Booklet for supervisors and heads of organisational units

Recognition & Development

for professional staff

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Introduction

The success of the University depends on the performance of our staff, and the Recognition and Development Process supports **professional and TESOL language teaching staff** and their supervisors to continually enhance staff engagement and performance.

Performance at UQ

As shown in the diagram below, the foundations for high staff performance can be formed in the **recruitment and selection** phase by selecting the right candidate and providing realistic job expectations. The **induction** and **probation** periods then allow the staff member to learn what is expected of them. After probation, the **Recognition and Development Process** supports the staff member’s continued performance and job satisfaction. Occasionally, a staff member’s performance is not satisfactory and then **informal guidance or performance counselling** is required. If performance does not improve, **unsatisfactory performance processes** may be necessary.

This booklet covers the Recognition and Development process. See Links with other human resource processes for other information.
What is Recognition and Development?

Recognition and development occurs every day of the year. The Recognition and Development Process is implemented through on-going meetings and conversations between you and the staff you supervise, together with an annual performance appraisal.

These regular conversations and the annual appraisal involve:

- clarifying and negotiating the goals and expectations of the position
- ensuring an individual’s performance aligns with the University’s expectations and goals
- providing feedback about their work and recognising achievements
- identifying development needs and career plans, and planning staff development activities
- supporting employees to manage work life balance and leave planning
- preventing and resolving work problems.

What are the conditions that drive performance?

The Corporate Leadership Council conducted research in 2006 on what drives high performance. Data was collected from more than 19,000 supervisors and staff. The research identified 106 potential performance management drivers and within these, the following were identified as the key performance drivers:

- employees understanding the performance standards expected
- supervisors helping find solutions to problems at work
- supervisors helping attain needed information, resources and technology
- emphasising performance strengths in the formal review of performance
- a supervisor being knowledgeable about an employee’s performance and providing feedback that is accurate and fair and helps an employee do their job better
- employees having greater ownership and involvement in defining and planning their “stretch” goals
- employees creating useful work plans and timelines
- projects are broken into manageable components.

All of these key drivers of performance automatically arise from the Recognition and Development Process when it is conducted effectively throughout the year.

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1 Corporate Leadership Council Research: HR Executive Forum, Research 2006 (USA)
Recognition and development phases

**Day-to-day conversations** with your staff offer a chance to discuss their progress, offer timely feedback, identify ways to overcome hurdles, and clarify the priorities for the day or week ahead. These may be short, informal conversations, or regularly scheduled catch-up meetings.

**The annual performance appraisal** is a structured discussion about job duties and goals, including recognition of performance and planning professional development, guided by the completion of the Recognition and Development Plan (R&D Plan).

Throughout the year, there are **three phases** to the Recognition and Development Process.

**Phase 1: Planning goals and development**  
*(At induction, and in November - December each year)*

Established staff members plan their goals and development in **November - December** each year as part of the appraisal meeting.

New staff and their supervisor identify the staff member’s goals for the next 12 months (or whatever time period they think is appropriate) and clarify what is expected of them as part of induction.
Phase 2: Performance and feedback  
(All year)

Throughout the year, the staff member works towards the agreed goals and you support, guide and coach the staff member as their supervisor. You exchange feedback about what is working well and how things can be improved.

Phase 3: Formal appraisal and recognition - and Phase 1: Planning goals and development  
(November - December)

In November and December each year, the formal appraisal process involves discussing completion of or progress towards agreed goals, recognising achievement, and then re-negotiating goals and development activities for the following year - repeat Phase 1. Appraisals are due by the end of December, and take into account the work undertaken during the calendar year.

Phase 1: Plan goals and development

Review the position description

The duties of a position naturally evolve over time. The annual performance appraisal is the perfect opportunity to ensure you and your staff member understand the expectations of the position and these are reflected in the position description. Reviewing the position description first will make it easy to then set goals for the following 12 months.

The HEW level of a position cannot be changed through performance appraisal, but through the classification process, which focuses on the work value of the position, not on the personal performance of the staff member. If the requirements of the position have substantially changed since it was last classified, you might need to undertake the classification process.

Set goals and measures of success for the next 12 months

The R&D Plan asks the staff member to draft their goals for the next 12 months, based on their conversations with you to date. As a result of your appraisal meeting, these goals will be further refined. See Section B on the plan.

In the absence of clearly-defined goals, we become strangely loyal to performing daily trivia until ultimately we become enslaved by it.

- Robert Heinlein
First, consider the priorities of the team and the University (refer to the relevant operational and strategic plans) to make sure that the work of each of your staff members is aligned with them.

You might need to hold a team planning session before having individual meetings. Having a clear “line of sight” from their work to the goals of their team, and from the team to the goals of the University, helps staff understand the value of their role (see the diagram below showing the relationship between individual goals and higher level goals).

Here’s an example of how a day-to-day task aligns with the strategic goals of the University. The task: “answering queries from RHD students in a professional and generous manner” is important, because the students then spread the word about the quality of the service they receive at UQ, which consequently helps us achieve our goal of attracting more RHD students to UQ.

To provide clear direction and the best chance for your staff member to demonstrate excellent performance, make the goals “SMART” goals. SMART goals include a measure of success – a way of telling whether you have achieved what you set out to.

SMART goals provide an easy and transparent way for you and your staff member to know if they are on track with their goals.
Specific

Have you specified exactly what, when, where and with who?

Measurable

What part of the goal can you measure? The number of forms processed, percentage of satisfied customers, increase in the number of enquiries?

Achievable

Feasible goals are more motivating than goals that are too difficult or overwhelming, considering the person’s capabilities and the situation.

Relevant

Is the goal in line with the team’s goals? Does it contribute to the University’s priorities or is it a “nice to do”?

Time-bound

Negotiate when each aspect of the goal will realistically be achieved.

A good way to test whether your goal is SMART is to ask yourself “If someone followed it exactly as written, would they be guaranteed to produce the outcome we want?” Below are some examples.

<table>
<thead>
<tr>
<th>Example goal - not SMART</th>
<th>Example SMART goal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Work on reception</td>
<td>When on reception duty, receive visitors and phone calls, using a friendly and professional manner and direct them to the appropriate person or someone else who can help, or take a message. Aim to answer the phone within about 3 rings, and attend to visitors within about 1 minute.</td>
</tr>
<tr>
<td>Promote the School to increase enquiries from students</td>
<td>Design and deliver a program of cost-effective promotional activities that address the interests of our key markets. Increase the number of enquiries from postgraduate students by an average of 10% each month compared to that month in the previous year.</td>
</tr>
</tbody>
</table>

Updating goals throughout the year

There will always be unforeseen events that change the way your team needs to do its work, and your goals should respond accordingly. This highlights the need for day-to-day conversations to ensure you and your staff are on the same page about the current priorities. If substantial changes are required, you could update this section of the R&D Plan (Section B).

