

# PERFORMANCE DEVELOPMENT PROCESS: ACADEMIC STAFF PROCEDURE

## SCOPE

This procedure applies to all continuing academic staff on a fraction of 0.4 or greater, fixed term academic staff on probation and all academic staff seeking promotion to the next level or intending to apply through the Outside Study Programme (OSP), herein collectively referred to as 'you' for the purpose of this procedure. Academic staff on a fraction of less than 0.4 will also be able to access the myPlan system in accordance with this procedure.

The procedure does not apply to staff appointed to Senior Executive positions.

Adjunct and conjoint appointees (also known as joint appointees) are exempt from this procedure.

For the purposes of this procedure, the Enterprise Agreement means the [Monash University Enterprise Agreement \(Academic & Professional Staff\) 2019](#). Links to relevant clauses are included in the definitions of this procedure.

## PROCEDURE STATEMENT

Monash University ('us', 'our' or 'we') relies on excellent research, teaching and engagement from its academic staff in order to serve the good of our communities and environment, solve grand challenges and set global agendas (Focus Monash Strategic Plan 2015-2020). The performance development process supports this by:

- encouraging a culture of continuous learning and performance improvement;
- applying the principles of growth, feedback and accountability to the way that we work; and
- demonstrating the University's commitment to developing and retaining the talents of academic staff.

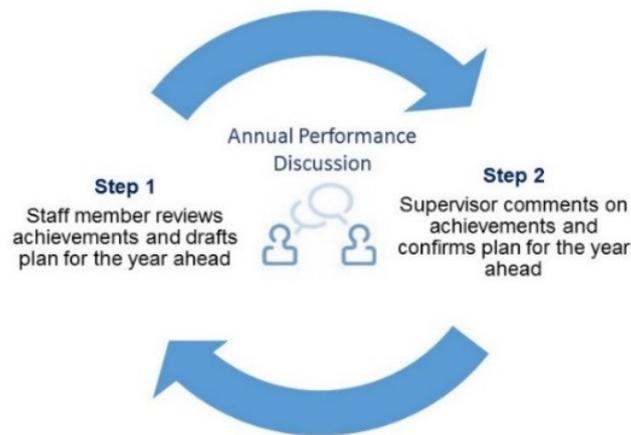
The performance development process aligns with the University's planning framework, with individual goals cascading from strategic and operational goals. It is a 12 month planning cycle based on a calendar year. It is intended to be a dynamic and interactive process between the staff member and their supervisor, designed to encourage trust and regular, open communications.

The performance development process is a two-step cycle; one for planning and one for review. This cycle supports staff in reaching their full career potential and achieving their annual goals through:

- the provision of professional development opportunities (growth);
- regular, meaningful performance conversations with their performance supervisor and a process for giving and receiving constructive feedback (feedback); and
- clearly identifiable and documented performance development goals and performance review that creates an awareness of staff contributions toward the three year faculty and University plans and goals (accountability).

## 1. The performance development process

- 1.1 Performance Development is a performance improvement process which focuses on staff professional development over time, including setting and meeting personal and University goals. It involves setting clear goals, prioritising and allocating work, monitoring day-to-day performance with ongoing feedback and coaching, planning for development and the assessment of staff performance.
- 1.2 The annual cycle commences in November each year, however it may be finalised as late as February at the discretion of the Dean (or equivalent) and in accordance with the operational planning activities and timelines set for each faculty, portfolio, campus and center.
- 1.3 We have adopted a two-step approach to the annual performance development process for academic staff.



1.4 The principal elements to be covered are:

- a review of your role and/or your responsibilities, including objectives and skills and/or knowledge acquisition set in previous feedback discussions;
- consideration of your workload;
- acknowledgement of your initiatives and achievements;
- the development of a plan which includes staff or professional development activities and future performance objectives;
- feedback to you on your performance against previously determined objectives and whether or not performance has been satisfactory; and
- feedback and coaching to you on specific areas that would benefit from development.

