



# Economic and Social Council

Distr.: General  
17 February 2016

Original: English

---

## Economic Commission for Europe

### Conference of European Statisticians

#### Sixty-fourth plenary session

Paris, 27-29 April 2016

Item 4 of the provisional agenda

#### Work of the High-level Group for the Modernisation of Official Statistics

### Guidelines for managers in statistical organizations

#### Note by the Modernisation Committee on the Organizational Framework and Evaluation, under the High Level Group for the Modernisation of Official Statistics

#### *Summary*

The present note contains the text of an on-line publication maintained by the Modernisation Committee on Organizational Frameworks and Evaluation. It provides information on how to be a good manager in a statistical organization and examples of practices from different countries. The note covers a wide range of issues from leadership, risk management and governance to managing underperformance and safe working environment.

The note is presented for information, as part of the discussion on the work of the High-level Group.



## I. Overview

1. The present note contains the text of an on-line publication maintained by the Modernisation Committee on Organizational Frameworks and Evaluation. This committee is one of the four committees under the High-Level Group for the Modernisation of Official Statistics (HLG-MOS), which was created by the Bureau of the Conference of European Statisticians (CES) in 2010.
2. The Guidelines for Managers are based on the publication with the same name prepared and used as an on-line resource by the Australian Bureau of Statistics. Members of the Modernisation Committee reviewed the existing guidelines and updated them based on their experiences; they also added several new chapters and links to useful documents from their countries.
3. The Guidelines contain information about what it means to be a good manager in a statistical organization, examples of practices from different countries, and links to many useful documents in this area. They include chapters on a wide range of issues from leadership, risk management and governance to managing underperformance and health and well-being.
4. The Modernisation Committee hopes that the Guidelines will be a useful resource for the staff working in national and international statistical organizations in their daily work.

## II. Being a good manager

### A. Introduction

5. Being a good manager in a statistical office means facing and handling many different challenges and opportunities every day. It can be both challenging and very rewarding. Every organization is different and requires specific skills. Although the following guidelines are useful in many organizations, it is necessary for you to decide which one is relevant for you.
6. The relationship between the manager and his/her staff is a substantial key to successful management. Good relationships are based on trust, commitment and engagement, and a good manager's essential role is to build these relationships for the benefit of the organization, so that tasks are done right, effectively, and on time.
7. A good manager is responsible and accountable for a number of functions including:
  - the delivery of a timely work programme of high quality;
  - encouraging innovation and identifying improvements;
  - building the capability of staff and teams;
  - contributing to the National Statistical Organizations (NSO) mission and corporate objectives;
  - upholding and promoting Statistical Organizations values and policies.
8. For example, a statistical manager is responsible for ensuring s/he delivers the right work programme meeting priority requirements from a specific statistical field. S/he needs to possess a good understanding of the programme area, and obtain the right resources and capability in order to deliver that work programme efficiently and effectively.

9. In order to do this effectively, a manager must demonstrate capabilities across the management of people, resources and organizational functions. This chapter provides an overview of the capabilities, behaviors and responsibilities a manager is expected to demonstrate.

## **B. Key principles and objectives**

10. In all organizations employees are expected to act with integrity, to uphold the values, workplace ethics, behaviors and attitudes embodied in the organization's guidelines.

11. In addition, most NSOs hold the following values crucial to the role as an independent provider of information:

- Integrity;
- Professionalism;
- Service;
- Relevance;
- trust of providers;
- access for all.

12. With respect to all of these values, the person managing other people in the workplace has to be a positive role model and ensure his/her staff understand, behave and treat others in a manner that upholds the organizations guidelines and ethics.

## **C. Tips**

13. In addition to the skills and behaviors mentioned above, there are some “pitfalls” a good manager should try to avoid:

- lack of vision: not to define a clear vision of the organization will affect the motivation and, in the end, the performance of the employees;
- poor communication skills, including a poor knowledge of new technologies;
- micromanagement: to get involved in every aspect of the work, without empowering employees;
- withholding helpful or useful information: this will affect mutual trust between the manager and his/her employees;
- not giving credit where credit is due: failing to recognize the accomplishments of employees will make them feel not considered as relevant members of the organization.

