

Performance Management Policy



Purpose/objective

The purpose of this Policy is to facilitate and promote improvement in organisational outcomes through the effective management and review of employee performance, to ensure high quality teaching, to enhance the job satisfaction of employees, and to advance and support the career development of Australasian Academy of Higher Education (AAHE) employees. The Procedure explains how the Policy is to be implemented.

Scope

This Policy and Procedure applies to all non-casual staff of AAHE.

Definitions

Terms used in this document are defined in the AAHE Glossary.

Policy

1. Guiding principles

- 1.1 Managing employee performance and fostering staff development are critical elements in achieving AAHE's strategic priorities as they facilitate and promote improvement in organisational outcomes. As a tool to assist in the review of performance, supervisors and employees will engage in a process that is appropriate to the employee's particular level and responsibilities.
- 1.2 AAHE's Performance Management Policy is guided by the following principles:
- 1.3 The Academy is committed to:
 - the effective management and review of employee performance, to ensure high quality teaching, to enhance the job satisfaction of employees, and to advance and support the career development of AAHE employees
 - providing appropriate training for all supervisors responsible for conducting performance management, mindful of unconscious bias, diversity, gender equity and non-discriminatory approaches to performance discussions and decisions
 - supporting appropriate staff development
 - recognising that all parties are committed to quality performance management
 - ensuring that quality performance management is part of quality management, resulting in enhanced organisational performance
 - acknowledging that development and performance are linked and that performance management implies the provision of adequate developmental opportunities that allow optimum performance
 - considering a staff member's personal goals and career aspirations and seeking to integrate them into the overall goals of Australasian Academy of Higher Education.
- 1.4 Performance management is a joint responsibility between an employee and their supervisor. It provides an opportunity for employees and supervisors to work together in a

structured way to monitor performance, identify and describe work expectations, discuss learning and development needs, recognise achievements, provide feedback and plan for future individual and organisational growth and development.

1.5 Performance management enables employees and their supervisors to:

- engage in a dialogue that enables regular and ongoing feedback to both parties
- establish objectives to guide the work of the employee throughout the year, derived from AAHE's strategic objectives
- review performance against previously set objectives and set their goals for the years ahead
- identify development and education needs to assist employees in taking responsibility for their career development
- provide an opportunity to discuss workplans, values and standards
- identify possible ways of improving the way the job is structured within the organisational unit
- identify and acknowledge staff for excellence in performance which contributes positively to objectives specified in AAHE's Strategic Plan
- identify and manage potential barriers to satisfactory performance
- formulate and implement improvement strategies in cases where the performance of employees is below expectations, and
- ensure fairness and due process as well as effective outcomes when dealing with demonstrated unsatisfactory performance.

2. Responsibilities of employees and supervisors

2.1 The **employee's** responsibilities under this Policy are to:

- seek advice from their supervisor and express views about any aspect of the work
- provide input on performance objectives and plan performance enhancement strategies
- self-assess achievements against approved objectives
- advise the supervisor of their goals and, in the case of academic staff, scholarship plans for the year ahead, and report on their achievements for the year past
- seek clarification on job expectations as necessary
- seek opportunities and take responsibility for ensuring staff development and career advancement commitments are met
- participate in an annual performance review.

2.2 The **supervisor's** responsibilities are to:

- initiate and ensure that a performance review is completed annually for each of the staff they supervise
- treat each in a fair and equitable manner
- provide details of work expectations, including setting performance objectives and reasonable timeframes for their achievement
- review and negotiate changes to the work profile
- provide recognition where appropriate
- in consultation, establish performance criteria that align with AAHE's operational and strategic plans
- discuss work performance on an on-going basis, including identifying and clarifying underperformance issues
- review performance against established criteria
- develop, in, strategies for performance enhancement

- facilitate the undertaking of professional learning opportunities that align with AAHE's goals.

3. Outcomes of performance review

- 3.1 Where an employee has completed a performance review and the report indicates that performance has been satisfactory, the employee will progress to the next increment level in their salary classification on the due date until the highest level in that classification is reached.
- 3.2 Where a supervisor identifies an employee's performance as outstanding, the employee may be nominated for official recognition or reward. Outstanding performance in this context refers to performance that extends beyond normal job requirements and may involve, but is not limited to, one of the following elements:
- a) innovation
 - b) initiative
 - c) exceptional productivity and/or effort
 - d) excellence in client service
 - e) leadership, and/or
 - f) significantly exceeding goals.
- 3.3 Information derived from the performance review will inform the development of AAHE's staff induction and professional development programs.
- 3.4 Professional learning needs identified in the performance review process should be linked to AAHE's operational and strategic plans and should consider the range of professional learning options available.
- 3.5 Where underperformance is identified, the supervisor will set objectives and reasonable timeframes within which improvements are to be achieved. Supervisors should not wait until the end of the annual performance review to address underperformance issues.
- 3.6 The supervisor will closely monitor the work and communicate frequently with the employee. The employee will be provided with the opportunity and assistance to address underperformance.
- 3.7 Where there is evidence that underperformance has not been remedied through this process, the relevant formal Procedures for managing unsatisfactory performance will be followed.
- 3.8 The CEO may terminate employment due to an employee's unsatisfactory performance.
- 3.9 If at any time during the probationary period:
- an employee's progress is considered by AAHE to be unsatisfactory or
 - the employee is not satisfied with the position or AAHE
- either the employee or AAHE may terminate the employment.
- 3.10 The relevant notice period is specified in the *Educational Services (Post-Secondary Education) Award 2020* and varies according to the employee's length of service.¹ Notice may be paid in lieu or forfeited as appropriate.

