



SSG PERFORMANCE AND REMUNERATION REVIEW PRINCIPLES AND PROCEDURES

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1. Introduction

The Performance and Development process applies to all UTS staff and is described in detail in Performance and Development – Principles and Procedures. This document sets out how the performance and development process operates for members of the Senior Staff Group

The Performance and Development process provides a framework for identifying, evaluating and developing work performance. It enables individual performance to link more effectively with the University's goals in line with the University's strategic planning cycle and provides senior staff with recognition, feedback and development opportunities.

The Performance and Development Cycle complements the University's annual strategic planning cycle: Plan, Do, Review, Improve:



The cycle comprises four equally important activities namely:

- > **Planning** the activities and developing the work plan for the year ahead,
- > **Doing** or taking action towards the achievement of objectives, measures and development goals agreed in the workplan,
- > **Reviewing** performance against the agreed work plan.
- > **Improving** performance through feedback and coaching,

This document focuses on the **review** activity where an overall assessment of performance and remuneration recommendations is made of members of the senior staff group. This document places emphasis on timelines, assessment guidelines and actions required to complete this annual activity.

2. Changes which will Apply for the Next Review Period

The *Senior Staff Group Collective Agreement 2007* introduced some changes to the Performance and Development process and the arrangements applicable to Performance Pay. These changes are summarised below

- > Performance payments will be awarded in accordance with the Performance and Development process in the range of 0% - 12% of base salary.
- > The assessment of performance made in the Performance and Development process for SSG staff will drive the quantum of any performance increase.
- > No across-the-board economic increases to salary will be made.
- > Performance payments will be expressed as a percentage of base salary. A staff member may consolidate performance payments into base salary in accordance with this document as varied from time to time.
- > At the end of a 12-month review period, a staff member whose performance is assessed as 'meeting expectations' will receive a 4% performance payment, which may be consolidated into base salary.

- > During the life of the Agreement, the University will examine ways in which performance payments might include an assessment of organisational performance.

3. Period of Review

Any remuneration increase awarded to a staff member relates to their performance over the preceding 1 January to 31 December period.

4. Available Payments

The following types of performance related payments are available:

- > **Base Salary Increases** – these attract full superannuation benefits
- > **Bonus Payments** – these attract the statutory minimum employer superannuation contributions
- > **A combination of the above**

Where a staff member opts to receive the increase as a bonus, providing an election is made in writing, prior to or at the commencement of the review period the amount can be paid as a lump sum into superannuation.

5. Performance Related Payments

Performance pay increases will be awarded within a 0-12% range. The Senior Staff Agreement provides the benchmark of 4% as the appropriate reward for achieving the expectations of the role.

The table below shows applicable rates of payment for performance ratings and the appropriate payment type. Definitions on the rating scales are provided under section 13 of this document.

Rating Scale	Payment %	Payment Type
Below – Not meeting Expectations	0%	N/A
Below – Partially meeting Expectations	2%	Adds to base salary
Achieved Expectations	4%	Either adds to base salary or as bonus
Exceeded Expectations	5% to 6%	Maximum of 5% adds to base salary, remainder as bonus
Exceeded Expectations	7% to 8%	Maximum of 5.5% adds to base salary, remainder as bonus
Exceeded Expectations	9% to 10%	Maximum of 6% adds to base salary, remainder as bonus
Outstanding Performance	11% to 12%	Maximum of 6% adds to base salary, remainder as bonus

Note

The extended scale now enables Managers to differentiate between levels of staff performance without using half percentages.

- > Managers are required to provide a short explanation/justification for each recommended performance pay increase made. A more detailed explanation/justification will be required where the recommendation is for a 0%, 2%, 11% or 12% increase.
- > The quantum of the performance pay increase recommended is not discussed with the staff member until such time as it is approved by the Vice Chancellor's Remuneration Advisory Committee.

6. Eligibility Criteria

While all senior staff are required to participate in the annual review discussions not all staff are eligible to receive a performance related payment. The following guidelines have been provided to assist in determining eligibility:

- > Staff who have been on the same salary point for the period (1 January to 31 December) between three and twelve months are eligible for consideration of a performance increase. Only in exceptional circumstances (on the basis of outstanding performance) will a staff member be considered for a performance increase where the period of service is less than three months.
- > Staff who after 31 December of the review year conclude a senior staff appointment, and who will revert to a substantive role may still be considered for a performance pay increase on the basis that payment will be made as a non consolidated one off payment. The performance pay will be calculated as a percentage of the base salary rate that the employee was receiving on their last day of appointment in the relevant SSG position.
- > Staff who have held an acting appointment for a period of six months or greater in a senior staff role within the period 1 January to 31 December are eligible to be considered for a performance increase. Normally payment will be made as a non-consolidated one off payment.
- > Staff who participate in a faculty-based salary supplementation scheme or who have an individual performance arrangement will be required to participate in the performance and development process to have access to any increases that might be consolidated into base pay as set out in sub-clause 12.2 of the Agreement. They will not be eligible for any bonus payment under sub-clause 12.2 of the Agreement.
- > In determining an appropriate increase for staff where they have been in the role for less than twelve months the performance payment will be pro-rated to reflect the length of time in the role as follows:
 - o 0-3 months nil increase
 - o 3-9 months pro rata increase
 - o 9-12 months 100% increase

