

# PERFORMANCE DEVELOPMENT PROCESS: PROFESSIONAL STAFF PROCEDURE

## SCOPE

This procedure applies to all continuing and fixed term professional staff, herein collectively referred to as 'you' for the purpose of this procedure, including:

- HEW 1-9; and
- HEW 10 and above.

The procedure does not, however, apply to staff appointed to Senior Executive positions or professional staff engaged on research support contracts.

For HEW 10 and above staff members 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.

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') 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).

The performance development process for professional staff supports these commitments 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 professional staff.

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.

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 plans that create an awareness of the staff member's contribution toward the divisional, faculty and President-led campus plans (accountability).

## 1. The performance development process

- 1.1 The performance development process focuses on your 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 We have a two-step approach to the annual performance development process for professional staff.



1.4 The principal elements to be covered are:

- review of your role and/or 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. Establish annual goals and development plan

### Annual goals

- 2.1 You 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. You are encouraged to identify at least 5 goals, which should align with the University's strategic and operational plans.
- 2.2 You must also complete your 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 You and your supervisor should identify the professional development activities that would assist you in achieving the professional development goals, for example, training, mentoring or work experience requirements;
- 2.5 You are encouraged to participate in our [health and wellbeing activities](#) and therefore should include a goal in respect of health and safety.

### Submission to performance supervisor

- 2.6 Once complete, you submit your draft plan in myPlan to your performance supervisor for review.

### Discussion of annual goals and professional development plan

- 2.7 You and your 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 your performance supervisor can confirm your annual goals and development plan.

### 3. Annual review

#### Self-assessment

- 3.1 Towards the end of the annual performance cycle, you should:
- initiate a self-assessment of your 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 You 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, you submit your draft review in myPlan to your performance supervisor.

#### You and performance supervisor meet

- 3.4 You and your performance supervisor should then meet to discuss your 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 you;
  - 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 your performance was unsatisfactory, inclusion in myPlan of the matters identified.

#### Other feedback

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

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

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

## 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 You and your performance supervisor 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 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](#).
- 4.5 Training can be booked online at [myDevelopment](#). You should contact your [HR Business Partner](#) if you are unsure of whether or not you 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 our leadership development programs. Refer to the [Leadership 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 your performance is determined to be unsatisfactory, your supervisor will counsel you 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 Your supervisor should consider any enabling or mitigating circumstances and you and your supervisor should consider potentially appropriate development or support to assist in improving performance.
- 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 [Disciplinary Matters procedure](#) and the Enterprise Agreement for further guidance.

## 5. Breach of procedure

- 5.1 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

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| <a href="#">Achievement(s) relevant to opportunity</a>   | <p>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:</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 staff can and have achieved given the opportunities available and is not about providing “special consideration” or expecting lesser standards of performance.</p> |
| <a href="#">Annual goals</a>                             | <p>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>   |
| <a href="#">Annual performance development cycle</a>     | <p>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>   |
| <a href="#">Career aspirations and development goals</a> | <p>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>  |
| <a href="#">Conflict of commitment</a>                   | <p>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.</p>  |

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| 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. |
| Dean or Executive Director      | 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.  |
| 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 63 - Employment Related Grievance Resolution Procedure</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/division/centre or director or equivalent or, where applicable, a person acting as their nominee.   |
| 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.   |
| myPlan                          | The online performance planning tool that supports professional staff and supervisors to manage the performance development cycle.  |
| Paid outside work               | Remunerated work or professional development activity that staff undertake for an external party which is outside their normal university duties. For more information refer to the <a href="#">Paid outside work procedure</a> .   |
| Performance plan                | 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          | The person who is responsible for managing 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.  |
| Relevant personal circumstances | 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.   |
| Supervisor's meeting            | 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.   |

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| Unsatisfactory performance | <p>“Unsatisfactory Performance” means a persistent or significant failure of a staff member to perform the work of the position or appointment at a level which would be reasonably required having regard to:</p> <p>(i) the nature and purpose of the position;</p> <p>(ii) its classification and duties; and</p> <p>(iii) any representations made by the staff member at the time of selection for employment or promotion to their current level or position (Refer to the Enterprise Agreement and also to the <a href="#">Disciplinary Matters procedure</a>).</p> |
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## GOVERNANCE

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| Parent policy                    | <a href="#">Probation, performance and promotion</a>  |
| Supporting schedules             |   |
| Associated procedures            | <ul style="list-style-type: none"> <li>• <a href="#">Conflict of Interest</a></li> <li>• <a href="#">Disciplinary Matters</a></li> <li>• <a href="#">Paid Outside Work</a></li> <li>• <a href="#">Professional Staff Probation</a></li> <li>• <a href="#">Professional Development &amp; Education</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                  | Director, Workplace Relations   |
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| Content enquiries                | <a href="#">ask.monash</a> or phone Monash HR on (03) 990 20400   |