Performance Management for the Government of Canada (G140)

Part 2: Performance Management Basic Concepts

Part 1: Introduction

Objectives

This course will take you approximately an hour to complete and an additional 20 minutes to pass a test. You may leave the course and come back as many times as needed. Each time, you will resume where you left off.

> *The course G140 Performance Management for the Government of Canada, in collaboration with the Treasury Board of Canada Secretariat, is a mandatory training course for managers and supervisors in the public service.*

Its learning objectives are as follows:

- Review performance management concepts and tools;
- Review the phases of the Performance Management Annual Cycle;
- Identify the performance management techniques to use during different phases of the Performance Management Annual Cycle; and
- Apply performance management concepts and techniques in exercises.

Agenda

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Part 2: Performance Management

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- Definition of performance management
- Expected results
- Performance management annual cycle
- Public Service Performance Management Application (PSPM

App)
- Exercise 1: Managing Employee Performance

▼ Performance Management Annual Cycle: At the Beginning of the Fiscal Year, when Performance Expectations Are Established

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- Writing "SMART" work objectives
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▼ Performance Management Annual Cycle: Throughout the Year, and at Mid-year, when Performance Is Reviewed

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- Supporting employee performance
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- Documenting performance

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- Assessing performance and determining employee ratings
- Review panels

- When performance is *above* the required level
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- Importance of employee recognition
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- Discrimination and the duty to accommodate
- Obligations under the duty to accommodate
- Understanding the type of accommodation required

Part 3: Performance Management Scenarios

Part 4: Performance Management Certification

Navigation

Back and Next

Instead of a navigation bar with the "Back" and "Forward" buttons of a standard browser like Internet Explorer, some of MyAccount courses have "Back" and "Next" navigation buttons (shown as "<" and ">") located at the top and bottom of the right-hand side of the screen. Clicking on the "<" (or Back) button will take you to the previously-viewed page, and clicking on the ">" (or Next) button will bring you to the next page.

Fr – French Toggle

Click on the "Fr" icon to switch from the English version of the course to the French version.

Course Home

Click on the "Home" icon to return to the course's home page.

Help

Click on the "Help" icon to access these help topics again.

References

Click on the "References" icon to access links to useful tools, guidelines, and other information related to performance management.

Course Map

Click on the "Course map" icon to access the list of pages in the course.

Print Course

Click on the "Print course" icon to access a PDF version of the course.

Exit

Click on the "Exit" icon when you want to exit this course. A bookmark is automatically created to mark your current location in the course. The next time you launch the course you will return to where you left off.

Navigation Bar

- Click the navigation bar to navigate among the course.
- Click on a module title to see its related sections.
- Checkmarks will appear next to modules and sections that you have completed.

Part 2: Performance Management

Expectations

- Definition of performance management
- Results expected by the creation of a culture of high performance

Our main objective today is to review some of the elements necessary to create a culture of high performance in the public service.

First, let's agree on a definition of performance management and be aware of the results that the Treasury Board Secretariat expects with the creation of a culture of high performance.

Definition of performance management

Performance management is an essential component in the effective management of an organization. It encourages excellent performance by setting clear objectives and rigourously evaluating the achievement of results, recognizing and rewarding performance, and providing a framework within which a consistent and equitable approach to performance management can be applied.

Performance management is an ongoing process that involves planning, developing, coaching, providing feedback and evaluating employee performance, including recognizing work well done. It's not an annual event or something that can be accomplished in a few one-on-one meetings. It's a combination of day-to-day activities and time-specific events. That includes, at a minimum, a mid-year performance review for all employees, and an annual year-end assessment. Employees on probation must be assessed within their probationary period. Any definition of performance management can have several important elements. One of the most important things to remember is that performance management is about ensuring that organizational results can be met successfully. At the individual and team levels, it's about managing and engaging people. It's also about building trust. Flowcharts aren't going to solve performance issues. Relationships and communication are key to the performance management process.

Expected results

- Specific results expected by the TBS with the application of good performance management;
- A healthy workplace environment based on public-sector values, where leadership, commitment and results are promoted;
- Employees are productive, demonstrate the required knowledge, skills, behaviours, competencies and engagement to perform their duties, and provide excellent service to Canadians;
- Cases of unsatisfactory performance are addressed expeditiously within organizations;
- Records on employee performance are maintained within organizations in accordance with the pertinent policy instruments;
- Managers/supervisors feel adequately supported within their organization and demonstrate the skills required to manage challenging cases of employee performance; and
- Organizational performance management programs are fair, equitable and

consistently applied across the core public administration.
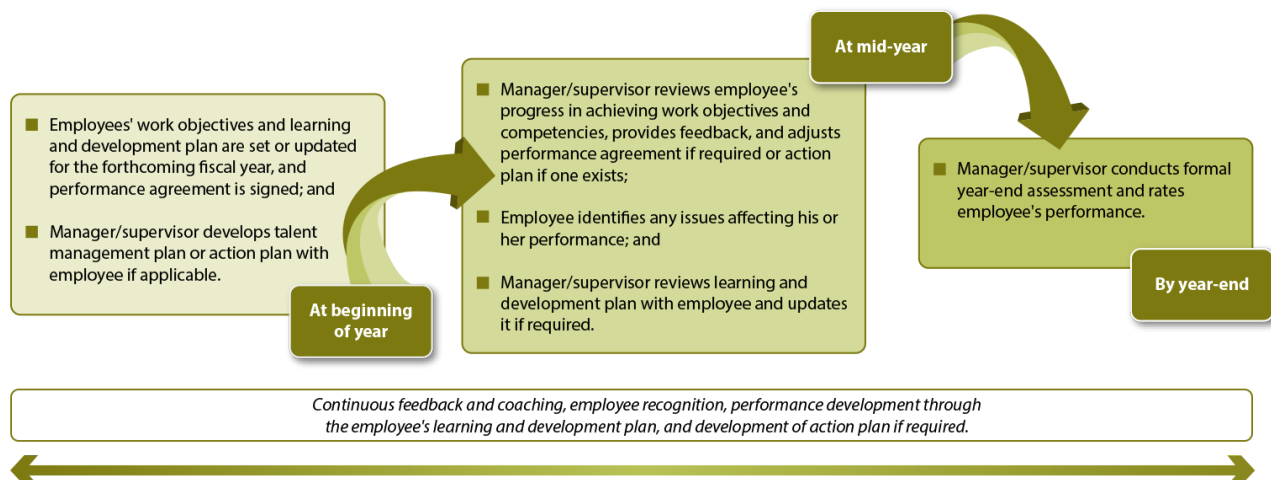
Performance management annual cycle

The Directive on Performance Management(External link to http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=27146) sets out the responsibilities of deputy heads, or their delegates, regarding the administration of a consistent, equitable and rigourous approach to performance management across the core public administration. Performance management is an ongoing process throughout the year. The performance agreement, which spells out the work expectations for each employee, is the focal point of performance management. The process must meet the requirements of the Directive on Official Languages for People Management(External link to http://www.tbs-sct.gc.ca/pol/doc-eng.aspx?id=26168).

Performance management is not a one-time event.

The Performance Management Annual Cycle is comprised of three time-specific requirements, as follows:
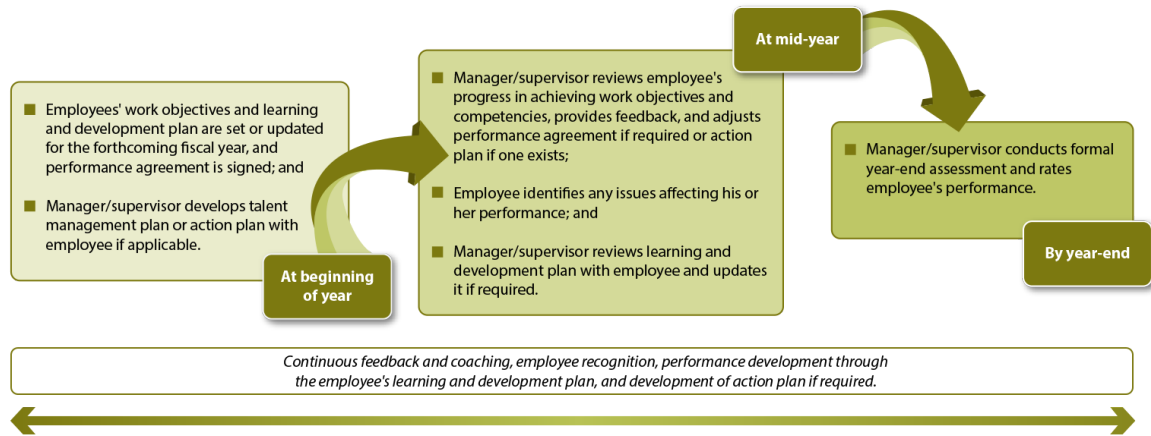
- At the beginning of the fiscal year, when performance expectations are established;
- At mid-year, when performance is reviewed; and
- At year-end (or at the end of probation), when performance is assessed.

> PERFORMANCE MANAGEMENT ANNUAL CYCLE

At mid-year

- Employees' work objectives and learning and development plan are set or updated for the forthcoming fiscal year, and performance agreement is signed; and
- Manager/supervisor develops talent management plan or action plan with employee if applicable.