Work preferences

Everyone has aspects of their work that they particularly enjoy, and some they would rather avoid. To make it easier for your staff member to remain motivated at work, you could ask them what they find most and least satisfying about their work, with a view to seeking ways to increase the satisfying aspects and decrease the unsatisfying aspects.
This could be achieved by:

- swapping tasks with team members (i.e. “I’ll do something you don’t enjoy doing, because I prefer it.”)
- rotating tasks among the team which are either particularly satisfying (everyone wants to do it) or unsatisfying (no-one does)
- rotating tasks to increase variety in their jobs
- doing unsatisfying tasks in a new way (e.g., ask team members for ideas on difficult projects instead of struggling; look for creative ways to communicate to stakeholders).

Of course, in all roles there are duties that can’t be changed, so begin by acknowledging that some things are flexible and some things are not, and look for ways to balance the less satisfying with the more satisfying aspects.

**Behavioural expectations**

The *Code of Conduct* (HUPP 1.50.1) describes what behaviour is expected of us all as UQ employees. It provides you with language you can use to clarify the way you expect your staff to go about their work. For example, how they interact with others, use University property, manage potential conflicts of interest and make decisions. Make sure you have explained these ethical obligations to your staff and you can avoid having to correct their behaviour later on.

As well as one-on-one conversations about what is expected, you can hold a team discussion about how you all like to work together, and what teamwork behaviours you expect from each other. This allows your team to “own” these teamwork expectations themselves, and they can give each other feedback on how they are demonstrating the behaviours they agreed to.

**As a supervisor, you are a role model.** The most powerful opportunity you have to influence the behaviour of your staff is through the example you set. Your staff learn what is appropriate behaviour when they notice:

- what you prioritise
- things that you tolerate or don’t seem to notice
- what you don’t tolerate
- what you compliment people for.

**Mandatory performance requirements for all positions that supervise professional staff**

Managers and supervisors have obligations contained in legislation and University policy and procedures regarding occupational health and safety, performance appraisal, workplace ethics and workload management, including managing leave liabilities. Attendance at the appropriate training course and fulfilment of the specified performance requirements are compulsory for all staff you supervise who are also supervisors themselves, and have been included on the R&D Plan in **Sections C and D.**
Development activities

When discussing professional development, the first activities that come to mind are often training courses. However, the majority of our most valuable learning occurs in the workplace. In fact, only 10% of our learning comes from formal training courses and seminars; 20% comes from other people such as a mentor or manager; and 70% comes from things you do in the workplace. You can broaden the development options your staff consider by ensuring you discuss learning activities that occur on-the-job and from other people.

Where our learning comes from

- Courses, seminars (10%)
- Other people (20%)
- On the job (70%)

On-the-job activities

- new projects and challenging tasks
- test or lead the implementation of a new procedure or process improvement
- develop and deliver training or presentations
- lateral transfers and job rotation
- study visits and inter-university visits
- temporary higher duties (see PPL 5.50.04 Performance of Higher Level Duties)
- staff interchanges or secondments (see PPL 5.80.10 Secondments)
- induct, teach or support new staff members

Learning from others

- participation in mentoring, as a mentor or a mentee (see PPL 5.80.19 Mentoring)
- support from a coach
- work shadowing or observation
- involvement with informal networks or professional associations and events
- books, journal articles, industry magazines, podcasts, email newsletters, blogs

Formal training

- internal and external courses and seminars - including the University Staff Development Program (SDP)
- mandatory courses in the Staff Development Program
- formal tertiary study (see PPL 5.80.07 Study Assistance Scheme)
- relevant conferences

If you would like assistance with identifying an appropriate development activity, or have suggestions for development activities that the University could offer its staff, phone Organisational Development, or email staffdev@uq.edu.au.

In the R&D Plan in Section D, the staff member assesses their strengths and development needs, and the supervisor makes comments, before recording agreed actions in the “Development Plan” section.

If you want 1 year of prosperity, grow grain.
If you want 10 years of prosperity, grow trees.
If you want 100 years of prosperity, grow people.

- old Chinese proverb

Why only 3 strengths and 2 development areas?

It can be tempting to include many strengths and development areas. This isn’t about summarising every characteristic of a staff member, but about highlighting key strengths that they will draw on to complete their work in the coming year, and a couple of areas they will continue to develop. Development areas may be capabilities that are weaker for this staff member, or strengths that the staff member would like to continue to build on. While staff members may wish to develop many areas in the longer-term, identifying only a couple of areas allows concerted effort and attention. With too areas identified, the staff member may have difficulty focusing to get the best results.
Career planning for retirement

During the appraisal meeting, you could ask your staff if they are contemplating retirement and if so, discuss options for a smooth and gradual change. This eases the transition for both the University and the staff member. PPL 5.43.07 Career Planning for Retirement outlines a range of flexible pre-retirement arrangements that may be considered by the staff member and their supervisor during the appraisal. Their plans can be summarised in the R&D Plan in Section D.

Work/Life Balance and Wellness

To help your staff better meet the challenges of their role and achieve their work goals, ask them in your regular meetings and in your performance appraisal meeting what other support or resources they need. If the request can’t be met, explain the reasons and negotiate a suitable alternative.

The performance appraisal is also an ideal time to discuss:
- their workload
- flexible working options they could use
- recreation leave balance (to ensure they take regular holidays and do not accrue excessive leave, i.e. more than 40 days for most staff) and their leave plans.

Agreed actions relating to these issues are recorded on the R&D Plan in Section E.

The use of suitable flexible working options is a “win-win” situation for the University and the staff member when it’s negotiated thoughtfully.

Flexible working options available include:
- a standard day with variations in starting times
- beginning work earlier or finishing later in order to take a longer lunch break
- the four and a half day week
- the nine day fortnight
- flexitime
- voluntary banked time
- telecommuting.

See Relevant policies and procedures.

The University of Queensland is committed to promoting and supporting the good health and wellbeing of staff, and encouraging work/life balance. The staff wellness program, UQ Wellness, offers a range of opportunities to engage in a variety of health and wellbeing options, including activities, seminars and wellness website resources. All staff are encouraged to access UQ Wellness to maintain and continue to improve their health, wellbeing and productivity.
Phase 2: Performance and Feedback

If you have responsibility for the performance of others as their supervisor, a core part of your position is enhancing their performance. Investing time and attention early on can mean you avoid having significant demands on your time to resolve problems later.

A refresher on effective people management

The basics of managing staff effectively include:

- **Regular meetings** – usually a weekly or fortnightly meeting, where you have a two-way discussion of work activity, set goals for the following week or fortnight, recognise good performance and offer suggestions for improvement.

