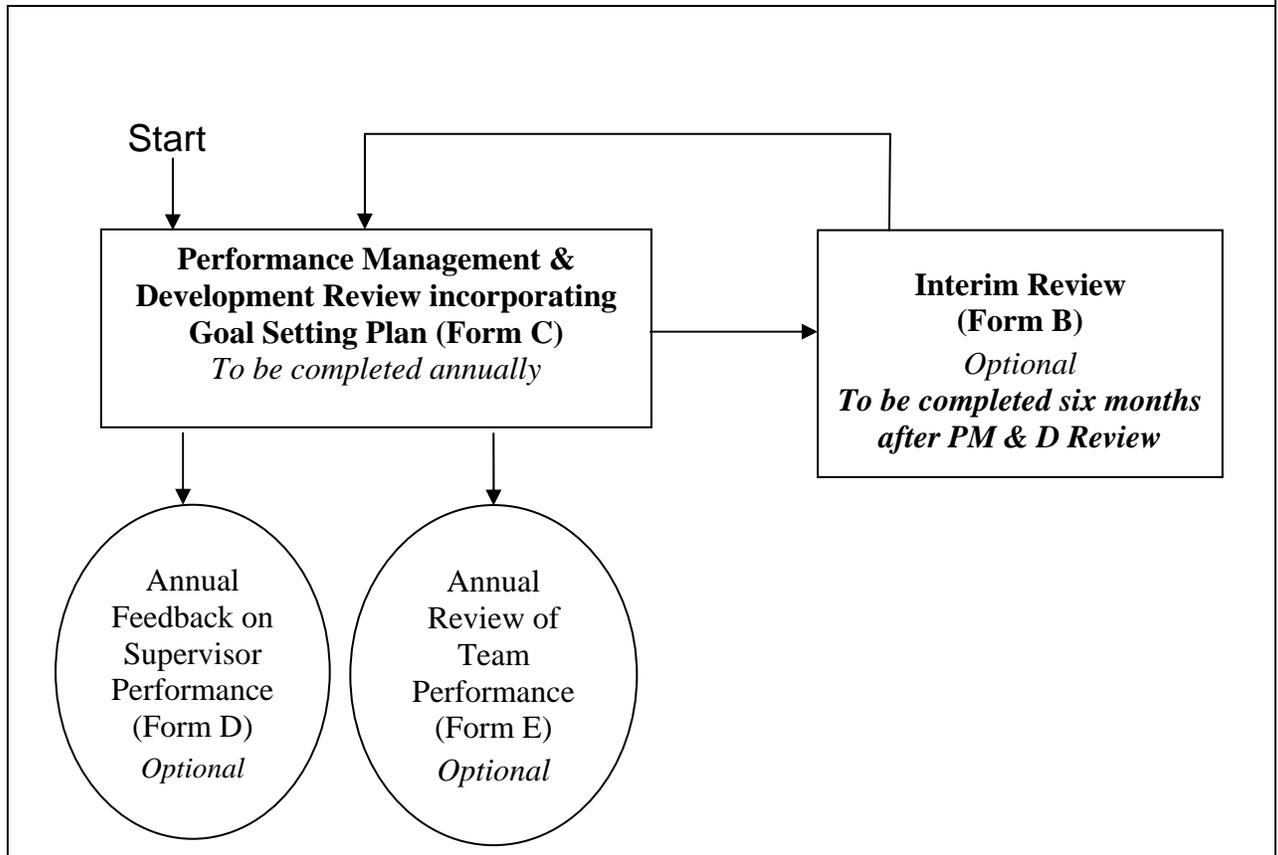
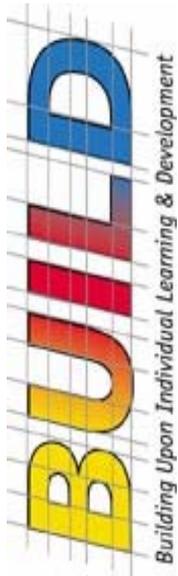