At beginning of year

- Manager/supervisor reviews employee's progress in achieving work objectives and competencies, provides feedback, and adjusts performance agreement if required or action plan if one exists;
- Employee identifies any issues affecting his or her performance; and
- Manager/supervisor reviews learning and development plan with employee and updates it if required.

- Manager/supervisor conducts formal year-end assessment and rates employee's performance.

By year-end

Continuous feedback and coaching, employee recognition, performance development through the employee's learning and development plan, and development of action plan if required.

Performance Management Annual Cycle

PERFORMANCE MANAGEMENT ANNUAL CYCLE

At beginning of year
- Employees' work objectives and learning and development plan are set or updated for the forthcoming fiscal year, and performance agreement is signed; and
- Manager/supervisor develops talent management plan or action plan with employee if applicable.

At mid-year
- Manager/supervisor reviews employee's progress in achieving work objectives and competencies, provides feedback, and adjusts performance agreement if required or action plan if one exists;
- Employee identifies any issues affecting his or her performance; and
- Manager/supervisor reviews learning and development plan with employee and updates it if required.

By year-end
- Manager/supervisor conducts formal year-end assessment and rates employee's performance.

Continuous feedback and coaching, employee recognition, performance development through the employee's learning and development plan, and development of action plan if required.

▼ Graphic – Text version

This figure depicts the performance management cycle. It is described in four boxes: three boxes in a row from left to right represent the key time periods in the cycle, and a fourth box, underneath, represents ongoing activities.

The box on the left side of the row, labelled "At beginning of year," contains the following statements:

- "Employees' work objectives and learning and development plan are set or updated for the forthcoming fiscal year, and performance agreement is signed"; and
- "Manager/supervisor develops talent management plan or action plan with employee if applicable."

An arrow points from the first box to the second.

The box in the middle of the row, labelled "At mid-year," contains three statements:

- "Manager/supervisor reviews employee's progress in achieving work objectives and competencies, provides feedback, and adjusts performance agreement if required or action plan if one exists";
- "Employee identifies any issues affecting his or her performance"; and
- "Manager/supervisor reviews learning and development plan with employee and updates it if required."

An arrow points from the second box to the third.

The third box, on the right, is labelled "By year-end." It contains the following statement:

- "Manager/supervisor conducts formal year-end assessment and rates employee's performance."

The fourth box, below the other three, contains the following statement:

- "Continuous feedback and coaching, employee recognition, performance development through the employee's learning and development plan, and development of action plan if required."

A two-headed arrow runs from left to right under the fourth box, indicating that the activities identified in the statement occur throughout the performance management cycle.

▼ Transcript

Performance management is not a one-time event. As managers and supervisors, we need to step back and see the broader context. Regular feedback and support is provided to employees as part of an ongoing dialogue about work performance between managers or supervisors and their direct reports.

In this course, we will discuss what tools, techniques and best practices you need to apply to be an effective manager or supervisor. It will provide you with a concrete perspective on how and what to do in order to manage the performance of your employees successfully.

Now that you've had time to see an overview of the Performance Management Annual Cycle, let's review some of its phases in more detail.

Public Service Performance Management Application (PSPM App)

The Public Service Performance Management Application (PSPM App) is a mandatory tool that captures information and documents conversations on performance throughout the Performance Management Annual Cycle. The PSPM App is used across the core public administration, with a few exceptions. The PSPM App has space for comments and confirmation by both managers and employees.

(External link to https://portal-portail.tbs-sct.gc.ca/home-eng.aspx)

It contains the following sections:

- Section A: Personal Information
- Section B: Work Objectives
- Section C: Competencies (Expected Behaviours)
- Section D: Learning and Development Plan
- Section E: Signatures, Assessment and Attestation
- Section F: Action Plan
- Section G: Talent Management Plan
- Section H: Career Progression Management Framework for Federal Researchers
- Section I: Probation

Two online guides are available to help managers/supervisors and employees fill out the PSPM App:

- PSPM App User Guide for Employees; and
- PSPM App User Guide for Executives and Managers/Supervisors.

These guides can only be accessed on the Government of Canada's Intranet(External link to http://intranet.canada.ca/index-eng.asp) site.

▼ Transcript

Performance management involves more than just filling in the PSPM App. The PSPM App is designed to facilitate self-serve input of information when required at any time during the performance management cycle. It supports employee self-examinations on progress and supplements ongoing conversations on progress and the year-end self-assessment.

Exercise 1: Managing Employee Performance

Test your knowledge

Gloria and David are two managers with different viewpoints on how to manage performance.

Select the right manager according to the type of employee.

The poor performer

Gloria:
I need to manage the performance of all my employees.

David:
As a manager, I can only manage the performance of some employees.

Who has the time to worry about everyone?

Gloria and David are two managers with different viewpoints on how to manage performance.

Select the right manager according to the type of employee.

The star performer

Gloria:
I need to manage the performance of all my employees.

David:
As a manager, I can only manage the performance of some employees.

Who has the time to worry about everyone?

Gloria and David are two managers with different viewpoints on how to manage performance.

Select the right manager according to the type of employee.

The employee who was recently demoted

Gloria:
I need to manage the performance of all my employees.

David:
As a manager, I can only manage the performance of some employees.

Who has the time to worry about everyone?

Gloria and David are two managers with different viewpoints on how to manage performance.

Select the right manager according to the type of employee.

The employee who is dishonest about being absent at work

Gloria:
I need to manage the performance of all my employees.

David:
As a manager, I can only manage the performance of some employees.

Who has the time to worry about everyone?

Gloria and David are two managers with different viewpoints on how to manage performance.

Select the right manager according to the type of employee.

The employee who recently won an award at work

Gloria:
I need to manage the performance of all my employees.

David:
As a manager, I can only manage the performance of some employees.

Who has the time to worry about everyone?

Gloria and David are two managers with different viewpoints on how to manage performance.

Select the right manager according to the type of employee.

The employee who never knows what needs to be done

Gloria:
I need to manage the performance of all my employees.

David:
As a manager, I can only manage the performance of some employees.

Who has the time to worry about everyone?

Performance management annual cycle: At the beginning of the fiscal year, when performance expectations are established

Introduction

In the first phase of this annual cycle, you will need to develop a performance agreement for the employee and communicate the level of performance and expectations.

During this phase, you need to:

- Develop cascading business priorities and activities;
- Write "SMART" work objectives;
- Write performance indicators or standards;
- Discuss the expectations related to four core competencies; and
- Develop a learning and development plan.

⟩ PERFORMANCE MANAGEMENT ANNUAL CYCLE

At beginning of year

- Employees' work objectives and learning and development plan are set or updated for the forthcoming fiscal year, and performance agreement is signed; and

- Manager/supervisor develops talent management plan or action plan with employee if applicable.

▼ Graphic – Text version

Box labelled "At beginning of year," that contains the following statements:

- "Employees' work objectives and learning and development plan are set or updated for the forthcoming fiscal year, and performance agreement is signed"; and
- "Manager/supervisor develops talent management plan or action plan with employee if applicable."

▼ Transcript

At this point, you are ready to start developing your employee's performance agreement and to communicate the level of performance expected. One of the key components of any performance agreement is the establishment of work objectives. When you develop work objectives, you must ensure that they reflect

organizational objectives at different levels. These are known as cascading business priorities and activities. If you are part of the executive cadre, you may also have seen the term "enterprise-wide commitments and goals" that refer to the same thing. Once the objectives are defined and co-developed, you should also ensure that they are "SMART". We will look more closely at the "SMART" criteria shortly.

Exercise 2: Organizational Business Priorities and Activities, and Employee Work Objectives

In your opinion, what is the relationship between an organization's business priorities, ongoing program delivery or operational activities, and an employee's work objectives?

○ The organization's business priorities and activities have a minor impact on my employee's work objectives.

◉ My employee's work objectives flow directly from the organization's business priorities, ongoing program delivery or operational activities.

○ Each team or section creates objectives and expectations for its employees and this impacts the organization.

○ There is no relationship.

Your answer is correct! Your employee's work objectives flow from the organization's business priorities, ongoing program delivery or operational activities.

Use cascading priorities and commitments to align the goals of the department with those of the individual. Employees should know how their work contributes to business priorities and organizational goals.

Developing cascading business priorities and activities

When developing cascading business priorities and activities, consider the following questions at each level.

- Department: What are the strategic goals of this department/agency?
- Branch: What does the branch/business line provide that helps the department achieve its strategic goals?
- Directorate: What does the sector provide that helps the directorate achieve its goals?
- Team: Do the goals created for this team support the goals of the sector/directorate?
- Employee: Do the goals created for this individual support the goals of the unit/team?

> *Employee work objectives and expectations flow from the business priorities and actions of the organization.*

▼ Transcript

Employee work objectives and expectations flow from the business priorities and activities of the organization. They cascade down into branches, directorates and teams. In this way, they reach the performance agreements of all public servants which allow each one of us to contribute to the success of our organizations.

There are questions at different levels of the organization that any manager and supervisor should consider in order to develop effective cascading business priorities or enterprise-wide commitments and goals for those of you in the executive cadre.

By using cascading business priorities and activities, employee work objectives are aligned with the priorities of the Clerk of the Privy Council and those of the organization. A performance agreement is well aligned when its commitments reflect both sets of priorities.

