



THE UNIVERSITY OF SOUTHERN QUEENSLAND



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Introduction & Definitions

In order to achieve and sustain high levels of work performance it is an ongoing necessity to review recent performance with the aim of finding better ways of doing things and eliminating or reducing inefficiencies. This frees scarce resources for use in initiatives, which contribute to the University's development. This development therefore requires that the University as a whole embraces a culture of constructive reflection on previous performance and against measures which promote the achievement of individual and collective excellence.

The development and performance of the University is dependent on aggregated efforts at the individual level, including the synergies produced from team-based activities. Managing performance in an effective way means monitoring work activities and assisting individuals to develop within a collaborative and collegial work environment.

The recognition of achievements through constructive and supportive feedback and evaluation is an obvious benefit that will flow to employees and supervisors. Performance management and development will provide a medium for the clarification of the respective roles, responsibilities and expectations of employees and supervisors that will facilitate effective planning and the achievement of goals within the faculty/section. As a consequence, it is anticipated that there will be an improvement in relationships, morale and efficiency, which will pay dividends in terms of the achievements of the University.

Over time, the BUILD program will be refined and adjusted in recognition of the diversity of disciplines, employees and services across the University.

The following key terms used in this document require definition:

- **Academic Employees.** Refers to all continuing and fixed term academic employees who are appointed for more than 12 months and therefore required to participate in the BUILD Program.
- **Interim Review.** A form that the appraisee completes initially which serves as a summary of his/her work activities during the nominated period. Ideally, this should be done at least once per year (although it is optional), but additional reports can and should be used to support work achievements. These reports are the basis of the reflective part of the Performance Management and Development Review, where there is an evaluation of progress towards the achievement of preset goals.
- **Aggregated Data.** In the context of BUILD means feedback presented in the form of grouped data, whereby individual accounts, and therefore individuals, cannot be identified.
- **Annual Feedback of Supervisor Performance.** Form D from the suite of forms used in BUILD. The data collected should be discussed during the supervisor's own annual review of work performance, but must only be made available to the supervisor in aggregate form. This is an optional review.
- **Annual Review of Team Performance.** Form E from the suite of forms. This review should be carried out by general staff and academics, in work areas characterised by team-based activities. The information collected can be used where

appropriate in the Performance Management and Development Review. This is an optional review.

- **Appraisee.** A synonym for employee – the individual whose work performance is managed, reviewed and developed.
- **Attributes.** Refers to the skills or competency domains by which individual work performance is reviewed. These competencies may be either applicable to particular jobs (Specific Attributes) or inherent in a broad cross-section of positions (Generic Attributes).
- **BUILD.** The acronym (**B**uilding **U**pon **I**ndividual **L**earning & **D**evelopment) used to describe the USQ performance management program which is aimed at developing and supporting the individual to operate effectively and in alignment with University objectives.
- **BUILD File.** An employee’s file which records all documentation associated with the BUILD Program. The supervisor has primary responsibility for securing and maintaining these files.
- **Competencies.** Used synonymously with ‘attributes’ and ‘skills’ these are the domains on which individual work performance is reviewed.
- **Competent Performance.** Recognition by the BUILD Program that the majority of employees work towards and achieve their performance objectives, but that this must not deter supervisors from providing ongoing support.
- **Delegate or Relevant Delegate.** Delegations are described in Section A2 of the Human Resources Policy Manual.
- **Division.** A term which describes the parts into which the University is divided at the broadest level, for academic and administrative purposes.
- **Effective Performance.** Denotes individual work performance whereby the mutually-agreed goals preset by appraisee and supervisor are, at least for the most part, achieved.
- **Employee.** Equates to ‘appraisee’, both general and academic employees, the individual whose work performance is managed, reviewed and developed.
- **Goal Setting Plan.** By mutual agreement between employee and supervisor, clear objectives are set for the next twelve months.
- **Generic Attributes.** The skills or competencies present in a broad cross-section of positions.
- **General Employees.** Refers to all continuing and fixed term general employees who are appointed for more than 12 months and therefore required to participate in the BUILD Program.

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- **Key Performance Indicators.** The descriptors used to assign performance on any skill, attribute or competency, into the relevant category. The category generally reflects whether or not performance has been effective and sufficient.
 - **Performance Management and Development Review Form.** Form C from the suite of BUILD forms. The most formal part of the BUILD program, this annual review is carried out in a collaborative way by the employee and supervisor, with the aim of evaluating performance over the preceding twelve months, and in an objective way. Performance is assessed against general and specific attributes, skills or competencies, which are associated with effective performance of that particular job.
 - **Performance Management and Development Review Meeting.** In addition to the above, a key part of the annual review meeting of the employee and supervisor is the revisiting and (likely) readjustment of performance objectives for the next twelve months. It should be noted, there are both reflective and forward-looking aspects to this review exercise. Interim Reviews, which are retrospective, and the Goal Setting Plan are both discussed during the Performance Management and Development Review meeting.
 - **Mentoring.** In the context of the BUILD Program, relates to the guiding and coaching role subsumed in all supervisory positions. That is, it is incumbent on all USQ supervisors to assist in an active way in the development of all employees who report to them.
 - **Performance Management.** A systems approach to developing people, which includes the setting of performance objectives, reviewing performance against these objectives, identifying where and why there may be deficiencies in performance, mobilising support mechanisms, such as training programs to remedy the deficiencies, and acknowledging effective performance.
 - **Performance Review.** A generic term that usually refers to the review process: the act of reviewing performance against preset objectives.
 - **Self-assessment.** A review of the individual's performance against specific criteria and carried out by the individual employee.
 - **Skill Areas.** See also 'attributes' and 'competencies'. These terms are used interchangeably throughout the BUILD documentation
 - **Strategic Planning.** The expression of desired future directions and targets for the University and the means for their achievement.
 - **Supervisor.** In the context of this document, equates to 'appraiser'. It follows that some individuals will act as appraiser and appraisee at various times.
 - **Training.** All persons who have a supervisory role are required to attend and complete a joint information session/training program designed specifically to equip them to be effective users, coaches and managers of the BUILD program. In addition, all who have their performance reviewed through the BUILD Program are required to complete training for appraisees.