  While it’s tempting to reschedule these meetings when you have a high workload, treating people management as a priority will ultimately reduce your workload and that of your staff through the smoother operation of the team.

- **Day-to-day feedback** – the shorter the time elapsed between the behaviour and your feedback, the more impact your feedback has. Both positive and negative comments are important in improving the performance of your staff. Feedback should always be as specific as possible about what the person did or didn’t do, and the impact of their actions (whether positive or negative).

  Looking for opportunities to “catch them doing something right” and having a higher ratio of positive feedback to negative feedback will support a comfortable working relationship. There should never be any surprises for the staff member in the feedback they receive in their performance appraisal, because you have been giving them regular feedback all year.

- **Ongoing recognition** – for practical ways to reward your staff on day-to-day basis see the Appraisal and Recognition section of this booklet.

- **Two-way communication** – this means being approachable and providing frequent opportunities for your staff to ask questions, suggest ideas, raise concerns and provide you with feedback.

- **Supervisor as coach** – a coaching style of management means collaborating instead of directing, delegating instead of controlling, and asking questions more than giving instructions. It enables staff to come up with their own solutions to problems, to be more proactive and independent, and to become more motivated and more capable. This ultimately enhances your team and reduces your own workload.

The time you invest in recognition and development is recouped many times over by enhancing the smooth operation of your team and preventing performance problems.
**Supervisor as coach**

Your role as both supervisor and coach involves helping your staff learn from the challenges and successes they experience every day.

A supervisor acting as a coach:

- gives helpful, specific and timely feedback
- listens and asks questions without jumping to conclusions
- focuses on supporting the staff member to achieve their goals
- helps the staff member find their own answers to problems
- sometimes gives advice, but first asks the staff member if they would like suggestions
- challenges the staff member to explore new ideas and new ways of doing things
- reinforces the relevant actions and behaviours that are needed to achieve the staff member’s performance goals
- helps the staff member to accept accountability for their work.

**The GROW model of goal setting**

The GROW model is a process for problem solving or goal setting. As a supervisor you can use this structure to help the staff member define what they would like or need to achieve and how they will achieve it.

Coaching using this model involves asking questions, providing reflective feedback and holding the focus, to help the other person design their own solutions.

The model considers four types or phases of conversation:

- **Goal**: Precisely what do you want?
- **Reality**: Exactly what is happening now?
- **Options**: What more could you do?
- **Way forward**: Specifically what will you do?

**Powerful coaching questions**

To stimulate thought and support your staff member, remember to ask:

- Open-ended questions
- Curious, non-leading questions (this is not about you!)
- Forward-focused questions
- Probing questions to encourage deeper or different thought

You may move through the phases of the GROW model in any order, and may find that discussion or a realisation may occur that requires you to revisit a previous phase. Depending on the situation, you may find it useful to have a conversation focused around only one phase of the model, without moving through the other phases at that time.
Day-to-day conversations

In your regular meetings and informal conversations, aim to know the following about your staff member:

? How have they progressed with the actions you previously agreed on?
? Is anything troubling them at work?
? Is there any other support they need from you?
? How are they? What’s going on in their life right now (that they would like to share)?

Aim to let them know:
✓ What they have done well and what you appreciate about what they have been doing.
✓ How to prioritise their work over the next week or so.
✓ Why their work is important and how it contributes to the “bigger picture”.
✓ Where they could improve and what specifically they need to do.

Adapted from John Whitmore, Coaching for Performance: GROWing People, Performance and Purpose, 2003
You and your staff must have these informal conversations regularly for the annual performance appraisal process to be effective.

In addition, it’s good practice to have another more structured meeting partway through the year (for example, in June), to see how things are tracking against what you and your staff member have previously agreed in their Recognition and Development Plan.

**Providing feedback**

We all need feedback to know what we are doing well, anything we should stop doing, and how to do things better.

*We cannot improve our performance without feedback.*

The annual performance appraisal should not be a time of ‘surprises’ where the staff member hears of ‘good’ or ‘bad’ performance for the first time. You will make the performance appraisal easier for both of you when you provide feedback and make notes about the staff member’s performance frequently throughout the year.

**How do I provide performance feedback?**

It is important to consider the following points when providing feedback:

<table>
<thead>
<tr>
<th>Frequent</th>
<th>Provide feedback often — it will help you and your staff feel comfortable with the process. Ensure you balance frequent feedback about what is working well with what is not working so well.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Specific</td>
<td>Be specific about the behaviour, situation and consequences. Give recent examples of performance that you actually witnessed.</td>
</tr>
<tr>
<td>Direct</td>
<td>Get to the point. Both negative and positive feedback should be given straightforwardly but tactfully.</td>
</tr>
<tr>
<td>Timely</td>
<td>The best feedback is immediate, or if not, given at the first opportunity.</td>
</tr>
<tr>
<td>Considerate of time and place</td>
<td>Decide when and where to provide performance feedback based on the individual’s preferences. As a general rule of thumb “praise in public, criticise (constructively) in private”.</td>
</tr>
<tr>
<td>Label</td>
<td>Behaviour</td>
</tr>
<tr>
<td>------------------</td>
<td>---------------------------------------------------------------------------</td>
</tr>
</tbody>
</table>
| Good communicator | • Listens, reflects on others’ point of view and asks for more information before offering their own contribution  
• Clearly and concisely explains information |
| Reliable          | • 90% of all projects completed within stated timeframes                  |
| Disorganised      | • Is unable to locate files  
• Fails to meet deadlines  
• Written material that is produced leads to confusion |
| Poor attitude     | • Rolls eyes and shakes head when other people make suggestions in meetings |

Adapted from Rob Matthews, Practical Performance Improvement with Impact, 2005

Feedback on behaviours and ethical conduct
The Code of Conduct (HUPP 1.50.1) can be a helpful tool for explaining what is appropriate behaviour and what is not (see Behavioural Expectations).

Keeping notes about performance
Keeping brief notes of instances of particularly good performance and problems with performance or behaviour can make your formal performance appraisal easier. Ensure you date your notes, and bear in mind that access to University documents can be requested under the Right to Information Act 2009 and the Information Privacy Act 2009.

After your regular meetings with your staff where you have provided them with feedback and agreed on actions they are going to take to improve their work, follow up in writing afterwards. A good way to do this is to ask the staff member to email you their understanding of the conversation, which then allows you to confirm that you are on the same page as well as providing you both with a record.

Be sure to record the date and time of the conversation, a summary of the issues discussed, including any response from the staff member, and the outcome, resolution or agreement on how to move forward. Document instances of both good performance and performance problems, to ensure you have a balanced perspective when you come to review. For less serious discussions, notes may be quite brief. For repeated behaviour, notes will help you to identify patterns and see the issue more clearly.