Writing "SMART" work objectives

▼ Transcript

So far, we have seen the relationship between organizational business priorities and activities, and employee work objectives, as well as the types of questions you need to ask in order to develop cascading objectives. But what format should you follow to write the employee's work objectives?

The Treasury Board Secretariat recommends the "SMART" method of writing work objectives. Select any of the letters of the word "SMART" to see what it stands for and how to apply it to writing work objectives.

Your employee work objectives should be "SMART" as well as aligned with the organization's business priorities and activities for the fiscal year.

As shown below, these "SMART" objectives contain performance indicators and measurable descriptions of what the employee is expected to achieve during the coming year.

Performance indicators describe how an observer can tell that results have been achieved. They define standards for the expected level of achievement of results, including timing, and can be qualitative or quantitative.

▼ S – Specific objective

The work objective is a clear statement of expectations. It describes an observable action or achievement. The objective is specific about the result, not the way it is achieved. Ask yourself:

- What exactly is the employee expected to do?
- What strategies, rules, processes, guidelines, etc. will he or she use?
- Does the employee understand the objective?
- Is it clear who is involved?
- Is it clear where this will happen?
- Is the outcome clear?
- Will this objective lead to the desired outcome?

▼ M – Measurable objective

There is a way to assess and describe the results in terms of quality, quantity, cost or time. Some work results are measured easily; others may need to be verified or observed. Ask yourself:

- Will this indicator or standard demonstrate that the employee has successfully completed or continues to meet the work objective?
- Can these measurements be obtained?

▼ A – Attainable objective

The work objective is realistic and achievable. The best objectives challenge employees but are not extreme. Ask yourself:

- Can the employee accomplish this objective in the proposed time frame with the resources available?
- Do you and the employee both understand any limitations or constraints that could get in the way?
- Has anyone else done this successfully?

▼ R – Relevant objective

The work objective is consistent with the employee's role in the workplace. Ask yourself:

- Does the employee have the skills, knowledge and authorities to achieve this objective?
- If not, what steps are required for the employee to obtain them?

▼ T – Trackable/Time-bound objective

There is a time limit for achieving the work objective. Ask yourself:

- When will this work objective be accomplished?
- Is there a stated deadline (date, quarter)?

Exercise 3: "SMART" work objectives

Choose the correct answer(s).

Good luck!

You have finished the exercise.

Repeat evaluation

Objective: Increase teamwork.

○ "SMART"

⦿ "Non-SMART"

Correct! This is a "non-SMART" objective.

"SMART" alternative: Encourage teamwork by soliciting employee input during the planning process that will be finalized by January 15, 20XX.

Why is an objective like *increase teamwork* "non-SMART"? Select all of the answers that apply.

- [x] **Not specific**

- [x] **Not measurable**

- [ ] Not attainable
- [ ] Not relevant
- [x] **Not trackable/time-bound**

Correct!

This is a "non-SMART" objective because it is not specific, measurable or trackable/time-bound.

Objective: Meet client service standards 90% of the time.

- (•) "SMART"

- ( ) "Non-SMART"

Correct! This is a "SMART" objective.

Avoid writing an objective like: *Provide good client service*.

Objective: Write reports.

○ "SMART"

◉ "Non-SMART"

> Correct! This is a "non-SMART" objective.
>
> "SMART" alternative: *Write X number of reports within the specified deadline in each case.*

Why is an objective like write reports "non-SMART"?

☑ **Not specific**

☑ **Not measurable**

☐ Not attainable

☐ Not relevant

☑ **Not trackable/time-bound**

> Correct!
>
> This is a "non-SMART" objective because it is not specific, measurable or trackable/time-bound.

How are written performance agreements and well-formulated work objectives important to you?
Select all of the answers that apply.

- ☑ **They are a way to ensure that my employees understand the mission and goals of the organization and how they share responsibility for results.**

- ☑ **They are part of the minimum requirements for an employee performance management program.**

- ☑ **I need them for the mid-year review of each employee.**

- ☑ **I need to refer to them in order to write year-end assessments at the end of each fiscal year.**

- ☑ **I need them as a first step to determining what constitutes unsatisfactory performance.**

Correct!

Written performance agreements and work objectives are important for all of the reasons listed above.

Types of competencies

▼ Core competencies

Are essential for all employees of the federal public service.

The performance agreement specifies four core competencies for all employees in the federal public service who are subject to the Directive on Performance Management, regardless of level or occupation:

- Demonstrating integrity and respect;
- Thinking things through;
- Working effectively with others; and
- Showing initiative and being action-oriented.

At the beginning of the year, you should clearly express to the employee the expectations related to competencies identified in his/her performance agreement. Employees should understand how they are expected to achieve their work objectives. Each employee's competencies are reviewed at mid-year and evaluated at year-end.

▼ Transcript

Competencies relate to how employees perform their work to achieve their work objectives and how they interact with their colleagues. Behavioural indicators are associated with them. These are also referred to as expected behaviours. For performance management, they suggest that how work gets done is just as important as what work gets done.

When you become more familiar with the core behaviours that drive success, you will be ready to act on acknowledging and correcting in the moment. This will create consistency for employees and will help shift the culture to high performance.

▼ Functional competencies

Are applicable to a particular employee group, such as client service agents, financial specialists, program analysts or human resources professionals.

▼ Technical competencies

Are applicable to a particular job.

Competencies are defined as the knowledge, skills, abilities and behaviours that employees use in performing their work.

Learning and development plans

▼ Transcript

Managers and supervisors are expected to work closely with their employees to ensure that learning and development plans identify what employees need, to fully achieve the expectations set out in the performance agreement, excel on the job, and progress in the public service.

Learning and development plans can be adjusted at any time over the work year. Employees who are looking for additional challenges or responsibilities, or are having difficulties in their jobs, should consult their manager or supervisor so they can work together to change or add to the learning activities in their plans.

The annual performance agreement for employees reflects:

- Business priorities and activities ("SMART" work objectives); and
- Expected behaviours (core competencies).

It also includes a learning and development plan with specific learning objectives in one or more of the following categories:

- Job-specific learning activities:
  Learning activities to fulfill the employee's current position requirements

- Job specific: Corporate mandatory learning
  Mandatory learning required by the organization

- Job specific: Public service mandatory learning:
  Mandatory learning required for employees across the public service

- Career development learning:
  Learning activities to support the employee in achieving his or her career development goals.

Learning activities include:

- Action learning
- Blended learning
- Classroom
- Coaching
- Community of practice
- Conference
- E-Learning
- Functional communities
- Job shadowing
- Mentoring
- National Managers' Community (NMC)
- On-the-job learning
- Professional development program
- Workshop
- Young/Professionals Development Network

Definitions of each type of activities that are available in the learning and development plan and the talent management plan can be found on the performance management program for employees' website.

Link to Definitions for types of activities(External link to http://www.tbs-sct.gc.ca/psm-fpfm/learning-apprentissage/ptm-grt/pmc-dgr/def-act-eng.asp).

Talent management plans

Talent management plans are required for employees who have surpassed expectations in both work objectives and core competencies.

Unlike learning and development plans, which are part of every employee's performance agreement, talent management plans become part of the performance agreement of high-performing employees and are driven by organizational needs. They include developmental activities to prepare employees for new challenges and positions for which an employee's profile, strengths and interests suggest he or she is likely to be well suited.

Typical activities described by a talent management plan include:

- Targeted learning and training to build skills and knowledge for leadership positions;
- Educational support programs;
- Mentoring/coaching;
- Career assignment programs (e.g. "stretch" and short-term special assignments);
- Cross-functional opportunities (e.g. involvement in cross-departmental work teams or horizontal initiatives);
- National and international committee involvement;
- Participation in professional organizations; or
- Involvement with internal working groups, committees and communities of practice.

Action plans

▼ Transcript

Action plans are used to document specific steps to support employees by helping them get on track. Action plans become an essential part of the employee's performance agreement. It is crucial that you and the employee document all the details of your discussions related to the action plan. Resources are available for both you and the employee. These include advisors from Labour Relations and Human Resources. The Informal Conflict Management System can also be useful, especially if a conversation is likely to be stressful.

Employees require an action plan when managers/supervisors identify unsatisfactory performance. During conversations on progress, employees may also request an action plan if they think it will help them overcome a challenge or obstacle.

Ongoing monitoring is essential so that you can document whether the employee is improving and adjust the action plan if required. Review panels are also responsible for ensuring the establishment and monitoring of action plans.

When are action plans implemented?

At any time, when you become aware that an employee is not on track to meet performance expectations, you need to discuss how an action plan can benefit both the employee and the organization.

However, action plans are mandatory at year-end, if:

- The overall performance rating indicates that the employee has not met expectations; or
- The employee has not met expectations for either work objectives or core competencies.

The action plan is incorporated into the employee's performance agreement for the following year, if required. The action plan does not expire with the end of the performance management annual cycle, but remains in effect until:

- The employee's performance has improved to a satisfactory level; or
- On the file's evidence, you conclude that there was no improvement and that other recourse actions are required.