## **D. Key processes and issues**

14. Being a manager requires a special set of skills and responsibilities beyond subject matter expertise. In fact, being a manager is not just a matter of competence, but also a matter of personal skills and character traits. Some of them can be summarized as follows:

<i>Personal Skills</i>	<i>Character Traits</i>
Listening	Credibility
Persuasion	Integrity
Negotiation	Insight
Writing	Vision
Speaking	Sensitivity
Presentations	Commitment
Languages	Ethics
Conflict resolution	Courage

15. The organization expects a manager to merge technical skills with planning, guiding, supporting, developing and monitoring his/her area to meet work objectives. It also expects a manager to use his/her experience to contribute to the strategic direction of the organization.

16. Showing respect, trust and engagement towards the employees is as essential to effective management as achieving work outcomes. The organization measures managerial effectiveness as the ability to achieve results through, and with his/her staff. It is reported through performance management arrangements (or equivalent) within the organization.

17. A manager will undertake activities and make decisions that will demonstrate her/his capabilities and behaviors making him/her an effective manager.

18. Below is a selection of activities and behaviors a manager will undertake and exhibit:

#### **1. People**

- exhibit integrity and professionalism and uphold the organization's values and workplace ethics and support workplace diversity;
- leading in an exemplary manner;
- select the right people for a team's needs and work requirements;
- provide and encourage regular, honest, two-way feedback;
- adopt and carry out self-evaluation;
- processes (e.g. 360 degrees feedback analysis) on a regular basis;
- ensure staff is assigned to relevant, meaningful and challenging work;
- empowering staff;
- facilitate development opportunities for employees;
- recognize people when they do something extraordinary;
- grow/develop new managers/managerial skills;
- manage work performance, including underperformance;
- fostering a positive work culture;
- maintain a safe work environment, organize staff leave and flexible working arrangements;

- continuously updating his/her own competences and keeping good management techniques up to date.

## **2. Resources and organizational responsibilities**

- ensure that financial and technological resources for a work unit, project or programme or an element of these are used in the most effective way, in line with approved delegations to spend public monies, and good business practices under forward work programmes;
- contribute to, or be responsible for the development of forward work programmes in line with strategic directions and business priorities;
- contribute to business improvements in processes and work practices;
- provide advice and input to the formulation and review of policies, programmes, resource allocations or strategic directions;
- taking calculated risk;
- maintaining systematic processes.

## **3. Leadership**

19. Leadership capability is the other side of the coin that complements management capability. Leadership is a practice, rather than a position. Leaders are agile, resilient, and authentic, open to learning, draw upon and respond to the perspectives of others. Leadership can be thought of in the following areas of focus:

- People leadership: including creating an innovative and engaged culture, facilitating learning and performance, motivating and developing people, leading diversity;
- Strategic leadership: including thinking globally, scanning the environment, systems thinking, generating options and possibilities, establishing vision and outcomes, government business acumen, decision making and planning;
- Leading change: including initiating and sustaining change, mobilising systems, brokering solutions and commitment to action and supporting people through change;
- Leading risk: including understanding how much the organization is prepared to actively manage risks and how much the risk management culture is widespread inside the organization; evaluating how the external environment can impact objectives of the organization.

# **III. Governance**

## **A. Introduction**

20. This chapter provides managers with an overview of the external and internal governance systems that shape the environment. They provide a manager with the parameters to competently manage work, resources and staff, and make informed decisions and actions that are effective, accountable, legal, ethical and fair.

21. Being a good manager is based on an awareness of the legislative framework that determines the duties, performance and behaviors expected from employees, as well as the way the internal governance framework reflects the wider legislative and policy

environment. You have a role in applying and upholding the performance directions, standards, and behaviors expected by the organization.

22. Understanding and working within the organization's management framework is a fundamental capability that all managers must possess. Corporate plans, employee agreements, control frameworks, management committees, instructions, policies and guidelines all enable essential decisions, functions and activities to be made in alignment with the organization's goals. Managers need to appreciate organizational changes, strategic directions, decision making processes, and the manner how all managers and employees contribute to these wider events and outcomes.