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BUILD PROCESS FOR EXISTING EMPLOYEES



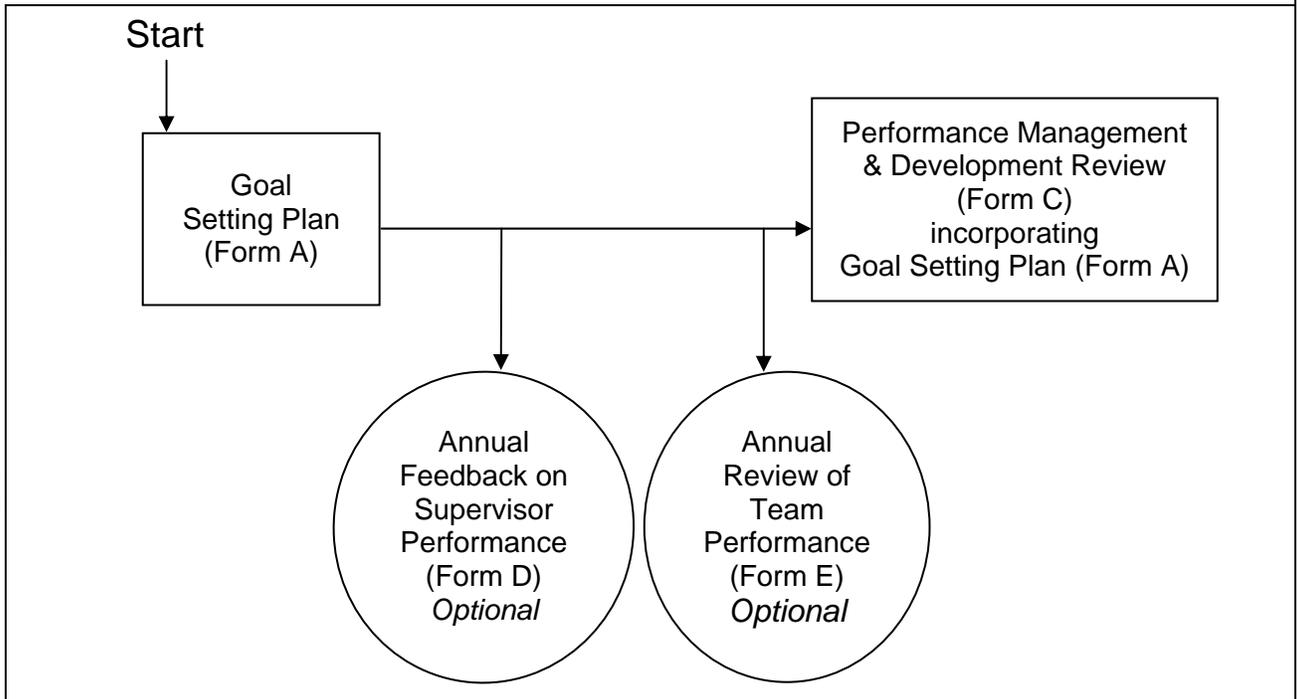
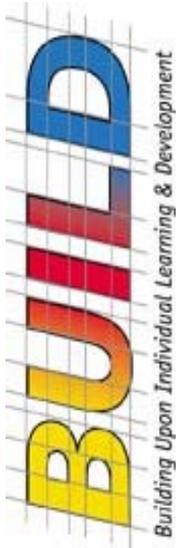
Key Points

- This BUILD cycle applies to existing employees after their appointment is confirmed.
- In accordance with University policy, each employee is required to participate in a performance review (Performance Management & Development Review form) by the end of February each year.
- This BUILD cycle is to be repeated each year.
- When an employee is appointed to another position within the University, the BUILD cycle commences with a Goal Setting Plan (Form A) which needs to be completed within the first month.