¹ https://awardviewer.fwo.gov.au/award/show/MA000075#P1158_84834 (see Section 31)

Related documents and relevant legislation

Strategic Plan

Recruitment and Appointment Policy

Staff Grievance Policy and Procedure

Conflict of Interest Policy

Staff Code of Conduct

Educational Services (Post-Secondary Education) Award 2020

Equal Opportunity for Women in the Workplace Act 1999

Fair Work Act 2009

Workplace Gender Equity Act 2010

Sex Discrimination Act 1984

Racial Discrimination Act 1975

Disability Discrimination Act 1992

Australian Human Rights Act 2010 (Victoria)

Age Discrimination Act 2004

Higher Education Standards Framework (Threshold Standards) 2021

Document information

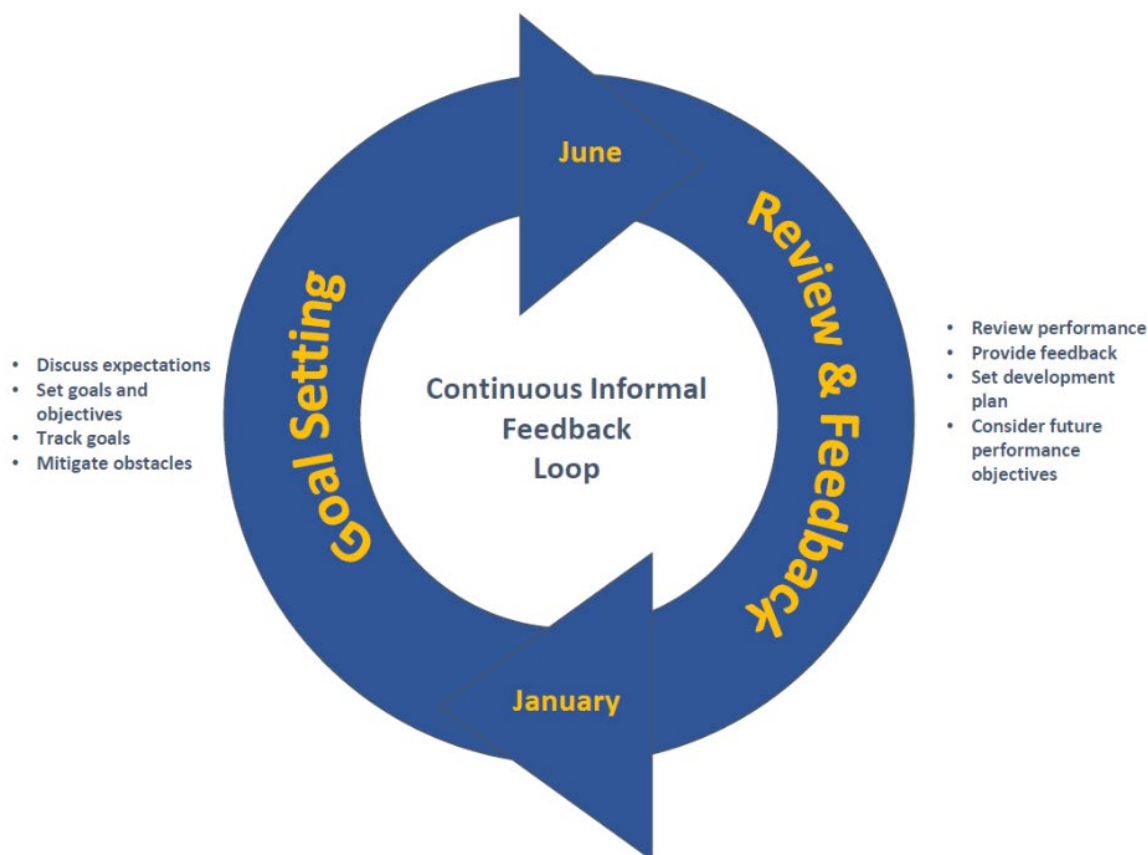
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Performance Management Procedure

1. The performance management process

- 1.1 Performance management is a process that occurs continuously throughout the year as illustrated by the following diagram. While the goal-setting and performance review processes will inevitably overlap, the emphasis in the early part of the year is on clarifying expectations and setting goals, while the emphasis later in the year should be on reviewing performance and the effectiveness of the performance management strategies.