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- **Unsatisfactory Performance.** The worst case scenario where an employee's work performance fails to meet minimum acceptable standards and after reasonable attempts at corrective action by the supervisor (such as informal counselling) has not achieved the desired improvement. In such cases the supervisor may choose to initiate action under the University's Policies on Managing Unsatisfactory Performance, specifically Section G2 of the Human Resources Policy Manual.

1 Objectives

1.1 The Mission

The Mission of the University of Southern Queensland is to develop, enrich and serve its regional and global communities.

The University of Southern Queensland works with its stakeholders to develop a knowledgeable and cultured society enriched through learning, scholarship, research, intellectual engagement and social equity. The University serves its multicultural community by preparing global citizens for life-long learning in a diverse and changing world. The University maintains its ability to pursue its Mission through a continual process of introspection, analysis, integration, innovation and improvement.

1.2 Values Statement

In pursuit of its Mission, the USQ commits to the following values:

- supporting life long learning, scholarly excellence, intellectual integrity and academic freedom
- supporting research and development that contributes to new knowledge and a better quality of life
- responding to changing needs without compromise to quality
- supporting real innovation rather than change for change sake
- ensuring participatory and inclusive decision making
- appreciating the importance of open engagement and meaningful partnerships
- recognising the contribution made by individuals
- remaining accountable and transparent
- ensuring an environment that is safe, supportive and stimulating
- supporting social justice and multiculturalism and appreciating the value of difference and diversity
- caring for the individual through approaches that are fair, inclusive and equitable
- improving the quality of its operations as a learning organisation
- managing a sustainable development into the future
- providing service of high quality.

1.3 Vision Statement

The Vision of the University of Southern Queensland is to be Australia's leading transnational educator.

The University of Southern Queensland is a learner-focussed and community-oriented university which is committed to flexible distance and on-campus education. It is highly regarded for its learning and teaching excellence, focussed research and enterprise, multiculturalism and effective engagement with the community. The University will be acknowledged by graduates, governments and industry as Australia's leading transnational educator, delivering programs, characterised by currency and relevance, through a network of university cities within and beyond the nation. It will continue to improve learning and increase access through innovative pedagogy and the creative use of technology.

1.4 Outcomes

In the context of the above mission, values and vision statements, it should be acknowledged that the performance of the University of Southern Queensland will ultimately be judged upon its agreed outcomes, that is, the extents to which:

- employees acquire appropriate knowledge, skills and attitudes which enable them to contribute in productive and rewarding ways in a modern society characterised by changing technological, socio-economic, cultural and physical environments.
- its research, extension and development activities meet society's expectations in addressing usefulness and relevance criteria as well as making a significant contribution to the body of knowledge on humanity, behaviours and the totality of the environment surrounding us.
- its community service liaison activities contribute positively to the regional community.
- its administrative support facilities and structures assist with the achievement of the desired outcomes.

1.5 BUILD Program Objectives

BUILD is a management for performance system, which aims to create a positive achievement environment with systematic opportunities to encourage and empower employees to align their personal goals and achievements with those of the University of Southern Queensland. As approved in the Interim Report to VCC (2001) the BUILD objectives are:

- to reinforce the message that sound and effective management is dependent on continuing discourse between managers and those they manage.
- to have University employees committed to the value of monitoring and reviewing performance.
- to provide the university community with a vehicle for articulating and facilitating individual developmental opportunities.

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- to develop and illustrate best practice in the area of management of human resources throughout the USQ workforce.
 - to provide a workable framework for managing performance.
 - to remodel performance management while accommodating contemporary practices in the new program.

2 Context for BUILD

2.1 Process

In order to ensure the system delivers optimum outcomes for individuals, work units and the University, the following elements are embedded in the BUILD Program design, viz. the process is:

- *continuous*, involving regular monitoring, coaching and feedback;
- *confidential*, whereby the outcomes of the review process are protected by limiting access to the data as is consistent with the developmental focus of the BUILD Program and in line with Privacy Principles as outlined in <http://www.usq.edu.au/legaloffice/privacy/default.htm>
- *endorsed* formally through the *Performance Management and Development Review* of performance;
- *strategic* for both the individual and the faculty/section through clarification of roles, responsibilities, expectations and the alignment of goals;
- *accurate and fair*, in the sense that the supervisor and designated appraiser in all cases must be the person who has the greatest familiarity with the appraisee's job and work performance;
- *evaluative and formative* in a developmental context;
- *transparent* in relation to expectations among employees regarding workplace matters such as workload, resources, support systems and so on so that all are better informed as to their roles within the University;
- *supportive* of the development of individual autonomy, responsibility and accountability through reflective self-evaluation;
- *relevant* to decisions in relation to probation, confirmation of appointment, incremental progression, study leave, and to the initiation of procedures associated with unsatisfactory performance, and for academic employees only, promotion, teaching and research grants; and
- *consistent* with the principles of equal opportunity.

The University recognises that an individual's performance cannot be evaluated adequately without consideration of the context in which the individual works. It may be expected, therefore, that the work environment will include the clear and unambiguous articulation and communication of goals and policies and the specification of roles and responsibilities in a way that encourage synergies while not inhibiting creativity.

2.2 Assumptions About Employees

Typically, employees approach their work and career from a positive and optimistic frame of reference. In this context it is assumed that they want to:

- enjoy their work;
- maintain high levels of morale;
- succeed and have their achievements recognised;
- receive constructive guidance and support;
- be proud of the achievements of the area in which they work and of the University as a whole,
- achieve the highest level of personal autonomy within the context of their work;
- work within a non-threatening environment; and
- value their contributions as members of various teams.

2.3 Responsibilities

The management of performance is a continuous process of engagement between a supervisor and an employee based on total confidentiality, mutual trust, respect and support. In this context, the BUILD Program embraces the following assignment of responsibilities.

