



MONASH University

Performance Management for General Staff

Information and Guide Book 2006

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1. Principles and Objectives of Performance Management

The staff of the University are recognised as its key resource. It is important that all staff are actively involved in planning their ongoing development and continual improvement in performance.

Performance management is the process of planning, measuring, evaluating and managing work and work-related outcomes, and ongoing acquisition and development of skills. Performance management benefits both the University and its staff. The performance management process ensures all staff are working in alignment with the University's directions and goals, and provides input that can be used to inform a range of human resource management activities such as the provision of relevant training and development opportunities.

What is performance management?

Performance management is the ongoing, formal and informal process whereby supervisors and staff communicate throughout the annual planning cycle, to:

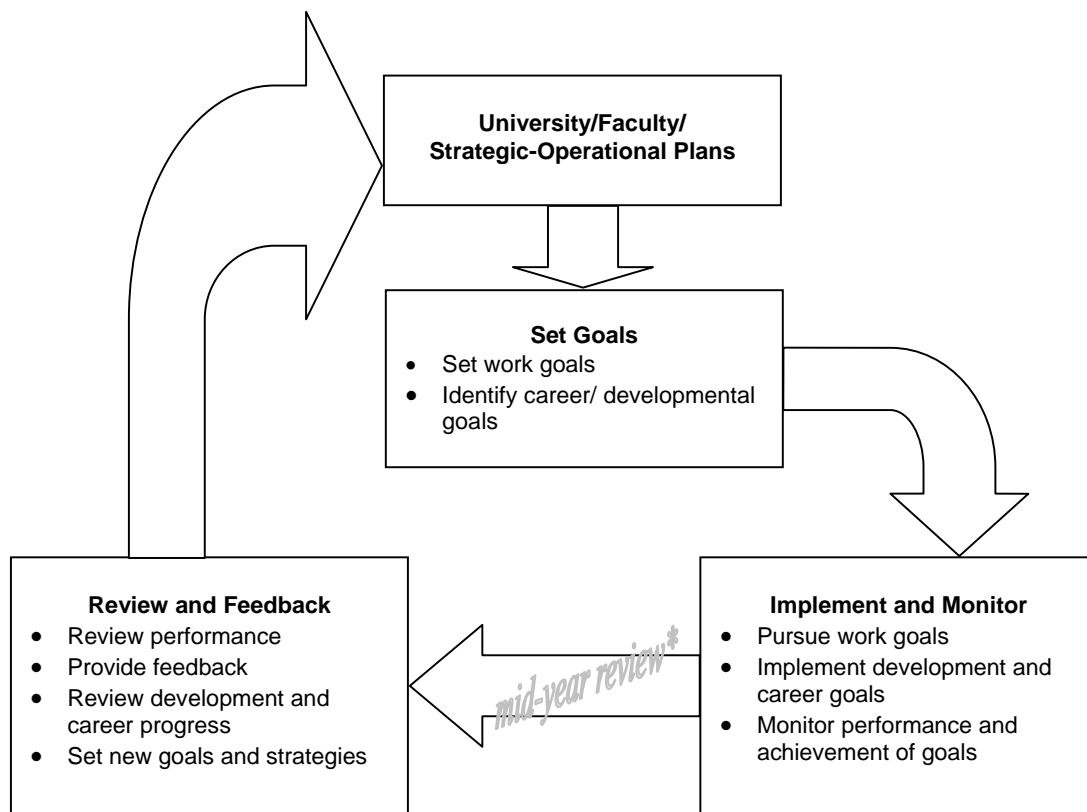
- ensure the staff member understands the goals of the University as a whole, and those of the Faculty / Division and the specific work unit;
- set the staff member's own work goals, and ensure they fit within and are part of the broader University goals;
- identify the staff member's development and career goals and how these might be pursued through developmental strategies;
- assess how the staff member has performed against the goals of the previous cycle, and ensure the staff member has enough feedback to understand his/her performance, celebrate his/her achievements, and maintain or improve performance in the future; and
- complete a range of related University human resource management processes (eg probation, incremental progression, work redesign, etc).