Documentation

- All completed BUILD probationary documentation will be retained by the faculty/section on a confidential file until the conclusion of the probationary process when the documentation will be forwarded to Human Resources for actioning and recording purposes.
- Goal Setting Plans, Interim Reviews, Annual Feedback on Supervisor Performance forms and Annual Review of Team Performance forms will be retained by the faculty/section on a confidential file.
- Only Performance Management & Development Reviews (Form C) are to be forwarded to Human Resources.

BUILD PROCESS FOR NEW EMPLOYEES



Key Points

- This BUILD process applies to employees in appointments of greater than twelve months.
- No formal review is required for fixed term appointments of six months and less duration when the appointment is not being renewed.
- Where an employee is not performing to at least a competent level, issues of underperformance must be addressed immediately and prior to the conclusion of the probationary period. The Employee Relations section within Human Resources is be contacted for advice in these situations.
- The BUILD cycle for existing employees applies to all employees after their appointment is confirmed.

Probation

Employee Classification	Probationary Period	Probationary Reviews will normally be conducted on or before:
General Employees USQ Levels 1 to 5	3 months	2 nd week (Goal Setting Plan) 6 th week (Performance Management & Development Review)
General Employees USQ Levels 6 to 10	6 months	4 th week (Goal Setting Plan) 5 th month (Performance Management & Development Review)
Academic Employees	Up to 3 years	12 th month, 24 th month, 30 th month (Performance Management & Development Review)

Documentation

- Completed documentation will be retained by the faculty/section on a confidential file until the conclusion of the probationary process.
- At the completion of the probationary process, all BUILD documentation will be forwarded to Human Resources for actioning and recording purposes.
- For all other appointments, only Performance Management & Development Reviews (Form C) are to be forwarded to Human Resources.

ACTIVITIES IN THE BUILD PROGRAM

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.

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.

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;
- 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.

What BUILD isn't!

Something to be feared

We sometimes feel anxious about our work being evaluated by others. However, effective supervision can generate an awareness and appreciation of an employee's work. BUILD enables closer communication and a greater say in the way you carry out your job duties and responsibilities.

A strategy for dealing with unsatisfactory performance

BUILD doesn't deal with unsatisfactory performance. Where an employee fails to respond to supervisor feedback and support in relation to their performance in the workplace, his/her performance may be deemed unsatisfactory and management of the employee's performance then takes place outside the BUILD system, under existing policy and procedures for Managing Unsatisfactory Performance.

A foolproof method for managing employees

Like all systems where human behaviour is implicated, BUILD's effectiveness will be dependant on commitment by appraisers and appraisees. If the forms and procedures are used in the manner intended by system designers, individuals and the University will benefit from the incremental and continuous improvement that results. BUILD is designed to work in a collaborative way, with the employee and their supervisor working together to solve problems that undermine the ability to work effectively.

A tool for providing supervisors with more power

The opposite is true! By taking greater responsibility for their own career development, and providing material which supports progress towards agreed work goals, USQ employees are empowered through this new program.

A program that will run on 'automatic'

This is inaccurate. Monitoring, coaching and reviewing performance must not happen as an annual event. If we're serious about providing employees with good, timely feedback then vigilance is required throughout. If agreed goals are too difficult, it is too late to revise them at year's end. By then, all participants have lost interest. The challenging work environment at USQ and ongoing changes in work priorities will necessitate frequent revision.

BUILD Forms and Procedures

This document describes in detail the various elements of the BUILD Program. The best outcomes for both the individual and the University are where broader organisational goals can be expressed and pursued at the level of the individual employee. The BUILD Program is based initially on the University Strategic Plan. This high level plan requires operational plans to transfer the broader goals into actual goals. The operational elements of the BUILD Program can help to provide this platform for collective effort towards individual and organisational goals. The forms used are:

- the Goal Setting Plan (Form A),
- the Interim Review (Form B),
- the Performance Management and Development Review (Form C),
- the Annual Feedback on Supervisor Performance (Form D),
- the Annual Review of Team Performance (Form E),

There are two sets of forms which accompany the BUILD procedures, one set each for academic and general employees. The distinction between academic and general employees reflects some unique differences in the way that work is organised. For example, academics often work to goals that are not easily annualised. The Performance Management and Development Review may need to take this into account and include 3 to 5 year timeframes to accommodate these lengthier horizons.

