

## Monash University Procedure

<b>Procedure Title</b>	<b><u>Performance Development Process: professional staff</u></b>
<b>Parent Policy</b>	<a href="#">Staff Development Policy</a>
<b>Date Effective</b>	15 December 2016
<b>Review Date</b>	3 years from effective date
<b>Procedure Owner</b>	Chief Human Resources Officer
<b>Category</b>	Human Resources
<b>Version Number</b>	4
<b>Content Enquiries</b>	ask.monash or phone Monash HR on 990 20400
<b>Scope</b>	<p>This procedure applies to all continuing and fixed term professional staff, including:</p> <ul style="list-style-type: none"> <li>• HEW 1-9; and</li> <li>• HEW 10 and above</li> </ul> <p>The procedure does not, however, apply to staff appointed to Senior Executive positions or professional staff engaged on research support contracts.</p> <p>For HEW 10 and above staff on performance based contracts, the terms and conditions in their contracts continue to apply and application of this procedure does not alter or diminish the staff member's obligations or the University's rights in relation to managing performance under the staff member's contract.</p>
<b>Purpose</b>	<p>Monash University is committed to building a contemporary professional workforce by fostering a skilled workforce that is able to respond to the University's needs and priorities and offers clear and attractive career paths (Focus Monash 2015-2020).</p> <p>The performance development process for professional staff supports these commitments by:</p> <ul style="list-style-type: none"> <li>• encouraging a culture of continuous learning and performance improvements;</li> <li>• applying the principles of growth, feedback and accountability to the way that we work; and</li> <li>• demonstrating the University's commitment to developing and retaining the talents of professional staff.</li> </ul> <p>The performance development process aligns with the University's planning framework, with individual goals cascading from strategic and operational goals. It operates on 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, that encourages trust and regular, open communications.</p> <p>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:</p>

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	<ul style="list-style-type: none"> <li>• the provision of professional development opportunities (growth);</li> <li>• regular, meaningful performance conversations with their performance supervisor and a process for giving and receiving constructive feedback (feedback); and</li> <li>• clearly identifiable and documented performance development plans that create an awareness of the staff member's contribution toward the divisional, faculty and President-led campus plans (accountability).</li> </ul>
<b>PROCEDURE STATEMENT</b>	

### 1. The performance development process

- 1.1. The performance development process focuses on the staff member's development as a professional over time and on setting and then meeting individual and University goals.
- 1.2. The annual cycle occurs from January through to December each year, however it may be finalised as late as February at the discretion of the dean/executive director (or equivalent) and in accordance with the operational planning activities and timelines set for each division, faculty, portfolio, campus and center.
- 1.3. The University has a two-step approach to the annual performance development process for professional staff.



#### 1.4. The principal elements to be covered are:

- review of the role and/or responsibilities of the staff member, including objectives and skills and/or knowledge acquisition set in previous feedback discussions;
- consideration of the workload of the staff member;
- acknowledgement of initiatives and achievements of the staff member;
- the development of a plan which includes staff or professional development activities and future performance objectives;

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- feedback to the staff member on their performance against previously determined objectives and whether or not performance has been satisfactory; and
- feedback and coaching to the staff member on specific areas that would benefit from development.

1.5. Refer: clause 64 of the [Monash University Enterprise Agreement \(Academic and Professional Staff\) 2014](#) and to the myPlan system.

## 2. Establish Annual Goals and Development Plan

### Annual Goals

- 2.1. Staff should identify annual goals (see Annual Goals under the Definitions section of this procedure for further detail) for the forthcoming annual performance cycle and the specific targets or outcomes to be achieved and contain indicators of success. Professional staff are encouraged to identify at least 5 goals, which should align with the University's strategic and operational plans.
- 2.2. Staff must also complete their conduct and compliance goals which may include items such as mandatory compliance training requirements and OH&S goals and, where applicable, ensure any approved paid outside work or conflict of interest management plans are uploaded into MyPlan.

### Professional Development

- 2.3. Professional development goals (including career aspirations) with timelines should be recorded in the development plan section of myPlan.
- 2.4. Staff and supervisors should identify the professional development activities that would assist the staff member in achieving the professional development goals, for example, training, mentoring or work experience requirements;
- 2.5. Staff are encouraged to participate in the University's [health and wellbeing activities](#) and therefore should include a goal in respect of health and safety.

### Submission to Performance Supervisor

- 2.6. Once complete, the staff member submits their draft plan in myPlan to their performance supervisor for review.

