

## STAFF PERFORMANCE AND DEVELOPMENT FRAMEWORK

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**Responsibility:** Director Organisational Development and Wellness

**Approving authority:** Vice-Chancellor

**Last reviewed:** August 2021

**Next review:** August 2024

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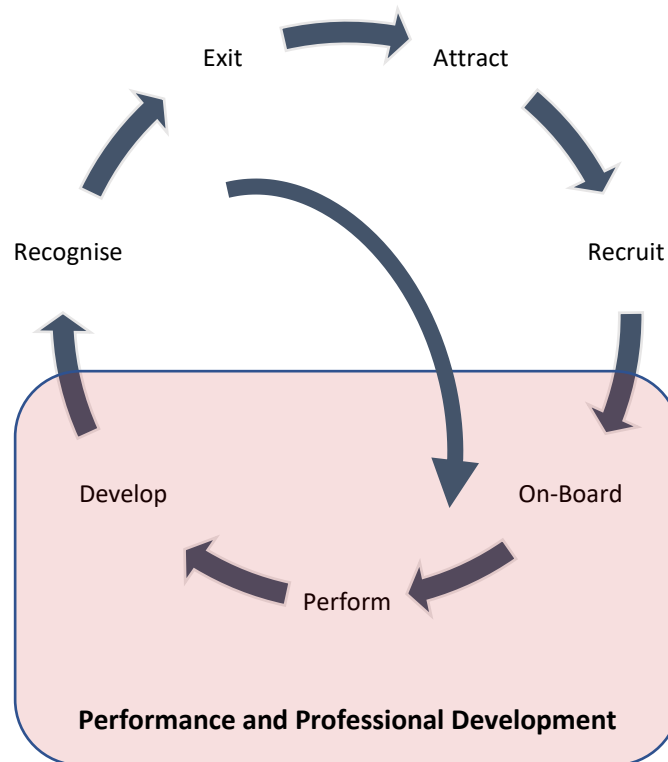
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## 1. THE PURPOSE

Performance and Professional Development, is a philosophy that unleashes the potential of our people by facilitating and promoting the development of every employee whilst making a difference to the success of the University. Performance and Professional Development is a key strategic lever for us to use to help us achieve our vision to demonstrate international standing and research leadership. *We do more than pay lip service to this philosophy, it is seen and lived in everything we do on a daily basis.*

## 2. STRATEGIC PEOPLE PROCESSES

This document covers On-Boarding of new staff members, Staff Performance and Development as part of the Strategic People Processes.



### **3. ON-BOARDING**

Onboarding is the process of helping new employees adjust to the social and performance aspects of their new jobs quickly and smoothly, and learn the attitudes, knowledge, skills, and behaviours required to function effectively within an organisation. It should start as soon as the offer has been accepted and takes place over a period of approximately one year. It consists of a number of actions including, but not limited to, Introductory Programmes.

#### **3.1. Objectives of On-Boarding**

On-Boarding aims to ensure that all new staff:

1. Adapt and feel welcome at the University of Waikato.
2. Are supported and encouraged to perform effectively when appointed to a new role or position.
3. Develop the necessary skills and knowledge for their role.
4. Establish working relationships across the University.
5. Receive the necessary information about the University including its vision, strategy, goals and organisational culture.
6. Understand the performance expectations of their new role and the way in which their position can assist the University to achieve its vision and deliver on the University goals.
7. Are engaged with the University and their team.

#### **3.2. The Process**

The process and further information and resources can be found at <https://www.waikato.ac.nz/odw/onboarding-and-induction>. The process may be adapted in line with role requirements and will be periodically reviewed and adapted.

### **4 OBJECTIVES, DEVELOPMENT AND REFLECTION (ODR)**

ODR refers to the processes and kōrero (conversation) that facilitate the setting of goals and objectives, development plans, ongoing conversations and coaching, periodic reflection and recognition of achievement that takes place in partnership between line manager and employee.

Kōrero is critical to the process and refers to dialogue aimed at deepening understanding and building the relationship.

#### **4.1. Objectives of ODR**

ODR aims to:

1. Enable the growth and development of teams' and individuals' abilities and careers,
2. Mobilise the University strategy through the alignment of individual and collective goals and objectives with those of the Divisions, Faculties, Schools and Programmes,
3. Maintain ethical standards, integrity and accountability,
4. Stimulate and foster a culture of excellence, efficiency, innovation and continued improvement,
5. Facilitate communication between managers and employees, and ultimately improve workplace relations through regular, open and honest kōrero that promote job satisfaction in a motivating and enabling environment that leverages people's strengths,
6. Improve the engagement and retention of employees,
7. Foster output and productivity of teams and individuals, and ultimately, the performance of the University as a whole,
8. Recognise and celebrate achievement,
9. Identify poor performance fairly and refer to the appropriate process while acting in good faith, in an open, honest and responsive manner, and,
10. Provide fair and objective input towards the remuneration and promotion processes.

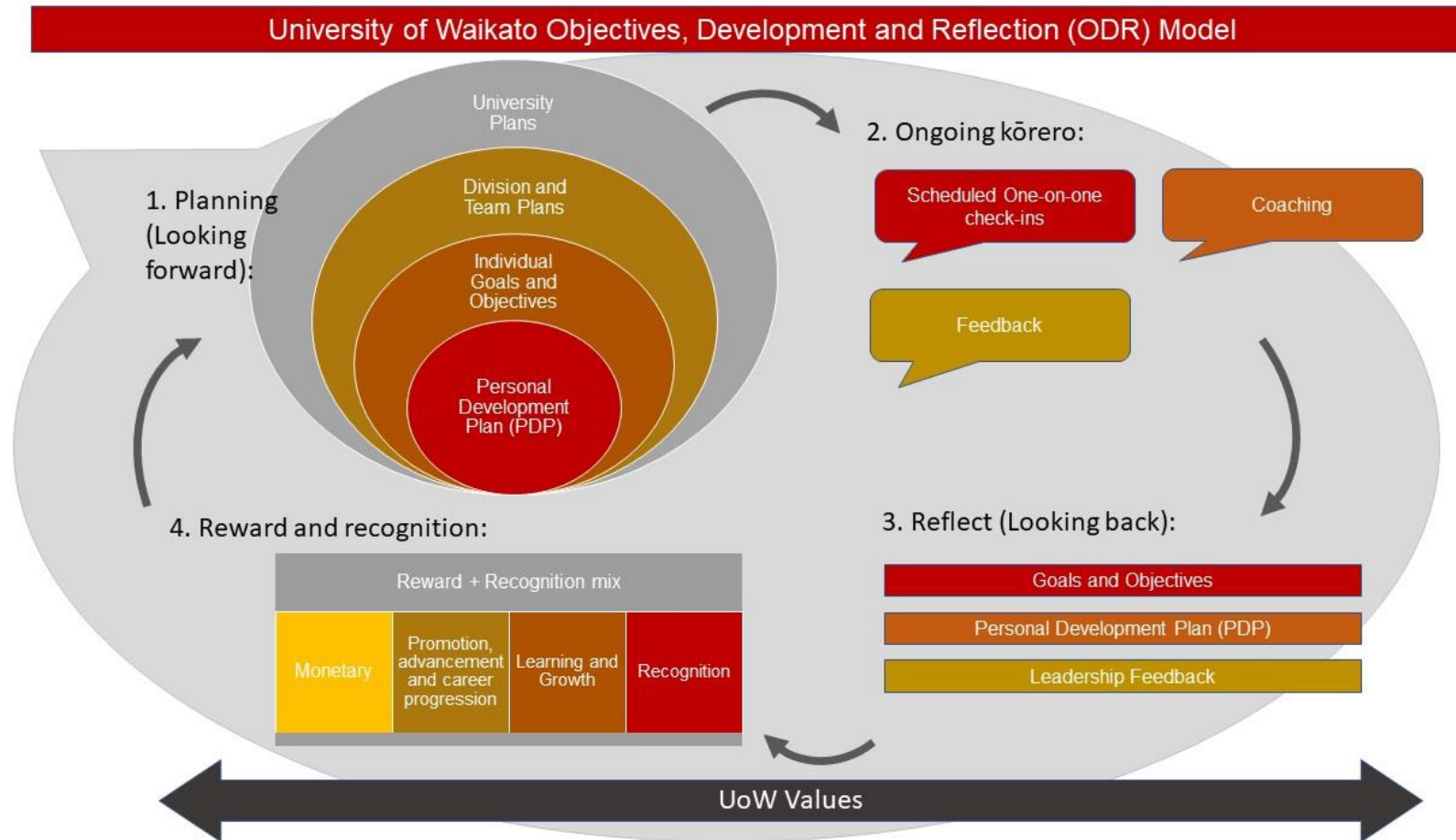
#### **4.2. Guiding principles**

ODR is systemic with many complexities. Clear principles are key to day-to-day application. The following principles are proposed:

1. The line manager's leadership is critical to the success of ODR and should foster a healthy and vibrant environment. Leadership sets the ethos with which we do ODR.
2. ODR should facilitate the development and empowerment of employees including but not limited to working towards their strengths.
3. ODR should not be a one-off annual event, but should be lived through a series of ongoing kōrero.
4. The ODR process should hold employees and managers accountable through courageous kōrero rather than creating a culture of blame.
5. Courage and innovation are encouraged through a culture where it is safe to both speak-up and learn from our mistakes.
6. The ODR process should encourage recognition of work done well.
7. The principles of fairness and internal equity apply.
8. The practice of confidentiality applies.
9. Management is responsible for ODR in partnership with employees and supported by Human Resources (HR).
10. Tools/templates and future technology should be an enabler and should not be seen as the driver of the process.

### 4.3. The ODR Model

ODR is cyclical consisting of the following components:



### 4.3.1. Planning Processes

ODR takes place at three levels:

- **Organisation level**, i.e. the University of Waikato's Strategic Plan which is reviewed every three (3) to five (5) years and operationalised by:
  - The Academic Plan
  - The Research Plan
  - The Māori Advancement Plan
  - The Pacific Plan
  - The International Plan
- **Division and/or team level**, i.e. divisional or team strategic plans that are informed by the organisational plans. Three to five (3 - 5) year plans that are reviewed annually with goals and/or objectives for each year.
- **Individual level**, i.e. a set of goals and/or objectives for each staff member that is informed by the Division or Team Plan and goals.



#### *Cascading of plans, goals and objectives*

Cascading is the process of translating goals from one level of the organisation to the next to ensure alignment between the organisation's strategy and individual employees' activities and goals.

It involves a top-down and bottom-up approach in developing these plans with each layer having an opportunity to provide input into the plans to which they contribute directly and pulling from each plan goals which they are responsible for.

*Parties and their involvement* The person responsible for the Organisation or Team/Divisional plan with their teams and/or staff who are expected to contribute to the plan.

In practice, these planning and cascading conversations may take place over a number of hui, planning sessions, and or one-on-one kōrero.

*Output from the kōrero* Documented plans with measurable goals.

#### 4.3.2. Goals and Objectives – Looking Forward

*Purpose/aim of the kōrero* To ensure shared commitment to the vision, future direction, goals and objectives. It involves declaring what we are committed to and listening for shared commitment of the other. It is a kōrero about what we expect from each other in terms of tools, support, work output etc.

*Parties and their involvement* Depending on the type of position, career and development level, the employee may take the lead in the drafting of goals and objectives with the line manager acting as facilitator and coach to ensure goals are challenging enough, meet University and/or academic expectations and are fair, or the line manager may take the lead and discuss with the employee.

*Prior to the kōrero*

- Line manager shares Strategic, Division, Faculty, School and/or Team Plans that the employee contributes to, or needs to be aware of.
- Goals and objectives are completed in draft (usually by the employee). (Refer to the below on Developing Individual Goals and Objectives.)
- Line manager and employee each choose between 3 – 5 of the questions from the Question Bank to reflect on and complete (optional).

*During the kōrero*

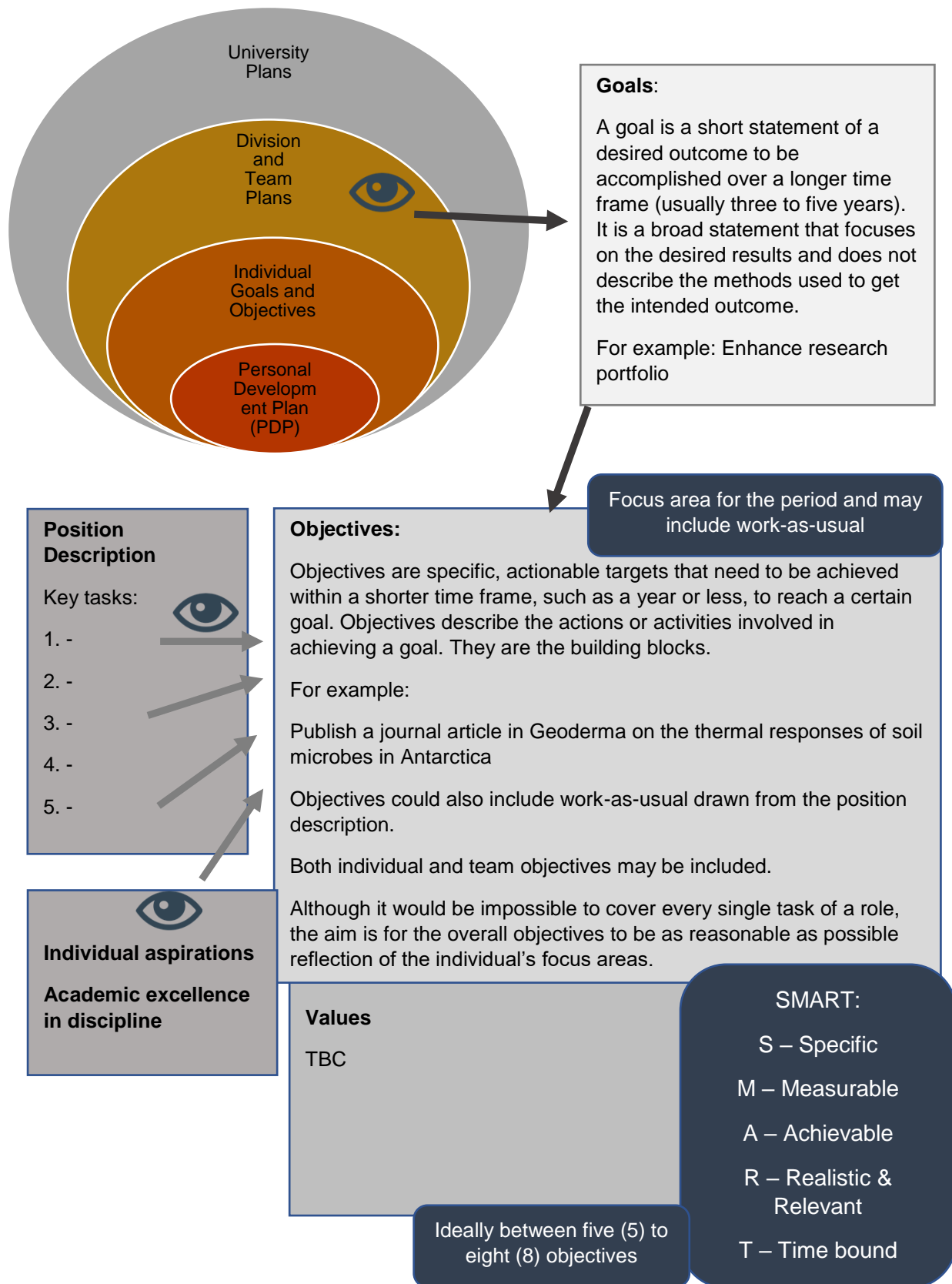
- Discuss Strategic, Division, Faculty, School and/or Team Plans as applicable.
- Complete and agree on the employee's goals and objectives.
- Check that the goals are SMART (refer below).
- Agree on the support and tools that will be provided and what leadership approach would be most appropriate.
- Explore the questions that were selected from the question bank (as required).