Examples:

23 April 2012 – Talked to Julia about mistakes in her reports recently. She said she has had problems with workload because Sally was sick. Agreed that she should put survey data analysis on hold until Sally returns, to enable focus on reports. She has committed to check her work thoroughly in future and let me know if she is getting overloaded.

July 5 2010 – Second conversation with Rod - Issue re. timely response to customer enquiry; customer called 3 times in 4 days trying to get response. Outcome: Rod agreed to change behaviour. Suggested follow up to all customers with progress report within 24 hours. Will discuss again in two weeks to see how this strategy is working – July 19.
2 February 2012 – Spoke to Tess about her excellent work on last month’s proposal. Proposal was completed within tight timeframe and to exceptional standard. Specifically thanked her for project managing the process and proactively chasing up figures from reporting team to ensure data was correct.

**Having difficult feedback discussions**

As a supervisor, there may be times you need to hold a discussion with a staff member that you know will be difficult. A difficult discussion is one that can be uncomfortable and produces anxiety or stress, where we worry about hurting or disappointing someone, and it is typically a conversation we need to have but would rather avoid.

**How to make a difficult discussion easier**

- Describe the situation from a neutral point, the “fly on the wall” position. Stay objective.
- Invite the person you are talking with to say what they think about it, to help you better understand their perspective without having to make too many assumptions.
- Acknowledge the importance of feelings — identify what the other person might be feeling and check this with them.
- Explain your views about their performance and how they were formed.
- Be aware of how your intention might clash with your impact on the other person. Check that your communication has achieved the desired result and not been misinterpreted.
- Sum up the difference between your view of things and their view, without implying any blame or judgment. You are not trying to show the other person why you are right; you are trying to help them understand your view and show them that you understand theirs.
- Decide together what a mutually acceptable outcome would be, set goals and timelines and decide how to achieve them.
- Steer clear of blaming and judging. Blaming or judging will only make the other person feel attacked and defensive. Also remember to try not to become defensive yourself.

*The better your relationship with your staff, the easier the task.*

*The more frequent your positive interactions are, the more resilient to difficult discussions your relationship will be.*

**Some possible conversation openers**

- “I'd like to discuss something with you which I hope can help us work together more effectively.”
- “I'd like to explore this situation, because I think we have different perspectives on it. When would be a good time to talk?”
- “I think we need to talk about X. I’d like to get your point of view first, then I can explain how I’m seeing it.”
Fierce conversations

If you find it easier to bring up a difficult issue using a framework, try this approach from Fierce Conversations. It recommends that you take the first 2 minutes (at most) to present your key message addressing each of these points, without getting side-tracked:

1. Name the issue.
2. Give specific examples.
3. Describe the emotions around that issue.
4. Clarify what is at stake.
5. Identify your contribution to the problem.
6. Indicate your wish to resolve the issue.
7. Invite them to respond.

Example:

I am concerned about how much you are using your mobile phone and the internet during work time. I noticed yesterday you were using Skype while you were in a training session. I also heard from the Director that he had to wait for you to finish texting when he went to ask you something. I feel embarrassed that a member of my team is not maintaining the high work standards of our team. Our team’s reputation is at stake and I don’t want you to get a bad name with the Director. Perhaps I needed to make my expectations to you clearer when you started. I’d really like to get this problem sorted out. What do you think we can do?

For more, see “Fierce Conversations: achieving success in work and in life, one conversation at a time” Susan Scott (London: Piatkus, 2002.)

Performance problems

If a staff member’s performance is not up to the standard you expect, or has declined, it is best to “nip it in the bud” as soon as possible. Looking into the cause of poor performance can help you resolve the issue more quickly and smoothly – the main cause may not be the obvious one.

Ask yourself these questions to identify the relevant barriers to performance:

- Does your staff member know exactly what they are expected to do, and how they are expected to do it?
- Do they know that their performance is not currently up to the standard expected? Have you provided them with feedback on how to improve?
• Are their goals challenging enough to be motivating, but realistic enough not be overwhelming?

• Do they have the knowledge and skills required? Do they need training and assistance?

• Do they have access to the things they need – resources, equipment, information and people – and know how to access them?

• Have you made yourself approachable for the staff member to seek clarification, direction, and advice? Did you stop work and make time for the person when they approached you?

• Do you provide appreciation and praise to staff who do a good job, and withdraw it from those who do not?

• Does the staff member have positive working relationship with you and their colleagues?

• Does the staff member have any problems in their home life or with their physical or mental health that may be impacting on their performance?

If there are performance problems, you must address them. Most people want to do a good job, and it is your duty as a manager to support them to achieve this goal. The underperformance of one staff member can also have a negative impact on others in the team, and you have a responsibility to your other staff to act. The sooner you attend to the problem, the easier it will be. See the section on Diminished and Unsatisfactory Performance.
FAQs about difficult conversations

I need to give one of my staff members some feedback about their work or their behaviour and I’m not sure how they’ll take it. Would it be safer to wait and see if the situation improves before I say something?

In general, the principle of “nipping it in the bud” will make life easier for you and your staff members. If a staff member’s behaviour or performance is not meeting your expectation, the sooner you clarify with them what is expected, the sooner they can correct course. Difficult feedback becomes more difficult the longer you leave it. Use the advice in this booklet and talk to someone who can help you prepare for the conversation.

What if I am perceived to be bullying my staff member when I tell them their work needs to improve?

To be sure that you are not considered to be bullying, make sure your actions are reasonable and taken in a reasonable way, and ensure you prepare for the conversation.

The Discrimination and Harassment policy (PPL 1.70.06) defines harassment and bullying and these are some of the behaviours included:

- Constant unreasonable criticism about work or academic performance, often about petty or insignificant matters,
- Allocation of humiliating or demeaning tasks, or sabotaging a person's work,
- Setting of impossible deadlines with unrealistic expectations of work.

Under the Workers’ Compensation and Rehabilitation Act (2003), compensation may be granted for psychological injury claims pertaining to, for instance, workplace bullying, harassment, unfair action taken by management, or an excessive workload. However, the Act specifically excludes injuries that have arisen from “reasonable management action” taken in a reasonable way by an employer in connection with a worker’s employment.

Although every situation is different, as an example, it is probably reasonable to ask a staff member about the progress they’ve made on their project at a pre-arranged time (at the end of the week, or at your regular meeting). It may not be reasonable to check up on them several times a day.

Often situations such as this arise because performance problems are not addressed early enough. If managers do not provide staff with appropriate feedback and wait until the situation has escalated, staff can suddenly seem to receive harsh criticism ‘out of the blue’.