## **B. The internal governance framework**

23. A Control Framework sets out the structures and processes to ensure good corporate governance, and ensures that the actions of the organization is consistent with the responsibilities and accountabilities of the Statistician (Head Person).

24. The senior leaders are involved in specific forums that undertake significant strategic and tactical decisions and actions in the interest of the organization and future business. The organization's commitment to the corporate objectives must be aligned with senior management roles, responsibilities and activities to make the most advantageous use of their authority, knowledge, skills and abilities.

25. The Statistician is committed to ensuring that through the management team, proper attention is given to strategic issues that affect the future of the organization, including giving greater high-level focus to the National Statistical Service (NSS) and strategic client engagement.

26. As important is the commitment to ensuring the organization continues to be a well run organization with well formulated work programmes that are reviewed appropriately and with proper consideration of cross-cutting issues.

27. Corporate plans generally describe the working environment, mission, values, objectives and the strategies to achieve them. HR policies and guidelines can support these directions by providing the framework for employment related functions, processes and arrangements. A forward work programme can outline each programme, outputs, clients and medium term developments for the organization. A forward work programme is generally reviewed annually and this review often incorporates feedback from programme managers.

## **C. Enterprise risks**

28. Enterprise Risks have the potential to significantly impact the organization and are inherent to strategic budget and resource planning. They are generally reviewed annually, and are discussed, defined and managed by the executive. All managers should be aware of enterprise risks and how to manage them, as opportunities and risks at the operational (programme) and project levels will be connected to these wider organizational risks. A Risk Management Framework and Project Management Framework can provide governance for risk taking in an organization. This is discussed more detailed in the Risk Management chapter.

29. A manager is accountable for financial expenditure, budget management and resource use.

30. All employees have a role to play in maintaining the directions set through the governance framework. Underpinning and supporting the framework are organizational policies, procedures and guidelines that provide the practical, procedural and behavioural boundaries which direct the organizations in terms of work, expected behaviors and values.

#### **D. Core values**

31. Every organization is guided by some sort of values and ethics framework, or expected code of conduct. A framework in the context of a NSO may have the following types of elements:

(a) Respect for people

- The organization is committed to treating all people with respect and dignity;
- The organization embraces diversity via employment equity and respect of an increasingly diverse public;
- The organization does not tolerate acts of harassment, discrimination or violence;
- Employees are expected to treat survey respondents and clients with respect at all times.

(b) Excellence and relevance

- A statistical agency's programmes must evolve continuously to remain relevant and to meet the high standards of excellence;
- This includes producing information and products of high quality that meet evolving and highest-priority needs as well as continually developing new tools and methods, monitoring data usage and consulting with users, stakeholders and advisory committees;

(c) Trust in professional competence

- Trust is the defining characteristic of an effective and useful statistical system. Users of data and respondents alike must be able to trust that statistics are factual representations of social, economic and environmental reality; that they are objective; and that survey respondents' information is treated confidentially. All employees must act in such a manner as to enhance the trust and confidence of the public, respondents and their agency colleagues.

(d) Stewardship and probity

- Agency equipment, materials or facilities should be used for official purposes only. Decisions about spending public funds should be carefully considered before being implemented to ensure they warrant the expenditure.

(e) Accountability

- Employees are accountable for all provisions of their statistical legislation.
- Employees are required to protect the confidentiality of collected data at all times and to uphold the public trust in the organization. Confidential information must be shared on a need-to-know basis only with the appropriate personnel.

## **E. Role of the manager**

32. The manager's role is to act with integrity, professionalism and promote a values based culture at all times. He or she must show respect and promote the values and ethics code of conduct for the organization. He or she should ensure that staff also act accordingly, and be prepared to act quickly to intervene when this is not the case.

33. Managers are expected to demonstrate leadership in respecting such a values and ethics code and its underlying policies, and in particular, to:

- provide effective, responsible service;
- exemplify the values and behaviors of respect for people, safeguarding of information, trust and stewardship;
- maintain open, positive communications and working relationships;
- encourage dialogue on values and ethics ;
- support equity and diversity;
- promote and recognize excellence;
- encourage personal and professional development in a learning environment.