2.3.1 The employee is primarily responsible for:

- continuous self-review aimed at the achievement of a high level of performance and continuous personal and professional development;
- demonstrating and evaluating the quality of his/her performance;
- highlighting work achievements in the last 12 months;
- identifying and resolving problems or concerns they have had during the year which might have interfered with their agreed *Goal Setting Plan*;
- clarifying and pursuing his/her own learning and development needs; and
- acting on constructive feedback.

2.3.2 The employee's designated supervisor is responsible for:

- familiarising with the employee's job and work performance;
- providing developmental support to enhance the employee's personal and professional effectiveness;
- honest, constructive and confidential evaluation of the employee's performance;
- promoting a supportive and cooperative work environment;
- discussing issues related to the employee's workload;
- ensuring currency of training as a supervisor;

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- making recommendations on probation where applicable;
 - recognising and acknowledging good/effective performance; and
 - identifying poor/non-effective performance.

The supervisor and the employee are jointly responsible for engaging in constructive and objective discussions about performance and development goals.

2.3.3 The University is responsible for:

- providing suitable training for staff in supervisory roles;
- the appropriate allocation of responsibilities and resources to promote the development of the individual in the context of the development of the faculty/section; and
- providing suitable infrastructure to facilitate a monitoring and mentoring orientation to managing for performance.

3 General Principles and Process

3.1 General Principles

The BUILD Program embodies the following principles:

- (a) to be meaningful, effective and efficient, adding value for individuals and the University. The effort and time commitment devoted to this activity should be monitored and managed by both the individual employee and their supervisor;
- (b) to establish a rewarding work environment in which employees are committed to achieving the University's desired outcomes;
- (c) to promote responsibility and commitment by ensuring that employees:
 - have a clear understanding of the strategic educational and business directions of the University as they relate to University outcomes;
 - a clear understanding of their roles in contributing to such outcomes;
 - a clear understanding with regard to expectations of their performance in doing so;
- (d) to promote learning and development by which the University provides opportunities for employees to engage in continuous learning;
- (e) to promote transparency and the clear and unambiguous transmission of strategies, policies and on-going dialogue and feedback, both upwards and downwards. These information flows should ensure effective, relevant and timely communication both from and to USQ senior management;
- (f) to be fully linked to the Strategic Plan of each Faculty or Section and the relevant subsection, and through these to the USQ strategic Plan, Mission, Vision and Values; and
- (g) to embrace the principles of equity, natural justice and impartiality.

3.2 Alignment with Strategic Planning

The system is aligned with the strategic planning process of the University, as follows:

University Strategic Planning

The University Strategic Planning Process led by Council and involving the University community has established and will continue to provide five year quantitative projections and targets, informed by longer term views of the future operating environment and directions for the University.

Division Performance Planning

Management of the Division identifies their desired outcomes (Goals), Key Performance Objectives, and Key Performance Indicators. These will form the basis for future planning and continuous quality improvement throughout the Division. Quantitative and qualitative evaluation criteria will be established which are specific and relevant to the Division.

Faculty/Section Performance Planning

The manager of a faculty/section will be responsible, in consultation with staff, for identifying the section's Goals, Key Performance Objectives, Key Performance Indicators, and developing strategies for improving the work of the faculty/section. These will form the basis for future planning and continuous quality improvement. Quantitative and qualitative review criteria will be established which are specific and relevant to the faculty/section.

With reference to employees, the faculty/section may conduct a review of the operation of their team/s by use of the *Annual Review of Team Performance*. This survey identifies factors relating to effective team functioning and enables individuals to make an assessment of their team's effectiveness. This information may be used as part of the process of individual performance reviews.

Establishing Individual Standards of Performance

The University supports the development of normal expected standards of performance for individuals with some provision for variations in different Faculties, Departments or Sections. These standards are currently recognised in position descriptions, academic promotion criteria and Faculty interpretations of these criteria.

Individual Performance Planning and Review

Individual employees, in consultation with their supervisor, identify individual performance objectives, which will align individual performance tasks with the desired outcomes of the Section/Faculty/Division and University.

Recognition and Acknowledgement of Performance

A critical part of the Supervisor's role is the coaching and guiding of individual employees. The pursuit of various competencies requires ongoing monitoring and guidance, and individuals must be provided with suitable feedback on progress towards these goals. Employees are far more likely to commit to skills development where the workplace ethos reflects this developmental orientation. Closely associated with this is the provision for recognition of achievement of these goals.

Effective management necessarily includes providing this recognition and acknowledgement of good performance. This provision completes the BUILD cycle and reinforces the value of working in a monitoring and mentoring environment. It is therefore inherent in the supervisor's role to provide this acknowledgement where appropriate. The BUILD supervisors' training program reinforces and facilitates this message.

4 Supervisor Role

4.1 Assignment of Supervisor

Every employee will be assigned a supervisor who will have the authority to conduct Performance Reviews. Under normal circumstances the supervisor will be the "head of school/department", "head of section", "Dean of Faculty" or similar senior officer. In an academic department, the "head" may be of junior academic rank to some members of the department, but by virtue of their appointment as "head", will have the authority to conduct Performance Reviews.

It is noted that in some instances, an employee may routinely carry out job responsibilities which fall outside the norm to the extent that some person other than the supervisor may have a more accurate appreciation of the appraisee's performance in these areas. It is expected that the supervisor would actively seek feedback from this person for the purposes of a more accurate review. In such instances, while there may be a need for input from more than one supervisor, nevertheless the review itself must be carried out by the designated supervisor who has the greater supervisory responsibility.

Effective performance management occurs when the appraiser/appraisee situation mirrors the normal supervisor/employee reporting relationship. Existing practices, such as where secretarial or administrative employees are reviewed by an academic, are unchanged, provided the latter has primary responsibility for the organisation of the appraisee's work. In all situations where the appraiser does not have familiarity with the appraisee's work, it is incumbent on the organisation unit manager to negotiate an alternative arrangement with the Manager of Workforce Practices, Human Resources.