<i>Output from the kōrero</i>	<ul style="list-style-type: none"><li>• Documented goals and objectives that are SMART.</li><li>• Both individual and team goals and objectives may be included.</li><li>• Agreement on support and resources that will be provided and frequency of one-on-one check-ins.</li></ul>
<i>Templates/Resources</i>	<p>The following applicable documents can be found in the <a href="#">Document Store</a>:</p> <ul style="list-style-type: none"><li>• Looking Forward – Academic</li><li>• Looking Forward – General Staff</li><li>• This is me – all staff.</li><li>• Question Bank – all staff.</li></ul>
<i>When objectives need to change</i>	<p>Objectives are dynamic and may be changed when strategic or operational priorities have been revised, where the resources for a particular objective are not available or have been withdrawn, where an objective cannot be achieved due to illness or other factors outside the control of the employee or University, or for any other valid reason. Such changes and their reasons must, however, be discussed at the time of the change.</p>
<i>New employees</i>	<p>New employees should, as part of their on-boarding, have a goal and objective setting kōrero within three (3) months of their start date. These goals and objectives should be at an appropriate developmental level.</p>
<i>Line managers</i>	<p>Line managers who are responsible for a University strategic plan, division or team plan will have the team goals plus their own personal goals and objectives to consider.</p>



## DEVELOPING INDIVIDUAL GOALS AND OBJECTIVES:

Goals and objectives draw on a few sources and have certain criteria:



**SMART Objectives:**

<b>S = Specific</b>	<p>Objectives should specifically define what the employee is expected to deliver. Avoid generalities and use action verbs as far as possible. For example: To increase approved scholarships by NZD 5000 by the end of the year rather than to do better at scholarships.</p> <p>Objectives should be specific and precise both in terms of quality and quantity.</p>
<b>M= Measurable</b>	<p>Whether an objective has been met should be measurable. How it will be measured should be identified, usually in terms of quantity, quality, cost and/or timeliness.</p>
<b>A = Achievable</b>	<p>Objectives should be within the employee's realm of authority and the reasonable capabilities required for that job whilst being cognisant of the individual's development within that role. Consideration should be given to individual goals and objectives, and the employee's total set of objectives, to ensure that the total set of goals are achievable. All the hidden factors that could make the objectives unachievable should be explored. It is obviously not possible to cover all the eventualities, but there comes a point when we can say 'Having considered all the known factors, we believe the objectives are achievable'.</p> <p>The aim is to feel stretched, in order to increase knowledge and skills. A good guide is to ask: "What extra will I have to do, that I am not doing now, to achieve this objective? Or "What will I have to stop doing in order to achieve this objective?"</p>
<b>R = Realistic &amp; Relevant</b>	<p>Can the objectives be realistically achieved with the resources available?</p> <p>Are the goals and objectives relevant to the team Division, Team and/or University Plans? Ensuring that there is understanding of how the goals and objectives contribute to the attainment of the higher-level goals helps give context for the employee's work.</p>
<b>T = Timed</b>	<p>When does the objectives need to be completed? Specify the target date for example by the end of trimester C.</p>

### 4.3.3. Personal Development Plan (PDP)

<i>Purpose/aim of the kōrero</i>	The identification of learning and development needs and a Personal Development Plan (PDP).
<i>Parties and their involvement</i>	Depending on the type of position and development level the employee may take the lead with the line manager acting as facilitator and coach and providing guidance in keeping with principles under Professional Development below.
<i>Prior to the kōrero</i>	<ul style="list-style-type: none"> <li>• PDP completed in draft. (Refer to the Development section below for 70:20:10 premise and learning strategies.)</li> <li>• Select 2 – 3 questions from the Development section in the Question Bank to reflect on and complete (optional).</li> </ul>
<i>During the kōrero</i>	<ul style="list-style-type: none"> <li>• Complete the PDP.</li> <li>• Discuss the questions that were selected (as required).</li> </ul>
<i>Output from the kōrero</i>	<ul style="list-style-type: none"> <li>• A documented PDP.</li> <li>• Agreement on resources and/or support that will be provided towards the PDP.</li> </ul>
<i>Learning strategies</i>	See Professional Development below.
<i>New employees</i>	A personalised On-Boarding and Induction plan is developed in draft prior to the staff member's first day and then discussed and finalised after their arrival. This is done by reflecting on the employee's CV and the role that they are stepping into. The line manager is responsible for this but may delegate aspects of it. See the On-Boarding section above.
<i>Templates/Resources</i>	<p>The following applicable documents can be found in the <a href="#">Document Store</a>:</p> <ul style="list-style-type: none"> <li>• My Development section in Looking Forward - Academic.</li> <li>• PDP section in Looking Forward – General Staff.</li> <li>• Question Bank as required.</li> <li>• Development section below for information.</li> <li>• Professional Development Resources in Appendix A below.</li> </ul>

#### 4.3.4. Ongoing kōrero: Scheduled One-on-one Check-in, Coaching and Feedback

<i>Purpose/aim of the kōrero</i>	To enable potential and facilitate learning.
<i>Parties and their involvement</i>	Line manager and employee, it could also be a coach and individual being coached, mentor and mentee where such relationship has been agreed to by the parties involved.  The relationship is central to success and fostering of trust.
<i>New employees</i>	May require more frequent kōrero and/or catch-ups. (Refer to the On-boarding above.)

#### SCHEDULED ONE-ON-ONE CHECK-INS

<i>Purpose/aim of the kōrero</i>	Two-way kōrero is central to making space for ongoing conversations in our busy lives.
<i>Importance of one-on-one check-ins</i>	A survey by Quantum Workplace involving over 300 organisations found that highly engaged organisations ranked one-on-ones as their number one communication strategy, ahead of e-mails from leadership and all staff meetings.
<i>Parties and their involvement</i>	Line manager and employee, with the line manager mostly acting as a facilitator, coach or sounding board to any issues that the employee would like to discuss. The line manager can however also bring items for discussion.
<i>Frequency</i>	As agreed between the parties taking consideration of the type of position, development level etc.
<i>Content of discussion</i>	Include as required: <ul style="list-style-type: none"> <li>• A personal wellbeing check-in,</li> <li>• Tracking of goals, objectives and PDP,</li> <li>• Feedback, coaching or mentoring (two-way),</li> <li>• Discussion of barriers/challenges, exploring solutions, support and/or resources required, sound-boarding of ideas, guidance and advice etc.,</li> <li>• Questions from the question bank to discuss as required (below).</li> </ul>
<i>Key questions</i>	The following are key questions to discuss: <ul style="list-style-type: none"> <li>• What is the most important thing we need to discuss today?</li> <li>• How can I support you?</li> </ul>

**GOOD one-on-ones** The GOOD one-on-one approach may be used:

- G** – Goals: Share the status of goals since the last meeting
- O** – Obstacles: Discuss obstacles standing in the way of success
- O** – Opportunities: Explore ideas and opportunities
- D** – Decisions: Agree next steps and responsibilities

**Output from the kōrero** Each party keeps their own notes and next steps.

**Resources**

- Question bank in the [Document Store](#)

