This framework describes the mechanisms, processes and guidelines that the University has put in place to build staff capability and institutional capacity and supports the Staff Performance and Professional Development Policy. The document is intended to be responsive to changes in the University’s context, therefore feedback and suggestions on the document should be sent to Mike Bell (Manager Professional and Organisational Development) at mikebell@waikato.ac.nz or training@waikato.ac.nz.

CONTENTS

Purpose ........................................................................................................................................2
PART 1: Staff Induction ................................................................................................................3
PART 2: Professional Goal Setting (PGS) ....................................................................................5
PART 3: Professional Development ............................................................................................8
  3.1 Leadership and Management Development .................................................................8
  3.2 Modes of Delivery of Professional Development .........................................................8
  3.3 Guidelines for General Staff Attendance at External Professional Development Activities (including conferences) .................................................10
  3.4 Teacher and Teaching Development .............................................................................11
  3.5 Postgraduate Supervision Development .......................................................................11
  3.6 Researcher Development ...............................................................................................11
  3.7 Other Administrative Development ...............................................................................11

Figure 1: Continual Professional Development Cycle

The Continual Professional Development Cycle

Attract

Recruit

Plan

Implement

Induct

Review

Develop/Improve

PGS

Exit

Review and define position to ensure workforce profile can deliver Strategy
Individual and organisation engage in a cycle of continuous improvement and development
Individual performance goals and professional development align with Strategy

Position Description
Person Specification
EEO Targets
Remuneration
Advertisement

Select right staff for the right job and organisational culture
Provide clear expectations of performance, conduct and workload

Figure 1: Continual Professional Development Cycle
PURPOSE

The University of Waikato is committed to building organisational capacity and continual development of staff capability in teaching, research, postgraduate supervision, leadership, administration and other required areas of skill and expertise.

This framework has been developed to describe mechanisms, processes and guidelines which support induction, professional goal setting, staff development, and leadership and management development to ensure the University builds institutional capacity and individual capability to be able to deliver on its strategy, goals and plans for now and the future. It has been designed as a reference document to enable managers and staff to implement a meaningful approach to these critical human resource practices.

Line managers are requested to use this framework to assist them with fulfilling their responsibilities to build staff capability and strengthen organisational capacity through continual professional development.

Additional content and further resources are available on the University website. Links are provided where appropriate.

For further information or comments please email training@waikato.ac.nz or mikebell@waikato.ac.nz.
PART 1: STAFF INDUCTION

The provision of effective staff induction is a key part of building staff capability and organisational capacity. It establishes the relationship between a new staff member, their line manager, their work group(s), and the University.

Purpose

The aims of staff induction are to ensure that all staff:

- are supported and encouraged to perform effectively when appointed to a new role or position;
- develop the necessary skills and knowledge for their role;
- establish effective working relationships across the University;
- receive the necessary information about the University including its vision, strategy, goals and organisational culture;
- 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; and
- adapt and feel welcome at the University of Waikato.

Definition

For the purposes of this framework, induction is defined as the process through which a new staff member becomes an informed and productive member of the University community. This includes learning about the University culture, policies, practices, people and procedures, and the specifics of their new job.

Induction is not an event but an extension of the staff recruitment and selection process and the beginning of a continuing staff development programme and relationship with the University, line manager and colleagues across the University.

Induction is a planned programme for the first three to twelve months of employment and enables staff members to integrate into the organisation.

Induction at the University of Waikato involves both central and local activities designed to meet the purposes described above.

Procedures

1. All new staff on continuing and fixed term appointments greater than three months will participate in induction as required by the University and their line manager.

2. All staff commencing in new roles in the University will participate in induction as required by the University and their line manager.

3. For new staff on appointments of longer than 12 months, induction includes attendance at the centrally provided introductory sessions (including the Kanohi ki te Kanohi programme and Health and Safety induction), and participation in Professional Goal Setting (PGS) around three months after commencement. The latter should include the creation of a professional development programme for the following one to three years as appropriate.

4. The University, through the Professional and Organisational Development Unit, will provide activities and resources to ensure all staff receive a suitable induction and are aware of the University plans, policies, procedures, practices, people, and expectations to enable them to perform their job effectively.

5. Line managers will ensure that staff participate in induction as required by the University, a personal induction programme is properly designed and resourced to meet the needs of the
individual staff member, and the effectiveness of the programme is evaluated in the initial three month Professional Goal Setting (PGS) meeting.