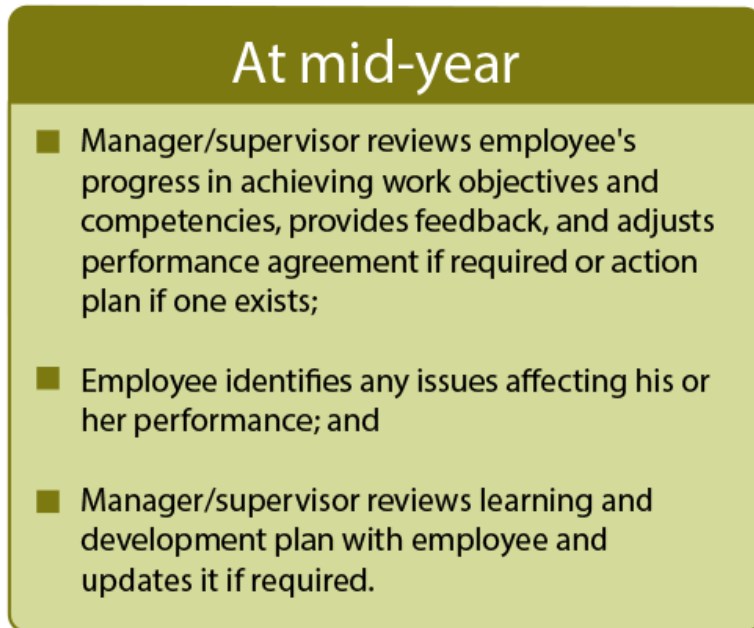Link to action plans(External link to http://www.tbs-sct.gc.ca/psm-fpfm/learning-apprentissage/ptm-grt/pmc-dgr/ap-pa-eng.asp).

Performance Management Annual Cycle: Throughout the Year, and at mid-Year, when Performance is Reviewed

Introduction

Performance management has to be more than a once-a-year activity of checking off some boxes. It won't be successful unless it's part of a meaningful and regular dialogue with the employee throughout the year.

At the mid-year mark, you will need to schedule, prepare and have a conversation on progress to date, and then document your employee's performance.

⟩ PERFORMANCE MANAGEMENT ANNUAL CYCLE

At mid-year

- Manager/supervisor reviews employee's progress in achieving work objectives and competencies, provides feedback, and adjusts performance agreement if required or action plan if one exists;

- Employee identifies any issues affecting his or her performance; and

- Manager/supervisor reviews learning and development plan with employee and updates it if required.

▼ Graphic – Text version

Box labelled "At mid-year," that contains three statements:

- "Manager/supervisor reviews employee's progress in achieving work objectives and competencies, provides feedback, and adjusts performance agreement if required or action plan if one exists";
- "Employee identifies any issues affecting his or her performance"; and
- "Manager/supervisor reviews learning and development plan with employee and updates it if required."

Start assessing and documenting

Throughout the year, as a manager/supervisor, you need to keep an eye on each of your employee's performances, as well as documenting your observations.

During this phase, you need to:

- Be aware of what to do once you start assessing employee performance;
- Recognize the importance of two-way communication;
- Support your employees; and
- Differentiate between a *performance* issue and a *disciplinary* issue.

▼ Transcript

With the performance agreement established, your employee should be clear about his or her tasks and the standard to which you expect the work to be completed.

Your role up to this point has been to ensure that your employee is clear as to what is expected of them through the performance agreement and has what they need to perform at an acceptable level. Have you provided the tools, training and support needed? Does your employee require an accommodation to complete his or her tasks?

You will begin to assess your employee's performance. You may want to begin documenting a file for your own records. In the next few slides, we will look at some ways to best assess and monitor performance, as well as how you communicate with your employee.

At this point, you have already determined the required level of performance, the core competencies and the work objectives for your employee's position, and developed a performance agreement.

Reviewing employee performance

Once you begin assessing an employee's performance:

- Be available to talk to them formally about their performance;
- Explain the expectations regarding the level of performance required; and
- Monitor their progress toward the objectives you both agreed on.

How should you assess your employee's performance? How often should you communicate your thoughts about this?

Two-way communication and feedback are part of regular dialogue with an employee. If performance is below the standard that you established in the performance agreement, your employee shouldn't hear about it for the first time at the mid-year review period. You should informally assess performance, progress or results on a regular basis and have informal conversations about them as needed.

Along with regular dialogue, employees should expect to be able to talk more formally about their performance with you. This will allow them to make any appropriate adjustments before the year-end or end of probation period assessment.

As a manager or supervisor, you will monitor each employee's progress towards the objectives you both agreed on as well as the competencies required for their position. In this way, your employees will be aware of their progress and results throughout the review period. You should encourage employees to initiate discussions with you about their progress at any time.

Supporting employee performance

Mutual respect, collaboration and a shared commitment to success are essential ingredients in an effective performance management program. The Directive on Performance Management requires you to provide support to employees to help them feel valued in carrying out the organization's mission.

In order to support employee performance, you need to commit to doing the following:

- Practice two-way communication, listening and communicating to connect the work of their unit to the organization's business goals and objectives, and to ensure that employees have a clear understanding of their roles and

responsibilities;
- Monitor employee performance and document the results of all conversations on progress;
- Recognize and acknowledge good performance by thanking, complementing and praising employees, and by holding up exemplary performance as a role model for others;
- Follow through on talent management plans for high-performing employees and action plans for those whose performance has fallen short of expectations;
- Familiarize yourself with how the organization can help you improve employee performance, particularly with learning activities and development opportunities;
- Encourage new ideas and foster a learning environment;
- Encourage collaboration; and
- Celebrate achievements.

Scheduling the conversation

▼ Transcript

You and your employee can together make performance conversations more productive at any point in the annual cycle. You should set aside enough time to prepare for this conversation.

Effective performance management is a continuous process. If ongoing support includes routine feedback, there will be no surprises for employees either at the mid-year review or at the year-end assessment.

To show respect for employees, in preparation for the conversation, you should:

- Inform all team members when performance conversations will be occurring. Explain that the purpose is to meet with team members to discuss their progress in achieving performance expectations.
- Schedule appointments in advance, at a time and place when they will not be interrupted. Allocate the same amount of time for each employee (in general, about an hour).
- Remind employees to review their performance agreement in advance of the meeting, and encourage them to engage in a self-examination(External link to http://www.tbs-sct.gc.ca/psm-fpfm/learning-apprentissage/ptm-grt/pmc-dgr/esep-aepe-eng.asp) at mid-year and a self-assessment(External link to http://www.tbs-sct.gc.ca/psm-fpfm/learning-apprentissage/ptm-grt/pmc-dgr/se-ae-eng.asp) at year-end to prepare for the conversations.
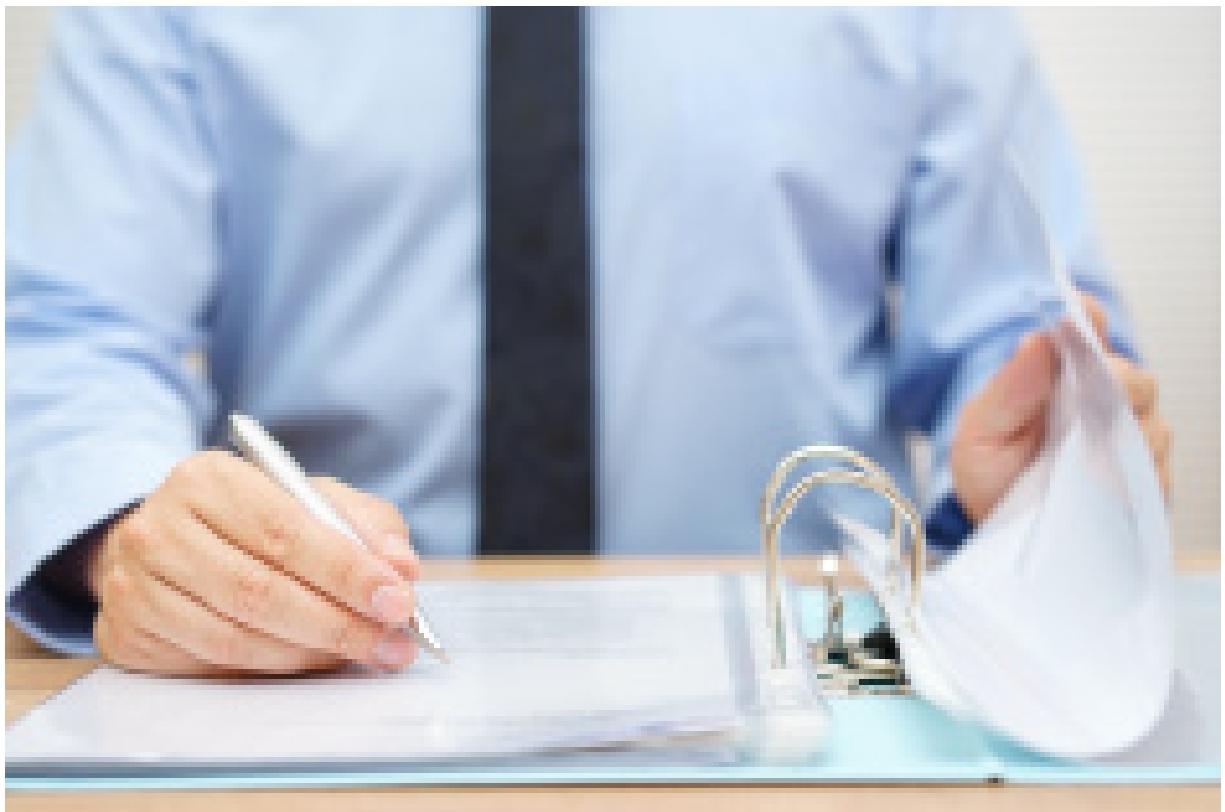
Preparing for the conversation

You and your employee can make the conversation on progress more productive if you review the notes you both have made since the beginning of the year.