**Note:** Refer to the Enterprise Agreement and to the myPlan system.

## 2. Reviewing achievements & planning ahead

### Preparation for the review process

2.1 In preparation for annual review meetings, your performance supervisor will schedule a review meeting with you at least 3 to 4 weeks in advance.

### Self-assessment of own performance

2.2 You reflect on and record achievements in the areas of workload allocation, career aspirations, performance planning goals and development plans. This step should include:

- reflecting on achievements in the three areas of research, education and service;
- reflecting on areas for improvement;
- collating and attaching relevant information in myPlan, including teaching and unit evaluation data, evidence of professional learning, peer review of teaching reports, research activities and outputs and any mid-cycle feedback; and
- specifying any relevant personal circumstances, where applicable, to facilitate an assessment of [achievements relative to opportunity](#).

2.3 Should you fail to include the unit and teaching evaluation data, your performance supervisor and/or Head of Unit may request that you add the data to the performance development portfolio. Your performance supervisor and/or Head of Unit may also request the data directly from University Planning and Statistics.

### Achievement relative to opportunity

2.4 Achievement relative to opportunity is a positive acknowledgement of what you have achieved given the opportunities available to you and results in a more calibrated assessment of your performance. It is not about providing “special consideration” or expecting lesser standards of performance.

2.5 Relevant circumstances may include (but are not limited to):

- Personal Circumstances

A career disruption caused by personal circumstances that involves a prolonged interruption or poses a significant impact to a staff member's capacity to work.

***This includes, but not limited to; disruptions caused by parental leave, major illness/injury, carer responsibilities, disability, and personal trauma.***

- Professional Circumstances

A staff member's track record and associated productivity relative to stage of career, including consideration as to whether productivity and contribution are commensurate with the opportunities available to them.

***This includes, but not limited to; periods of part-time work, country relocation, late or non-linear entry in academia, cultural expectations, varied workload or relocation of a research laboratory or clinical practice setting or other similar circumstances that impact upon productivity.***

- Other

Other may include elements outside the control of a staff member. Provide a brief summary of the circumstances.

Staff are not required to describe specific details about sensitive issues such as a medical illness. Where it is important to share sensitive details of the relevant circumstances to be accurately understood, staff may share this information in their probation information or have a private discussion with the relevant decision maker.

This includes, but not limited to

- natural disasters such as flooding, bushfires, storms and earthquakes;
- global health issues such as the COVID-19 pandemic; and
- other emergency situations

2.6 Monash recognises that some elements are outside our control (described above) and may impact the delivery of the education, research and engagement activities of our staff. Monash understands the need to recognise these impacts and we will consider a staff members' achievements relative to opportunity. Where all parties agree, any adjustment to goals and targets should be recorded in myPlan.

## Planning for the year ahead

2.7 You draft your performance development plan for the coming year to support yourself in achieving your annual goals (see Annual Goals under the Definitions section of this procedure for further detail), career aspirations and planned professional development. The plan should include:

- details of your workload allocation;
- longer term career aspirations, ideally projecting over the next three years;
- annual performance goals in the three areas of research, education and service which are to contain an indicator of success and linking to the faculty and President-led campus plans;
- training, development or support activities that may assist you to achieve your goals; and
- annual compliance matters including:
  - OHS goals;
  - details of the selected [Monash Education Academy](#) (MEA) professional learning modules or equivalent (you are required to complete one MEA module annually)
  - confirmation that all mandatory compliance training has been completed in accordance with the [Mandatory Compliance Training procedure](#);
  - details regarding intellectual property, patent worthy discoveries or inventions to ensure compliance with the [Monash University Intellectual Property Regulations](#); and
  - disclosures of any [conflict of interest](#) and [paid outside work](#) activities.

2.8 If you are an Academic staff member at level C and above, you are also expected to record leadership goals as part of your annual service goals.

## Submission to performance supervisor

2.9 Once complete, you submit your draft review and plan, within myPlan, to your performance supervisor. You are encouraged to attach a performance development CV from My Research, where appropriate.