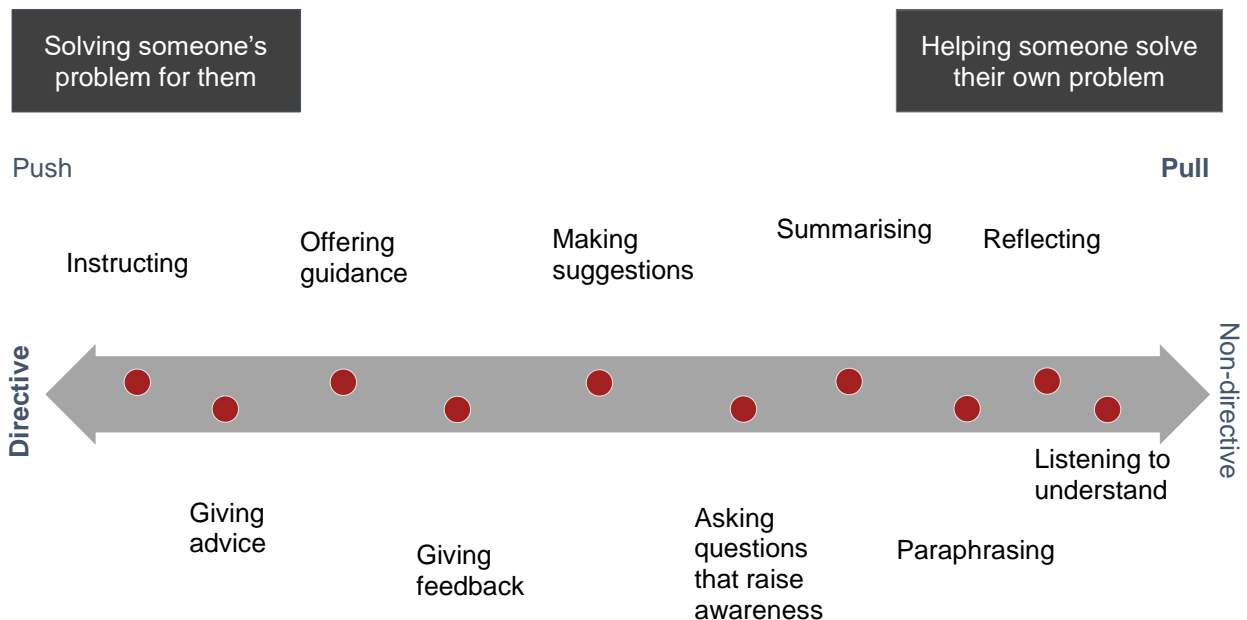
**COACHING**

**Purpose/aim of the kōrero** Coaching kōrero are aimed at unlocking a person’s potential to maximise their performance and development. Coaching focuses as much on leveraging strengths as on improving in development areas.

**Parties and their involvement** Coach and coachee as per agreement. A coach need not be a subject matter expert.

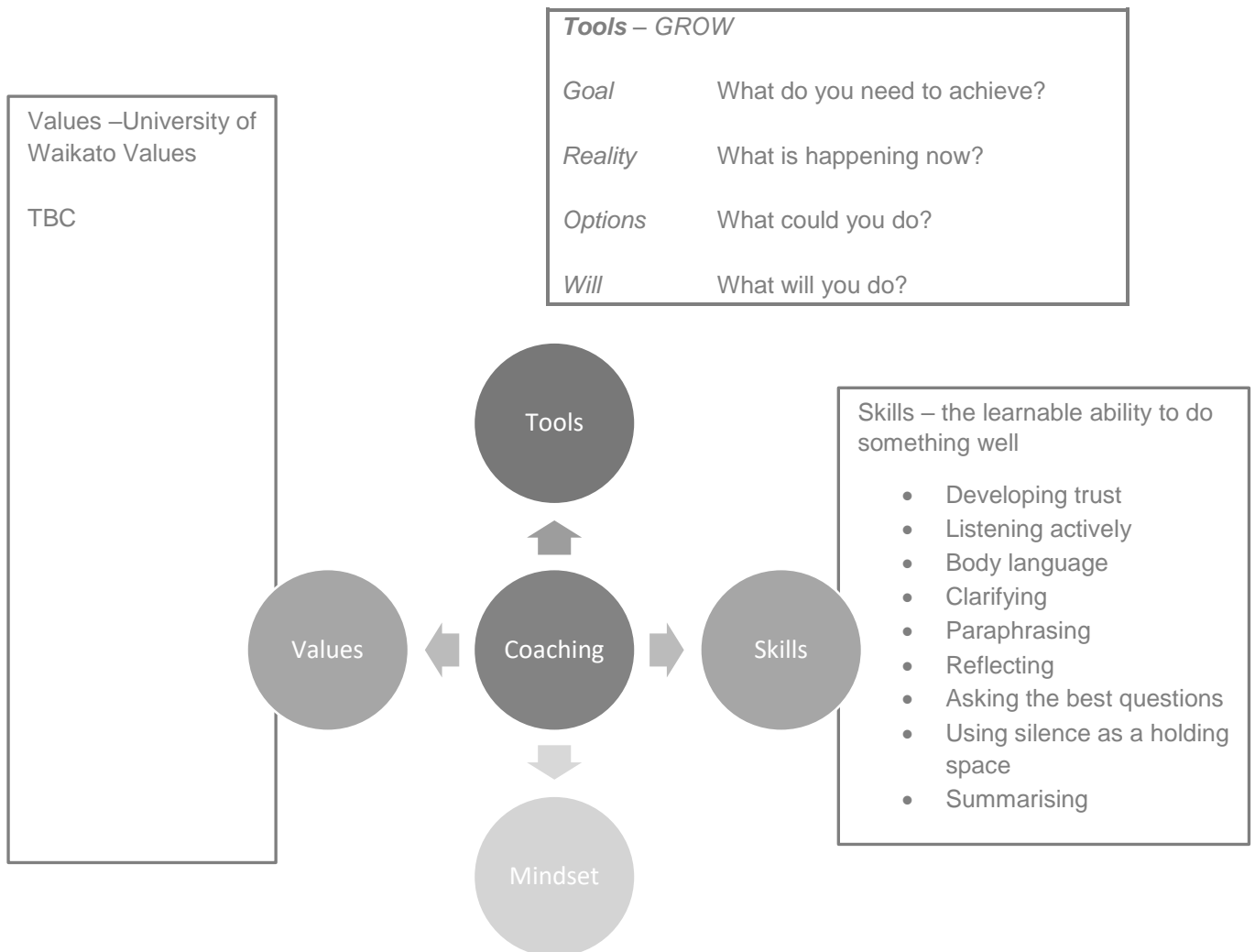
**Frequency** Ongoing and as required. Any brief kōrero can be an opportunity to use coaching skills to help someone learn.

**Coaching skills: Directive vs. Non-directive**



*In general, there is a tendency to focus on solutions (the directive half). But the most effective coaching kōrero happens at the non-directive end of the scale. This is where sustained learning takes place.*

**Coaching on a page:**



<b>Mindset</b> - the established set of attitudes held by someone	
<i>Be a curious learner</i>	Practicing a learner's mindset – both by the coach and the individual being coached. This is about being open and curious to explore the situation rather than believing you have the answer.
<i>Be responsible</i>	Individuals are encouraged to take responsibility for their own development, including asking for coaching and feedback on an ongoing basis. Coaches act in service of the individual focusing on what will provide the most value to them.
<i>Be present</i>	Engage fully in the moment by letting go of all physical or mental distractions and signalling to the other that you are doing so.
<i>Be courageous</i>	Choose courage over comfort. Choose what is right over what is fun, fast or easy.
<i>Be authentic</i>	Being genuine, open and honest and create a safe space for each other to do so.
<i>Be non-judgmental</i>	We can talk about what we need without judgment. We hold the highest view of the intentions of each other's words and actions.