See PPL 1.70.06 Discrimination and Harassment for further guidance.
Organisational culture

The culture of your organisation or team has unparalleled influence over the behaviour of your staff. Organisational culture has the power to determine:

- how people respond to feedback
- whether they maintain healthy work/life balance
- how proactive and innovative staff are
- how much responsibility staff take for their work outcomes
- and every other aspect of how people behave.

Organisational culture can be described as the basic assumptions within a group which define the “correct” way to perceive, think, feel and act in a given situation (From Edgar Schein, “Organizational Culture”, February 1990, American Psychologist).

More simply, it can be described as “the way we do things around here”.

While some aspects of the culture are embedded or reinforced at the organisational level, consider what kind of culture you are creating within your team.

Edgar Schein’s work shows that culture is embedded by you as a supervisor (and by senior managers) through

- what you pay attention to, measure, and control
- how you react to critical incidents and organisational crises
- deliberate role modelling and coaching
- your criteria for the allocation of rewards and status
- your criteria for recruitment, selection, promotion, retirement, and excommunication.

Culture is reinforced by

- the organisation's design and structure
- organisational systems and procedures
- the design of physical space, facades and buildings
- stories, legends, myths, and symbols
- formal statements of organisational philosophy, creeds, and charters.
Phase 3: Appraisal and Recognition

How to prepare for the performance appraisal

1. **Set a meeting date.**
   - Choose a date for the performance appraisal meeting that will allow you to complete the whole process before the end of December (or before your staff member goes on leave, if they are planning to do so). Allow enough time for the meeting and make sure you give the staff member enough notice. It’s good practice to conduct the meeting in a relaxed and private environment such as a meeting room, rather than in your office.
   - Ensure your staff member knows where to find a copy of the R&D Plan, the R&D booklet for staff members, their position description, relevant team or operational plans, and a copy of their previous R&D Plan if relevant.
   - Allocate your staff member time during work hours to adequately prepare for the performance appraisal meeting.

2. **Your staff member starts to complete the plan.** The staff member attaches his/her position description and drafts his/her responses in the R&D Plan. The staff member gives the plan to you well in advance of the performance appraisal meeting.

3. **Prepare for the conversation.**
   - Review the position description and the portions of the R&D Plan previously completed by the staff member. Add further comments to the plan where needed.
   - Ensure you are familiar with the staff member’s performance – this means you have had regular meetings and conversations about performance throughout the year, and have given the staff member regular feedback. The staff member should not be surprised by any feedback you have for them.
   - Review any notes you have made throughout the year about the staff member’s performance.
   - Check additional information such as leave balances, completion of mandatory training (e.g. Code of Conduct, ESOS, OH&S etc).
   - Only consider information that is relevant, factual, valid and collected over the past 12 months.
   - Avoid opinions based on just 1 or 2 incidents.
   - Focus on the staff member’s behaviours and actions, not personality.
   - Plan the discussion.
   - Be aware of any assumptions and biases you may bring with you to the performance conversation. Recognise that these may not be accurate.

   *If you would like some advice when preparing for the conversation, see “Contacts for further assistance”.*
How to conduct the discussion

Use the structure of the R&D Plan to guide you, while focusing more on the conversation than on the plan.

Follow these principles throughout the conversation:

- Ask the staff member for their perspective and where they agree and disagree.
- Focus on fact and concentrate on job performance. Unless personality affects performance, it is not an issue.
- Consider any changes to duties or other factors affecting performance. (For example, staff members cannot be rated as not meeting the standards if they were on leave, equipment was broken, or training was not available.)
- Ask the staff member for feedback on how you could better support them to achieve their work goals.
• Record progress against the previously agreed goals in Section A on the R&D Plan. If there are any differences in opinion, first try to reconcile viewpoints with the staff member, and then note differences in opinion on the plan as comments.

• Be sensitive to the potential impact of difficult feedback and consider the most effective way to approach it.

• Remember the goal of the conversation is for your staff member to leave satisfied that they know what is expected of them and what help and support they will get from their supervisor.

If communication between you and your staff member is usually good, the appraisal takes on the tone of a proactive planning session.

Conversational skills for performance appraisal

✓ Elicit the staff member’s assessment of their accomplishments and reinforce good performance.

✓ Ask open-ended and probing questions (“Tell me more about...”)

✓ Show you are listening using your non-verbal signals and by paraphrasing what they have said.

✓ Use “I” statements (“I believe...”, “It seems to me...”), rather than “You” statements (“You are...”, “Everyone says you...”), which may make the staff member feel defensive.

Think about what the staff member wants to find out:

• How well am I doing?

• Are my efforts appreciated?

• What is expected of me?

• What are my strengths & weaknesses?

Looking after yourself (as a supervisor) during and following the appraisal meeting

Appraisal conversations can be draining for you as supervisor, because you want it to go well and it may be something you have infrequent experience of. Simple things you can do to take care of yourself include being organised and preparing for the meeting, being clear about the process and what you need to cover, and ensuring your staff understand the process. If you suspect it will be a difficult conversation, schedule a break after the meeting and talk to a friend or make use of the other contacts available to you (see Contacts for further assistance).
Informal recognition

Most of us like to be rewarded for doing a good job, and will be more motivated to continue if we know our work is appreciated. Showing sincere appreciation and interest in your staff member’s work also acts as a buffer during stressful work periods.

Rewards can be either extrinsic or intrinsic. **Extrinsic rewards** include pay, flexible working arrangements, increases in responsibility and status, receiving an award, and attendance at an interesting event. **Intrinsic rewards** are subjective and will be different from one staff member to another. These are some examples of intrinsic rewards for your staff members:

- ☑ meaningful work, that they feel makes a difference and which aligns with their values
- ☑ work that requires them to use their strengths and which they can perform competently
- ☑ opportunities to develop new skills and stretch their capability
- ☑ involvement in decision making
- ☑ healthy working relationships and a sense of belonging to the organisation.

In 1999 the Hay Group studied more than 500,000 employees in 300 companies. They investigated 50 factors that help organisations retain their staff. Interestingly, although employees did rank pay in the top 10, it was the least important of these 10 factors. This result was echoed in UQ’s own results from the 2011 Voice Engagement survey, with staff responses to the question “I am satisfied with the income I receive” being only a weak predictor of the University’s productivity.

Pay is important. However, there are many other factors that have a greater impact of staff satisfaction and motivation, and over which you have a greater deal of influence.