34. A manager is responsible for making informed legal and ethical decisions within the appropriate frameworks, including legislative and policy frameworks. He or she is accountable for his or her decisions, actions, and outcomes. He or she has a level of responsibility for decisions made by the employees.

## **F. Tips**

- Read any papers that are released after senior leadership meetings for a wider understanding of internal governance and strategic direction;
- When possible, participate in corporate/horizontal committees outside of your area of expertise to increase your understanding of internal governance;
- Make decisions considering the urgency and the impact of the issue;
- Make decisions considering values and ethics;
- Use risk management constantly, and adapt the level and formality depending on the issue;
- Note that not making a decision creates an additional set of risks;
- When in doubt, consult with colleagues, supervisors and employees to inform your decision making;
- Maintain records of decisions and actions, remember, you are accountable.

## **G. Key processes and issues**

### **1. Identifying and capitalising on work opportunities**

35. Recording and reporting of work achievements and outcomes begins at the highest organizational level, and is expected to flow from all parts of the organization through to the individual. Long term solutions to challenges may alter work distribution and organizational structure.

36. On a daily basis, managers should be thinking about and acting upon new ways, methods, and opportunities to improve performance and productivity. This can relate to your own development, development of your staff, work programme, or a project. You should encourage staff to look for new opportunities and take well considered, educated, reasonable risks (see Risk Management chapter). Your decision making capabilities will be respected, highly professional and accountable through your consistent approach to responsible, ethical risk management and risk taking.

## **2. Making decisions**

37. Managers need to have a holistic understanding of the operating environment in order to be in a position to align work programme and performance expectations and standards with the overall directions and expectations of the organization.

38. The general principles and processes that underpin decision making can be applied at any organizational level, to any degree of complexity. Managers will be required to make work-related decisions constantly; formally in line with any delegations, and informally as they relate to ongoing work-related functions and activities that are fundamental for a good team management.

39. Any decisions must be made in accordance with the organization's values and behavioural expectations, and in a manner that promotes the efficient, effective and ethical use of resources (the 3e's), at the same time being transparent to external scrutiny. They need to be:

- legal;
- fair;
- ethical;
- accountable;
- aligned with the organizations objectives;
- reflect natural justice.

40. Undertake some or all of the following processes to make responsible ethical and legal decisions and actions:

- know your parameters and powers;
- obtain as much information about the circumstances as appropriate;
- find out what legislation, policies and guidelines relate, to check against;
- consult as needed;
- maintain appropriate privacy and confidentiality;
- respect procedural fairness;
- be consistent;
- assess the risk on what action you have decided to undertake.

## IV. Leadership

### A. Introduction

41. In the broadest sense of the word, a “leader” is someone who brings people together and guides them toward a common goal. Leadership involves working together with employees to achieve results. Anyone can tell others what to do, but effective leadership requires much more than the ability to assign tasks to a group. A leader provides direction, encouragement and inspiration to motivate a team to achieve organizational success.

42. Leaders set direction and help themselves and others to do the right thing to move forward. To do this they create an inspiring vision, motivating and inspiring others to reach that vision. They also manage delivery of the vision, either directly or indirectly, and build and coach their teams to make them ever stronger.

43. However, it is not possible to give a study guide on how to become a good leader. Whereas management is quite tangible, leadership can be hard to define and it means different things to different people. There are no absolute truths, or easy answers. Something that works for one leader may not necessarily work for another, depending on the circumstances and personality types of both the leader and the employees.

44. It is necessary to raise the following question:

- What is good leadership for you, and in your organization?

45. However, there are certain principles that many agree on. Good leaders:

- have the ability to reflect on own leadership practice;
- are active listeners;
- have good communication skills;
- are good at problem solving;
- are good at developing teams;
- delegate tasks to employees;
- set clear goals;
- are good planners;
- take decisions;
- know own strengths and weaknesses;
- know how they affect other people, and how they are affected by others;
- inspire and motivate.

### B. Tips

- Encourage your staff to prepare and provide you with feedback about your performance as a leader, and provide them with your key deliverables for leading a team to assist. Obtaining constructive feedback from your staff is an excellent opportunity to measure your performance as a leader.
- Lead in an exemplary manner. Employees will look to you as a benchmark for standards in attitude and behaviour in the workplace.