The collection of data through the various forms serves several purposes, including the recognition of excellent work performance. These data also inform processes outside the parameters of the BUILD Program, such as the policy for Managing Unsatisfactory Performance. The provisions for direct and indirect feedback of performance related information throughout the annualised cycle enables system users to monitor progress towards mutually agreed goals, and make adjustments where warranted. This important feedback completes the loop and reinforces a philosophy of continuous improvement.

This Users' Guide has been designed to enable program participants to identify the various BUILD-related activities and to provide information on how to go about preparing for each activity in an effective way. The rationale is that using reliable, timely and fair procedures to manage employees' performance will enhance the individual's and the University's abilities to sustain growth, develop skills, and minimise the risk of complications and frustrations through work effort and direction of that work effort that are not aligned with the needs of the organisation.

Probationary Procedures

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

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. Documentation for these probationary employees would be maintained and monitored within the Faculty/Section.

Human Resources Policy D15 (Probationary Appointments) outlines all probationary requirements including timelines and documentation.

<http://www.usq.edu.au/hr/polproc/partd/d15.htm>

BUILD forms for probationary employees will be retained within Human Resources at the conclusion of the probationary period.

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 follows on from the annual *Performance Management and Development Review*. For new employees it is simply their initial job plan.

New employees are required to complete a *Goal Setting Plan* within the first month of appointment. For existing employees, the Performance Management & Development Review (Form C) incorporates the *Goal Setting Plan* as part of the annual cycle.

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 individual 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 manager must assume responsibility for this task.
- Where it is agreed between the supervisor and employee that a developmental goal has not been met, then consideration should be provided to continuing 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.

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. The *Interim Review* is a follow-up check, used to review progress towards mutually agreed goals, and provide the opportunity to discuss any difficulties relating to the achievement of goals, before such matters become the focus of the more formal *Performance Management & Development Review*. In many instances, such intervention will be helpful.

The *Interim Review* is an optional report and is to be used in the following situations:

- As an interim check to monitor progress towards goals over the nominated period
- When either the supervisor or employee has requested that the report be completed

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 the light of impacting factors such as changes within the organisational unit or the University.
- All *Interim Reviews* completed during the review period 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 etc wherever possible.

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.

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

- (a) the review process may be used by supervisors in giving advice to 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 where such strategies fail, a parallel but separate system

assumes responsibility for the management of 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.

Preparing the Performance Management & Development Review Form

- 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 of the BUILD Manual.
- The employee 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).

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. This 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.

Preparing for the Performance Management & Development Review Meeting

- The employee and the supervisor should discuss each attribute, goal and accountability and decide at which level (ie "unsatisfactory", "competent" or "excellent") each has been achieved during the period.
- In some instances persons outside the immediate work area may have a very good understanding of the employee'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 that 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 unsatisfactory, 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 unsatisfactory 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 employee and are out of step with mainstream USQ work practices.

Guide to Performance Ratings

Both the employee and supervisor are required to provide individual ratings on a scale for each generic and specific attribute. The following is to be used as a guide to each of the ratings.

Unsatisfactory:

Outcomes consistently not meeting performance expectations which were agreed upon during Goal Setting Plan discussions and considered reasonable and achievable. Employee's performance in this position requires review.

Competent:

Outcomes consistently meet the level for competent performance as agreed during Goal Setting Plan discussions. The employee is effective in the position.

Excellent:

Outcomes consistently exceeding performance expectations. There were considerable achievements over and above expected requirements for the position.