Informal performance management occurs regularly, as staff and supervisors discuss, plan and carry out work, evaluate the results, discuss ways to improve and set in place improvement and development strategies.

Formal performance management operates on an annual cycle, so that the key steps are regularly carried out.

The Performance Management Cycle

Each Faculty/Division will establish its own specific annual cycle for performance management, and all general staff should be aware of the timing of each of the annual steps in the cycle for their particular work unit. The diagram below outlines the formal performance management cycle.



** Whilst the formal performance management cycle occurs on an annual basis, it is recommended that a mid-year review also be undertaken in addition to regular informal feedback.*

Benefits of performance management

Performance management benefits the individual staff member, the faculty/division and the University as it provides an opportunity for:

- role clarity;
- discussing work related issues and developing solutions;
- formally reviewing performance and the achievement of agreed goals and objectives;
- two-way face to face feedback;
- linking individual performance to broader strategic plans and key objectives;
- discussing work goals and identifying training and development needs;
- recognition of good performance and achievements; and
- discussing and planning for career development.

2. The Monash University Performance Management Scheme for General Staff – The Enterprise Agreement 2005

The Monash University performance management scheme for general staff is set out in Clause 62 of the *Monash University Enterprise Agreement (Academic and General Staff) 2005*.

62. General Staff Performance Management Scheme

Preamble

62.1 Performance management at Monash University encourages the development and maintenance of a culture of continuous improvement within a productive, positive and harmonious work environment, where staff and supervisors work in partnership to achieve personal and professional goals aligned with the strategic and operational objectives of the University.

62.2 This scheme is applicable to all general staff (full-time or part-time, but excluding casual staff) inclusive of those at the top of the incremental scale.

62.3 The objectives of the performance management scheme are as follows;

- To ensure role clarity and reach agreement on annual goals of the position;
- To link individual performance and development planning to the goals and priorities of the work unit/department and the University more broadly;
- To provide feedback to the staff member and supervisor on a regular basis throughout the annual performance and review cycle; (hereafter “annual cycle”);
- To determine appropriate training in relation to the position and for career development purposes;
- To formally review, at least annually, achievement of agreed goals and provide feedback on performance based on self-assessment and discussion with the supervisor and/or the Head of Administrative Unit;
- To provide the basis for evaluative judgments to be made in relation to incremental progression; and
- To plan performance goals and staff development/training activities for the next annual cycle

Incremental Progression

62.4 Incremental progression will be based on an assessment of satisfactory performance in accordance with the provisions of 62.9.

Initial meeting - establishing the performance and development plan (“the plan”) planning meeting

62.5 The staff member and the supervisor will meet to agree on manageable goals and objectives to be pursued during the forthcoming annual performance and review cycle. The goals, against which to assess whether or not satisfactory progress has been made and method of assessment, will be documented in “the plan” and a copy kept by the supervisor and the staff member.

62.6 Prior to undertaking supervisory responsibilities of the performance management scheme, each supervisor should complete training in the scheme and methods of giving feedback.

Regular discussion and ongoing, informal feedback

62.7 The supervisor and staff member will meet regularly during the annual cycle to discuss:

- the progress in achieving the goals and the support required;
- where necessary, any updated goals to reflect the changes to the work unit/department's plans and priorities. The method of establishing satisfactory progress toward them will also be updated to take into account the shortened timeframe available.

Where applicable, changes to the staff member's performance and development plan will be noted, including reason for changes required and a copy kept by the supervisor and the staff member

Formal review meeting

62.8 At least three months and no more than four months, before the increment of a staff member falls due, or the anniversary of appointment in cases where the staff member has reached the top of the incremental scale for that classification, the supervisor will convene a meeting at a mutually agreeable time, to review the staff member's performance over the past review period against the Plan .

62.9 Where the staff member has made satisfactory progress, this will be noted in writing and a copy provided to both supervisor and staff member at the conclusion of the interview and the increment will be paid at the due date.