6. Line managers will record participation in local induction activities.

7. Deans/Directors and equivalent will ensure that appropriate local induction practices and procedures are in place and fit for purpose.

8. Deans/Directors and equivalent will provide data annually to the Vice-Chancellor on staff participation in induction.

9. Staff will participate in the required activities, including participation in the initial three month Professional Goal Setting (PGS) meeting and contributing to evaluation of the effectiveness of the personal induction programme.

10. The Professional and Organisational Development Unit will monitor the participation of staff and report annually on the percentage participation of staff in centrally provided activities.

Further information and resources

Suggestions and guidelines for local induction activities and a checklist for managers and staff are available online at www.waikato.ac.nz/pod/induction.

Ako Aotearoa has published resources as an outcome from a project to support the development and success of early career academics. These may be of value to staff and their managers and can be found online at http://akoaotearoa.ac.nz/early-career-academics.
PART 2: PROFESSIONAL GOAL SETTING (PGS)

Professional Goal Setting (PGS) is a requirement of the Staff Performance and Professional Development Policy. The University will conduct regular (normally annual) PGS discussions with all staff to define goals, evaluate progress, improve performance, align workloads and consider professional and career development. The following guidelines are provided for all staff and their line managers.

What is PGS?
- A collaborative, two-way exercise between staff and line managers which results in individual work goals for the following one to three years,
- A framework for individual development and career planning which recognises the contribution made by all staff to the goals of the University,
- A tool for building individual capability (and, for academic staff, career progression), and institutional capacity, and
- It relies on a strong commitment to its implementation and operation by senior managers and on active participation by line managers and individual staff.

What are the purposes of PGS?
- To ensure that performance review, goal setting, and professional and career development are systematically managed and recorded appropriately,
- To recognise excellent staff to ensure their motivation and retention,
- To recognise the need for individual challenge and growth that is consistent with the overall strategic direction of the University,
- To enhance individual job satisfaction, improve communication, and facilitate the exchange of ideas,
- To provide a regular cycle for feedback, personal and professional goal setting and career enhancement, and
- To develop an annual work plan for individual staff.

Who is involved in the PGS exercise?
Every continuing or fixed term staff member employed on longer than a two year appointment is required to undertake a regular PGS exercise with their manager. The latter is usually their line managers but could include others up to the relevant Dean/Director or equivalent.

How does PGS work?
Professional Goal Setting consists of a regular (usually annual) meeting between a staff member and their line manager to discuss work related issues, individual performance and future plans. It is an opportunity for the line manager to discuss the individual's performance and to recognise performance and achievements that align with delivering the University Strategy and Plans.

The meeting results in:
- individual goals for a period of one to three years,
- an individual professional development programme for one to three years, and
- for academic staff, separate individual research, teaching and service goals as appropriate.

The meeting is the first stage in an on-going cycle which includes conversation around work-related issues and continuous improvement. Professional development opportunities need to be viewed broadly (see 3.2 Modes of Delivery of Professional Development for guidance).

Goals may include stretch targets and new initiatives for improvement, but could equally be about maintaining high levels of performance and ‘business as usual’ activities. Goals need to be relevant to
the individual role and circumstances and therefore require careful preparation and discussion. They must be consistent with University Strategy and objectives.

Line managers should talk regularly with their staff; the PGS interview should not be an isolated event. The feedback provided during the meeting must be consistent with other University processes such as Academic Salary Advancement and Promotion, and General Staff Salary Review. The discussion and feedback provides the basis for on-going performance enhancement of staff within an environment of continuous improvement.

The PGS process is collaborative and collegial in nature and requires the commitment of individual staff and their managers. Careful planning, effective self-evaluation and feedback, meaningful discussion, and well-constructed goals are essential for successful performance enhancement and the achievement of local and University goals.

**Professional Goal Setting Process**

1. **Timing**
   
   The professional goal setting cycle will normally occur over a twelve month period. The cycle includes at least one formal annual discussion between the staff member and his or her line manager and regular informal interactions.

   As part of the induction process, new staff are expected to have a preliminary PGS meeting approximately three months after commencement and thereafter as part of the annual exercise. The purpose of this first meeting is to provide an early opportunity for understanding the expectations of the position, identifying training needs or assistance needed. At a minimum, goals should be set for the next three to twelve months and then the formal cycle should begin.

   The formal cycle will normally take place at an agreed time each year to ensure that the information gathered is aligned with, assists preparation for, and informs General Staff Salary Review (GSSR) and Academic Salary Advancement and Promotion processes.