- 1.2 By no later than the end of the first quarter, all AAHE employees are to produce an annual workplan in consultation with their supervisor. This documentary workplan will form the basis of the annual performance review.

2. The annual performance review

- 2.1 Supervisors should advise the staff they supervise of the timing of the annual performance review.
- 2.2 Supervisors should be aware of the link between the performance process, incremental progression, and the management of unsatisfactory performance.
- 2.3 Employees are to review and reflect on the content of their annual workplan prior to meeting with their supervisor. Preparation should include:
- reflection of achievements during the past year consistent with the classification level and requirements of the job

- thoughts on the key goals for the year ahead and the criteria (qualitative and/or quantitative as appropriate) by which achievements could be measured, and
 - plans for career and professional development.
- 2.4 The performance review discussion will include feedback on behaviour, contribution and collegiality, performance against agreed goals, objectives and performance indicators and planning for the year ahead. Work expectations and goals for the next 12-month period are to be set at the annual performance review.
- 2.5 Following the annual performance review discussion, an agreed final report of the performance review will be prepared by the supervisor, as follows:
- a) the employee's achievements during the past year
 - b) an overall performance rating of:
 - i. Exceeds expectations
 - ii. Meets expectations
 - iii. Development encouraged
 - iv. Improvement required; or
 - v. Unsatisfactory performance
 - c) the goals and performance criteria for the following year
 - d) any developmental plans and requirements.
- 2.6 The employee will be provided with a copy of the supervisor's signed performance review and given the opportunity to sign it and attach any comments. Should the employee not sign the plan, the matter should be discussed in the first instance with the relevant member of executive management. Following this, if still not resolved, the matter will be referred to the COO or CEO (as appropriate).
- 2.7 Upon completion of the performance review process each year, copies of the reviews are to be filed for a minimum of three years.
- 2.8 Employees' professional learning needs, including training and professional activities identified through the annual review, are to be categorised and dealt with in the following manner:
- Role-specific professional learning is to be negotiated, prioritised and resourced within the relevant work unit; and
 - Professional learning needs of an administrative or managerial nature are to be aggregated and prioritised by the Head of the relevant unit and conveyed to the COO for possible inclusion in AAHE's annual budget.
- 3. Termination due to unsatisfactory performance**
- 3.1 The following procedures are compliant with the *Educational Services (Post-Secondary Education) 2020 Award* under which AAHE staff (apart from members of the Executive Management) are employed². Section 30 of the Award covers termination of employment. Staff are referred to the link below for details of their rights under the Award.
- 3.2 Where the performance of an employee is unsatisfactory, the supervisor will first counsel the employee on the nature of the improvement required and develop measurable strategies for improvement. These strategies will be given no less than four weeks to take effect for non-academic staff, and up to a semester for academic staff, having regard to the

² https://awardviewer.fwo.gov.au/award/show/MA000075#P1158_84834

performance issues to be addressed. A record of the counsel given will be kept on the employee's file and a copy supplied to the employee.

- 3.3 If after the relevant period of time, a supervisor believes that counselling has not produced improvements in performance the supervisor must advise the employee, in writing, of the following:
- the specific areas of performance that are considered unsatisfactory;
 - a date proposed for a review of the specific areas of performance; and
 - the availability of resources to assist the employee in improving.
- 3.4 A copy will be kept on the employee's file. The employee shall be entitled to 10 working days from the receipt of the supervisor's written advice to respond. The supervisor must give proper consideration to any response provided by the employee and do one of the following:
- confirm the notice of unsatisfactory performance;
 - modify any or all of the particulars contained in the previous advice (3.2);
 - withdraw the advice and ensure that no records relating to the advice are kept on the employee's file.
- 3.5 The supervisor will review whether or not satisfactory improvement in the employee's performance has been made at the date proposed in the last advice (3.3). If the supervisor is satisfied that the required improvements have been made, the employee will be advised in writing.
- 3.6 If the supervisor believes that the performance of the employee continues to be unsatisfactory, the supervisor will make a formal report to the Chief Operating Officer. The report must clearly specify the aspects of performance seen as unsatisfactory, the record of attempts to remedy the problem, and the recommended action. The supervisor must also provide the employee with a copy of the report.
- 3.7 Following consideration of the report, the supervisor together with the COO may decide to:
- take no further action; or
 - take further action, which may include:
 - suspension with or without pay; or
 - termination of employment.
- 3.8 The supervisor must advise the employee in writing of any decision. Any further action will take effect no earlier than five working days from the date of the written advice.
- 3.9 Notice of termination must be approved and signed by the Chief Executive Officer.

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