### 3. Annual review meeting

3.1 Prior to the review meeting, your performance supervisor will review the draft performance development plan.

#### You and your performance supervisor review past year

3.2 You and your performance supervisor discuss and endeavour to agree:

- progress toward longer term career aspirations;
- achievements relative to opportunity and progress towards each of the annual goals/targets based on the previous year's performance plan and workload allocation (supervisors are encouraged to refer to the [Guideline for Assessing Achievement Relative to Opportunity for Decision Makers](#) which explains how principles for assessing achievements relative to opportunity should be applied);
- achievements and progress in relation to the faculty-specific academic performance standards applicable to the relevant academic classification level;
- teaching achievements referencing unit and teaching evaluation data and peer review of teaching;
- progress in relation to probationary appointment (where relevant), refer to the [Academic Probation procedure](#);
- progress against any agreed improvement goals that are linked to managing unsatisfactory performance actions where relevant, refer to the [Disciplinary Matters procedure](#);
- any recommendation in relation to accelerated progression or review for tenure, where relevant; and
- identification of any mitigating circumstances which may have arisen during the year, which affected your performance;
- annual compliance matters including:
  - ensuring that you have completed mandatory compliance training in accordance with the [Mandatory Compliance Training procedure](#);
  - discussing intellectual property, patent worthy discoveries or inventions to ensure compliance with the [Monash University Intellectual Property Regulations](#); and
  - reviewing any outstanding issues related to the [Integrity and Respect Policy](#), OH&S and procedures such as [conflict of interest](#) and [paid outside work](#) activities. Approved 'paid outside work' arrangements and conflict of interest declarations must be attached to myPlan and reviewed annually.

#### Other feedback

3.3 Where you have more than one nominated supervisor or are seeking supervisory skills feedback, your performance supervisor is responsible for consulting with the other nominated supervisors/staff to seek input and feedback on staff performance and to incorporate this feedback where appropriate.

#### You and your performance supervisor plan for year ahead

3.4 You and your performance supervisor discuss and endeavour to agree:

- details of the workload allocation ensuring it equates to 100% between the three categories of research, education and service;
- strategies to achieve longer term career aspirations;
- annual performance goals in the three areas of research, education and service with corresponding indicators of success;
- how goals link to the faculty and President-led campus plans, [academic performance standards](#) and KPIs (refer to the [Monash Planning Framework](#));
- the career development plan and associated professional development opportunities, including those in relation to academic promotion and the outside study programme (OSP);
- any appropriate training, development or support which may assist you to achieve your goals or improve your performance; and
- where applicable, ensure any approved paid outside work or conflict of interest management plans are uploaded into myPlan.

3.5 You are encouraged to participate in our [health and wellbeing activities](#) and therefore should include a goal in respect of health and safety.

3.6 When the review and planning meeting is completed, you make any changes required to your performance development plan and submit them to your performance supervisor via myPlan. Your supervisor then confirms the plan for the year ahead.

#### Confirmation of planning review

3.7 Your performance supervisor will review the updated performance development plan and record relevant comments in the performance supervisor sections of the plan. Changes should be communicated to or discussed with you.

3.8 Your performance supervisor confirms the annual review in myPlan.

## 4. Mid cycle review (probation staff only)

- 4.1 Performance supervisors will note which of their staff are subject to probationary periods and are responsible for scheduling a mid-cycle feedback meeting (to be conducted during the months of June to August). They will also consult with the Head of Unit about staff appointments that are approaching the end of the probationary period.
- 4.2 Only academic staff on probation are currently required to participate in a mid-cycle feedback meeting however performance supervisors are encouraged to meet with all staff regularly throughout the year to provide constructive feedback on their progress.
- 4.3 At the mid-cycle review, probationary staff and performance supervisors will discuss:
- progress in relation to probationary appointment and probation conditions;
  - progress in relation to the performance development plan over the last six months;
  - achievements relative to opportunity and progress toward each annual goal;
  - suitability of goals in light of any changing circumstances (where relevant);
  - achievements and progress in relation to the faculty's academic performance standards applicable to staff levels;
  - strategies to support the achievement of annual goals and career development plans;
  - relevance of information collected for the performance development portfolio;
  - general performance and any specific or priority areas requiring improvement and further support and development;
  - intellectual property, patent worthy discoveries or inventions to ensure compliance with the [Monash University Intellectual Property Regulations](#);
  - outstanding issues related to conduct and compliance policies such as conflict of interest and paid outside work, where relevant; and
  - agree on the next annual review and planning meeting date.
- 4.4 Following the mid-cycle review meeting, you are to document any outcomes or variations in myPlan (including attaching relevant documentation). Your performance supervisor will also record any comments and document the meeting in myPlan.