   Where academic staff are undertaking study leave at the time they would normally have their PGS meeting then their study leave application will serve in lieu.

2. **PGS Completion Form**
   
   An example template for PGS preparation and recording may be found in iWaikato.

   Note that local records of participation need to be maintained for annual reporting purposes in accordance with the *Staff Performance and Professional Development Policy*.

3. **Linkages with other University HR Procedures**
   
   PGS is core to building staff capability. The primary purposes of PGS are to: enhance individual and institutional performance through goal setting processes and the provision of regular and constructive feedback on individual performance; improve communication; and identify developmental needs. PGS is also expected to be consistent with, and inform decisions and/or recommendations related to, the following activities:
• Professional development and training, workplace learning, coaching, or mentoring
• Academic salary advancement and promotion
• General staff salary review (GSSR).

4. Accountability and Confidentiality

Deans, Directors and other senior managers are accountable for the performance of their Faculty/Division and/or area of responsibility. This includes building the capability of their workforce through performance improvement and development. Senior managers should have access to information which has been recorded as part of the PGS if it is needed.

Copies of the current agreed goals and individual professional development programmes must be available to Deans/Directors and other senior managers on request for local business and reporting purposes. Specific details of PGS discussions will remain confidential to the line manager and the staff member (and anyone else involved in the meeting). The PGS form records agreed goals and professional development as an outcome of the PGS conversation.

5. Reporting and Review

Confirmation that PGS has been undertaken is monitored through annual reports about local activity provided by Deans/Directors and equivalent and other senior managers to the Director of Human Resources. The Director of Human Resources is required to report to the Vice-Chancellor on an annual basis on aspects of performance and professional development covered by these reports, including participation in PGS, induction and professional development activity.

The policy and processes of PGS will be subject to a regular review cycle.

6. Training and Development

The University will provide line managers and staff with training and development sessions relevant to the PGS process. PGS will be implemented on a Faculty, School or Divisional basis. Contact the Professional and Organisational Development Unit to arrange sessions for your staff. New managers are expected to receive this training and development as part of their induction programme.

7. Cultural Differences

Some staff may need to be coached to respond to this more collaborative and consultative style of individual development and goal setting, particularly those from cultural backgrounds where seniority and hierarchy are deeply ingrained. In some instances a support person, or whanau support, may be agreed to by the line manager.

8. Resolution of Disagreements

It is expected that line managers and staff will make every effort to resolve disagreements in respect of PGS between themselves. Where this proves not to be possible, disagreements should be referred to the relevant Dean, 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 PGS documentation to ensure the outstanding disagreement is recorded.

9. Performance Improvement

PGS should be used to review performance as part of a continual professional development process and as a basis for goal setting and personal professional development plans.

10. Unsatisfactory Performance

PGS is not a means of addressing 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. In such circumstances PGS activities will be suspended pending the resolution of the performance management process. Please consult the HRM Division for further advice. Contact your Human Resource Adviser, phone extension 4003 or email hrm@waikato.ac.nz.
PART 3: PROFESSIONAL DEVELOPMENT

Staff induction provides the foundation for staff to become contributing members of the University community who understand the cultural and job specific requirements and expectations of the University of Waikato. Professional Goal Setting reinforces these requirements and expectations and provides for regular renewal and on-going development of staff through a personal staff professional development programme. All staff are expected to reflect on the changing needs of their role and to manage their own professional and career development. This should be done in collaboration with their line manager to ensure they are making an effective contribution to University Strategy and Goals and achieving job satisfaction.

3.1 Leadership and Management Development

The University of Waikato recognises the need for effective leadership and management of staff and resources and provides a range of activities to develop and enhance leadership and management capability and capacity.

Programme Components

The leadership and management programme is made up of a number of threads which support one another and aim to build leadership and management capacity for the University. The following table outlines some of the key components and target groups:

<table>
<thead>
<tr>
<th>Programme component</th>
<th>Target audience</th>
</tr>
</thead>
<tbody>
<tr>
<td>Frontline management workshops</td>
<td>Supervisors and frontline managers</td>
</tr>
<tr>
<td>Mentoring and coaching</td>
<td>For all staff – leadership and leading practice</td>
</tr>
<tr>
<td>Forums</td>
<td>Particular focus groups as needed</td>
</tr>
<tr>
<td>Networks</td>
<td>Common interest groups (e.g. Waikato Women in Leadership, Student Learning and Support, and Teaching Network)</td>
</tr>
<tr>
<td>Postgraduate Certificate (Leadership in Higher Education)</td>
<td>Senior lecturer and above for academic staff and level 6 and above for general staff</td>
</tr>
<tr>
<td>Learning Leadership Programme</td>
<td>An annual programme aimed at current and future academic leaders</td>
</tr>
<tr>
<td>Kaitiaki programme</td>
<td>New and emergent general staff at levels 4 to 5 with recognised leadership potential</td>
</tr>
<tr>
<td>Management Edge</td>
<td>A series of modules to assist managers to better understand operational and administrative management</td>
</tr>
<tr>
<td>NZ Women in Leadership Programme</td>
<td>Senior academic and general staff (offered by NZVCC)</td>
</tr>
<tr>
<td>360° feedback and executive coaching</td>
<td>Managers</td>
</tr>
<tr>
<td>One-off events</td>
<td>Specific interest groups</td>
</tr>
</tbody>
</table>

Further information and resources

Further information is available online at www.waikato.ac.nz/pod/leadership.

3.2 Modes of Delivery of Professional Development

The 70:20:10 Premise for Professional Development and Learning

Charles Jennings\(^1\) asserts that 70% of adult organisational learning takes place on the job through developmental experiences and facing challenges, solving problems, doing special assignments and

\(^1\) Jennings, C. Taking the training out of organisational learning. Paper presented at the Global Summit 2006: Technology Connected Futures
other day-to-day activities. This could be described as individualised learning in that it derives from the individual’s own experiences and reflections on these. Ideally, this learning leads the person to build an integrated theory of practice. This is exemplified in processes such as induction and professional goal setting (PGS).

Jennings further argues that 20% of learning occurs through others in the workplace, via networks that the individual builds, from listening to others and reading their works or hearing their stories, and through the kinds of communities of practice that Lave and Wenger (1991, 1998) have written about. The use of informal learning sets, coaching and mentoring, and support and direction from managers and colleagues also assists with this building of individual learning.

Finally, according to Jennings, 10% of adult organisational learning takes place off the job, through formal learning ‘events’, whether classroom, workshop, or, more recently, ‘e’ and blended learning interventions. Attendance at external courses, conferences and hui could be included in this form of learning.

**Multiple Modes for Effective Learning**

In the context of the University, a variety of delivery methods, covering the range described above, is used to help individuals to build their own theories of practice, and to extend their skills. These include:

- encouragement of **reflective practice** in a range of ways, through formally recorded methods (such as teaching portfolios, reflective journals, etc.) and informal ways (through on-going conversations, awareness of body language and cultural backgrounds, etc.);
- **mentoring and coaching** organised either formally through the various professional development providers or via ‘buddying’ at Faculty and School/Department level, this can include one-on-one, one-to-many, or many-to-many mentoring and coaching situations and may be either peer or expert led;
- **professional conversations** through such events as Teaching Network meetings, Managers’ forums, supervisory conversations or WCElfest;
- **workshops**, which are offered by people who are experienced practitioners, who base their leading of sessions on sound research, and who encourage participants to critique the modelling of the skills that the workshop leaders aim to develop in participants in order to facilitate good transfer;
- **external professional development** such as attendance at offsite courses or conferences; and
- **academic study leave**.

It is also important to note that all university professional development providers work closely with staff in Faculties/Divisions/Schools/Departments on request, to provide on-the-job professional development that best enhances transfer. This may be one-to-one, or via facilitated conversations or workshops.

Discussion, coaching and mentoring, and application of the knowledge on the job, coupled with the other methods described above, assist individuals to truly learn. **Personal Professional Development Plans** should take these methods into account, ensure that work-based application of new skills and knowledge occurs, and provide an opportunity for reflection and discussion around the learning taking place.

**Professional development occurs through multiple modes of delivery which occur over time and is not restricted to a one-off event like a workshop or learning exercise.** Opportunities for professional development need to be managed to optimise learning – a **Personal Professional Development Plan** for one to three years (normally developed as part of PGS), taking account of the various modes, provides the mechanism for this.
Further information and resources

The annual Staff Professional Development Programme is available online at www.waikato.ac.nz/pod/pd. This page includes information and dates for finance, technology, administrative, leadership, management and other development opportunities.

3.3 Guidelines for General Staff Attendance at External Professional Development Activities (including conferences)

The University of Waikato is committed to enhancing staff capability and institutional capacity. Participation in external professional development activities should benefit the University as well as the staff member. Managers are responsible for approving staff attendance and costs for external activities.