### Discussion of annual goals and professional development plan

- 2.7. The staff member and performance supervisor should then meet to discuss and agree the annual goals and development plan for the year ahead. Any changes discussed in the meeting should be recorded in myPlan following which the performance supervisor can confirm the staff member's annual goals and development plan.

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### 3. Annual Review

#### **Self-Assessment**

- 3.1. Towards the end of the annual performance cycle, the staff member should:
- initiate a self-assessment of their own achievements and progress against each of the annual goals and the development plan in myPlan; and
  - incorporate feedback received throughout the year including feedback recorded within myPlan.
- 3.2. Staff are encouraged to refer to performance related documentation such as emails/letters of acknowledgement, completion of training certificates or notes. These can be uploaded as an attachment in myPlan.

#### **Submission to Performance Supervisor**

- 3.3. Once the self-assessment is complete, the staff member submits their draft review in myPlan to their performance supervisor.

#### **Performance Supervisor and Staff Member Meeting**

- 3.4. The staff member and performance supervisor should then meet to discuss the staff member's performance over the past year. As a part of the conversation, the following should be discussed:
- achievement of annual work goals and development plans;
  - progress toward longer term career aspirations;
  - achievements and progress in relation to the division/faculty-specific performance standards applicable to the staff member;
  - progress against any agreed improvement goals that are linked to managing unsatisfactory performance actions (where relevant, refer to unsatisfactory performance below);
  - annual compliance matters such as the completion of mandatory compliance training, the review of approved paid outside work or conflict of interest management plans, and OH&S commitments/goals; and
  - where applicable, if the staff member's performance was unsatisfactory, inclusion in myPlan of the matters identified.

#### **Other Feedback**

- 3.5. Where a staff member has more than one supervisor or is seeking supervisory skills feedback, the nominated primary supervisor is responsible for consulting with the other supervisor(s) to seek input and feedback on the staff member's performance and incorporate this feedback where appropriate.

#### **Confirmation of the end of the planning review and cycle**

- 3.6. The performance supervisor confirms the annual review in myPlan.

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### 4. Support Information

#### Regular feedback

- 4.1. Regular feedback helps provide a clear expectation of performance. The reinforcement of good performance can increase a staff member's confidence. Becoming aware of those areas that need improvement helps a staff member improve performance more quickly and to ensure performance aligns with University objectives. Effective feedback also contributes to overall development and potential advancement.
- 4.2. Staff and performance supervisors are encouraged to record regular feedback in myPlan.

#### Training of performance supervisors

- 4.3. Performance supervisors must ensure that they 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.
- 4.4. Performance supervisors who have previously completed training on the process and methods of giving and receiving feedback may apply for recognition of prior learning/training via [Staff Development/ Supervisors/ RPL for Supervisors](#) in Monash HR.
- 4.5. Training can be booked online at [Staff Development](#). A performance supervisor should contact their [HR Business Partner](#) if they are unsure of whether or not they should undertake performance supervisor training.
- 4.6. In addition, supervisors with responsibility for five or more staff may access a formal 360 feedback tool to seek feedback on their leadership strengths and development needs. Monash HR recommends psychometrically valid and reliable 360 feedback tools as stand-alone approaches. Alternatively, supervisors may participate in 360 feedback as part of the University's leadership development programs. Refer to the [Leadership and Organisational Development web page](#) and the [Staff Development web page](#).

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

- 4.7. The executive director/head of unit will convey expectations to performance supervisors and clarify goals and objectives for the division or work unit for the coming year in the context of the division/faculty plan and other University plans. As part of the meeting they will discuss achievements and challenges of the past year.

#### Unsatisfactory performance

- 4.8. Where a staff member's performance is determined to be unsatisfactory, the supervisor will counsel the staff member and record in myPlan, in a written report:
  - 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.
- 4.9. The supervisor should consider any enabling or mitigating circumstances and the staff member and supervisor should consider potentially appropriate development or support to assist in improving performance.

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- 4.10. This procedure does not preclude identification of unsatisfactory performance/conduct and undertaking of counselling outside the annual review process.
- 4.11. Performance supervisors should refer to the [Managing Unsatisfactory Performance: Professional Staff Procedure](#) and [clause 54](#) and [clause 64](#) of the [Monash University Enterprise Agreement \(Academic and Professional Staff\) 2014](#) for further guidance.