For the employee, this is part of an ongoing self-examination on progress.

There are also a number of ways that you can prepare for the conversation:

- Review the employee's performance agreement and any notes or observations they have recorded since the beginning of the year, as well as any comments the employee has made
- Prepare a list of items to discuss at the meeting. To identify the topics, consider these questions:
    - Work objectives and performance indicators
        - What has the employee been doing well?
        - What has been accomplished to date? Is this progress sufficient?
    - Core competencies

- How does the employee consistently demonstrate effective behaviours?
- Are there effective behaviours the employee does not demonstrate or has difficulty demonstrating?
- What, specifically, is the gap between current performance and expectations?
- Should additional training, learning activities or coaching be discussed?
- Is an action plan required?
    - Learning and development plan
        - Are the learning activities still relevant?

Link to [Preparing for conversations on progress(External link to http://www.tbs-sct.gc.ca/psm-fpfm/learning-apprentissage/ptm-grt/pmc-dgr/prep-convo-eng.asp)](http://www.tbs-sct.gc.ca/psm-fpfm/learning-apprentissage/ptm-grt/pmc-dgr/prep-convo-eng.asp).

Types of feedback

▼ Transcript

One of the most important skills in the effective management and development of employees is the proper use of feedback. Although feedback is often categorized as being either positive or negative, here's another way to view it. Supportive feedback reinforces an ongoing behaviour. Corrective feedback indicates that a change in behaviour is appropriate.

In this sense, all feedback is positive. The purpose of all feedback should be to assist an employee in maintaining or enhancing his or her current level of effectiveness. Keep in mind that you have an obligation to respect the employees' language of work rights in all performance-related discussions and agreements.

Supportive Feedback

- Describes features of work or performance;
- Relates directly to performance objectives and/or standards of quality;
- Points out strengths and gives specific information about how to improve;
- Is related to performance and is not personal.

Corrective Feedback

- Provides opportunities for the employee to make adjustments and improvements toward mastery of a specified work objective and/or standard of quality.

Feedback strategies

These strategies will come in handy at the time of providing either type of feedback.

As part of assessing performance, you're going to want to provide regular feedback. By this, I mean that you will assess and monitor performance and provide feedback, then re-assess at a later date and provide more feedback as many times as needed. Tips and strategies for performance conversations are included in the website for the performance management program for employees. Employees should leave the conversation feeling more engaged, motivated and acknowledged.

Supportive Feedback Strategy

The following steps are recommended:

- Acknowledge the specific action and result to be reinforced;
- Explain the effects of the accomplishment and state your appreciation;
- Help the employee to take full responsibility for the success;
- Ask if the employee wants to talk about anything else;
- Thank the employee for the good performance.

Corrective Feedback Strategy

The following steps are recommended:

- Immediately describe the event in behavioural terms and explain the effect;
- Ask what happened;
- Help the employee take responsibility for the actions;
- Develop a plan to deal with the issue;
- State your confidence in the employee's ability.

Link to <u>Conversations on progress(External link to http://www.tbs-sct.gc.ca/psm-fpfm/learning-apprentissage/ptm-grt/pmc-dgr/convo-eng.asp)</u>.

Documenting performance

Following the conversation, you and your employee should keep track of your ongoing performance conversations in the employee's performance agreement, using the PSPM App. Both of you can, at any time, record the dates when specific performance matters were discussed, the content of those conversations, and performance-related achievements, issues and observations.

You should not adjust an objective or indicator because of unsatisfactory performance. Rather, provide a comment on what additional supports will be provided to help the employee improve (e.g. additional learning activities or an action plan).

The signature does not indicate agreement with the results; it only means a conversation has taken place. Employees who do not agree with the results may record their reasons in the space provided for comments.

Performance Management Annual Cycle: At Year-end or at the End of Probation, when Performance is Assessed

▼ Transcript

You should keep in mind that the Directive on Performance Management, the PSPM App, as well as the performance management for employees' Web site are your foundation to deal with performance management. As a manager or supervisor, you must also refer to the appropriate Treasury Board Secretariat and departmental policies, collective agreements and guidelines. You may also consult with your department's human resources and labour relations divisions, if necessary.

Introduction

The Directive on Performance Management requires annual assessments for all employees at the end of each year or at the end of probation, with a rating that takes into account the employee's performance and how it was achieved.

Using the principles and guidance provided earlier, it is important that you take the time to provide regular feedback to your employee, engage in dialogue, and ensure a formal year-end assessment.

If, at the end of the year, your employee's performance is at or above the required level, you can resume dialogue with the employee as part of a regular performance management regime. However, if your employee's performance is unsatisfactory, further measures are required.

> PERFORMANCE MANAGEMENT ANNUAL CYCLE

By year-end

Manager/supervisor conducts formal year-end assessment and rates employee's performance.

▼ Graphic – Text version

Box labelled "By year-end" that contains the following statement:

- "Manager/supervisor conducts formal year-end assessment and rates employee's performance."

In this last phase of the annual cycle, we will provide more details on the following topics:

- Rating scale;
- Employee self-assessment; and
- Assessing performance and determining employee ratings.

Rating scale

Introduction

The Directive on Performance Management requires annual performance assessments for all employees at the end of each fiscal year or at the end of a probation period. To effectively assess and rate your employee's performance, an end-of-year or end-of-probation conversation between you and your employee is essential. The results of this discussion will give you the information you need to determine whether the employee has succeeded or failed to meet their performance expectations, and to what extent. A rating that takes into account the results achieved (*work objectives*) and how they were achieved (*core competencies*) will be attributed.

Link to <u>Performance ratings(External link to http://www.tbs-sct.gc.ca/psm-fpfm/learning-apprentissage/ptm-grt/pmc-dgr/ratings-attribution-eng.asp)</u>.
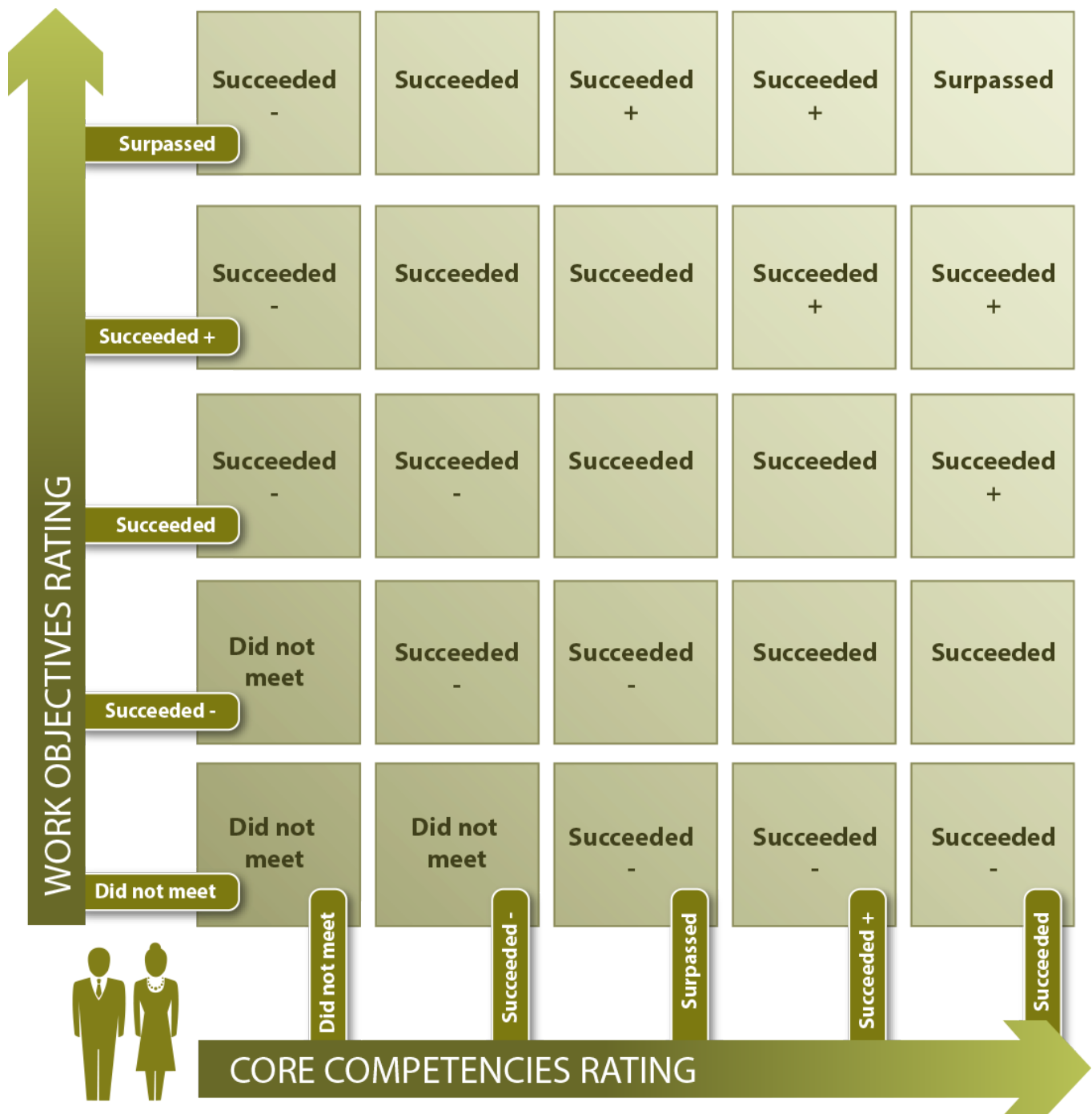
The ratings for work objectives and core competencies combined generate an overall performance rating, based on the following grid.