It is also recognised that in some instances a supervisor may have a relatively large number of employees to supervise and it may not be feasible for meaningful Performance Reviews to

be conducted on all who report to that supervisor. Depending on the level of appointment of employees and their level of autonomy in their respective roles, the number of employees to be reviewed by the supervisor should not normally exceed 15 persons. (Where too many employees report directly to a supervisor or where there may be a conflict of interest, another member of staff may be assigned to conduct the Performance Reviews. All parties must be informed where this is the case). Persons who receive this assignment must be trained in the processes of Performance Review.

5 Training

5.1 Supervisor Training

A detailed knowledge about how the new system works, and a clear understanding of the benefits of committing to the BUILD Program, are important to ensuring the program meets the needs of individuals, faculties or sections, and the University.

The role of the supervisor includes that of allocator of work, coach, guide, mentor, facilitator of improvement and evaluator. It is a role that requires special sensitivity. Supervisors will be trained in the purposes and techniques of the process and all parties will be made aware of the nature of the procedures and the intended outcomes.

No person can assume the appraiser role until they have completed the specified BUILD training. This training must include, but is not limited to:

- Making expectations clear
- Planning
- Providing timely and useful feedback
- Ensuring impartiality
- Monitoring
- Coaching
- Equity and natural justice
- Providing effective leadership and management

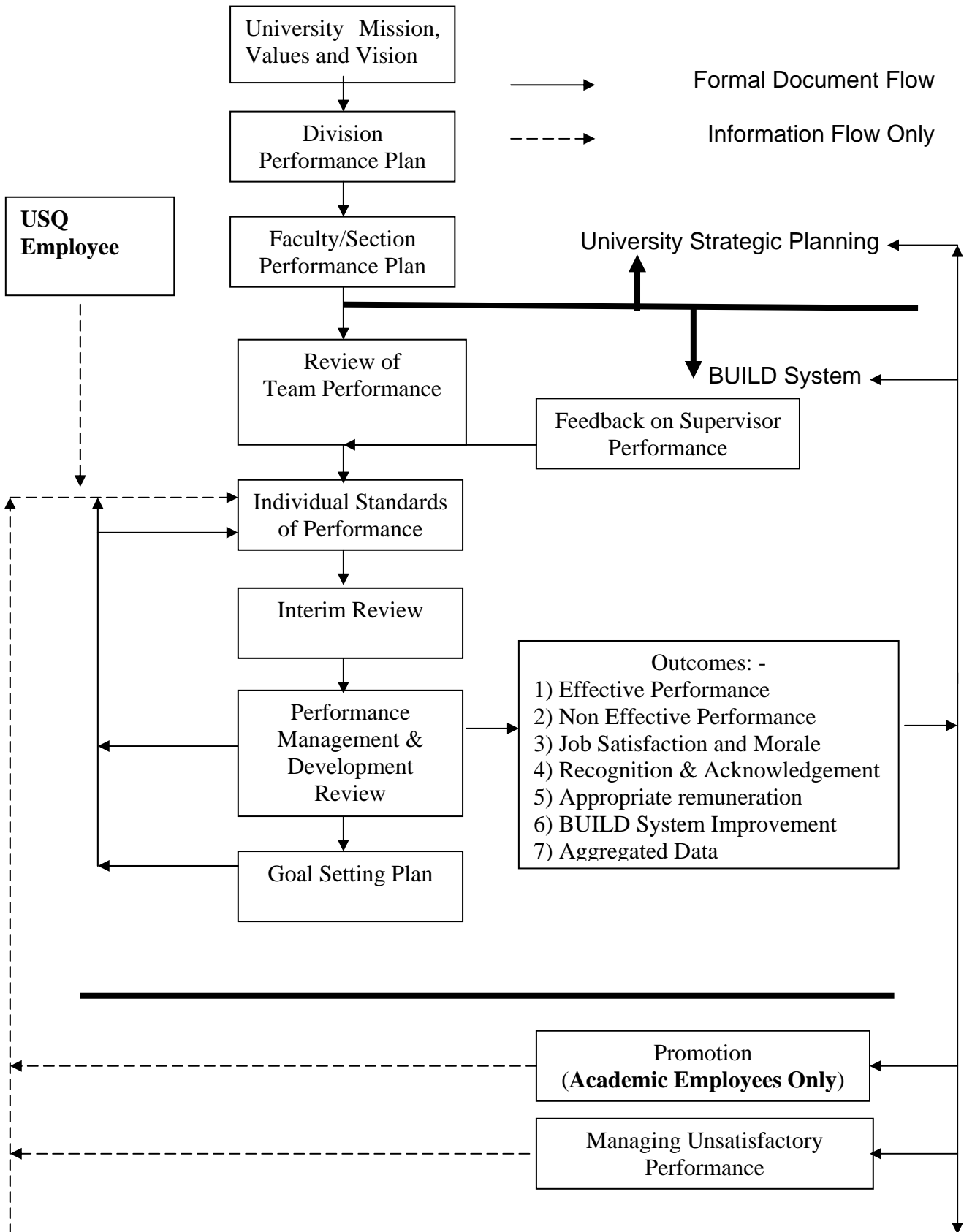
5.2 Employee Training

All employees covered by the BUILD Program are encouraged to complete the training specified and it is expected that such training will be completed before their first *Performance Management and Development Review*. In instances where this has not occurred, the training will be a mandatory requirement in their *Goal Setting Plan* for the subsequent year.