These guidelines apply to attendance at external professional development which is discretionary in nature. They do not apply to external activities attended as a requirement of the job by their line manager. They have been developed to assist managers to ensure requests for attendance at conferences and other external professional development activities are managed consistently and equitably and meet the needs of the University.

Principles

1. Where external professional development activities are relevant to the development or performance of a role, they should ideally be considered at an initial level as part of the Professional Goal Setting process.
2. Applications for attendance at external professional development activities will be prepared by the staff member and should include dates, the total calculated cost of attendance and a list of benefits to the local workplace and University.
3. While active participation in the form of a presentation, assistance with organisation or similar activities is encouraged, such participation is not a requirement for approval.
4. Decisions should be made after balancing the following variables:
   a. A cost/benefit analysis of the application;
   b. The capability, capacity and operational needs of the local unit;
   c. Equitable distribution of professional development opportunities; and
   d. Alignment with the Professional Goal Setting conversation and University goals.
5. Liaison with other managers is encouraged to avoid duplicating staff attendance, ensure operational needs are met, and/or ensure the maximum benefit is achieved from attendance.
6. All costs are to be met from the relevant cost centre budget.
7. Staff are expected to attend the full scheduled hours of the external event and to recognise that they are representing the University of Waikato for the duration of their attendance.
8. After attending a conference or other external professional development activity staff are expected to report (written or verbal) within a timeframe agreed with the manager about the benefits of attendance, insights gained and any recommendations for improving University practice.
9. A file note of attendance at external professional development activity should be forwarded to HRM Division for inclusion on the staff member’s personal HR file.

If the activity has been agreed as part of a Professional Goal Setting (PGS) goal then there should also be a record of it in the PGS documentation.
3.4 Teacher and Teaching Development

The Centre for Tertiary Teaching and Learning is tasked with providing resources, activities and support to support the development of teachers and teaching at the University of Waikato. Staff should contact the Centre to discuss their teaching development, including technology enhanced learning needs.

Further information may be found online at [http://www.waikato.ac.nz/tertiary-teaching-and-learning](http://www.waikato.ac.nz/tertiary-teaching-and-learning).

3.5 Postgraduate Supervision Development

The School of Graduate Research can assist staff to develop their graduate research supervision skills. The school offers regular supervision workshops and seminars. For further information about supervision please see [http://www.waikato.ac.nz/students/research-degrees/supervision/supervision-general](http://www.waikato.ac.nz/students/research-degrees/supervision/supervision-general).

3.6 Researcher Development

The Research and Enterprise Office can support and assist researchers in a number of ways including advice about funding, help writing research proposals, managing contracts, identifying suitable collaboration partners, help to find a suitable mentor, and research systems (IRIS, PBRF and FRE).

3.7 Other Administrative Development

<table>
<thead>
<tr>
<th>Unit</th>
<th>Training and Support</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Library</td>
<td>Information resources</td>
<td><a href="http://www.waikato.ac.nz/library/study/classes">www.waikato.ac.nz/library/study/classes</a></td>
</tr>
<tr>
<td>Financial Services</td>
<td>P-Card, UniMarket and Paperless Accounts Payable (PAP)</td>
<td></td>
</tr>
<tr>
<td>Information &amp; Technology Services</td>
<td>Teaching room technologies</td>
<td><a href="http://www.waikato.ac.nz/pod/pd">www.waikato.ac.nz/pod/pd</a></td>
</tr>
<tr>
<td>Professional &amp; Organisational</td>
<td>Leadership and Management development, induction, professional</td>
<td></td>
</tr>
<tr>
<td>Development Unit</td>
<td>and administrative development</td>
<td></td>
</tr>
<tr>
<td>Human Resource Management</td>
<td>Recruitment, performance management, salary review and promotion</td>
<td><a href="mailto:hrm@waikato.ac.nz">hrm@waikato.ac.nz</a></td>
</tr>
<tr>
<td>Student Services</td>
<td>Student Management System</td>
<td><a href="mailto:sas-ehelp@waikato.ac.nz">sas-ehelp@waikato.ac.nz</a></td>
</tr>
<tr>
<td>Academic Office</td>
<td>Paper Outlines System</td>
<td><a href="http://paperoutlines.waikato.ac.nz">paperoutlines.waikato.ac.nz</a></td>
</tr>
</tbody>
</table>