The overall rating appears in the box where the work objectives rating on the vertical axis meets the core competencies rating on the horizontal axis. Rating descriptions and examples for work objectives and core competencies are provided on the Web site of the performance management program for employees as well as in the Public Service Performance Management Application (PSPM App).

In the PSPM App, the overall rating is automatically generated once you have entered the rating for the employee's work objectives and for the core competencies.

Work Objectives and Core Competencies

Link to <u>Rating descriptions and examples for work objectives and core competencies(External link to http://www.tbs-sct.gc.ca/psm-fpfm/learning-apprentissage/ptm-grt/pmc-dgr/rde-dce-eng.asp)</u>.

WORK OBJECTIVES RATING (y axis)

	Did not meet	Succeeded -	Surpassed	Succeeded +	Succeeded
Surpassed	Succeeded -	Succeeded	Succeeded +	Succeeded +	Surpassed
Succeeded +	Succeeded -	Succeeded	Succeeded	Succeeded +	Succeeded +
Succeeded	Succeeded -	Succeeded -	Succeeded	Succeeded	Succeeded +
Succeeded -	Did not meet	Succeeded -	Succeeded -	Succeeded	Succeeded
Did not meet	Did not meet	Did not meet	Succeeded -	Succeeded -	Succeeded -

CORE COMPETENCIES RATING (x axis)

▼ Graphic textual description

This figure on overall performance ratings consists of a five-level rating scale for work objectives on the *y* axis and a five-level rating scale for core competencies on the *x* axis. This results in a 25-cell matrix, arranged in a square five cells high by five cells across.

The two rating scales both begin with the rating of "Did not meet" in the lower left-hand corner and progress along both axes, increasing to the rating of "Surpassed." Each of the 25 cells displays a predetermined value from "Did not meet" to

"Surpassed."

For the bottom row, the predetermined values for the five cells (left to right) are "Did not meet," "Did not meet," "Succeeded minus," "Succeeded minus" and "Succeeded minus."

For the second row from the bottom, the predetermined values for the five cells (left to right) are "Did not meet," "Succeeded minus," "Succeeded minus," "Succeeded" and "Succeeded."

For the third row from the bottom, the predetermined values for the five cells (left to right) are "Succeeded minus," "Succeeded minus," "Succeeded," "Succeeded" and "Succeeded plus."

For the fourth row from the bottom, the predetermined values for the five cells (left to right) are "Succeeded minus," "Succeeded," "Succeeded," "Succeeded plus" and "Succeeded plus."

For the top row, the predetermined values for the five cells (left to right) are "Succeeded minus," "Succeeded," "Succeeded plus," "Succeeded plus" and "Surpassed."

Employee self-assessment

When scheduling the year-end conversation on performance management with your employees, provide them with the employee self-assessment link on the performance management program for employees Web site, in order to give them the tools to prepare and assess themselves.

Link to Employee self-assessment(External link to http://www.tbs-sct.gc.ca/psm-fpfm/learning-apprentissage/ptm-grt/pmc-dgr/se-ae-eng.asp).

In order to help the employee prepare for a productive year-end conversation on performance, it is good practice for them to do a self-assessment and get a more accurate sense of their own performance.

Assessing performance and determining employee ratings

▼ Transcript

The manager's and supervisor's goal is to engage in a thorough and productive discussion with the employee about work performance. This will lead to a complete and accurate assessment before the assignment of ratings for work objectives and core competencies. Additional guidance and tools on assessing performance and determining employee ratings are available on the performance management program for employees' website.

There are four basic steps to follow in assessing your employee's performance and assigning ratings at year-end:

▼ Step 1 – Prepare

The goal is to ensure that you, as a manager or supervisor, can engage in a thorough and productive discussion with your employee about his or her work performance to fully inform your assessment before assigning the two ratings.

- Review your employee's performance agreement along with any documents, handwritten notes, e-mails and other relevant information concerning performance feedback provided to the employee. Take note of when they were provided over the year, as well as any information the employee may have contributed such as in the comments sections of his or her agreement or via e-mail.
- Consider your operating context over the past year and whether circumstances arose that may have impeded the employee from achieving his or her work objectives or demonstrating the core competencies.

▼ Step 2 – Review and assess work objectives and core competencies

- Review your employee's work objectives against his or her performance indicators or standards. For each work objective, determine whether there

is clear, demonstrable evidence of success as established by the performance indicators; describe that success with concrete and specific examples, and analyze the extent to which your employee succeeded.

- Review each core competency and determine how regularly or consistently your employee demonstrated the effective behaviours associated with each one. For each core competency, you will need to determine whether there is clear evidence of your employee demonstrating the effective behaviours; describe concrete and specific examples, and analyze how often your employee demonstrated the behaviours in performing his or her duties.
- Once you have considered your employee's performance for each work objective and core competency, determine a preliminary rating for all of the work objectives, and one for all of the core competencies. This will support your year-end conversation with your employee. The preliminary rating should be consistent with your review and analysis.

▼ Step 3 – Discuss

- Meet with your employee and discuss your review and analysis, using the concrete examples you identified to illustrate performance accomplishments and, where applicable, performance challenges or issues.
- Invite the employee's perspective on his or her performance and input, and take note of what your employee has to say.
- Share your observations and analysis. Be sure to elicit information through questions; start with the positive; be flexible, descriptive and specific; listen carefully, and respond.
- If you are a new manager or supervisor for your employee, encourage him or her to provide evidence from the previous manager or supervisor, clients and other sources that could further assist you in assigning a rating.

▼ Step 4 – Document

Consider your employee's input. Amend your analysis accordingly.

Based on your analysis and discussions with your employee, and if applicable, guidance from your departmental review panel or management table, assign the final performance ratings (one for work objectives, one for core competencies) in the performance agreement and record your comments. Generally, this is done using the Public Service Performance Management Application (PSPM App).

Link to Assessing Performance and Determining Employee Ratings(External link to http://www.tbs-sct.gc.ca/psm-fpfm/learning-apprentissage/ptm-grt/pmc-dgr/asses-eval-eng.asp).

Review panels

The main roles of the review panels are as follows:

- A broad, strategic role within its organizational control to implement, monitor and report on performance management; and
- A role to review specific cases of employees to ensure they are being supported and to act as a sounding board for recommended action.

Link to Review panels(External link to http://www.tbs-sct.gc.ca/psm-fpfm/learning-apprentissage/ptm-grt/pmc-dgr/rp-ce-eng.asp).

▼ Transcript

As a general practice, departmental review panels should be able to set a standard process to follow and provide support to you as a manager or supervisor for questions about next steps, especially as they relate to individual cases where employee performance has exceeded expectations or has been rated as unsatisfactory.

The Directive on Performance Management requires each department or agency to establish review panels to provide direction and oversight for performance management programs.

When performance is *above* the required level

Talent management plans become part of the performance agreement of high-performing employees and are driven by organizational needs.

When an employee has surpassed expectations:

- A talent management plan, including opportunities for developmental assignments, should be offered and developed collaboratively by you and the employee, with support from the departmental review panel;
- The plan should match the employee's needs to workforce needs;
- The employee should be considered for formal or informal recognition; and
- The abilities and competencies of the employee should be considered in the context of strategic HR (human ressources) plans, including succession planning.

Link to <u>Talent management plan(External link to http://www.tbs-sct.gc.ca/psm-fpfm/learning-apprentissage/ptm-grt/pmc-dgr/tm-gt-eng.asp)</u>.

> *The Directive on Performance Management requires the establishment of a talent management plan for employees who have surpassed expectations in both work objectives and core competencies.*

What is employee recognition?

▼ Transcript

Recognition is successful because it happens in the moment; expresses sincere gratitude and appreciation; makes employees who are recognized feel special, valued, and gives them a sense of accomplishment and personal satisfaction. Recognition often has no cost involved.

Employee recognition is the acknowledgement of an individual's (or team's) behaviour, efforts and accomplishments that support the organization's goals and values.

Employee recognition is important because:

- It lets the employee know that his or her work is valued and appreciated;
- It gives the employee a sense of ownership (*engagement*) and belonging in his or her workplace;
- It boosts morale and loyalty and helps build a supportive work environment;
- It increases employee productivity; and
- It increases employee motivation and employee retention.