The training must include, but is not limited to, the following BUILD Program aspects:

- Objectives
- Context for BUILD
- General principles and processes
- Scope, frequency, timing and document sequencing
- Operational features
- Annual Activities Review
- Managing non-effective performance
- Value of objective and honest feedback, including on one's supervisor

Key Elements of BUILD
BUILD System Document & Information Flowchart



6 The BUILD Cycle

- The first step is for the individual employee and supervisor to discuss and agree on performance objectives for the review period, normally twelve months, which align individual performance objectives with the desired objectives of the Section/Faculty/Division and University. This activity is intended to give employees and the employer confidence that work endeavour and organisational effort are directed towards similar ends. The *Goal Setting Plan* is used for this purpose.
- The employee and supervisor both have a responsibility to monitor progress in meeting objectives. Some revision of these objectives may be necessary. This monitoring requires from both parties vigilance and regular communication, formal and informal, and some coaching and guiding by the supervisor is expected as part of the supervisory role. The *Interim Review* is used for this purpose. This interim review can be done more than once per year, at the request of either party.
- Towards the end of the review period employee and supervisor separately prepare for the *Performance Management and Development Review*, deciding in advance on any points to raise and noting these. The employee and supervisor discuss work performance during the review meeting. This review is based on reliable performance indicators, developed for the position being reviewed. Once agreement is reached on the employee's performance the cycle is repeated with the setting of new objectives, action plans etc It is expected that developmental and training needs will also be identified and discussed here, if not earlier through the interim *Interim Review*.
- The cycle of goal-setting, checking progress towards these goals and reviewing performance at the end of the review period is mandated also for probationary employees. However, requirements for probationers regarding their involvement with reviews of supervisors and review of team performance are less stringent. Further details about probationary employees and forms usage can be found in Section 7.
- Where the supervisor is about to have their own performance reviewed by their supervisor, the supervisor's supervisor will arrange for the supervisor's subordinates to complete the appropriate form. At this time the employee is required to complete a review of their supervisor, against criteria which are set out in the *Annual Review of Supervisor Performance* form. This review form must be sent direct to the supervisor's supervisor to form part of the supervisor's own review.
- Where appropriate and useful, there is provision for persons operating in teams to carry out a review of their team's performance. The intention is to look at ways to improve team functioning. The *Annual Review of Team Performance* is used for this purpose.
- Further detail on forms and their use can be found below in Section 7.

7 Description and Guidelines - Activities in the BUILD Program

This section describes in greater detail the various elements of the BUILD cycle as outlined in Section 6. The BUILD System flowchart depicts the main elements of the program. Initially it is based on the University Strategic Plan from which individual performance standards are distilled. Next comes the annual operational elements of the BUILD program, including the *Goal Setting Plan*, the *Interim Review*, and the *Performance Management and Development Review*.

To assist those who review managers and supervisors, the BUILD Program includes provisions for appraisees to provide feedback about their own supervisor. The *Annual Feedback on Supervisor Performance* form is designed to give the review process greater relevance and enable more accurate evaluations to be made. The Review of Team Performance, developed to accommodate that working in teams is often a fact of work life yet little attention is given to testing their efficiencies, completes the suite of forms.

These above operations produce outcomes which include the recognition of good work performance, and inform processes parallel to but outside the parameters of the BUILD Program, such as the Management of Unsatisfactory Performance. It should be noted that effectiveness depends on direct and indirect feedback of information at each phase in the program. This feedback completes the loop and reflects and reinforces a continuous improvement philosophy.

This section is necessarily lengthy. The intention is to communicate what the various BUILD-related activities are, how to go about each activity, and identify guidelines which serve to optimise the benefits for all. The benefits for the employee and the University begin with the arrival into the workplace of the new employee, and the monitoring and guidance provided to assist in their development.

7.1 Probationary Appointments

Probation enables a supervisor to assess an employee's ability to satisfy the requirements of a position, before employment is confirmed at the University. During the probationary period, the supervisor is required to meet with the employee at regular intervals to provide constructive feedback on work performance. Progress towards meeting job requirements is assessed and any deficiencies in performance should be identified. Where underperformance is identified and development is required, the supervisor and employee need to agree on strategies for development and improvement, and timelines for monitoring progress.

The BUILD program applies to all University employees. However, some BUILD processes may not be appropriate for all employees, particularly those on probation and in short term fixed-term appointments.

7.1.1 Variations in Probationary Requirements

For employees appointed for a period of **12 months or less**, a three month probationary period normally applies. It is the responsibility of the relevant supervisor to ensure that the employee's performance is monitored in these cases. The Interim Review (Form B) would be an ideal tool to use for this process, particularly for appointments of greater than three month's duration. The supervisor is responsible for monitoring the employee's performance and conducting and documenting reviews on a regular basis. During the probationary period, it is critical for the supervisor to address any issues of underperformance with the employee immediately. The supervisor should contact Human Resources, for assistance with managing issues of underperformance for probationary employees. Build documentation for these probationary employees must be maintained in the Faculty/Department on a confidential file.

Human Resources Policy D15 (Probationary Appointments) outlines all probationary requirements including timelines and the procedure for addressing unsatisfactory performance.

7.2 Goal Setting Plan (Form A)

The *Goal Setting Plan* is the mutual agreement, between the individual employee and his/her supervisor, of the employee's activity and developmental objectives for the next nominated period for review. In essence, it is a forward-looking exercise. For continuing employees it is discussed during, and is included in the annual *Performance Management and Development Review*. For new employees it is simply their initial job plan.

7.2.1 Preparing the Goal Setting Plan

- Activity goals are descriptions of the key roles and responsibilities that the employee will undertake in order to achieve the goals of the position and the organisation. Planning these goals involves the employee and the supervisor discussing what is to be done, how it may be done successfully, how achievement may be demonstrated and what the timeline for each goal should be.
- Development goals are professional and personal activities, which the employee may undertake in order to develop professional competency and enhance career effectiveness. Employees are responsible for identifying and reflecting upon these individual career development needs. This process is important because it contributes to overall work satisfaction and performance. This would ordinarily involve some level of self-assessment by the employee.
- An outcome of the goal-setting may be that the employee is interested in undertaking formal training or attending a conference relevant to the present position or career goals. Policies on study assistance and conference attendance are outlined in the Human Resources Policy Manual.
- Where it is identified that there are areas for improvement, the employee and supervisor should discuss and agree on developmental goals and an associated plan of activities for the following review period. These goals and the plan of activities will be supported by the supervisor and reviewed (via the completion of an *Interim Review*) during the course of the nominated period at the initiative of either party.

Where agreement is not forthcoming, the supervisor's supervisor must assume responsibility for this task.