## GROW Coaching Example Questions

### Goal: What do you need to achieve?

- What do you need to achieve? Tell me more about that?
- What would you like to have that is not happening now?
- What would be the result of that?
- How will that be of real value to you?
- What will be the benefits of achieving this goal?
- What will be the cost of you don't achieve this goal?
- When you achieve this goal, what will it look/feel like?
- Is that realistic? Can we do that in the time we have available?
- What is important to you about achieving this goal?
- How will you measure it?

### Reality: What is happening now?

- What do you need to achieve? Tell me more about that?
- What would you like to have that is not happening now?
- What would be the result of that?
- What is happening at the moment?
- How do you know that this is accurate/true?
- What? / Where? / When? / Who? And how often?
- What caused this?
- What happens to you and how do you feel?
- What is the perception of others involved?
- What have you done so far?
- What effect did you have?
- What do you already have in place that will increase the likelihood of you achieving this goal?
- What's missing?
- What do you have that you are not using?

Goals?

Reality?

Will?

Options?

### Will: What will you do next?

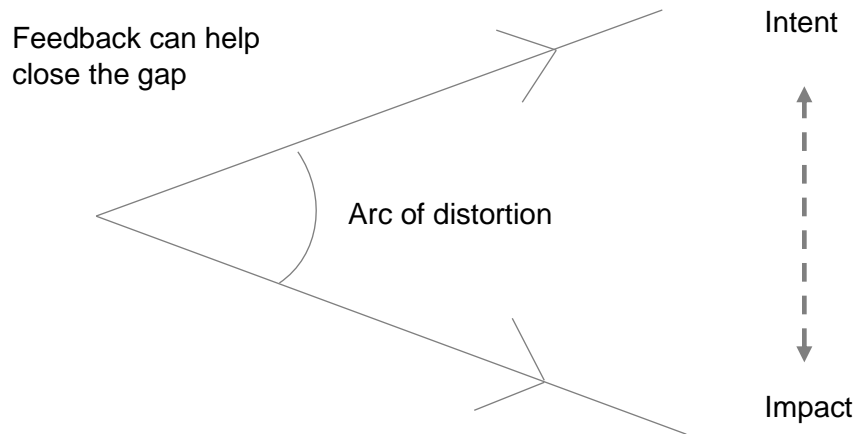
- What are the next steps?
- Will this address the goal?
- What could stop you doing it and what will you do about it?
- Precisely when will you do what?
- What will be the cost if you don't take them?
- What will be the gain?
- How likely will this success?
- What support do you need and from whom?
- On a scale from 1 – 10, how committed are you to this goal?
- What prevents you from getting to a 10?

### Options: What could you do?

- What could you do about the situation?
- What are your options?
- What else could you do?
- What have you seen others do in similar situations?
- What advice would you give to someone who is in a similar situation?
- What if you had ...(more time, less time, power, money, a magic wand)?
- What is the right thing to do?
- What is the most courageous step to take?
- What would a wise friend suggest?
- What if (this constraint) were removed?
- What are the downsides of each option?
- How would you prioritise each option?

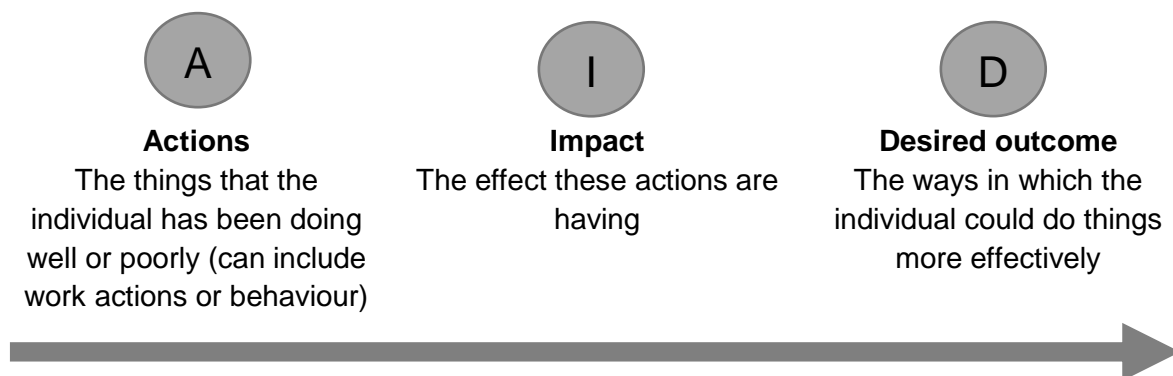
## FEEDBACK AND THE ‘ARC OF DISTORTION’

The arc of distortion is a concept to describe the difference between intent: what someone sets out to do and impact: how others perceive their action. Feedback can help close this gap.



By giving feedback you can help others understand how their impact differs from their intention. Effective feedback gives the individual a choice of whether to change or not. By acting on effective feedback, an individual can narrow this gap – helping them to more successfully achieve their intentions.

### Preparing to give feedback:



### Focus first on observation:

Observation is what we see or hear in the behaviour of others. Interpretation includes our own assumptions about what we see. We should focus on what, how, when and where and not why. Our interpretation may be right or wrong and if we share this information it must be recognized as what it is – inference not fact.

### Be specific and use examples:

Messages are always much clearer if we use examples. Without them it is hard for the receiver to focus on what they did and to think about how they may do something differently next time.



**Focus on what can be changed by the individual:**

It's very frustrating to be given feedback on, or reminded about, something over which you have no control. Focus on value to receiver not giver. Feedback should serve the needs of the receiver, not the giver: it's an offer, not an imposition. Overloading the other person reduces the effectiveness with which they use the feedback. Important points may get lost among more trivial ones, so it is vital to prioritise the feedback we give.

**Share ideas, info, and alternatives not solutions:**

Considering a variety of alternatives is better than suggesting one solution. If we share ideas and information, the receiver is free to decide for them self if the alternatives fit the problem. Your solution would work for you, but may well not work for them.

**Look forward; don't allocate blame for the past:**

Giving feedback should be constructive and focus on ways of improving. Blaming others for what has happened may demotivate them and make them less likely to improve. After all, it's rare for all of the blame to lie with one person.

**Three steps for giving feedback:**

<p><b>Step 1:</b> Ask, then help individual think through for him/herself</p>	<ul style="list-style-type: none"> <li>• Always ask permission to give feedback</li> <li>• What went well?</li> <li>• What didn't go as well as you'd hoped?</li> <li>• What have you learned?</li> </ul>
<p><b>Step 2:</b> Give your feedback</p>	<ul style="list-style-type: none"> <li>• Be constructive rather than negative</li> <li>• Focus on facts not beliefs, observation not judgment</li> <li>• Be specific and use examples</li> <li>• Focus on what can be changed</li> <li>• Focus on value to receiver, not giver</li> <li>• Share ideas, information and alternatives, not giving solutions</li> <li>• Look forward, not allocating blame for the past</li> </ul>
<p><b>Step 3:</b> Agree together</p>	<ul style="list-style-type: none"> <li>• Summarise the feedback</li> <li>• What do they want to do next time?</li> <li>• How will they do it?</li> <li>• What kind of support do they need?</li> <li>• From who?</li> <li>• How will they build on their strengths?</li> <li>• What areas of increased challenge would they relish?</li> </ul>