62.10 Consideration will be given to granting accelerated increments within the level in cases where it can be clearly demonstrated by the supervisor that the staff member has consistently exceeded the agreed performance level. Administrative units must have the capacity to fund such payments from within existing resources.

62.11 Where the staff member has not made satisfactory progress towards meeting the goals of the plan for reasons which are within the staff member's control, the supervisor will identify in writing the factors which have not been satisfactorily met. The report will specify the improvement required to achieve the goals and objectives, or satisfactory progress towards them, within the remaining timeframe and a copy will be provided to the supervisor, the Head of the Administrative Unit and the staff member within five working days of the interview.

62.12 One month before an increment falls due, a staff member in receipt of advice under clause 62.8 above, will again meet with his or her supervisor to confirm whether or not the performance factors set have been met. Where they have, the staff member will be advised that the increment will be paid at the due date. Where they have not, the staff member will be advised in writing of the reasons that an increment will be withheld. A copy of this advice will be forwarded to the head of the Administrative Unit and the Divisional Director (Human Resources).

62.13 A recommendation to withhold an increment may only be made by a supervisor or Head of Administrative Unit who has received training in performance management.

Review of the performance management process and the decision to withhold an increment

62.14 Prior to undertaking supervisory responsibilities of the performance management scheme, each supervisor should complete training in the scheme and methods of giving feedback.

62.15 Where a disagreement arises between the supervisor and staff member about the setting of aims and objectives and this disagreement relates to workload, the process referred to in clause [63.8](#) may be accessed.

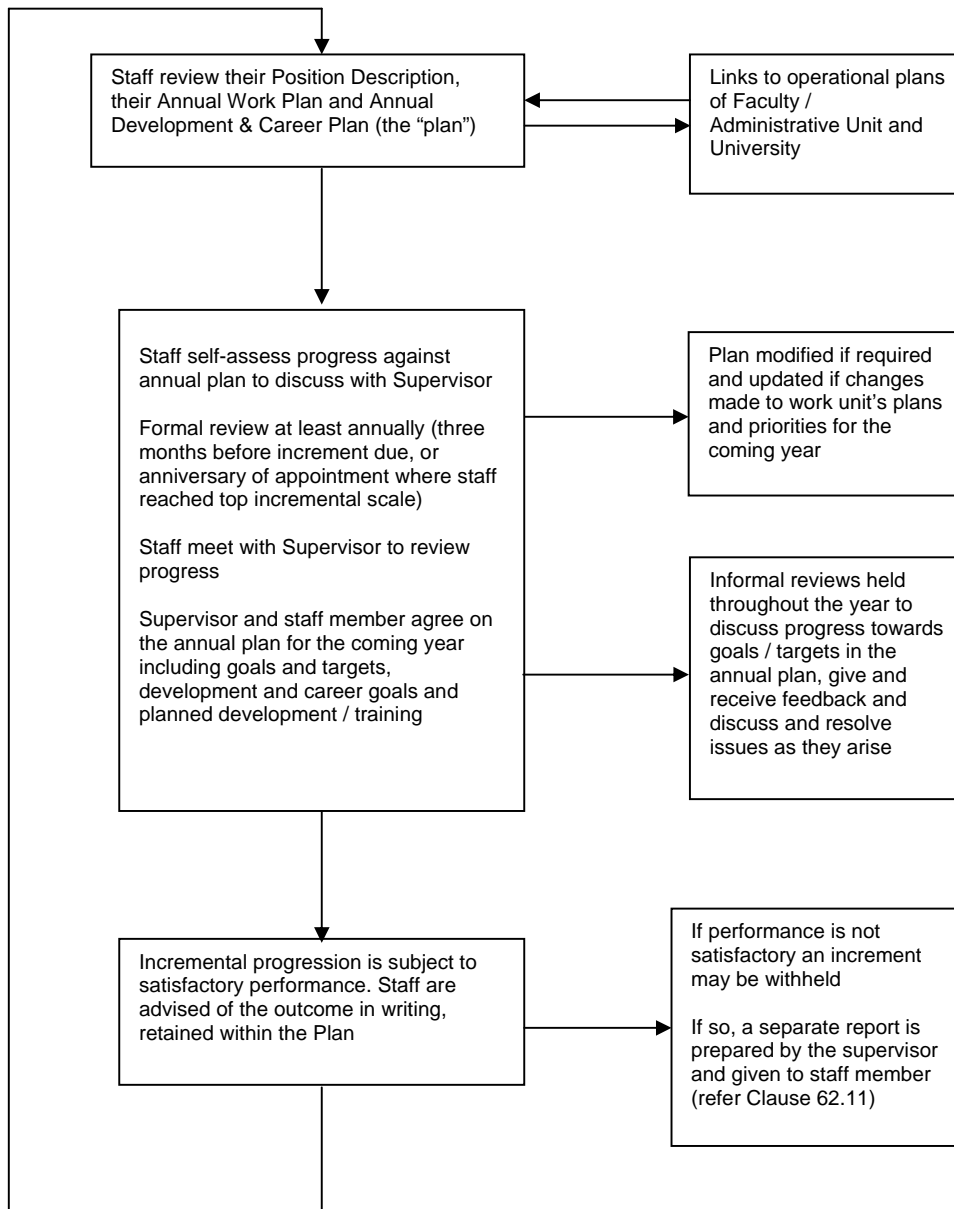
62.16 The staff member may seek a review of the decision to withhold an increment, by written application to the relevant Divisional Director or Dean. A nominee each of the relevant Divisional Director or Dean and of the chairperson of MUSIC, drawn from a pool of elected staff members of the University in accordance with Clause [12](#) will consider the merits of the case. Persons ineligible for nomination will include the staff member concerned, the staff member's supervisor or Head of Administrative Unit or any staff member subject to the direction of that supervisor or Head of Administrative Unit, practising barristers or solicitors, or any person not a staff member of the University.