46. It can also be useful to think about leadership along the following dimensions:

**1. People leadership – developing staff:**

- empowers employees;
- builds a team and develops talent;
- recognizes and rewards achievements;
- supports and provides conditions for individual and team-based learning;
- ensures a good and stimulating working environment.

**2. Strategic leadership - giving direction:**

- sets organizational direction and goal;
- is forward thinking; being one-step-ahead;
- development of new opportunities;
- understands and communicates "the big picture" internally;
- understands the business, the environment and the external stakeholders.

**3. Professional/academic leadership - expert role, ensuring professional results:**

- understanding of the issues and competencies related to statistical issues;
- provide professional sparring and guidance. Ensure continuous improvement;
- ensure the professional quality of work, as well as required competencies in the unit;
- if necessary, be able to act as the expert worker on core issues.

**4. Organizational leadership - ensuring systems and routines work:**

- planning and budgeting;
- set timetables, allocate resources;
- provides structure and procedures;
- follow up on performance;
- manage and control production;
- economic overview and control.

**C. Leadership versus management**

47. Though leadership and management are not the same thing, they are inevitably linked, and complementary. To put it simple: The manager's job is to plan, organize and coordinate. The leader's job is to inspire and motivate. But, being a good manager requires leadership skills, and an effective leader will be reliant on applying their own and others' management skills to achieve their vision.

48. To think about:

- What is good leadership for you?
- Do you know any good leaders? What characteristics do they have?

- Why should anyone be led by you?
- What are your main priorities as a leader?
- What is the most important achievement you want to accomplish? For the organization as a whole or your unit.
- What attitudes and behaviour do you want to practice for your staff?
- Do you and your staff have the necessary skills and expertise?
- What are the learning and development opportunities in your agency?
- What are you most pleased with? What are you least pleased with?
- What is needed to make the conditions for learning and development even better?

## **IV. Risk Management**

### **A. Introduction**

49. All agencies are accountable for the effective and efficient use of resources. The NSOs are responsible for ensuring that financial expenditure and organizational productivity are being performed to the highest standard possible. Organizational decisions and activities at any level rely upon an effective evaluation of opportunity and risk, in order to maintain a transparent and accountable relationship with the government and the public.

50. Risk management is integral for compliance. Taking opportunities and managing risks also make good business sense. Identifying opportunities and acting on them is key to productivity, effectiveness and sustainability. Any organizational opportunity, decision or activity regardless of its significance, impact, cost or visibility, is accompanied by a risk that the outcome or action will be different than planned or expected.

51. Good risk management means a manager has identified a work related opportunity, and undertaken a process to identify any risks and consequences. This includes planning to minimize or eradicate the probability of them occurring. Effective risk management means the evaluation is undertaken at a level that is practical and reasonable for the situation or decision that needs to be made.

52. Risk management is both an essential tool and behavioural practice that managers must undertake to make business decisions that both protect and progress their areas of responsibility in the organization. Manager should use risk management to minimize uninformed and unnecessary risk taking, and/or risk aversion.

53. Both of these actions can result in delays, and/or poorly executed decisions.

54. This chapter provides managers with an overview of the process available to help evaluate and manage risk. Managers will be able to determine the right depth of analysis and preparation best suited to the business decision or action. The regular application of risk management to the wide variety of responsibilities a manager has will prove that it can be flexibly applied for confident decision making.

### **B. Key principles and objectives**

55. Risk management policies and related frameworks, such as risk management frameworks, risk management guidelines, and project management frameworks are generally based on the International Risk Management Standards. They provide the general

principles and processes to manage and weaken risks within the organization. All risk management and decision making activities align with accountability standards outlined in related policies. This ensures that organizations undertake opportunities, risks and decisions that are legal, ethical, and withstand scrutiny.

56. Organizational level risks can be identified as Enterprise Risks. These are generally reviewed annually. The enterprise opportunities and associated risks are strategic. Unmanaged enterprise risks could affect the organization's viability. The discussion and action deriving from annual reviews have influence on setting strategic priorities and allocating resources before integration into long term integrated planning and budgeting. Having an enterprise level risk profile helps to improve an organization's decision-making processes, the quality of briefings to senior management and other stakeholders, and the overall management practice by providing a basis for risk management within the organization.