## 5. Support information

### Regular feedback

- 5.1 You and your performance supervisor are expected to partake in feedback opportunities at various times throughout the year. The purpose of feedback and coaching is to help provide a clear expectation of performance, acknowledge progress, build confidence and provide support and encouragement.
- 5.2 You and your performance supervisor are encouraged to record regular feedback in myPlan.

### Selection of performance supervisors

- 5.3 The Head of Unit is responsible for the performance management, mentoring and staff development of all academic staff within their unit/school/department/centre. This responsibility includes where appropriate, the counselling of academic staff for unsatisfactory performance and/or conduct, consistent with the Enterprise Agreement. In most cases, some performance supervision responsibilities, including the provision of regular feedback and annual performance discussions may be delegated to an alternative supervisor, who will be the immediate academic line manager, unless we nominate an alternative supervisor at level C or above. The Provost nominates these academic performance supervisors for the coming performance cycle.
- 5.4 Notification of changes to performance supervisors are to be directed to Monash HR via email: email: [hr@monash.edu](mailto:hr@monash.edu) or telephone: 990 20400.

### Training of performance supervisors

- 5.5 If you are a performance supervisor, you must ensure that you are adequately trained in the process of giving and receiving feedback. Supervisor workshops and training sessions are available for supervisors who may be new to a supervisory role, would like refresher training or who have been directed to attend such training.
- 5.6 If you are a performance supervisor who has previously completed training on the process and methods of giving and receiving feedback, you may apply for [recognition of prior learning](#).
- 5.7 Training can be booked online at [myDevelopment](#). You should contact your faculty's HR Business Partner if you are unsure of whether or not you should undertake performance supervisor training.

### Alignment of University, school/department and individual goals

- 5.8 The Head of Unit must meet with academic performance supervisors to convey expectations and to clarify goals and objectives for the school or department for the coming year in the context of the faculty plan and other university plans. As part of the meeting they will discuss achievements and challenges of the past year.

## Unsatisfactory performance

- 5.9 Where your performance is initially considered by your performance supervisor to be unsatisfactory, your performance supervisor will advise the Head of Unit.
- 5.10 The Head of Unit will then counsel you and record in myPlan a written report which shows:
- the matters or factors not satisfactorily met;
  - the improvements required to achieve the goals and objectives (or satisfactory progress towards them); and
  - the proposed timelines for meeting the requirements for improvement.
- 5.11 The Head of Unit will also consider any enabling or mitigating circumstances and you and your supervisor should consider appropriate development or support to assist in improving performance.
- 5.12 A copy of the report is to be provided to you and a copy is to be retained by your performance supervisor. The Head of Unit has overall responsibility for the performance management of all academic staff within their unit/school/department/center, including, where appropriate, counselling of staff in accordance with the [Disciplinary Matters procedure](#) under the Enterprise Agreement.
- 5.13 This procedure does not preclude identification of unsatisfactory performance/conduct and undertaking of counselling outside the annual review process.

## 6. Breach of procedure

- 6.1 We treat any breach of our policies or procedures seriously. We encourage reporting of concerns about non-compliance and manage compliance in accordance with the applicable Enterprise Agreement or contract terms.