- Where the supervisor and employee agree that a developmental goal has not been met, then consideration should be provided to continue progress towards achieving the goal into the following period of review. Alternatively, the goal may be revised if changing circumstances have prevented the achievement of the agreed performance goal.
- The Position Description or Duty Statement may be effective as a guide for developing the *Goal Setting Plan*.
- The *Goal Setting Plan* is to be signed off by the employee and supervisor

7.3 Interim Review (Form B)

The *Interim Review* is designed to enable constructive, formal feedback to take place during the nominated period, and as such supports the ongoing, cyclical nature of performance management. This optional *Interim Review* is an interim check, used to review progress towards mutually agreed goals, and provide the opportunity to discuss any difficulties relating to goals achievement, before such matters become the focus of the more formal *Performance Management & Development Review*. In many instances, such intervention will be helpful.

7.3.1 Preparing the Interim Review

- The report should be completed jointly by both the employee and the supervisor, against the attributes, activities goals and development goals as agreed in the preceding *Goal Setting Plan*.
- It should provide a brief but accurate 'snapshot' of achievements towards identified goals and creates an opportunity for goals to be revised in light of impacting factors such as changes within the faculty/section or the University.
- All *Interim Reviews* completed during the year should be tabled and considered by the employee and the supervisor in reviewing progress towards the achievement of goals, and the setting of goals for the next period of review (which occurs at the time of the Performance Management and Development Review meeting).
- Progress towards mutually agreed goals requires some supporting evidence. The responsibility for compiling this evidence lies with the employee. Progress towards goals should be substantiated by public information documents such as faculty workload formulae, teaching timetables, publication lists, work reports, and positive feedback wherever possible.

7.4 Performance Management & Development Review Form (Form C)

The *Performance Management and Development Review* form is completed by the employee and the supervisor and focuses on the activities of the employee during the nominated period. The Review uses information provided in the *Interim Review(s)* where appropriate. To ensure that the review of any employee is reliable and fair, various generic and specific criteria, or attributes, are used. It is expected that in preparation for the review meeting the employee will have completed at least one *Interim Review*.

With respect to the purposes of the *Performance Management & Development Review*:

- (a) the review process may be used by supervisors in giving advice to the employees on professional development;
- (b) for academic employees only, the review statements may be used when seeking promotion;
- (c) the review statements may be used by the Category Delegate in formal advice relating to the performance and career development of an employee;
- (d) there is an expectation that unsatisfactory performance will be formally recorded and addressed through problem identification and the development of strategies to address skill or knowledge deficiencies. On occasions when such strategies fail, a collateral but separate system assumes responsibility for the management of such unsatisfactory performance (please see Human Resources Policy Manual, Section G2, Managing Unsatisfactory Performance); and
- (e) the aggregated results may have a use outside the BUILD program from time to time. For example, the University may need the data to plot trends. In all instances, the anonymity of individual employees is assured.

7.4.1 Preparing for the Performance Management & Development Review

- The attributes to be evaluated in the *Performance Management and Development Review* will comprise generic attributes and those specific to the position. These attributes are described in Section 8.
- The appraisee fills in the *Performance Management and Development Review* form prior to the meeting with the supervisor.
- Expected levels of performance must be consistent with the duties in the position description and the USQ position classification standards (USQ Levels A-E for academic employees, and the appropriate USQ level for general employees).

7.5 The Performance Management & Development Review Meeting

The objective of this meeting is to reinforce the need for the employee and the supervisor to meet formally at least once during the nominated period to review the individual's performance. To enable employees to contribute work effort in a way that assists individual developmental needs, departmental needs and the University, there must be useful and timely feedback to employees. The discussion may raise work-related issues. It is clearly expected that such issues will be discussed and worked through with the aim of achieving agreement.

7.5.1 Preparing for the Performance Management & Development Review Meeting

- Prior to the Review Meeting, the employee should have completed an *Interim Review* and the preliminary self-assessments associated with the *Performance Management and Development Review* form and submitted them to their supervisor. The failure to provide the meeting with an *Interim Review* reflects that neither party is taking an active interest in the appraisee's work and personal development.
- The employee and the supervisor should discuss each attribute, goal and accountability and decide where on the continuum (ie "unsatisfactory", "competent", "excellent") each has been achieved during the year.
- In some instances persons outside the immediate work area may have a very good understanding of the appraisee's work. In such cases their feedback may be sought. Information collected by the supervisor from these third parties about an employee's performance must be confined to the agreed performance criteria.
- If the employee and/or supervisor considers the work of the employee has been below the expected level, both parties should clarify and record respective perceptions of the performance and its causes.
- Where a supervisor records that the overall assessment for an employee is less than "competent", this must be drawn to the attention of the relevant Category Delegate, which in most cases, is the supervisor's supervisor, and as soon as possible. The supervisor must contact Human Resources for further advice and assistance, as the BUILD Program does not include procedures for managing poor performance.
- It is possible as an outcome of the review, that an employee's performance meets or exceeds expectations on an overall basis but does not meet expectations on a particular attribute or attributes. In such cases, it is mandatory for the employee's *Goal Setting Plan* to outline an agreed process by which perceived development needs will be addressed.
- The employee should be given the opportunity to discuss achievements, concerns and problems, including support and feedback in relation to performance and career development.

Ongoing informal discussions between the supervisor and employee, and the provision for feedback about performance is expected throughout the nominated period of review. Neither interest is met where communication between supervisor and employee is limited to a yearly routine. Such workplace arrangements reflect little interest in true development of the individual and are out of step with mainstream USQ work practices.

7.5.2 Signing off the Review Process

- The Performance Management and Development Review document should be signed by the employee and supervisor and where applicable forwarded to the relevant Category Delegate for comments and recommendations.

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- A copy of the document will be provided to the employee and the original forwarded to Human Resources for administration purposes.
 - Feedback from the supervisor or other suitable and relevant party may lead to changes in the previously identified *Goal Setting Plan*. In such instances the plan must be revised or replaced and the changes recorded and signed by the employee and supervisor.