57. The processes used to identify opportunities and risks, and methods to mitigate risk occurrence are adaptable to a range of planning activities and decisions in the organization. Senior management expect staff to employ elements of identifying opportunities and managing risk as relevant to their roles, functions and responsibilities.

58. Examples of how opportunities and risks are being identified include work programme planning, financial management, projects, team brainstorming or problem solving. Specific risk management tools for procurement and other special services may also be available. The depth and formality you apply to techniques will depend on your assessment of the situation.

59. During planning processes, time and resources should be allocated to risk analysis, treatment measures and monitoring of risks while taking into consideration costs versus benefits. Undertaking a risk analysis before making decisions will often result in more effective work practices and productivity. Risk responses must be outlined for each risk, and monitored as part of the organization's ongoing risk management practice, thus contributing to the organization's ability to deliver its mandate. Conversely, performance or productivity improvements are unlikely to occur if managers don't take educated risks to exploit business opportunities. Risk management enables managers to undertake new business/operational challenges and manage the risks. Using risk management provides a level of assurance and accountability in decision making and an action plan if outcomes differ from those expected.

### **C. The role of the managers**

60. Managers need to understand their operating environment to align work programme priorities and performance expectations with the organization's objectives and performance standards. Furthermore, success and productivity relies on its staff, especially managers, to subscribe to continuous improvement, and scope opportunities to evolve, innovate and enhance current business. Opportunity is usually accompanied by risk, and a manager's role is to decide if opportunity outweighs risk or whether the risk can be reduced through treatment measures.

61. Managers make work related decisions constantly, either formally in line with delegations or informally in relation to daily work functions, projects, and good team management. Organizations rely on managers to use risk management to strive for high quality business outcomes. Managers must ensure that the amount of effort put into these activities is consistent with the context of the situation and expected outcomes.

62. From risk identification to treatment phase, managers make choices which they take responsibility for against their own organization and the resources managed and also are accountable for the goals attained.

#### **D. Tips**

- Use risk management constantly and adapt the level and formality depending on the issue.
- Note that not making a decision creates an additional set of risks.
- Maintain records of decisions and actions - you are accountable.
- Make sure staff applies these principles to their ongoing activities and responsibilities.
- Attend training in managing risk where offered.

#### **E. Key processes and issues**

63. Good risk management is a business process that improves the standard and value of work output and outcomes in all business areas. Due to the ongoing/cyclical nature of our work, the Project Management Framework and risk management processes are frequently applied to meet time frames, budget and high quality project outcomes. Risk management is used for statistical quality assurance (such as quality gates), improving the relevance of the statistical work programme, ensuring business continuity of systems, and for financial management, such as procurement activities. Risk evaluation is also useful to a manager when preparing for performance related conversations with staff. Preparation increases optimal outcomes. It is important that the context and strategic goals of the organization be taken into account as well as the operating environment.

##### **1. Identifying opportunities**

64. Organizations and senior executives rely on managers to use her/his experience and knowledge to contribute to a focus on productivity and innovation. A manager must focus on identifying opportunities, and allow them to be practically implemented. Managers are encouraged to continuously assess the external environment in line with client service standards and national statistical service objectives, and look to identify improvements in flexibility and productivity.

65. Organizational opportunities can make a difference at any level, and managers are expected to encourage staff, through their example, to be proactive in assessing opportunities for performance and productivity improvement. New opportunities also come with elements of risk that may impede positive outcomes if not managed effectively.

##### **2. Assessing risk**

66. Risks that are not identified, or left unmanaged may lead to the following organizational outcomes:

- enterprise (strategic and may significantly impact on the organization);
- operational (may impact on a programme's objectives and/or outcomes);
- project (may impact on the project objectives and outcomes).