<table>
<thead>
<tr>
<th>Top ten retention factors (as ranked by employees)³</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Career growth, learning &amp; development</td>
</tr>
<tr>
<td>2. Exciting work &amp; challenge</td>
</tr>
<tr>
<td>3. Meaningful work, making a contribution</td>
</tr>
<tr>
<td>4. Great people to work with</td>
</tr>
<tr>
<td>5. Feeling a part of a team</td>
</tr>
<tr>
<td>6. Good boss</td>
</tr>
<tr>
<td>7. Recognition for work well done</td>
</tr>
<tr>
<td>8. Autonomy, sense of control over work</td>
</tr>
<tr>
<td>9. Flexible work hours &amp; dress code</td>
</tr>
<tr>
<td>10. Fair pay &amp; benefits</td>
</tr>
</tbody>
</table>

10 practical reward and motivation ideas

1. Send an email with positive feedback - be really specific.
2. Give them a “thank you” card at the conclusion of a big project or a busy period.
3. Let your own supervisor know what a great job an individual is doing so that they can pass on the compliment.
4. Pass on all positive feedback received from clients or others outside the team.
5. Ask for their feedback and ideas and use them.
6. Delegate new tasks to provide a challenge and learning opportunity.
7. Let staff make their own decisions about how to accomplish a goal, once you have clarified what the expected outcome is.
8. Show your interest in the special events happening in their lives.
9. Have at least a short conversation with each of your staff every day.
10. Organise team lunches or morning teas to celebrate particular points in the year.

I have yet to find a man, however exalted his station, who did not do better work and put forth greater effort under a spirit of approval than under a spirit of criticism.

- Charles Schwab

Formal recognition

UQ Awards for Excellence

The University offers formal Awards for individuals and teams that have achieved significant and outstanding achievement and a meaningful and lasting impact at UQ. All UQ employees are eligible to be nominated: professional and academic staff employed on a continuing, fixed-term or casual basis.

Award Categories:

- Leadership
- Service
- Innovation
- Equity & Diversity
- Wellness & Safety
Award Prizes:

$5,000 for individuals and up to $20,000 per team. Award winners may elect to receive their prize as a one off salary payment or to be used towards professional development. For more information on the UQ Awards for Excellence, including key dates, visit http://www.hr.uq.edu.au/recognition/uq-awards-excellence

Incremental progression

The performance appraisal provides the basis for your recommendation on incremental progression. Increments are effective on the anniversary date of appointment to the staff member’s substantive position.

Rewarding outstanding performance

Significant financial rewards are available for staff whose performance is rated as outstanding. In order for overall performance to be assessed as outstanding, all of the following criteria must be met:

1. There is evidence of sustained exceptional performance over the whole year, not just in relation to one or two instances.
2. The outcomes achieved are truly exceptional (i.e. an undoubted major contribution to the work of the organisation unit, or innovative solutions to University problems/work practices/services etc).
3. The evidence of the exceptional performance is apparent beyond the staff member’s immediate work area.
4. It is approved by the relevant Senior Manager (see glossary).

Where the staff member’s performance is assessed as outstanding, you can recommend a double increment. However, to avoid embarrassment, before making such a recommendation you must discuss the proposed rating with the Senior Manager to substantiate the rating and gain approval for the recommendation. If the Senior Manager disagrees with your recommendation, you will have to revise your recommendation and communicate this to the staff member.

For outstanding performance of a staff member already at the top of the salary scale, you can recommend an outstanding performance loading. An outstanding performance loading consists of an increase of 90% of the difference between the top of the scale of the staff member’s HEW level and the bottom of the scale of the next higher HEW level. Once granted, the pay level continues indefinitely (unless the staff member goes to a different HEW level, or is subject to disciplinary procedures). There is no expectation that a staff member will continue receiving an “outstanding” rating just because they have received it before.

Such rewards are for truly outstanding performance and are likely to be infrequent. While there is no quota on the numbers of staff that might be assessed as outstanding in any one year, it is likely that only small numbers of staff would be assessed as outstanding in any organisation unit.
If an outstanding rating is given by the supervisor and approved by the relevant Senior Manager, the staff member must be given a double increment (if at increment step 1 or 2) or an outstanding performance loading (if at increment step 3 or 4). Approved double increments are effective on the date the increment was due during the current reporting period (anniversary of appointment to substantive position). If the staff member commenced in their current role during the reporting period and has not had an increment increase in their current role, their double increment will be applied at their first anniversary date (in the next reporting period).

If a staff member is already receiving a performance loading, there is no expectation that the staff member will continue to be given an outstanding rating. If this does occur, there will be no additional salary increase above the performance loading already being received.

Flexible remuneration (bonuses)

Managers may otherwise remunerate outstanding performance with a one-off bonus, under the conditions and approval process outlined in PPL 5.50.15 Flexible Remuneration – Performance Payments.

Questions about the performance appraisal

Who is involved?

<table>
<thead>
<tr>
<th>Who</th>
<th>Role</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Staff member</strong></td>
<td>Staff take a proactive role in day-to-day recognition and development and the annual performance appraisal.</td>
</tr>
<tr>
<td><strong>Supervisor</strong></td>
<td>Recognition and development of their staff is a key part of any supervisor’s role. Before conducting the annual performance appraisals you must complete the relevant mandatory course/s for supervisors in the Staff Development Program - Recognition and Development for HEW levels 7 and below, or Staff Management Issues For Professional Staff Senior Managers for HEW levels 8 and above. This includes supervisors new to the University who have conducted appraisals in other organisations. The Managing Performance course is also mandatory for supervisors at HEW levels 7 and below, and must be completed prior to engaging in diminished or unsatisfactory performance processes.</td>
</tr>
<tr>
<td><strong>Supervisor’s supervisor</strong></td>
<td>In some cases, the supervisor may choose to discuss their staff members’ goals and performance with their own supervisor, for example, in a School where the supervisor reports to the School Manager.</td>
</tr>
</tbody>
</table>
Head (Head of organisational unit)
The head ensures consistency of performance appraisals across the organisation unit, checks that appraisals are carried out and conducted fairly, and is available for help and advice.
The head reviews the completed R&D Plan, and approves recommendations for increment and expenditure for development activities.

Head’s delegate
The head may wish to delegate signing of the Record of Assessment and Recommendation for Increment form to another staff member e.g. Faculty Executive Officer, School Manager, Manager.

Senior Manager (see glossary)
Approves recommendations for outstanding performance, and resolves any concerns a staff member has that have not been resolved at a lower level.

Staff member’s representative
For example, another member of staff or a Union representative. ‘Representative’ is defined in section 1.19 of the Enterprise Agreement.

Human Resources representatives
The Faculty, Institute or Central Human Resources representatives provide guidance on the policy and process. They notify heads if any professional staff have not completed their performance appraisals by 31 December.

FAQs about performance appraisal

Does this apply to casual and part-time staff?
All part-time staff with an appointment greater than one year must participate in performance appraisal, but casual staff do not. The general principles of effective people management discussed in this booklet are useful for managing any staff member.