## 5. Responsibilities

### Professional staff

- 5.1. The professional staff member is responsible for:
- familiarising themselves with this procedure;
  - formulating their proposed annual goals and professional development goals and entering these into the performance plan within myPlan;
  - aligning their annual goals with the Key Results Areas and responsibilities of the staff member's role and the faculty/division and University plans and priorities;
  - where necessary, disclosing relevant personal circumstances to facilitate an assessment of achievement relative to opportunity;
  - completing all mandatory training including induction, online equal opportunity and occupational health and safety;
  - attaching approved 'Paid Outside Work' arrangements and conflict of interest declarations within myPlan and reviewing them with their performance supervisor annually;
  - following this procedure and all related procedures and policies and seeking advice from their HR Business Partner if required; and
  - performing their role satisfactorily and complying with their employment obligations.

### Performance supervisor

- 5.2. The performance supervisor is responsible for:
- providing ongoing, regular and constructive feedback to staff;
  - advising and coaching their staff on available development options;
  - approving the staff performance development plans at the beginning of the annual performance cycle;
  - ensuring that staff plans are aligned to the unit/division and University goals;
  - ensuring that the staff member has reasonable support and resources to progress the work goals and targets identified in the staff member's performance plan;
  - meeting annually with the staff member to review overall performance and development progress;
  - encouraging staff to disclose any relevant personal circumstance(s) to facilitate an assessment of achievement relative to opportunity;

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- providing a report on a staff member's achievements and progress towards the annual goals and professional development goals following the annual review meeting;
- recording unsatisfactory performance where this occurs, including identifying in writing the factors which have not been satisfactorily met, specifying the improvement required to achieve the goals and objectives, or satisfactory progress towards them, and the timelines for meeting the requirements for improvement;
- confirming completed plans at the end of the annual performance development cycle;
- ensuring staff have completed induction and online training in Equity & Diversity and Occupational Health & Safety;
- reviewing approved 'Paid Outside Work' arrangements and conflict of interest declarations with the staff member annually; and
- following this procedure and all related procedures and policies and seeking advice from their HRBP if required.

### Monash HR Responsibilities

#### HR Business Partner

5.3. The HR Business Partner is responsible for:

- providing supervisors, heads of unit and deans/executive directors with reports on myPlan participation, on request;
- assisting staff, supervisors, heads of unit and deans/executive directors with understanding the requirements of the performance development process;
- assisting supervisors and heads of unit in managing unsatisfactory performance; and
- on request from a staff member, arranging for performance supervisor details to be updated in the myPlan system.

#### Workforce Policy and Performance

5.4. Workforce Policy and Performance is responsible for:

- maintaining this procedure and related procedures and documents;
- ensuring compliance of procedures with the University's Enterprise Agreement;
- updating this procedure in consultation and communication with key stakeholders;
- ensuring leadership coaches and workplace relations consultants are kept up to date with the University's performance development requirements; and
- generally providing advice and support with regard to the Performance Development Process: Professional Staff.

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<b>Responsibility for implementation</b>		
<b>Status</b>	Revised	
<b>Approval Body</b>	<b>Academic Quality and Standards procedure</b>  <b>Name:</b> <b>Meeting:</b> <b>Date:</b> <b>Agenda item:</b>	<b>Operational procedure</b>  <b>Name:</b> Chief Human Resources Officer <b>Date:</b> Date effective <b>Author:</b> Director, Workplace Relations
<b>Definitions</b>	<p><b>Achievement(s) relative to opportunity:</b> is 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 the staff member. This, in turn, allows appropriate evaluation of achievements in relation to:</p> <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> <p>Achievement relative to opportunity is a positive acknowledgement of what a staff member can and has achieved given the opportunities available and is not about providing “special consideration” or expecting lesser standards of performance.</p> <p><b>Annual goals:</b> are activities and outcomes that a staff member is expected to achieve which are aligned to their Key Result Areas and responsibilities (as outlined in the Position Description or as agreed with your performance supervisor). Annual goals should be concise, measurable and achievable. They should also be agreed between the staff member and the performance supervisor and should be relevant to operational plans and goals of the work unit and/or University. As a guide, professional staff should have a minimum of five annual goals in their performance development plan each year.</p> <p><b>Annual performance development cycle:</b> is the performance development cycle for professional staff which aligns with the University’s planning framework and runs from January through to December each year.</p> <p><b>Annual review:</b> occurs at the completion of the annual performance development cycle. The review provides the staff member and performance supervisor with an opportunity to document and discuss the achievements of the staff member during the preceding annual cycle against the annual work goals, career aspirations and development goals identified in the staff member’s performance development plan.</p> <p><b>Career aspirations and development goals:</b> are specific professional development aspirations identified by the staff member (and confirmed by the performance supervisor) as appropriate for the staff member’s professional growth and career development through targeted learning and development opportunities.</p>	



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**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:** The term '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 [Conflict of Interest \(including Conflict of Interest in Research\)](#) and [Examples of Conflicts of Interest and Guidelines for Action](#) for further information.