Guide to Performance Ratings for Generic Attributes

Professional Commitment:

Definition:

Promoting and fostering the reputation of the section and the University, demonstrating a commitment and pride in their work, and practicing effective time management.

Rating:

Unsatisfactory:

- Does not promote the section and University in a positive light.
- Lacks commitment and does not appear to be interested in their work, makes repeated mistakes and shows a reluctance to assess weaknesses and take corrective action.
- Does not prioritise work and often fails to meet deadlines and commitments.

Competent:

- Promotes the section and University in a positive light.
- Shows a willingness to reflect upon performance and identify areas that need improvement.
- Uses available working time in a disciplined way to maximise output.

Excellent:

- Actively promotes the section and University in a positive light.
- Regularly evaluates work methods and actively seeks feedback with a view to improving performance.
- Takes a disciplined and rigorous approach to planning and monitoring work to ensure maximum output.

Teamwork Skills:

Definition:

Working cooperatively with others, providing support and sharing information and credit.

Rating:

Unsatisfactory:

- Displays insensitivity for the needs of others and is unreceptive to their points of view.
- Shows disinterest in others, makes negative comments and does not contribute in team decisions.
- Shows a reluctance to openly share information and undermines other members of the team.

Competent:

- Openly considers suggestions from others and demonstrates an awareness of their needs.
- Works co-operatively with others and actively supports group decisions.
- Liaises effectively with others and is willing to share information and credit.

Excellent:

- Continually maintains positive professional relationships with colleagues even where sensitive or difficult negotiations are required.
- Encourages and supports others and makes a regular and positive contribution in team planning and decisions.
- Encourages information exchange and actively seeks for all parties to feel positive about outcomes.

Communication:

Definition:

Applying written and oral communication effectively to provide information, gain understanding and maintain effective working relationships.

Rating:

Unsatisfactory:

- Has difficulty expressing thoughts in oral and/or written forms, failing to make a point or present issues logically.
- Shows disinterest when communicating with others and makes little effort to be understood.
- Is indifferent when others are trying to express a point of view and makes little effort to understand others' communications.

Competent:

- Communicates clearly, confidently and logically in oral and/or written forms.
- Communications are typically to the point and understandable to the receiver.
- Listens attentively to others, seeks feedback and makes an effort to gain a clear understanding of what is being expressed.

Excellent:

- Presents material orally and/or in writing, in a fresh innovative and effective manner.
- Is able to consistently influence and gain acceptance of ideas in both oral and written forms.
- Tests for total understanding of others' points of view by using appropriate questioning techniques.

Service to Clients:

Definition:

Acknowledging and meeting the needs of students, other employees and external clients.

Rating:

Unsatisfactory:

- Makes little attempt to identify client group needs and consistently provides incorrect or inadequate information or advice.
- Demonstrates little concern for the quality of the service and is inflexible in methods of delivery.
- Reacts negatively to complaints instead of anticipating problems and becomes defensive rather than seeking constructive solutions.

Competent:

- Makes an effort to systematically identify client group needs and provides clear and accurate information or advice.
- Looks for ways to help when a client makes a request and aims where possible to meet the client's expectations.
- Deals with complaints in a way which maintains the client's goodwill and the image of the section.

Excellent:

- Regularly monitors client needs to assess whether their needs and expectations are being met.
- Regularly checks systems, processes and policies for consistency and quality and provides evidence to demonstrate that excellent service to clients is being provided.
- Establishes and maintains productive relationships and utilises client feedback in goal setting and planning for the section.

Technical Skills:

Definition:

Competency in computer, industry or professional skills required for the position.

Rating:

Unsatisfactory:

- Demonstrates an inadequate or limited understanding of technical skills required to perform the job adequately.
- Has difficulty in grasping and applying theoretical concepts on the job.
- Is slow to keep up with developments in technical areas relevant to their field of work.

Competent:

- Is proficient in the use of systems/applications which pertain to the job.
- Shows an appreciation of the underlying theoretical concepts which relate to the work being performed.
- Has researched and can be relied upon to provide accurate advice regarding use of equipment etc.