62.17 An increment is not to be withheld other than by utilising these procedures, subject to clause [52](#). Nor will it be withheld in circumstances where a staff member can demonstrate that he/she has been denied staff development and/or training necessary to achieve the goals or objectives agreed to be satisfactory performance in the position.

3. The Performance Management Scheme for General Staff

3.1 The Steps:

The steps in the annual cycle of the Performance Management Scheme for General Staff are summarised below.



3.2 The Documentation (The Annual Plan or “Plan”)

The Plan covers the forthcoming annual cycle and is prepared by the staff member in consultation with the supervisor, within the context of University, Faculty / Division, and work unit plans. The Plan forms the basis of all of the actions in the Scheme. The staff member and supervisor will collaborate in the preparation of the Plan, and the supervisor will approve the Plan at the beginning of the annual cycle.

The Plan consists of a number of parts, for which a pro forma document has been developed. The content and purpose of the parts of the plan are described briefly below.

a) The Annual Work Plan

The Work Plan comprises:

- The *key responsibilities* of the staff member’s position – ie the major areas of work (NB these will generally be taken from, or at least be consistent with, the staff member’s position description);
- specific *work goals* for the staff member for each key responsibility for the forthcoming cycle;
- *targets* for each work goal – ie specific measures that will show whether each goal has been achieved; (NB targets can be quantitative, qualitative or both, and should include timelines for when goals are expected to be achieved, within a manageable workload for the staff member and taking into account events occurring during the year);

b) The Development and Career Plan

- the development goals of the staff member (particularly including any professional development required of the staff member by the work unit, Faculty / Division or University plans);
- the career goals of the staff member
- planned professional development including training to meet the development and career goals; and
- resources required for the planned professional development.

c) Progress Report (the final column of the Plan)

At the end of the annual cycle the staff member is required to ‘self-assess’ performance against the work goals and targets in the Plan and to assess progress towards achievement of the development and career goals. The completed Progress Report column will form a basis for the review discussion with the supervisor.