My staff member has had more than one supervisor since January. Who conducts the appraisal?
If a staff member’s supervisors changed in the reporting period (1 Jan to 31 Dec), or because they have different supervisors for different parts of their role, it is best practice for both supervisors to meet with the staff member to exchange feedback about their performance over the year, and to discuss plans for the coming year (if they will be working with that supervisor again).

Only one supervisor completes the Record of Assessment and Recommendation for Increment – the one who knows the most about the staff member’s performance. This supervisor takes comments from the other supervisor into account.

Which position should a staff member be appraised against if acting in higher duties?
Staff acting in higher duties at the time of appraisal can have the appraisal meeting with either their current supervisor or the supervisor in their substantive position, depending on the length of the acting position. This can be negotiated between the supervisors and the staff member.

My staff member would like someone else to conduct the appraisal, is this OK?
Staff who want to have someone other than the nominated supervisor appraise them should discuss this with the head.

My staff member will be leaving soon after the appraisal date. Do they have to participate in the appraisal?

Yes. All staff have a right to feedback on their performance and a discussion of their strengths and development needs, even when they are leaving to take up a new role, retire or take extended leave.

When are appraisals due?

Appraisals must be conducted annually by the end of the calendar year. You can begin the process in November to make sure you have enough time to complete your appraisals.

The Record of Assessment and Recommendation for Increment page must be received by your HR representative by the end of the first week in February each year.

You can conduct less formal reviews of performance at any time during the year. For example, it’s good practice to review a staff member’s performance before they take extended leave.

FAQs about the due date for appraisals

What is the reporting period?

To align with the budget cycle, the reporting period follows the calendar year. This means that the appraisal considers work performed during this period.

My staff member will be on leave during December, when do I conduct their appraisal?

If the staff member will be on leave when the appraisals are conducted, their appraisal will usually be conducted before the staff member departs.

If they are on a long period of leave (e.g. parental leave), advise your HR representative that the staff member is absent so that this is taken into account when they report on the percentage of appraisals completed in your area.

My staff member is new to the University, do I still need to conduct an appraisal with them this year?

When a staff member commences, you will explain their position description within the first month of employment. You then review their performance at the mid-point of their probation and before the end of the probation period.

If the staff member started working for the University before 1 August, you conduct their performance appraisal in November - December of the same year. If they started on or after 1 August, their first performance appraisal will be conducted by 31 December the following year.
**Record of Assessment and Recommendation for Increment**

The Recommendation Form (at the end of the R&D Plan) records the overall assessment and remuneration outcomes of the appraisal. You will need to forward a copy of this form to the relevant Human Resources representative so that the recommendation, such as an increment, can be implemented.

The date the appraisal was conducted is entered into the Human Resources system and this data is provided to heads of organisational units to monitor the completion of performance appraisals in their areas.

---

**Record of assessment and recommendation for increment**

As the supervisor, you will determine the overall rating of the staff member’s performance based on work in the last 12 month reporting period (1 January to 31 December). To determine the rating, consider the results achieved and any factors affecting performance. Given this information, use the following rating scale to give an overall rating:

- Outstanding
- Commendable
- Successful
- Requires Improvement
- Unsatisfactory Performance

Definitions of each rating are provided on the R&D Plan – read these carefully when making your rating.

An increment will be granted unless the performance is assessed as Unsatisfactory. If you wish to assign an Unsatisfactory rating, you must have commenced Unsatisfactory Performance proceedings. Contact your HR representative or Employee Relations for more information and assistance.

**Retaining the records and confidentiality**

The completed R&D Plan must be kept by the supervisor and the staff member and the Recommendation for increment page given to the local HR representative. The completed R&D Plan may be seen by the appraising supervisor, the head, and the local Human Resources representative. It is otherwise confidential.

**Redress**

If a staff member is dissatisfied with the outcome of an appraisal, the concern should be raised first with their supervisor, and then with the next senior line manager who will resolve the
matter through a discussion with the staff member and supervisor. Human Resources staff and, if the staff member chooses, a representative (such as another member of staff or a union representative) are also available for advice.

**Level 10 staff**

Level 10 staff are appraised using the R&D Plan until they reach the grade rate of the salary structure for their particular level. When the Level 10 staff member has been at the grade rate for two years or more, the staff member may instead submit the completed Outstanding Performance form to their supervisor.

**FAQs about granting increments**

*If the organisational unit does not have enough money in the budget, can the head decide not to conduct appraisals in order to avoid granting increments and save money?*

University policy is that performance appraisals will be conducted and increments granted for all eligible staff regardless of budgetary constraints.

*Can the appraisal not be conducted for a research staff member because there is insufficient money in the grant to cover the increment, double increment or performance allowance?*

Grant proposals need to factor in the level of pay expected during the grant period. A staff member cannot be denied their right to an appraisal and corresponding remuneration based on the amount of money in the research grant.

*What if someone received an “Outstanding” rating with a double increment or performance loading after their last appraisal, but this year I give their performance a lower rating?*

Because outstanding ratings are rare, there is no expectation that a staff member who received an outstanding rating would continue to receive this rating in subsequent years (unless their performance continues to be truly exceptional).

**Can the appraisal result in a reduction of pay?**

Receiving a rating of “Requires Improvement” will not result in a reduction of the staff member’s pay. If they are not yet at the top of their pay scale, they will receive an increment. The supervisor will identify actions for the staff member to improve their performance over the next 12 months, and their performance will need to improve to avoid a rating of “Unsatisfactory” at the next year’s appraisal.

Receiving a rating of “Unsatisfactory” can result in the staff member losing a performance loading or decrease in increment, if this is deemed a suitable outcome at the conclusion of the Unsatisfactory Performance process (see the section on Diminished and Unsatisfactory Performance).
### Glossary

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Head</td>
<td>The head of the organisational unit (e.g., Director)</td>
</tr>
<tr>
<td>HUPP</td>
<td>Handbook of Policies and Procedures (all policy documents to be transitioned from the HUPP to the PPL during 2011/2012) <a href="http://www.uq.edu.au/hupp">www.uq.edu.au/hupp</a></td>
</tr>
<tr>
<td>Reporting period</td>
<td>The calendar year</td>
</tr>
<tr>
<td>Senior Manager</td>
<td>The Senior Managers include the:</td>
</tr>
<tr>
<td></td>
<td>• Executive Dean or Institute Director</td>
</tr>
<tr>
<td></td>
<td>• Provost</td>
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<tr>
<td></td>
<td>• Deputy Vice-Chancellors</td>
</tr>
<tr>
<td></td>
<td>• Pro-Vice-Chancellors</td>
</tr>
<tr>
<td></td>
<td>• Chief Operating Officer</td>
</tr>
</tbody>
</table>