Importance of employee recognition

Recognition should be customized to reflect the situation. It can be easy and cost very little:

- Speak to your employee. Detail the work or behaviours that you feel have assisted in the employee's excellent performance;

- Thank the employee for his or her consistent good performance;
- Write a card and leave it on the employee's desk to say, "Bravo, job well done";
- Acknowledge the employee's assistance or accomplishments when communicating with senior management on the relevant work;
- Stick a post-it note on the employee's workspace saying "Thanks"; or
- Nominate the employee for departmental and/or external awards programs, or for the annual Public Service Awards of Excellence.

▼ Transcript

Customize the recognition that you offer an employee. Not all employees want to be recognized in the same way.

Beyond the examples presented here, there are many more options to choose. What would your employee most appreciate?

When performance is *below* the required level

At any time, when you become aware that an employee is not on track to meet their performance expectations, you need to discuss how an action plan can benefit both the employee and the organization.

Action plans are mandatory, if:

- The overall performance rating indicates that the employee has not met expectations; or
- The employee has not met expectations for either work objectives or core competencies.

Link to Action Plans(External link to http://www.tbs-sct.gc.ca/psm-fpfm/learning-apprentissage/ptm-grt/pmc-dgr/ap-pa-eng.asp).

▼ Transcript

When an employee's performance is below the required level and informal coaching and feedback doesn't seem to be working, a formal performance management meeting must take place to discuss how an action plan can help. The website on the performance management program for employees provides guidance and information on how to develop an action plan.

The Directive on Performance Management requires continual monitoring of all action plans.

Options to consider if employee performance remains below the required level

▼ Transcript

While performance management can take managers and supervisors down the long path towards withholding pay increments, demotion, alternative employment, termination, or discipline, please remember that this is not the norm. With most of your employees, you will likely never have to go beyond providing some occasional corrective feedback.

You may consider the following options if the employee's performance remains unsatisfactory:

Withholding Pay Increment

This option may be appropriate where:

- The employee can reasonably be expected to meet performance expectations with additional time and/or support.

Involuntary Demotion

This option may be appropriate where:

- The employee has demonstrated ability that suggests he or she may be successful in meeting the performance expectations of a lower-level position;
- A lower-level position exists.

Termination for Unsatisfactory Performance

This option may be appropriate where:

- The employee has had support in meeting performance expectations and there is no lower-level position in which the employee can reasonably be expected to succeed;
- You believe that the employee cannot meet performance expectations and will not reasonably be able to meet them in short order.

Introduction

In the following section, you will find information on difficult situations you may encounter as a manager or supervisor, as well as tips on how to adopt best practices.

When the employee's performance does not meet the expectations

▼ Transcript

Dealing with performance levels that are not satisfactory is usually the most time-consuming and stressful part of managing performance. Remember that this is part of your role as a manager and supervisor. Some managers and supervisors may be tempted to shy away from conflict and difficult conversations, but having all your employees performing to a satisfactory standard as a minimum is simply part of being in the public service.

We hope the information and techniques that follow will be of use to you if you face performance issues. Remember that you're not alone! You can call for support from your own manager or supervisor, a human resources expert, a labour relations expert and others if you need to.

When dealing with a difficult situation such as unsatisfactory performance, you need to keep in mind the following:

- Distinguish between performance and discipline issues;
- Differentiate culpable from non-culpable behaviours;
- Recognize when you have a duty to accommodate and know what to do; and
- Be aware of the options to consider if performance does not improve.

Distinguishing between performance and discipline issues

Often, performance issues can be confused with discipline issues. The distinction is important because the steps that follow to addressing each lead you down very different paths.

▼ Performance Issue

A performance issue occurs when:

- Performance is below the standard expected;
- Tasks are not accomplished;
- Requirements of the position are not met.

Examples:

- Not meeting deadlines on a regular basis;
- A lack of quality or quantity in the work.

▼ Discipline Issue

A discipline issue is: a behaviour, attitude or action that is unacceptable in the workplace.

Examples:

- A high performer who speaks rudely to co-workers;
- An employee who is regularly late even if he/she is still performing his/her duties well.

Exercise 4: Identifying Performance Issues

Please read the scenarios on the following pages carefully.

You need to determine if these employee behaviours are:

- Performance issues;
- Discipline issues;
- Performance *and* discipline issues;
- Not an issue.

You have completed the exercise.

<u>Repeat evaluation</u>

Miguel always produces above-average reports. However, you have noticed that submitting his reports on time is an ongoing problem.

◉ Performance

○ Discipline

○ Performance and discipline

○ Not an issue

> Correct! Missing set deadlines without discussing potential delays with you is a *performance issue*.
>
> Other considerations:
>
> Possible factors that may be at the origin of the performance issue. In this case, they may include workload, stress at home, and inadequate feedback.

France refuses to complete a task you assigned to her. This causes the other team members to have to pick up the workload.

○ Performance

○ Discipline

◉ Performance and discipline

○ Not an issue

Correct! Not completing work and the impact it has on the rest of the team relates to performance. A refusal to do work usually points to a discipline issue. You should speak to France.

Other considerations:

There may be mitigating factors (i.e. issues at home, illness) that have yet to be shared.

Henry has started using foul language around the office. He continues to do so even after you and the other team members have asked him to stop.

- ○ Performance

- ◉ Discipline

- ○ Performance and discipline

- ○ Not an issue

Correct! This is a *discipline issue*.

Using foul language in the workplace is unacceptable behaviour that could lead to disciplinary action. However, it is unlikely related to performance. Henry may be completing his work to an acceptable standard regardless of the way he speaks to his colleagues.

Other considerations:

Have a more serious conversation with Henry.

Patricia has been calling in sick more often and the quality of her work has deteriorated. You have heard from other team members that she has recently taken in her father, who is suffering from Alzheimer's disease.

- ◉ Performance

- ○ Discipline

- ○ Performance and discipline

- ○ Not an issue

Correct! This is a *performance issue*.

The lower quality of Patricia's work is a clear performance issue. However, it appears there are mitigating factors related to her family life.

Other considerations:

Having a conversation with Patricia and referring her to the Employee Assistance Program as a first step. Later, evaluate options to accommodate her in the short term (i.e. reduced workload for a time).

Differentiate culpable from non-culpable behaviours

▼ Culpable Behaviour

Culpable behaviour occurs when:

- Actions are deliberate and/or intentional and under the employee's control;
- The employee knows what is expected, and is capable of performing his or her duties but refuses to do so.

Culpable behaviour should be addressed through the discipline process.

▼ Non-culpable Behaviour

Non-culpable behaviour occurs due to factors outside the employee's control.

In addition, it:

- Warrants a non-disciplinary approach;
- Considers unsatisfactory performance, and the employee must be assisted to achieve satisfactory performance

▼ Transcript

After conducting a performance management meeting with your employee, has the performance issue improved? If you've spoken to the employee about specific behaviours and offered the option of accommodation on several occasions, and the individual does not wish to pursue the matter or indicates that he or she does not require accommodation, document the steps you took to show that you did everything you could to help the employee and that you fulfilled your obligations regarding the duty to accommodate. Be sure to advise the employee of available services such as the Employee Assistance Program.

Exercise 5: Recognizing Culpable and Non-culpable Behaviour

In the following slides, please decide if the behaviour is culpable or non-culpable.

You have completed the exercise.

Repeat evaluation

Although Jackie meets the linguistic profile (CBC) of her position, she refuses to make a bilingual presentation.

◉ Culpable behaviour

○ Non-culpable behaviour

Correct!

This is *culpable behaviour* because the employee is refusing to follow instructions.

1. After having taken a course on information management and recordkeeping, John has been leaving open files containing protected material on his desk overnight.

◉ Culpable behaviour

○ Non-culpable behaviour

Correct!

This is *culpable behaviour* because the employee is showing disregard for the security of protected material.

2. Geneviève has been asked to save her reports in the new system but she continues to save them in the old system. Her training for the new system has yet to be scheduled.

○ Culpable behaviour

◉ Non-culpable behaviour

Correct!

Performance issues taking place due to a lack of training are *non-culpable behaviour*.

George often arrives late and leaves early without requesting approval for his modified work day.

- ◉ Culpable behaviour

- ○ Non-culpable behaviour

> Correct!
>
> Unauthorized absences, arriving late or leaving early are *culpable behaviours* (at first glance and without other contributing factors such as change in family status, stress, etc.)

Helen sends a text saying that she is stuck in traffic due to a big accident on the highway.

- ○ Culpable behaviour

- ◉ Non-culpable behaviour

> Correct!
>
> Being late due to events beyond the person's control is *non-culpable behaviour*.

Frank is reticent to make a presentation to senior management because his presentation skills are lacking.

He's received feedback about this before but keeps delaying his registration to the Powerful Presentations course.

- ◉ Culpable behaviour

- ○ Non-culpable behaviour

Correct!

This is *culpable behaviour*.

At first glance, a lack of skill or training would fall under the non-culpable category. However, in this case, Frank is aware of the issue and is responsible for not having received further training. As a manager/supervisor, you might not want to jump to disciplinary action, but rather engage in a conversation to ensure that Frank takes the course that he needs.

Kari, the office receptionist, is often late for work because she has a disability and must depend on accessible public transportation to get to work. Unfortunately, there is no earlier bus departure in her residential area.

○ Culpable behaviour

◉ Non-culpable behaviour

> Correct!
>
> When a disability is impacting performance it is *non-culpable behaviour*. You may need to consider an accommodation.