7.6 Annual Feedback on Supervisor Performance (Form D)

Part of the BUILD cycle is the review of supervisor's performance by the individual employee during the nominated review period. As is consistent with the learning and developing thrust of the BUILD Program, system designers recognise and accept that supervisors need to have some conduit by which objective feedback about their supervisory role can be fed into the program.

7.6.1 Preparing the Feedback on Supervisor Performance form

- This feedback, which is gathered in the *Annual Feedback on Supervisor Performance* form, is sent directly to the supervisor's supervisor and prior to the supervisor's annual *Performance Management and Development Review*.
- The responses from employees should comprise part of the supervisor's performance review by their own supervisor therefore the collection of feedback must be carried out in such a way that sufficient time and opportunity is given to employees prior to the supervisor's actual review. For these reasons, the supervisor's supervisor is responsible for ensuring employees are given the opportunity to provide feedback.
- The supervisor is reviewed only by employees who report directly to him/her. Feedback from appraisees will be gathered on a single date at the request of the supervisor's supervisor (regardless of individual appraisee cycles) firstly to ensure that the feedback can be collated, which protects the anonymity of the source, and secondly, that it has recency and therefore relevance. It is expected that the supervisor's supervisor will treat the feedback with sensitivity and respect for the views contained therein. In all cases, the supervisor has access to the aggregated data only.
- Responsibility for prompting employees that the feedback is due must reside with the supervisor's supervisor.

7.7 Annual Review of Team Performance (Form E)

BUILD designers recognise and acknowledge the growing number of work areas where participation in team-based activities constitute a substantial portion of the overall work in that area. It follows therefore, that effectiveness as a team member is an important issue for all who work in a team environment. The *Annual Review of Team Performance* offers a unique opportunity to collect useful and relevant data.

The focus of such team reviews is the functioning of the team unit. In completing this activity, team members should note that individuals and personalities are not the targets for evaluation.

7.7.1 Preparing for the Annual Review of Team Performance

- Employees complete the *Annual Review of Team Performance*, at the request of the supervisor of the work team. The resulting information will be provided to all team members by the relevant supervisor.
- For the purposes of the review, a “team” will be defined by the natural boundaries of a work unit. Supervisors would negotiate the constituents of their work teams. Ordinarily a team would consist of three or more persons, including a supervisor.
- As the intention behind the activity is to review team performance, it is expected that review outcomes will be communicated back to team members, and used to bring about improvements in team functioning, thereby completing the continuous improvement cycle.

7.8 Guidelines

7.8.1 Uses and Filing of the Interim Review and Performance Management & Development Review

Access to the file is governed by HR Policy E10

<http://www.usq.edu.au/hr/polproc/parte/e10.htm>

– Access to BUILD files. The records will be retained and disposed of in accordance with the General Disposal and Retention Schedule for Admin Records (1997).

The content of the completed *Interim Review* will be available to certain designated persons whose duty requires the completion of a specific report that aggregates similar components across *Interim Reviews*, for example, a departmental research report or a University report on consultancy. The employee is expected to allow the current *Interim Review* to be made available in the context of probation review, incremental progression, academic promotion and review of study leave proposals. Beyond such designated individuals and uses, the reports will be treated as confidential. Normal confidentiality provisions will apply to the personal file, access being provided according to standard protocols or with the prior knowledge of the

employee. The content of the reviewed *Interim Review* will be held electronically in a central database. The *Performance Management & Development Review* will be placed on the individual's personal file.

The matters considered during the review will be formally documented on standard documentation with the assistance of the BUILD policy contained within the HR Policy Manual. Both parties should sign the document with the original being placed on the individual's BUILD file and stored securely by the supervisor (Head of School/Department/Discipline, Dean of Faculty etc) and a copy provided to the individual employee.

7.9.2 Scope of Application

All continuing and fixed term employees appointed for more than 12 months are required to participate in the BUILD Program.

7.9.3 Frequency

The system will incorporate a cycle of performance planning and review, normally and at least annually by the end of February each year, which consists of at least one formal meeting, supported, where possible, by regular informal feedback and support meetings. The specific cycle of performance management for any one individual will be the subject of mutual agreement between the individual employee and supervisor.

7.9.4 Self-Assessment

As is consistent with the focus of BUILD, that is, the need for individual employees to take greater responsibility for their own learning and development, (but with the appropriate support from their supervisor and the University as described in Section 2.3, Responsibilities), the effectiveness of the program relies to some extent on the willingness and ability of the individual employee to self-monitor and self-assess their own work contribution. The filling in of the *Interim Review* (which precedes the *Performance Management and Development Review*) equates to a self-assessment by the individual, with reference to generic and specified attributes. The employee is required to indicate, for each dimension, whether they consider their work "needs revision or attention", "is on target" or "has achieved" the goals and outcomes agreed to in the previous *Annual Performance Management & Development Review*.

8 Attributes

This section outlines the criteria on which employees are reviewed. For the purposes of the review, these criteria are called attributes, though they could equally attract titles such as competencies or skill areas.

8.1 Generic Attributes

The following attributes are suggested for inclusion in the reviews of all employees. The descriptors provided are intended as a guide. The lists which accompany the various attributes are not exhaustive and should not be used as a checklist in the review process. Rather, it is intended that the descriptors will provide an *aide-memoire* for the employee and the supervisor when completing the evaluation.

Professional Commitment

Fostering the reputation of the department and the University; taking ownership; demonstrating a commitment to and pride in work; attendance, availability and punctuality; applying appropriate priorities; managing one's time effectively; setting and meeting deadlines.

Teamwork Skills

Working cooperatively with others; providing support; sharing information and credit; considering the views of and involving colleagues in decision making; avoiding conflict with colleagues and students; maintaining effective working relationships with colleagues; mentoring and providing leadership as appropriate.

Communication

Relevance, promptness and accuracy of information communicated; approachability and resourcefulness in working with senior colleagues and peers; good judgement in prioritising courses of action.

Service to Clients

Developing a highly effective service to clients through successful and timely completion of transactions. Providing students, employees and clients with a positive perception of the work area by establishing and building effective and respectful collegial and client relationships. Employing win/win negotiating skills to avoid conflict in the workplace and striving to understand the issues, motives and objectives of others to enhance cooperative workplace interactions. Voluntarily contributing to tasks that affect the performance of the whole area.