### Contacts for further assistance

- **Your HR representative**
- **Your supervisor or head**
- **Employee Relations**, central HR, [http://hr.uq.edu.au/er-contacts](http://hr.uq.edu.au/er-contacts)
- **Organisational Development**, central HR, [http://www.hr.uq.edu.au/od-contacts](http://www.hr.uq.edu.au/od-contacts)
- **Staff Support and Rehabilitation Advisor** (to discuss health issues impacting on performance or performance issues impacting on health), phone 336 51146.
- **ManagerAssist** - This is a free and confidential service for managers dealing with difficult or complex people issues. Contact Davidson Trahaire Corpsych, phone 1300 360 364.
- **Employee Assistance Program** - Free and confidential counselling is available to you and your staff from Davidson Trahaire Corpsych. You can use this service to address a broad range of both personal and work related issues (difficult decisions, conflict, career planning, stress, family and relationship issues, health issues, addictions, trauma, depression, etc.). Phone 1300 360 364.
Recommended readings

Factsheets and presentations


Books

(Links provided to the UQ Library holding where available.)

*Communicating your vision.* Centre for Creative Leadership (2007).

*Fierce Conversations: achieving success in work and in life, one conversation at a time.* Susan Scott (2002).


*Taking care of Yourself and your family: A resource for Good Mental Health.* John Ashfield (2010). (Free copies available [online](https://beyondblue.org.au) from Beyondblue.org.au)

*The Tao of Coaching: boost your effectiveness at work by inspiring and developing those around you.* Max Landsberg (2003).

*What got you here won't get you there.* Marshall Goldsmith & Mark Reiter (2007).

Other places to find useful resources

UQ Library Catalogue

Itunes (for free podcasts)

Management section at The Co-op Bookshop
Links with other human resource processes

**Induction**

**Practical tips for an effective induction**

Set aside time specifically allocated to induction for your staff member
Set clear expectations from the beginning:
- Hours of work
- The culture you are working towards
- The nature of work in their role and specific work to be undertaken in the role
- Reporting relationships
- What they should do when problems occur

Provide time and space for your staff member to ask questions or seek guidance
Book in any required training early
Consider setting goals with timelines specifically for induction activities


**Probation**

**Practical tips for effective use of probation**

- Book in training required and induction sessions as soon as possible.
- Have regular meetings to discuss performance and exchange feedback. Remember to ask how the staff member would like to be supported.
- If there are performance issues, tell them, and record performance issues as you go. Be sure to check that staff have all the knowledge, skills, support and resources to achieve the tasks they are being asked to.
- Have a formal review at the half-way mark – put a reminder in your diary.
- Have a final review before the end of the probationary period (2-3 weeks prior).
- Remember that attitude and conduct can be included when setting expectations and providing feedback.

**Diminished and unsatisfactory performance**

When clear performance expectations have been set and regular meetings have been held, the majority of staff perform their roles well.

Diminished performance occurs when a staff member is not meeting, or is unlikely to meet, key performance expectations relevant to the position. When this is the case, the supervisor immediately conducts a guidance interview with the staff member to suggest ways in which the staff member could improve their performance (this is called Performance Guidance).
If Performance Guidance does not elicit improvement in the staff member’s performance, the supervisor would next undertake Performance Counselling, which means they would:

- clearly identify where the performance is not meeting satisfactory levels
- determine the possible reasons for the diminished performance
- agree with the staff member on the remedial actions to be taken to achieve the agreed outcomes
- agree with the staff member on a review period (usually one month for professional staff)
- send a summary of the meeting to the staff member, to which the staff member may respond.

The supervisor has the option of using the overall assessment rating Requires Improvement so that a clear message is communicated to the staff member and necessary improvement programs are put in place and appropriate support is provided by the supervisor.

If diminished performance procedures have been implemented, the head of the organisational unit (or their delegate) should notify the relevant Human Resources representative. When diminished performance procedures do not result in the staff member’s performance becoming satisfactory, the supervisor implements unsatisfactory performance procedures in accordance with provisions of the Enterprise Agreement (section 41) and the Diminished Performance and Unsatisfactory Performance policy and procedures. A recommendation to withhold an increment will only be made in accordance with unsatisfactory performance procedures of the Enterprise Agreement (section 41).

Training on diminished and unsatisfactory performance is available through the Managing Performance course, and is mandatory for professional staff supervisors at HEW levels 5 to 7.

**Disciplinary procedures**

The performance appraisal process is separate from disciplinary procedures. Unsatisfactory performance under the Enterprise Agreement will be invoked if the staff member’s performance is formally assessed as unsatisfactory.

**Misconduct procedures** may be taken at any time in accordance with the relevant provisions of the Enterprise Agreement.
Relevant policies, procedures and guidelines

PPL 5.43.7 Career Planning for Retirement
PPL 1.70.06 Discrimination and Harassment
PPL 5.40.03 Evaluation and Classification of Positions
PPL 5.55.01 Management of Professional Staff Workloads
PPL 5.70.13 Medical Conditions Affecting Performance
PPL 5.70.01 Performance Appraisal for Professional and TESOL language teaching staff
PPL 5.70.02 Probation for Professional Staff
PPL 5.55.03 Professional Staff Flexible Working Arrangements
PPL 5.60.10 Recreation Leave
PPL 5.30.01 Recruitment and Selection
PPL 5.80.01 Staff Development
PPL 5.80.07 Study Assistance Scheme for Professional Staff
PPL 5.43.05 Telecommuting
## Actions for you

<table>
<thead>
<tr>
<th>Action</th>
<th>First step?</th>
<th>When?</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Examples:</strong></td>
<td><strong>Examples:</strong></td>
<td></td>
</tr>
<tr>
<td>Initiate regular meetings with staff members to discuss their work, clarify priorities, offer feedback and support.</td>
<td>Explain why I'm starting to do this</td>
<td>At the team meeting</td>
</tr>
<tr>
<td>Talk with staff about their strengths and development needs</td>
<td>Observe what they are good at and what they could develop</td>
<td>Over the next few weeks</td>
</tr>
<tr>
<td>Ask staff for feedback on how you can better support them</td>
<td>Plan how I'll do this (e.g. email, team meeting, individual meetings, 360 feedback)</td>
<td>On the weekend</td>
</tr>
<tr>
<td>Reflect on my own strengths, development needs and career goals for myself</td>
<td>Book time in my diary to sit somewhere quiet</td>
<td>Book the time ASAP</td>
</tr>
<tr>
<td>Increase recognition given to staff members</td>
<td>Buy a pack of thank you cards</td>
<td>On the way home today</td>
</tr>
</tbody>
</table>