#### 4.3.5. Reflection – Looking Back

<i>Definition</i>	Robust and transparent kōrero reflecting on the goals, objectives and PDP to determine progress made and explore challenges and successes. University of Waikato values are included.
<i>Parties and their involvement</i>	Line manager and employee with both preparing in advance by each reflecting on progress against goals, objectives, PDP and their reflections.
<i>Frequency</i>	The standard frequency for reflections to take place is twice a year with anomalies managed around this, for example, quarterly reflections in fast-paced environments or where there is a specific requirement and annual reflections for high-performing mature academics in large teams.
<i>Types of reflections and their purpose</i>	<p>The aim of a <i>Mid-year</i> and/or <i>Quarterly</i> reflection is to monitor and explore progress to date and put resources, plans, interventions or development in place to course correct if necessary, and update goals and objectives if operationally required.</p> <p>The aim of an <i>End-of-year</i> reflection is to determine whether goals and objectives have been completed and make an overall assessment of performance for the year. The summary of this assessment will serve as input for Academic Promotion/Advancement and GSSR processes.</p>
<i>Prior to the kōrero</i>	<ul style="list-style-type: none"> <li>• Line manager to schedule the meeting at a mutually convenient time and ensure that a private space is available.</li> <li>• Both parties reflect on progress made on goals, objectives and PDP and prepare for the discussion by gathering any relevant information.</li> <li>• Stakeholder feedback may be included (if applicable).</li> <li>• Complete the applicable reflection section in the Looking Back form (below).</li> <li>• Select 3 – 5 questions from the Question Bank (below) to reflect on (optional).</li> <li>• Complete Leadership Feedback Questionnaires if the reflection is for a line manager.</li> </ul>
<i>During the kōrero</i>	<ul style="list-style-type: none"> <li>• Engage in robust and transparent kōrero reflecting on the goals, objectives and PDP to determine progress made and explore challenges and successes.</li> </ul>

- Kōrero is two-way and as a rule of thumb the employee talks more than the line manager who facilitates and probes with questions.
- Recognise and celebrate achievements.
- Share and explore the questions selected from the question bank.

*The GOOD approach*      The GOOD approach may be used:

- G** – Goals: Share the status of goals since the last meeting
- O** – Obstacles: Discuss obstacles standing in the way of success
- O** – Opportunities: Explore ideas and opportunities
- D** – Decisions: Agree next steps and responsibilities

*Output from the kōrero*

- Clear and written summary of progress that is a fair reflection of performance.
- Clear indication whether goals and objectives were:
  - Not completed
  - Partially completed
  - Completed
  - Surpassed
  - No longer applicable
  - Etc.

*Templates/Resources*

- Current Goals, Objectives and PDP of the employee.

The following from the [Document Store](#):

- Looking Back – Academic.
- Looking Back – General Staff.
- Question Bank.
- Leadership Feedback Questionnaire.

*Reflection meetings of staff who are line managers*

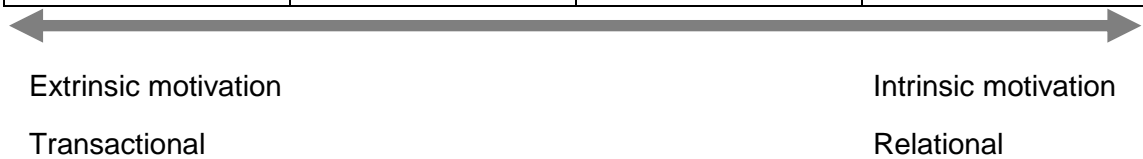
Review takes place at Organisational, division/team and individual level. Thus, the reflection discussions of line managers who are responsible for Strategic, Division, Faculty, School or Team plans will include such plan, and their individual goals and objectives.

Line managers' performance reflection discussions should include feedback from their team about their leadership and management style. This should take place at least once a year.

### 4.3.6. Reward and Recognition

Reward and recognition consist of a mix of programmes, interventions and activities:

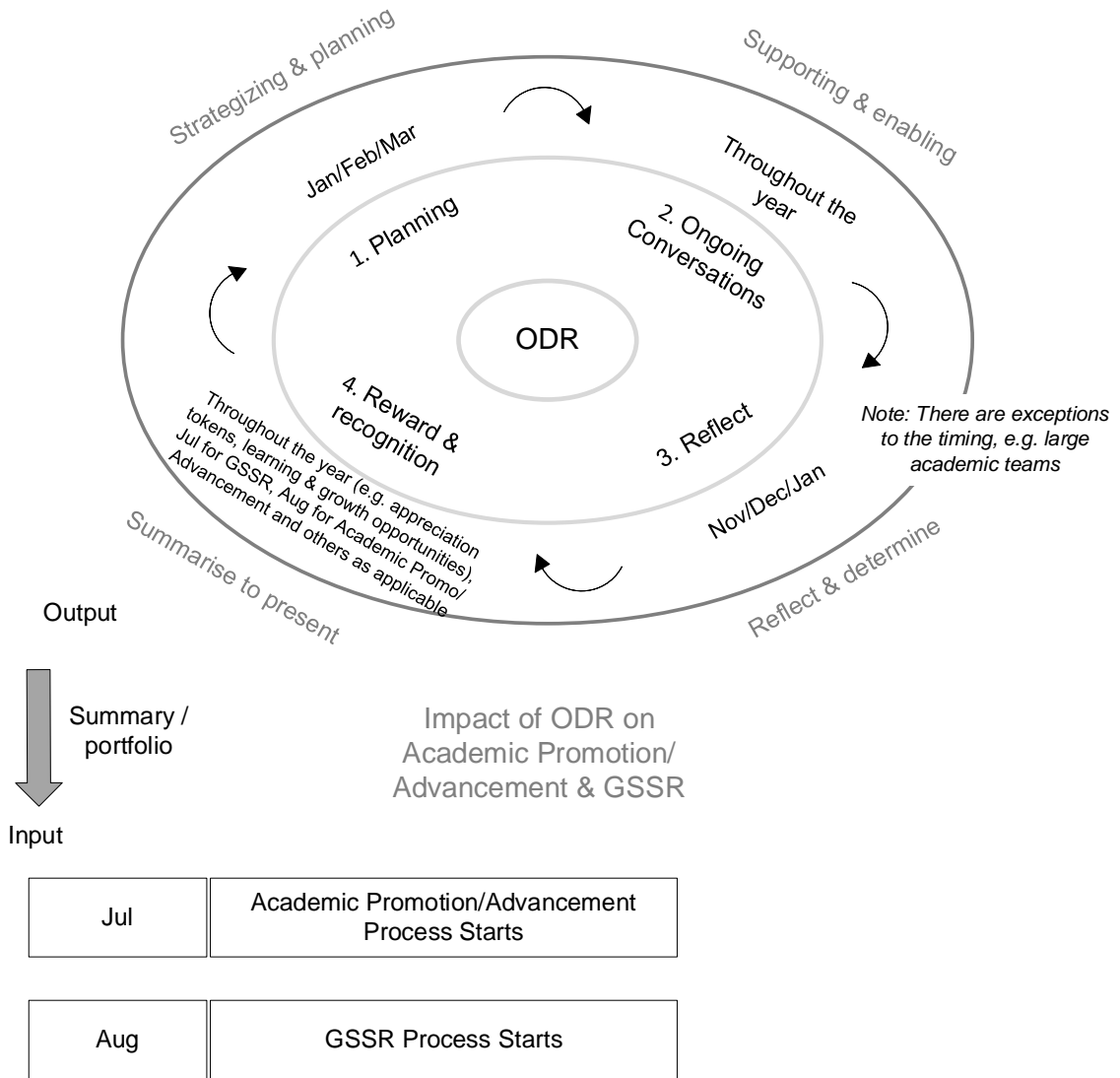
Monetary	Promotion, advancement and career progression	Learning and growth	Recognition
Market related pay	Academic Staff Promotion and Advancement	Projects or assignments of interest	Verbal acknowledgement, e.g. thank you
Pay for role complexity	Personal Development Plans (PDPs) and actions grows one's CV	Courses and/or learning interventions	Tokens of appreciation, e.g. note or card, coffee etc.
Relevant staff benefits		The ODR and Development processes	Team initiatives, e.g. lunch, team celebrations etc.
Performance based increase for general staff (relevant to position on scale) (GSSR)		Secondments	Staff Awards Programme
Academic Staff Promotion and Advancement (ASP)		Job-shadowing/ Rotation	Etc.
Staff Awards Programme		Etc.	