## DEFINITIONS

<a href="#">Academic performance development plan</a>	A planning template for academic staff that includes; reflection of the achievements in the previous year and areas for improvement, an articulation of longer term career aspirations, annual goals and a career development plan in support of annual and longer term goals, strategies, indicators and achievements.
<a href="#">Academic performance standards</a>	Faculty or discipline specific performance standards for all academic staff against which academic performance will be measured, particularly for the purpose of probation, promotion and performance development. The standards are qualitative, quantitative or a mixture of both across the three key areas of academic activity - research, education and service. They include identified minimum performance standards, below which staff may be managed for unsatisfactory performance in accordance with the <a href="#">Disciplinary Matters procedure</a> . The required performance standard: <ul style="list-style-type: none"> <li>• is established by the supervisor and discussed with staff;</li> <li>• is at or above the 'minimum' level of academic performance for the candidate's current level according to faculty-specific academic performance standards;</li> <li>• contains clear and defined criteria for performance that are measurable; and</li> <li>• contains criteria that are either qualitative or quantitative or a mixture of both.</li> </ul>
<a href="#">Academic promotion</a>	A process by which academic staff are promoted at Monash University based on merit.
<a href="#">Achievement(s) relevant to opportunity</a>	An evaluative framework in which the overall quality and impact of achievements is given more weight than the quantity, rate or breadth of particular achievements. Assessing achievements relative to opportunity involves giving consideration to circumstances, arrangements, career histories and overall time available to staff. This, in turn, allows appropriate evaluation of achievements in relation to: <ul style="list-style-type: none"> <li>• the quantum or rate of productivity,</li> <li>• the opportunity to participate in certain types of activities, and</li> <li>• the consistency of activities or output over the period of consideration.</li> </ul> Achievement relative to opportunity is a positive acknowledgement of what staff can and have achieved given the opportunities available and is not about providing "special consideration" or expecting lesser standards of performance.
<a href="#">Adjunct appointments</a>	Persons who are not currently staff members of the University, but whose professional standing or specialist expertise would contribute to the teaching or research activities of a particular department or research center in the University. Normally, such appointments are unpaid.
<a href="#">Annual goals</a>	Activities and outcomes that a staff member is expected to achieve that will assist them to achieve their annual objectives in the three areas of research, education and service, and to achieve their longer term career aspirations. Annual goals should be concise, measurable, achievable, and address relevant

	areas of academic activity in education, research and service. Academic staff must have a minimum of two annual goals in their performance development plan each year and they must record them in myPlan.
Annual work allocation	A combination of self-directed and assigned tasks in research, education and service allocated through Faculty Workload Models for teaching and research academic staff as described in Clause 66 of the Enterprise Agreement. The starting point for discussions about allocation of work is 40% teaching, 40% research and scholarship and 20% other activities. In the case of education-focused academic staff, workload allocation will have a significantly greater emphasis placed on teaching and teaching scholarship with a consequent reduction in expectations for research.
Conflict of commitment	Occurs when one interest of a staff member, which may, or may not be a private interest or non-University interest may harm or interfere with the productivity or involvement of that staff member in aspects of their University responsibilities. It may concern the staff member's distribution of efforts between employment obligations to the University and to outside activities. Conflicts of commitment can occur in research where the staff member's non-University activities harm or interfere with the staff member's research obligations.
Conflict of interest	Refers to a situation where a conflict arises for an individual between two competing interests, which are often, but not exclusively, interests of public duty versus private interests. Conflicts of interest may be reasonably perceived, potential or actual. Conflicts of interest can involve financial or non-financial interests of the staff member and the interests of a business partner or associate, family member, friend or person in, or has had a close personal relationship with the staff member. For further information refer to the <a href="#">Conflict of Interest Procedure</a> and <a href="#">Examples of Conflicts of Interest and Guidelines for Action</a> for further information.
Enterprise Agreement	The Enterprise Agreement means the <a href="#">Monash University Enterprise Agreement (Academic &amp; Professional Staff) 2019</a> . Clauses relating to this procedure include: <ul style="list-style-type: none"> <li>• <a href="#">Clause 58 - General Matters</a></li> <li>• <a href="#">Clause 59 – Unsatisfactory Performance</a></li> <li>• <a href="#">Clause 60 – Misconduct and Serious Misconduct</a></li> <li>• <a href="#">Clause 62 – Breaches of The Research Code</a></li> <li>• <a href="#">Clause 63 - Employment Related Grievance Resolution Procedure</a></li> <li>• <a href="#">Clause 65 - Probationary Employment Principles - Academic Staff</a></li> <li>• <a href="#">Clause 66 – Academic Workloads</a></li> <li>• <a href="#">Clause 67 – Summer Teaching Period</a></li> <li>• <a href="#">Clause 71 - Performance Development</a></li> </ul>
Feedback	The primary means for recognising good performance and for redirecting performance that requires improvement. Feedback is an ongoing activity that is usually information based, regular, immediate, informal or formal and verbal. It is used to identify issues needing to be addressed and build trust and relationships in the workplace.
Head of Unit	The head of unit/school/department/centre or director or, where applicable, a person acting as their nominee. If there are no heads of unit within the faculty, a deputy dean or equivalent may be delegated the head of unit's responsibilities for the academic performance development process. The head of unit is responsible for the performance management, mentoring and staff development of all academic staff within their unit/school/department/centre. This responsibility includes where appropriate, the counselling of academic staff for unsatisfactory performance and/or conduct, consistent with clauses 59, 60 and 71 of the Enterprise Agreement (see also Performance supervisor under the Definitions section of this procedure and Selection of Performance Supervisors under the section titled Support Information for further information).
HR Business Partner	A key member of the Monash HR Business Partnering community and provides strategic advice, guidance and solutions that underpin key client goals, HR strategy and organisational vision to a particular client group.
Indicators of success	A detailed summary of performance outputs that demonstrate the achievement of or progress towards agreed goals in any given year.
Intellectual property	Any copyright work, circuit layout, eligible layout, design, patent, invention, confidential information, know-how, plant variety, trade mark or other insignia of origin, and any related right. A duty to engage in research during any performance period includes a duty to carry forward the fruits of the research - for instance to invent things in the course of research and to co-operate with the University to commercialise or to patent any invention(s). Staff must also assign any intellectual property or