The Progress Report provides a summary of the staff member’s achievement against the Plan established for the previous year - ie identifying the areas where work goals/expectations have been met or exceeded as well as identifying areas of performance which require improvement, including any mitigating circumstances;

d) Additional Comments

This space in the Plan provides the staff member and the supervisor with the opportunity to make additional comments in relation to such things as:

- outstanding achievement
- mitigating circumstances for targets not yet met
- identifying significant changes in work design and role
- recommendations in regard to position description revisions.

e) The Position Description

An updated position description, reflecting current duties and commensurate with the staff member's HEW classification level should be attached to the annual plan. The position description provides the broad parameters within which the staff member's annual plan is formed. Staff members should review their position description prior to their annual performance review meeting so that in consultation with the Supervisor adjustments can be made where necessary. The current classification processes for the University continue to apply.

3.3 Outcomes of the Performance Review

The supervisor will indicate in the Plan whether or not satisfactory progress has been made, or not yet made. Incremental progression is subject to satisfactory performance. In relation to incremental progression, it should be noted that:

- an increment may be withheld if the supervisor identifies that the staff member has not satisfactorily met the agreed goals for the cycle under review. Where this is the case, the process set out in the *Monash University Enterprise Agreement (Academic and General Staff 2005, Clause 62.11)* should be followed. It should also be noted that a decision to withhold an increment is subject to review (*Clause 62.16*) if sought by the staff member.

3.4 Retention of the Performance Management Scheme Documentation

The staff member and supervisor should each retain a copy of the documentation. The documentation has the legal status of a personnel file, and the supervisor's copy should be appropriately retained by the University.

4. Role of the Supervisor and the Staff Member – An Action Checklist

The performance management process should be undertaken as a partnership between the staff member and the supervisor with both taking active roles deriving benefits from the process.

The Checklist below provides some guidance to supervisors and staff on their roles in undertaking performance management.

<i>At the beginning of the annual cycle:</i>	
1	Be aware of the Faculty / Division performance planning cycle dates, including: <ul style="list-style-type: none"> • <i>when documentation must be submitted;</i> • <i>when review meetings will occur; and</i> • <i>when performance will be reviewed.</i>
2	Staff to obtain the required pro forma documentation for the scheme.
3	Staff to review position description with supervisor, and ensure it is current and accurate.
4	Supervisor and Staff to consider the University, Faculty / Division, and work unit plans – and their impact on the staff members' work.
5	Staff to draft work goals, targets and timelines for the coming cycle.
6	Staff to draft immediate development needs and strategies, and if appropriate, longer term career goals and strategies, for the coming cycle.
<i>At the end of the annual cycle:</i>	
7	Supervisors to review the plans of each staff member for the previous cycle, and assess their performance against the work goals, and their progress against the developmental goals. Supervisors to consider the kind of feedback that would be useful for each staff member. Staff to assess own performance against the year's plan – both performance against work goals and progress towards developmental and career goals, and formulate examples of performance to illustrate the self-assessment. All staff complete the Progress Report column of the annual plan.
8	Prior to the review meeting, Supervisor to consider the feedback to be given, the decisions to be made about performance (eg probation, satisfactory progress, incremental progression), and amendments to each staff member's plan for the coming cycle. Supervisor to prepare to meet with staff and communicate the meeting time well in advance.

	Staff to consider how to present own performance against last year's plan, how to present (draft) new plan, what is important to have clarified and discussed, what feedback is needed.
9	Review meeting held to: <ul style="list-style-type: none"> • discuss performance against last year's plan; • discuss plan for the coming cycle; • agree on the outcomes from the meeting; and • agree further action (eg draft plan for the coming cycle to be modified and resubmitted).
10	Supervisor to advise staff, in writing, of agreed outcomes from the meeting and ensure any required action is taken.
<i>Throughout the annual cycle:</i>	
11	Throughout the cycle, Supervisors and Staff to monitor and assess progress in relation to the work and developmental goals in the Staff member's plan, in particular: <ul style="list-style-type: none"> • what has been achieved, what has been delayed and why, what changes have occurred that should be reflected in the plan; • note progress; and • discuss issues as they arise (including any necessary changes to the plan and/or the position description) and Supervisors to provide feedback.