation, research, and scholarly outputs (Lecturer's through to Professors), projects you have worked on and completed or progressed, systems or processes you have modified and improved and/or any other documentation relevant to your work for the past year, including your current Performance and Development Plan.

Note what you have achieved against your current Performance and Development Plan and what has still to be achieved.

Note explanation for objectives not achieved.

Set out any achievements that were not documented as part of your Performance and Development Plan.

Provide information/documentation which supports and explains your performance achievement for the current or last year, to your manager or nominee at least 48 hours prior to the annual interview.

Consider and set down what you expect to achieve in the coming year in terms of performance objectives.

In view of your past performance and expected activities for the coming year, consider your training and development priorities.

Consider and set down what support may be helpful to you to achieve your future objectives.

Provide your manager or nominee with any notes you have made with regard to performance objectives, professional development or personal support for the coming year at least 48 hours prior to the annual interview.

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