7. Assessment Criteria for Performance Related Payments

Eligibility for performance payments will be assessed over the following areas:

- > Achieving the goals/work plans to agreed standards of performance
- > Undertaking the principal accountabilities of the role
- > Demonstrating the skills and behaviours critical for success in the role

8. Assessing Work Plans

Individual work plans are normally the basis on which individual performance is assessed. They include priorities and contain the level of performance expected through the establishment of key performance indicators. Work plans may also identify the skills/behaviours required for effective performance in the role. Therefore when a work plan is in place a comprehensive review of the staff member's performance in relation to those plans should be undertaken.

When performance is being assessed one needs to be aware that during the year goals may have been revised and there may be extenuating circumstances that prevented goal achievement or shifted priorities. Equally important is the need to determine the degree to which goals were achieved during the review period.

9. Assessing Principal Accountabilities and/or other relevant factors

In extraordinary circumstances where a work plan is not available performance can be assessed against any one or a combination of the following:

- > Position descriptions with emphasis on principle accountabilities identified as priorities over the previous twelve months.
- > Business and/or individual assigned priorities.
- > Written or verbal expectations.

When performance is being assessed in relation to principal accountabilities one needs to be aware that principal accountabilities may vary in terms of significance or difficulty and may be given more or less emphasis in a particular year depending upon the business unit's priorities. It is important to ensure a work plan is created for the following year.

10. Receiving Feedback

A critical element in the performance review process is the collecting and receiving of effective feedback and that the feedback is comprehensive and obtained from a range of relevant stakeholders.

Staff are encouraged to review HRU Guidelines (6.9) *A Guide to 360 Degree Feedback* to assist in this process.

11. Assessing Skills and Behaviours

While accountabilities and/or work plans may differ for staff, the skills and behaviours required of the senior staff group are broadly similar. For the review it is recommended that where work plans are not in place or where work plans do not identify specific skills and behaviours critical for success, staff be assessed across the following 'core' indicative behavioural factors. It is recognised that dependant upon the role some factors may be of more relevance/importance than others.

Strategic and Operational Management

- > Ensures a system of strategic planning exists in the unit
- > Monitors major systems such as strategic plan and budget
- > Ensures administrative processes meet staff needs
- > Takes a stand on difficult issues
- > Sets priorities and manages the PDRI quality enhancement process
- > Makes tough decisions to benefit the unit
- > Follows through on decisions and plans

Staff Motivation and Involvement

- > Provides guidance to staff on their career and personal development
- > Provides regular feedback to staff on their performance
- > Creates an environment where staff can comfortably debate
- > Achieves staff ownership of unit plans
- > Encourages a productive team environment
- > Manages conflict within teams successfully

Change and Innovation

- > Encourages staff to look for new ways of working
- > Promotes innovation and continuous improvement
- > Promotes staff involvement in change
- > Articulates a clear vision of the future of the unit

Personal Effectiveness

- > Has personal integrity and a commitment to ethical practice
- > Values difference in people and diversity in approach
- > Treats people fairly and with respect
- > Fosters relationships based on trust
- > Has a high level of personal accountability for their actions and impact

12. Performance Rating Scale

The following rating scale will apply for the performance review:

- > Below Expectations
- > Below / Partially Meeting Expectations
- > Meeting Expectations
- > Exceeded Expectations
- > Outstanding Performance

13. Performance Rating Guidelines

In making an overall assessment of your performance your manager will use the guidelines below. Each set of typical behaviours and/or achievement levels which when taken collectively helps to describe a level of overall performance. Where the criteria covers a performance pay range (e.g. Exceeded Expectations), behavioural statements are provided to typically describe performance throughout the range.

While the primary intention of the guidelines is to differentiate levels of performance, your manager will be aware of individual and business unit factors impacting on levels of individual performance, e.g. length of time in the role, extenuating circumstances impacting goal achievement such as funding or resourcing changes and make recommendations accordingly.

Below Expectations (0%)

At the lower end of the scale performance is characterised by the failure to achieve principal objectives and/or personal goals and therefore the staff member has failed to meet the primary accountabilities of the role. There is little or no evidence of the demonstration of relevant skills and behaviours. Feedback has been negative. The staff member may be subject to unsatisfactory performance provisions and in which case a zero increase must be recommended.