Excellent:

- Demonstrates an expert applied knowledge in the use of systems/applications which relate to the job.
- Applies new theoretical concepts where appropriate and is a primary source of advice within the work area on its interpretation.
- Closely monitors developments in the technical areas relevant to the discipline and field of work.

Supervisory Skills:

Definition:

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

Rating:

Unsatisfactory:

- Does not check that employees' work targets and goals are being progressed and met.
- Rarely gives feedback to employees on performance or predominately comments on only negative aspects of work performance.
- Makes little attempt to understand the development needs of individual employees. Discourages employees from attending courses/seminars or other developmental activities.

Competent:

- Provides an example for team members to follow in terms of personal work standards. Encourages employees to take initiative in their work.
- Regularly takes time to acknowledge good performance by employees and provides constructive feedback when the opportunity arises.
- Encourages employees to attend relevant training programs and discusses learning outcomes of programs attended.

Excellent:

- Demonstrates trust in employees by delegating responsibility for task achievement and continually motivates and encourages employees to ensure a high level of work output.
- Continually active in looking for opportunities to provide constructive feedback and guidance to employees on work assignments.
- Takes a lead in helping employees develop highly challenging but realistic development plans and demonstrates an ongoing interest in their progress.

Signing off the Review Process

- The *Performance Management and Development Review* document should be signed by the employee and supervisor and forwarded to the reviewer's immediate supervisor (if applicable) for comments. If further action is required (eg finalising a probationary appointment) or if there are performance issues, the form is to be forwarded to the relevant delegate for notification and/or approval.
- The review form is then to be forwarded to Human Resources for actioning and recording purposes.
- A copy of the document is to be returned to the employee for consideration of any comments made by the relevant Category Delegate.

Annual Feedback on Supervisor Performance (Form D)

Included in 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 provided to assist their continued development within the supervisory role.

The *Annual Feedback on Supervisor Performance* is an optional report. Employees are encouraged to provide this feedback in order to assist their supervisor in enhancing their supervisory skills.

Preparing the Annual Feedback on Supervisor Performance form

- The supervisor's supervisor is responsible for ensuring employees are given the opportunity to provide feedback. 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.
- The supervisor is reviewed only by employees who report directly to him/her. Feedback from employees will be gathered on a single date at the request of the supervisor's supervisor (regardless of individual employee BUILD 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.

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.

The *Annual Review of Team Performance* is an optional report. Employees who work in distinct work units are especially encouraged to complete this review.

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. This information will be provided to all team members by the relevant supervisor.
- For the purposes of this review, a "team" will be defined by the natural boundaries of a work unit. Supervisors would negotiate the constituents of their work team. Ordinarily a team would consist of three or more persons, including a supervisor.
- The information derived from the *Annual Review of Team Performance* may be used to complement the *Performance Management and Development Review* of individual team members.
- 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.

Documentation

All of the BUILD documentation is available from the Human Resources web site. BUILD forms can be found at

<http://www.usq.edu.au/hr/forms/probperf/build.htm>

Relevant Category Delegates must ensure that all reviews are conducted as outlined in the BUILD timetable. As is Human Resources practice, all BUILD documentation is to remain private and confidential to those involved in the BUILD process.

Documentation is to be stored as follows:

- **Probationary Appointments:**
 - All completed BUILD documentation will be retained by the Faculty/Section on a confidential file until the conclusion of the probationary process.
 - At the completion of the probationary process, all BUILD documentation will be forwarded to Human Resources for actioning and recording purposes.

- **All other Appointments:**
 - Completed documentation will be retained by the Faculty/Section on a confidential file until the conclusion of the BUILD process – normally an annual cycle.
 - At the completion of the annual BUILD cycle, *Performance Management and Development Review* forms only are to be forwarded to Human Resources for actioning and recording purposes.

Contacts

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