*In general, the focus is often on the monetary and promotion side while there is huge motivational potential on the recognition, learning and growth side.*

#### 4.4 Integration of ODR with Academic Promotion/Advancement and GSSR

The output of ODR becomes an input to Academic Promotion / Advancement and GSSR. ODR is the preparation ground to set employees up for success.



The processes interact as follows:

ODR Component	Impact on ASP and GSSR	Timing
<p>1. Planning:</p> <ul style="list-style-type: none"> <li>• University Plans</li> <li>• Division &amp; Team Plans</li> <li>• Individual Goals &amp; Objectives</li> <li>• PDP</li> </ul>	<p>Strategizing and planning:</p> <ul style="list-style-type: none"> <li>• Strategizing and planning of work and setting goals and objectives with consideration of promotion / advancement next steps for the individual.</li> <li>• Progress against these goals and objectives will be reviewed at the end of the year (point 3 on Reflection below).</li> <li>• Planning of learning and development needed to support the achievement of goals and objectives.</li> </ul>	<p>Early in the calendar year (January/February/March). There may need to be exceptions for large academic teams.</p>
<p>2. Ongoing Conversations:</p> <ul style="list-style-type: none"> <li>• Scheduled one-on-one catch ups</li> <li>• Coaching</li> <li>• Feedback</li> </ul>	<p>Supporting and enabling:</p> <ul style="list-style-type: none"> <li>• Support to enable staying on track to meet goals and objectives.</li> <li>• Support and enable ongoing learning and development.</li> </ul>	<p>Throughout the year, as agreed and as required.</p>
<p>3. Reflection:</p> <ul style="list-style-type: none"> <li>• Goals &amp; objectives</li> <li>• Development Plan</li> <li>• Leadership feedback</li> </ul>	<p>Reflect and determine:</p> <ul style="list-style-type: none"> <li>• Look back and determine whether goals and objectives were met, surpassed, partially met, not met, or no longer required / applicable.</li> <li>• Clear and transparent decisions with both parties preparing for and contributing to robust discussion thus resulting in no</li> </ul>	<p>End-year reflections at the end of the calendar year (November/December or January for the previous year). There are exceptions such as large academic teams.</p>

	<p>surprises during Academic Promotion/ Advancement and GSSR.</p> <ul style="list-style-type: none"> <li>• Clear and transparent kōrero with both parties preparing and contributing thus resulting in feedback and discussions regarding Academic Promotion / Advancement next steps.</li> <li>• Check whether Development Plans were completed, explore reasons if not and amend as required.</li> </ul>	
<p>4. Reward &amp; Recognition:</p> <ul style="list-style-type: none"> <li>• Monetary</li> <li>• Promotion, advancement and career progression</li> <li>• Learning and growth</li> <li>• Recognition</li> </ul>	<p>Summarise and present:</p> <ul style="list-style-type: none"> <li>• Present summary/ portfolio of achievements as part of Academic Promotion/ Advancement and GSSR process.</li> <li>• Transparency through alignment of ODR summary/portfolio and summary.</li> </ul>	<p>Academic Promotion/Advancement process starts in July. GSSR process starts in August.</p>

#### **4.5 Resolution of Disagreements**

It is expected that line managers and staff make every effort to resolve disagreements in respect of ODR between themselves. Where this proves not to be possible, disagreements should be referred to the relevant Pro-Vice Chancellor, Director or equivalent senior manager who, after consultation with both parties, will try to facilitate an agreement. If the matter remains unresolved the staff member may request that a written note be attached to the ODR documentation to ensure the outstanding disagreement is recorded.

#### **4.6 Unsatisfactory Performance**

ODR is not a means of addressing consistent unsatisfactory performance. Where a manager believes that a staff member's performance may be unsatisfactory, the manager will seek the advice of the Human Resource Management (HRM) Division and the management of unsatisfactory performance will be undertaken in accordance with normal University procedures, with reference to the Staff Code of Conduct.

### **4. PROFESSIONAL DEVELOPMENT**

The vision of Peter Senge, an American Systems Scientist, of "a learning organisation as a group of people who are continually enhancing their capabilities to create" is relevant to the University's Vision to deliver a world-class education and research portfolio.

#### **5.1. Objectives of Professional Development**

Professional Development aims to develop staff to:

1. Deliver on their goals and/or objectives,
2. Develop fully into their role, and/or,
3. Develop further beyond their current role.

#### **5.2. Principles**

The following principles apply:

1. Learning and development is the joint responsibility of managers, individual staff members and relevant support and funding structures.
2. Line management will provide access to learning opportunities based on analysis of benefit, cost, available budget and operational considerations.
3. Staff development initiatives should be accessible and provided on an equitable and inclusive basis.
4. Strategic and operational priority needs will receive preference over career development needs which are outside an employee's current role.



5. Costs are to be met from the relevant cost centre budget.

### 5.3. Modes of Delivery of Professional Development

The University aspires to the 70:20:10 premise for Professional Development and Learning of whom Charles Jennings, a leading thinker and practitioner in learning, development and performance, is a well-known advocate. According to this adult organisational training takes place as follows:

- 70% on the job through developmental experiences and facing challenges, solving problems, doing assignments and day-to-day activities, i.e. the individual's own experiences and reflections on these. This is exemplified through the ODR process.
- 20% through others in the workplace, via networks, listening to others and reading their works, communities of practice, coaching and mentoring.
- 10% off the job through formal learning events, e.g. classroom, workshop, 'e' and blended learning, external conferences and hui.

A variety of delivery methods are used to help individuals build their theories of practice and to extend their skills, such as:

1. **Reflective practice** is encouraged through formally recorded methods (such as teaching portfolios, reflective journals, the ODR process) and informal ways (through on-going kōrero, awareness).
2. **Mentoring and coaching** formally through professional development advisors, through the ODR process by or on arrangement by the manager or Organisational Development and Wellness.
3. **Feedback and professional conversations** among peers, stakeholders, line management and staff.
4. **Networks and forums** such as Teaching Network meetings, Managers' forums, LearnFest, connecting with counterparts at other Universities etc.
5. **Workshops and training** facilitated by experienced practitioners and/or subject matter experts.
6. **External professional development** such as courses or conferences provided by professional development service providers.
7. **Self-study** from books, literature, journals and other publications, training manuals, Google-search, Podcasts, Webinars etc.
8. **Formal study.**

### 5.4. Leadership Development

The University views our leaders as key to developing a culture that unleashes the potential of our people by facilitating and promoting the development of every employee whilst making a difference to the success of the University. Leadership development is a continual process and our leaders are expected to develop their skills harnessing all of the abovementioned

modes of delivery. In addition, the University offers a number of Leadership and Management Development Programmes. Furthermore, the Leadership Questionnaire as part of the ODR process aims to arm leaders with valuable developmental feedback about how others perceive them.

## **5.5. Professional Development Resources**

A list of Professional Development Resources can be found in *Appendix A*.

## **6. ROLES AND RESPONSIBILITIES**

### **The Vice Chancellor's Executive Leadership Committee:**

- 6.1. Champion performance and development.
- 6.2. Accountable for the performance of their division / area which impacts directly on the performance of the University.
- 6.3. Lead by example through the way that performance and development is conducted with their own direct reports.
- 6.4. Monitor the application of this framework within their area of responsibility.
- 6.5. Complete and communicate the University's strategic plans.
- 6.6. Model the tone and expectations for performance and development at the University.