Below/Partially Meeting Expectations (2%)

Performance is considered to be marginal and is characterized by the meeting of some or most personal goals or primary accountabilities only after significant coaching, support and/or assistance by the manager. Relevant skills and behaviours while present may be below an acceptable level for performance in the role and/or feedback suggests less than satisfactory performance.

Meeting Expectations: (4%)

Performance at this level is demonstrated by acceptable levels performance and achievement against performance objectives. The vast majority of principal accountabilities and/or personal goals have been met to agreed standards. Relevant and/or 'core' skills and behaviours are at an acceptable level for performance in the role. Personal development has been maintained to ensure effectiveness as a manager and feedback from other managers/colleagues or client groups has generally been positive.

Exceeded Expectations: (5% – 10%)

At the lower end of this scale the staff member has met all principal accountabilities and/or personal goals to agreed standards and in some cases has exceeded expectations. Relevant and/or 'core' skills and behaviours are at a level required for effective performance in the role. Personal development has been maintained to ensure effectiveness as a manager and feedback from other managers/colleagues or client groups has been positive.

At the higher end of this scale all principal accountabilities and/or personal goals have been achieved with results exceeded in most if not all cases. Application of the relevant and/or 'core' skills and behaviours consistently exceed requirements for effective performance in the position. The staff member maintains a level of professional development to ensure superior performance as a manager and keeps abreast of current developments in the profession. Contribution to the university is significant and well beyond the primary focus of the role. Feedback from other managers/colleagues or client groups indicates that overall performance/service/contribution is extremely high and consistently exceeds expectations.

Outstanding performance (11% - 12%)

This reward is assigned to that level of performance that is outstanding and clearly exceeds the majority of those performers who have exceeded expectations. Results in all aspects of performance are exceptional. Alternatively the individual may have achieved an extraordinarily high level of achievement and/or service and/or contribution to the University or wider community that merits special recognition.

14. Preparing for the Review Discussion

The annual review is an opportunity for you to reflect on and discuss with your reviewing manager how well your objectives/work plans have been met during the past year. The annual review is a two way process and provides an opportunity for stating your achievements. Most likely your manager has provided you with feedback throughout the year and therefore this discussion will be a confirmation of previous informal feedback sessions. Therefore prior to the annual review discussion you may want to give consideration to the following aspects:

- > Be fully conversant with details of your work plan and/or objectives
- > Have ready examples/information on what you achieved and the level of achievement.
- > List those skills/behaviours that you consider to be your strengths and aided in goal achievement. Also identify those skills/behaviours that you consider are areas for development.
- > Identify any extenuating circumstances (if any) that prevented goal achievement.
- > Identify your involvement in any significant activity or contribution to the University or wider community worthy of note.

Following the review discussion, your reviewing manager will document the key features of the discussion. You will be provided with the report to add your comments and signature. Your manager's manager will sign off the report. A copy of the report will be forwarded to HRU for filing.

Reviewing managers are also required to submit a performance rating and a recommended performance pay increase for all (eligible) direct reports. Your manager is unable to advise you of the recommended performance pay increase at that time as all recommendations are moderated at the Divisional and University levels with final approval by the Vice Chancellor. That approval process occurs around March of each year and following that activity you will be provided with feedback by your manager and provided with written confirmation of any performance increase from the Director HR via your manager.

15. Related UTS and Other Relevant Documentation

[Senior Staff Group Collective Agreement 2007 Performance and Development – Principles and Procedures](#)

16. Contacts

For clarification of process please contact your **Manager** in the first instance, or:

Sumitra Kumar, Remuneration and Benefits Manager, HRU ext 4680

Peter Fox, Manager Employee Relations, HRU ext 1046

Gloria Blonde, Manager Organisation and People Development, HRU ext 2932

17. Approval and Revisions Tables

Approval

EFFECTIVE DATE	7 December 2007		
REVIEW DATE	Q4 2008		
ACCOUNTABLE OFFICER	Director, Human Resources Unit		
CURRENT INCUMBENT	Jennifer Gilmore		
IMPLEMENTATION OFFICER	Remuneration and Benefits Manager		
CURRENT INCUMBENT	Sumitra Kumar	CONTACT NO	Extension 4680

Revision/modification history

Date	Version	Current title	Summary of changes	Approved/rejected	Approval authority	Resolution or file number
7 December 2007	1	SSG Performance and Remuneration Principles and Procedures	Replaces SSG Performance and Remuneration Guide 2006. Updated to align to Senior Staff Group Collective Agreement 2007. Format in accordance with UTS Policy framework	Approved	Director, Human Resources	