Conversations

As a manager or a supervisor, you must, when necessary, undertake difficult conversations to share information on important issues. Too often, these conversations are avoided because they usually are uncomfortable. Delivering performance feedback elicits a range of employee responses. Understanding these reactions, especially negative reactions, and learning ways to handle them helps you be more candid and timely in providing constructive feedback.

Strategies for productive performance conversations

▼ Establish a positive and safe environment

- The atmosphere should encourage two-way conversation;
- Be alert for emotional triggers;
- Keep an open mind.

▼ Establish clear focus and use a positive tone

- State your positive intentions;
- Encourage the employee to make suggestions;
- Focus on the performance, not on the person.

▼ Discuss progress

- Ask the employee to share his or her opinion about how well he or she is doing overall;
- Link the employee's performance to work objectives and core competencies.

▼ Relate individual performance to team objectives

- Explain how the work of others depends on the employee's work;
- Focus on the team and its business goals.

▼ Collaborate with employees who need improvement to meet performance expectations

- State facts to support your observations when an employee's performance needs improvement;
- Describe performance issues in specific terms and explain what effect they had;
- Allow the employee to respond and listen carefully to the explanation;
- Ask how you can help the employee improve.

▼ Help employees maintain good performance to bring them to the next level

- If work is on track, discuss changes to work objectives or learning activities that could keep the employee motivated or help further develop core competencies and technical or functional capabilities;
- Discuss how you can work together with the employee to address the issues you have identified;
- If you recommend an action plan, explain how it will help reduce performance concerns;
- Review the learning and development plan.

▼ Wrap-up the conversation

- Summarize what you've both heard; and
- Come to a common understanding of the next steps each of you will take.

Harassment

What is harassment?

Harassment is defined as improper conduct by an individual that is directed at, and offensive, to another individual in the workplace, including at any event or any location related to work, and that the individual knew or ought reasonably to have known would cause offence or harm. It comprises objectionable acts, comments or displays that demean, belittle, or cause personal humiliation or embarrassment, and any act of intimidation or threat. It also includes harassment within the meaning of the _Canadian Human Rights Act_(External link to http://laws-lois.justice.gc.ca/eng/acts/H-6/index.html) (i.e. based on race, national or ethnic origin, colour, religion, age, sex, sexual orientation, marital status, family status, disability and pardoned conviction).

Harassment is normally a series of incidents but can be one severe incident which has a lasting impact on the individual.

▼ Transcript

Some managers and supervisors may be hesitant to do the proper follow-up on performance management issues such as providing regular feedback, scheduling regular performance meetings and documenting a file for fear of being accused of harassment. This should not be the case. Conducting proper and respectful performance management is part of a manager's and supervisor's obligations.

What constitutes harassment?

▼ This is *not* harassment

Bob is a supervisor. Dan, one of his staff, consistently fails to finish his tasks and leaves them for the person on the next shift. Bob has spoken to him twice in a courteous manner and has left him two notes. As Dan's performance does not improve, Bob meets with him again to discuss work objectives, standards and deadlines.

▼ This *may be* harassment

Bob meets Dan a third time and becomes impatient with him, raising his voice during the meeting and making accusatory statements such as, "You are incompetent."

▼ This *is* harassment

Bob speaks to Dan in a belittling and demeaning manner and calls him a slow, lazy and incompetent person. He has threatened to fire him on more than one occasion if he doesn't shape up and has warned him that there are lots of people waiting in line to take his place. In a fit of rage, Bob throws Dan's report in the garbage and laughs at Dan sarcastically.

Dan feels that Bob has been rude to him by making degrading and offensive comments. He is fearful of Bob's behaviour and worried that his livelihood is also being threatened.

Performance issues and accommodation

Performance issues may point to a need to accommodate an employee. However, accommodation also requires a balance between the rights of an employee or candidate and the right of an employer to operate a productive workplace.

Link to Duty to Accommodate: A General Process for Managers(External link to http://www.tbs-sct.gc.ca/psm-fpfm/ve/dee/dorf-eng.asp).

When in doubt, consult your functional specialists (e.g. facilities, information technology, human resources/labour relations, occupational safety and health, compensation, legal services and the Employee Assistance Program).

▼ Required

As a manager or supervisor, please remember that you are:

- Obligated in certain circumstances to initiate action to determine if an accommodation is needed; and
- Encouraged to consult with your organization's human resources/labour relations functional specialists for guidance.

Examples of when to investigate if accommodation is needed:

- Feedback from co-workers indicating that the employee is behaving erratically;
- A sudden drop in attendance and increase in sick leave use;
- An increase in lateness;
- Sudden changes in behaviour; or
- Unusually poor work performance.

▼ Not required

Duty to accommodate is not limitless. As a manager or supervisor, you are not required to do the following:

- Accommodate where undue hardship to the employer (health, safety and cost) would result (this determination should not be made without first consulting your labour relations and/or legal services units);
- Create an unnecessary job;
- Retain an employee who is unable to meet his or her employment responsibilities despite reasonable accommodations;
- Hire a candidate who could not meet the essential qualifications required for the position despite accommodation, including during the selection process; or
- Accommodate an employee's persistent absences if the absences are unrelated to a disability or any other prohibited ground.

▼ Transcript

Performance issues can sometimes tell you that there may be a need to accommodate, even when the employee has not asked for an accommodation. As a manager or supervisor, you are legally obligated to accommodate your employee up to the point of undue hardship. It's possible that not accommodating the employee could result in discrimination under one of the 11 prohibited grounds of discrimination. However, bear in mind that there are limits to accommodation and each case should be examined on a case-by-case basis. The information on this and the following slides should help to clarify the limits.

Discrimination and the duty to accommodate

▼ Transcript

When you receive a request for accommodation or perceive a need, your first step is to determine whether the request falls under one or more of the 11 grounds of discrimination that are prohibited under the *Canadian Human Rights Act*. When in

doubt, consult your human resources, labour relations and/or legal services units. While the duty to accommodate is often applied to situations involving disabilities, it also applies to the other grounds, such as family status, religion and pregnancy.

Eleven (11) grounds of discrimination are prohibited under the *Canadian Human Rights Act*, as follows:

- Race;
- National or ethnic origin;
- Colour;
- Religion;
- Age;
- Sex (including discrimination because of pregnancy or childbirth);
- Sexual orientation;
- Marital status;
- Family status;
- Disability (a disability is a physical or mental condition that is permanent, ongoing, episodic or of some persistence, and is a substantial or significant limit on an individual's ability to carry out some of life's important functions or activities, such as employment. Disabilities include visible disabilities, such as the need for a wheelchair, and invisible disabilities, such as cognitive, behavioural or learning disabilities, and mental health issues); and
- Conviction for an offence for which a pardon has been granted.

Examples of duties to accommodate

The employee is no longer able to perform a job or comply with current workplace policies or requirements as a result of changes in his or her situation. For example, the employee has developed a disability, has converted to a religion that imposes new obligations, or has experienced a change in family status.

An employee tells you, "I'm having trouble getting to work at my scheduled start time because of new family responsibilities." You will need to get more information from the employee about the particular situation in order to assess further.

An employee tells you that she would like a new office chair because her present one is uncomfortable. You should clarify with the employee whether the reason for the request arises from a medical requirement.

Obligations under the duty to accommodate

▼ Transcript

As a manager or supervisor, you will have to look at each case individually. You want to accommodate your employee up to the point of undue hardship; but, you may have basic organizational needs attached to a certain position, known as a bona fide occupational requirement. The test for meeting a bona fide occupational requirement is very strict. The Supreme Court of Canada established a three-step process to establish a rational connection, good faith and reasonable necessity. Consult your human resources, labour relations and/or legal services units.

Managers and supervisors are required to provide accommodation up to the point of undue hardship.

How do you determine undue hardship?

There is no set formula for deciding what constitutes undue hardship. To help determine undue hardship, consider health, safety, cost, collective agreements, the interchangeability of the workforce and facilities, and the legitimate operational requirements of the workplace.

You should make serious, conscientious and genuine best efforts, document your efforts, and include input from the employee and the employee representative, where applicable, as well as from your organization's human resources/labour relations functional specialists. Remember, the process you follow is as important as the result.

What is a bona fide occupational requirement?

The law recognizes that a limitation on individual rights may be reasonable and justifiable in employment situations.

Example: Individuals employed as truck drivers must meet vision standards and have an appropriate driver's licence. If an employer can show that there are specific requirements that every individual performing a specific job must meet because they are essential to the effective and safe performance of the job, then no duty to accommodate arises because this does not constitute discrimination.

Link to Duty to Accommodate: A General Process for Managers(External link to http://www.tbs-sct.gc.ca/psm-fpfm/ve/dee/dorf-eng.asp).

Understanding the type of accommodation required

The employer cannot ask for diagnosis or treatment information. However, the employee must provide information on their employment-related needs. You will need to know when it's appropriate to ask for supporting information or documentation. Consult with your organization's human resources or labour relations functional specialists for guidance.

Understanding the type of accommodation required by your employee:

- Ask your employee to communicate their needs as clearly and specifically as possible;
- Be aware of the employee's needs and of the accommodation options and planning resources that are available;
- Coordinate activities such as assessment and purchase of adaptive equipment as well as workplace adjustments as warranted;
- Establish a plan with your employee when long-term accommodation is needed; and
- Respect the employee's right to privacy.