Technical Skills

Computer, trade or professional skills generic to the position type.

Supervisory Skills

Uses appropriate methods, skills and styles to move others towards task achievement, provides feedback on performance matters and offers opportunity for training and development.

8.2 Specific Attributes (General Employees)

Given the diversity of duties of general employees, the evaluation of performance must include specific attributes of each job or on a combination of specific and generic attributes. The initial focus of the *Performance Management and Development Review* for general employees will be an overall assessment of the "primary job purpose or core competencies" in the specific job. It is intended that this evaluation will take the form of a "summary"

assessment covering all aspects of the duty statement. Both the employee and the supervisor will have the right to comment further on any aspect of the duty statement which in their opinion warrants further discussion.

8.3 Specific Attributes (Academic Employees)

It is generally accepted that the work of academic employees can be divided into three areas as described for the *Interim Review*. It is intended that the attributes to be evaluated for academic staff are those specified for the *Interim Review*, eg

- teaching and related scholarship;
- research and original achievement; and
- service to the University, community and profession.

Again, the descriptors provide an *aide-memoire* for the staff member and the supervisor when completing the Review and should not be used as a checklist *per se*.

Teaching and Related Scholarship

Formal contact; supervision; course and unit of study development; resource production and maintenance (including on-line material); assessment of students; review of teaching; professional development; scholarship and leadership in teaching; administration.

Research and Original Achievement

Published work (and approved for publication); work in progress; consultancy; contract research; grants; conference presentations; professional development in research; progress towards higher degrees.

Service to the University, Community and Profession

Contribution to committees within and outside the area; university-wide roles. Involvement in professional organisations, organisation of conferences, editorial duties, consultancy activity, review, assessor, department advisor.

9 Managing Performance

9.1 Managing Excellent Performance

The management of higher levels of performance typically is omitted from performance management programs. However, as employees are encouraged to engage in self-assessment and develop their own developmental goals, it is necessary for the supervisor to stay in touch, to monitor progress toward these goals, to ensure organisational support is available where required, and to acknowledge achievements in a manner and in a forum which is appropriate to both the achievement and the achiever. That is, the supervisor's role demands proficiency in managing employees at all levels, including high performers.

Recognition and acknowledgement provide the important message to employees that their work efforts are not unnoticed. While the form this recognition and acknowledgement takes will be determined by the respective faculty/section, any expectations of continued

development of individual employees is contingent on supervisors providing this important feedback. It is expected that guidance to employees will include both job and broader career objectives. A more detailed description of supervisor responsibilities is provided in Section 2.3.

9.2 Managing Competent Performance

Normally, the largest proportion of employees fall within this category. It follows, therefore, that considerable attention must be given to managing employees in an effective way. Ongoing monitoring, guiding and coaching towards personal and work unit goals is specified (refer to Section 2.3 – Supervisor Responsibilities), and providing recognition and acknowledgement is subsumed within the supervisor role. Central to this managing of satisfactory performance is the ability to identify and develop potential in individual employees.

The above does not limit the individual employee's responsibility to contribute to their own development. Ongoing communication between the individual and supervisor; sound, timely and prudent advice from the supervisor; coupled with a willingness on the part of the staff member to develop new work behaviours and routines, will contribute to a work climate where new ideas and procedures can be tested without fear.

9.3 Managing Unsatisfactory Performance

If a supervisor considers that informal counselling and the setting of developmental goals is not achieving the desired improvement in performance, the supervisor may initiate action under the University's Policies on Managing Unsatisfactory Performance. Such opinion must be supported by appropriate documentation regarding prior actions taken to improve the individual's performance. Processes associated with unsatisfactory performance require the relevant supervisor or senior officer to formally prescribe performance targets and to counsel the employee on the improvements required, the time within which those improvements are expected, and which performance targets must be met. The supervisor may also direct the employee to undertake a course of professional development designed to improve performance.

Where an employee is aggrieved it is expected that the employee should adopt the grievance resolution procedures as outlined in the

<http://www.usq.edu.au/personel/EB/EBDraftAgreement.htm>.

BUILD Program procedures and those associated with unsatisfactory performance are loosely linked, but the latter should not prejudice the constructive, developmental intent of the former.

10 Remuneration

It is recognised that there is increasing emphasis being placed on and expected from stronger links between performance reviews and remuneration decisions. A major challenge is to

ensure that remuneration is linked to decisions about performance and development without employees taking an unrealistic or defensive view of their performance or their training and development needs if they think this will adversely affect their remuneration. A further challenge is to enshrine equity principles within remuneration strategies while satisfying the diverse expectancies of the respective stakeholders.

Section 3.1 outlines general principles relating to 'Recognition and Acknowledgement of Performance' as an important feature of the BUILD Program. It is also recognised there are external and internal limitations on the use of individual performance pay for USQ employees covered by the BUILD Program. These limitations are manifestations of Industrial Awards, Enterprise Agreements, internal policies and procedures and budgetary restrictions. Within those limitations, the BUILD Program seeks to provide for a balance between the 'recognition and acknowledgement' and the 'remuneration' of individual performance.

11 Administrative Responsibilities

- (a) The Vice-Chancellor has responsibility for ensuring that the policy is implemented and reviewed annually.
- (b) This Policy and future adjustment to the policy shall come into effect when endorsed by the Council.
- (c) Human Resources has the authority to initiate alterations to the "Administrative Procedures" section of this Policy document.
- (d) The BUILD Program must be subjected to a process of continuous improvement. If any participant sees an error or desired improvement in the BUILD program they should complete a BUILD Improvement Form. This form is to be submitted to the BUILD Program Coordinator within Human Resources for processing. Approval for system changes should follow standard procedure except for administrative typing error correction. The BUILD Improvement Form should include the following:
 - Name of initiator, date and signature
 - Description of proposed improvement
 - Authorisation if accepted
 - Action taken
 - Actioning person, date and signature
 - Notification to initiator of outcome
 - Filing