	<p>invention created in the course of employment with the University, to the University, from the date the intellectual property comes into existence.</p> <p>Note that under the Monash University Intellectual Property Regulation staff must not publish or otherwise disclose any patent worthy discovery or invention or any intellectual property (other than copyright belonging to staff under the <a href="#">Monash University IP statute and regulations</a>) until such publication is approved in writing by the Intellectual Property Officer or nominee.</p>
Joint appointments (also known as conjoint)	Usually a professor in the Faculty of Medicine, Nursing and Health Sciences who is also the Director of a clinical centre in a hospital, and who is actually employed and paid by the hospital on hospital employment conditions, but by virtue of their employment contract with Monash has the status of professor.
Monash Education Academy (MEA) Modules	Professional learning modules designed to enhance the capability development of academic staff. For more information on the suite of learning modules, refer to the <a href="#">MEA</a> .
myPlan	An online performance planning tool that supports academic staff and supervisors to manage the performance development cycle.

## GOVERNANCE

Parent policy	<a href="#">Probation, performance and promotion</a>
Supporting schedules	
Associated procedures	<ul style="list-style-type: none"> <li>• <a href="#">Academic probation procedure</a></li> <li>• <a href="#">Academic Promotion: Level B</a></li> <li>• <a href="#">Academic Promotion: Levels C-E</a></li> <li>• <a href="#">Conflict of Interest</a></li> <li>• <a href="#">Disciplinary Matters</a></li> <li>• <a href="#">Outside Study Programme</a></li> <li>• <a href="#">Paid Outside Work</a></li> <li>• <a href="#">Translation of existing staff to an Education-focused or Practice academic Role</a></li> </ul>
Legislation mandating compliance	
Category	Operational
Approval	Chief Human Resources Officer as delegate of the Chief Operating Officer – 12 February 2020
Endorsement	Director, Workplace Relations – 12 February 2020
Procedure owner	Chief Human Resources Officer
Date effective	12 February 2020
Review date	15 December 2019
Version	9.4 ( <i>minor amendments effective on 30 June 2021</i> )
Content enquiries	<a href="#">ask.monash</a> or phone Monash HR on (03) 990 20400