### **Leaders (line managers):**

- 6.7. Accountable for the performance of their divisions, faculties, schools, departments, teams or operational units.
- 6.8. Ensure that the framework is implemented for their area of responsibility.
- 6.9. Lead by example through the way that performance and development is conducted with their direct reports.
- 6.10. Create and sustain an environment of regular, open, honest and constructive feedback and communication.
- 6.11. Provide coaching, leadership, direction and guidance to all staff on an ongoing basis.
- 6.12. Continuously develop their own leadership and management abilities.
- 6.13. Ensure consistent application of measurement criteria in the area of control.

### **Employees:**

- 6.14. Accountable for their own performance and development.

- 6.15. Plan and drive own work and career goals.
- 6.16. Active engagement and participation in performance and development.
- 6.17. Open to and act on constructive feedback and request feedback regularly.
- 6.18. Communicate any obstacles that are faced in the course of work performance to line management, and participate and contribute towards solutions.
- 6.19. Fair and honest reflection on own performance and development.
- 6.20. Participate and contribute towards continued improvement and innovation.

**Human Resources:**

- 6.21. Support the roll out and implementation of performance and development.
- 6.22. Provide expert support and advice to line managers and employees on all aspects of performance and development.
- 6.23. Maintain and build a positive image of performance and development.
- 6.24. Support any appeals.
- 6.25. Support and advise on the management of poor performance.

**Organisational Development and Wellness (ODW):**

- 6.26. Facilitate the roll out and implementation of performance and development.
- 6.27. Provide training on performance and development.
- 6.28. Monitor and report on the effectiveness of performance and development.
- 6.29. Provide expert support and advice to line managers and employees on all aspects of performance and development.
- 3.30. Maintain and build a positive image of performance and development.

**7. LIST OF DEFINITIONS**

- 7.1. **Cascading** is the process of translating goals from one level of the organization to the next to ensure alignment between the organization's strategy and individual employees' activities and goals.
- 7.2. **Coaching** is aimed at unlocking a person's potential to maximise their performance. Coaching focuses as much on leveraging strengths as on improving in development areas.
- 7.3. **Feedback** aims to help others understand how their impact (how others perceive their action) differs from their intention (what they set out to do).

- 7.4. Goals** are short statements of a desired outcome to be accomplished over a longer time frame (usually three to five years). It is a broad statement that focuses on the desired results and does not describe the methods used to get the intended outcome.
- 7.5. Kōrero (conversation)** is critical to the ODR process and refers to dialogue aimed at deepening understanding and building the relationship.
- 7.6. Learning opportunities** could consist of reflective practice, mentoring and coaching, feedback and professional conversations, networks and forums, workshops and training, external professional development and/or formal study.
- 7.7. On-Boarding** is the process of helping new employees adjust to the social and performance aspects of their new jobs quickly and smoothly, and learn the attitudes, knowledge, skills, and behaviours required to function effectively within an organization. It should start as soon as the offer has been accepted and takes place over a period of approximately one year. It consists of a number of actions including, but not limited to, Introduction Programmes.
- 7.8. Objectives** are specific, actionable targets that need to be achieved within a shorter time frame, such as a year or less, to reach a certain goal. Objectives describe the actions or activities involved in achieving a goal. They are the building blocks towards goals.
- 7.9. Personal development plan (PDP)** is a documented plan agreed upon between the manager and employee through kōrero as part of the ODR process, to plan for the employee's development.
- 7.10. Professional development** aims to develop staff to deliver on their goals and/or objectives, develop fully into their role, and/or, develop further beyond their current role.
- 7.11. Objectives, Development and Reflection (ODR)** refers to the processes and kōrero that facilitate the setting of goals and objectives, Personal Development Plans (PDPs), ongoing kōrero and coaching, periodic reflection and acknowledgement of achievement as required that takes place in partnership between line manager and employee. Kōrero (conversation) is critical to the process.
- 7.12. Reflection** refers to the periodic pre-scheduled kōrero between line manager and employee to reflect on progress, challenges and successes centred around goals, objectives and the PDP. They require robust and transparent kōrero and also cover the University of Waikato Values.
- 7.13. Recognition** is personal appreciation or gratitude for good work and can be given by anyone at the University at any time.

- 7.14. **Rewards** are tangible, transactional “gifts” from an employer to an employee to celebrate achievements and are often tied to goals and objectives.
- 7.15. **Scheduled one-on-one catch-ups** are two-way kōrero central to making space for ongoing conversations and include a personal wellness check-in and work discussion.

## Appendix A - Professional Development Resources

The following further information and resources are available:

Resource	Link	Information
Staff Professional Development	<a href="https://www.waikato.ac.nz/odw/staff-professional-development">https://www.waikato.ac.nz/odw/staff-professional-development</a>	Programme, calender and booking form for a variety of training such as finance, technology, administrative, leadership, management and other development opportunities
Teacher and Teaching Development	<a href="https://www.waikato.ac.nz/teaching-and-learning/teaching-development">https://www.waikato.ac.nz/teaching-and-learning/teaching-development</a>	The Centre for Tertiary Teaching and Learning (CeTTL) provides resources, activities and support to develop teachers and teaching including technology enhanced learning.
Postgraduate Supervision Development	<a href="https://www.waikato.ac.nz/sgr/">https://www.waikato.ac.nz/sgr/</a>	The School of Graduate Research can assist staff to develop their graduate research supervision skills. The school offers regular workshops and seminars.
Researcher Development	<a href="https://www.waikato.ac.nz/research-enterprise/">https://www.waikato.ac.nz/research-enterprise/</a>	The Research and Enterprise office can support and assist researchers in a number of ways including advice about funding, help writing research portfolios, managing contracts, identifying suitable collaboration partners and research systems (IRIS, PBRF and FRE)
Library	<a href="https://www.waikato.ac.nz/library/guidance/workshops">https://www.waikato.ac.nz/library/guidance/workshops</a>	The library runs workshops for staff and students throughout the year.
Study with a Staff Fees Concession	<a href="https://www.waikato.ac.nz/staff/community/articles/2019/staff-fees-concessions">https://www.waikato.ac.nz/staff/community/articles/2019/staff-fees-concessions</a>  <a href="https://www.waikato.ac.nz/staff/slms/knowledge-base/enrolments/apply-to-study-with-a-staff-fee-concession">https://www.waikato.ac.nz/staff/slms/knowledge-base/enrolments/apply-to-study-with-a-staff-fee-concession</a>	Regular full-time or part-time staff are able to apply for a staff fees concession and leave to undertake university study.
FutureLearn	<a href="https://www.waikato.ac.nz/staff/futurelearn">https://www.waikato.ac.nz/staff/futurelearn</a>  <a href="https://www.futurelearn.com/">https://www.futurelearn.com/</a>	The University signed a partnership agreement with FutureLearn in 2016. Staff can sign up and complete a range of short courses for free that are offered by universities and tertiary providers globally. The platform also offers a range of paid-for micro-credential, programmes and degrees level courses.
ATEM (Association for Tertiary)	<a href="https://www.atem.org.au/">https://www.atem.org.au/</a>	An Australian and New Zealand organisation that provides professional development opportunities for general staff. The University has corporate membership status and provides a number of individual staff

Education Management)		with memberships and all staff at the University are considered affiliates so get discounted rates for PD events and activities. (Nikki Thomas in Organisational Development & Wellness (ODW) co-ordinates this)
MOOCs (Massive Open Online Courses)	<a href="https://www.mooc-list.com/countries/new-zealand">https://www.mooc-list.com/countries/new-zealand</a>	Typically, of short duration, MOOCs are delivered online to thousands and sometimes millions of students, with course content presented through high-quality video segments, and an emphasis on learning, rather than assessment.

If you are aware of any development opportunities that are available to University of Waikato Staff please contact the Organisational Development & Wellness (ODW) team to update this list.