**Dean or Executive Director:** means the dean of the faculty or executive director of a division or their nominee in any case where the dean or director has formally nominated a person to act as their nominee for the purpose.

**Feedback:** is 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, and verbal. It is used to identify issues needing to be addressed and build capability, trust and relationships in the workplace.

**Head of unit:** is the head of unit/school/division/centre or director or equivalent or, where applicable, a person acting as their nominee.

**HR Business Partner:** is 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:** are a detailed summary of performance outputs that demonstrate the achievement of or progress towards agreed goals in any given year.

**myPlan:** is the online performance planning tool that supports professional staff and supervisors to manage the performance development cycle.

**Paid outside work:** means remunerated work or professional development activity that a staff member undertakes for an external party which is outside their normal university duties. For more information refer to the [Paid outside work procedure](#).

**Performance plan:** is a plan that is prepared in myPlan by the staff member and confirmed in a meeting with the performance supervisor at the commencement of the annual performance development cycle. It records the annual goals and career aspirations and development goals for the staff member's year ahead and the specific targets and progress towards achieving those goals. The performance plan forms a basis for performance conversations at any stage of the annual performance development cycle including the annual review meeting and regular performance discussions.

**Performance supervisor:** is the person who is responsible for managing

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	<p>the performance of a staff member. This will be the immediate line manager, unless the University nominates an alternative supervisor. Where a staff member has two or more supervisors, one should be nominated as the performance supervisor.</p> <p><b>Relevant personal circumstances:</b> may include family responsibilities (for example child rearing, elder-care, illness of a partner or dependant), a temporary or permanent disability, relevant cultural expectations or circumstances, periods of part-time working and/or absences due to ill-health or injury.</p> <p><b>Supervisor’s meeting:</b> occurs when the head of unit meets with the supervisors to convey expectations and to clarify goals and objectives for the faculty/division/school/ administrative unit for the coming year in the context of the faculty/divisional plan and other university plans. As part of the meeting they will reflect upon achievements and challenges of the past year against previously agreed goals.</p> <p><b>Unsatisfactory performance:</b> is performance that fails to meet the University’s expectations of the staff member and includes when a performance supervisor determines that the staff member’s performance is unsatisfactory in accordance with clause 54 and/or 64 of the <a href="#">Monash University Enterprise Agreement (Academic and Professional Staff) 2014</a> or the desired performance improvement has not been achieved. Also refer to the <a href="#">Managing Unsatisfactory Performance: Professional Staff procedure</a></p>
<b>Legislation Mandating Compliance</b>	
<b>Related Policies</b>	<ul style="list-style-type: none"> <li>• <a href="#">Conflict of Interest (including Conflict of Interest in Research)</a></li> <li>• <a href="#">Paid Outside Work</a></li> <li>• <a href="#">Probation Procedure for Professional staff</a></li> <li>• <a href="#">Managing Unsatisfactory Performance: Professional Staff Procedure</a></li> <li>• <a href="#">Staff Study Support Procedure</a></li> </ul>
<b>Related Documents</b>	<p><b><u>EA Agreements</u></b></p> <ul style="list-style-type: none"> <li>• <a href="#">Clause 52. General Principles</a></li> <li>• <a href="#">Clause 54. Professional Staff Disciplinary Procedures</a></li> <li>• <a href="#">Clause 56. Employment Related Grievance Resolution Procedure</a></li> <li>• <a href="#">Clause 64. Performance Development</a></li> </ul> <p><b><u>Documents</u></b></p> <ul style="list-style-type: none"> <li>• <a href="#">Assessment of achievement relative to opportunity</a></li> </ul>
<h3>SCHEDULE(S)</h3> <p>Additional mandatory requirements specific to a Faculty or Offshore location <a href="#">Education</a> procedure</p> <p>This field will only be published if required.</p>	
<b>Name of Faculty/Offshore Location</b>	N/A
<b>Procedure Statement</b>	N/A