67. Generally, risk assessment activities are located in an organization's Risk Management Framework. While all steps are important, it is vital that identified risks are assessed for the likelihood of occurrence and the impact they will have. This matrix can be helpful in assessing risk tolerance:

Figure 1

**Risk Management Framework**

<b>Impact</b>	<b>HIGH</b>	Considerable management required	Must manage and monitor risks	Extensive management essential
	<b>MEDIUM</b>	Risk may be worth accepting with monitoring	Management effort worthwhile	Management effort required
	<b>LOW</b>	Accept risks	Accept, but monitor risks	Management monitor risks
		<b>LOW</b>	<b>MEDIUM</b>	<b>HIGH</b>
		<b>Probability</b>		

68. The level of inherent risk (before mitigation factors have been taken into account) and the residual risk (after mitigation factors have been taken into account) should also be documented. The decision to undertake further action depends on this assessment. Risks that have an overall assessment of High or Extreme should be elevated to Senior Management.

### 3. Making decisions

69. Managing risk enables informed decision making or action. Sometimes an unknown factor may make a difference (not always negative) to expected outcomes. Risk aversion or not making a decision can result in programme, project, staffing or financial complications.

70. Decisions must be in a manner that promotes the efficient, effective and ethical use of the organization's resources, and withstand scrutiny. They need to be:

- Legal;
- Fair;
- Ethical;
- Accountable;
- aligned with NSO's objectives.

71. When undertaking a raft of purchasing and contract management activities, undertake some or all of the following general processes to make responsible ethical and legal decisions and actions:

- know your parameters and powers

- obtain as much information about the circumstances as appropriate;
- be sure you have obtained the best information available;
- investigate the relevant legislation, policies and guidelines;
- share your decision-making process but finally decide on your own;
- maintain appropriate privacy and confidentiality;
- respect procedural fairness;
- be consistent;
- identify the risk context (strategic, organizational, risk management);
- consult and communicate as needed;
- identify the risk and its source;
- assess and rate the likelihood and level of impact;
- take action appropriate to the probability and impact rating;
- elevate High and Extreme risks to Senior Management;
- monitor the situation (see below);
- conduct a post activity review to evaluate success and opportunities for improvement in future activities, and communicate these outcomes.

#### **4. Monitoring risks**

72. Once risks have been identified (whether at an enterprise or operating level), it is important to:

- have a clear risk statement;
- have a documented description of the risk that all stakeholders will understand;
- assign an 'owner' who will be responsible to develop mitigation strategies and monitor the evolution of the risk;
- determine the inherent risk (before mitigation strategies are applied);
- develop and document mitigation strategies and action plans with timelines for implementation;
- determine the residual risk (after mitigation strategies are applied).

## **VI. Managing staff vacancies**

### **A. Introduction**

73. This chapter provides an overview of recruitment, selection and other internal and external options to best manage your work and staff needs. This includes, choosing the right person with the right selection process, external recruitment, managing a selection process, internal flexibility and inter-agency transfers. The principles and processes of good recruitment, selection and internal movement derive from the legislation and the organizations Enterprise Agreement (or equivalent).

## **B. Key principles and objectives**

74. A good recruitment and selection process is based on a clear definition of specific capabilities and classification requirements to meet business needs. Any vacancy management process must be executed in consideration of the efficient and effective use of available budget, and the Full Time Equivalent (FTE) salary. A manager should consider internal options, including excess employees or re-allocation of responsibilities, before proceeding to external recruitment. To obtain the best pool of capable applicants, external recruitment advertising must offer a reasonable opportunity for all eligible members of the community to apply.

75. The fundamental principle of merit (i.e. it assesses, by means of a competitive selection process, the relative suitability of applicant(s) to carry out the identified duties) must be applied in both internal and external recruitment and selection processes.

76. Merit must be applied even if your need is filled by an employee at level (negating the necessity for a competitive selection process).

## **C. Role of the managers**

77. As a manager, you may be responsible for determining whether a staff vacancy needs to be filled and if so, what skills and capabilities are needed within the team structure to best deliver business outcomes. Before deciding to fill a vacancy, it is important to review the functions of the team and assess the level of complexity and depth of responsibility required to deliver the work programme.

78. You may be the approving manager, or be responsible for recommending to your manager the best method of managing a vacancy.

79. In doing this, you will need to determine what capabilities are needed for both work outcomes and team structure. You may scope the internal employment pool, review how best to use current employees, and/or examine the benefits of recruiting from the external market.

80. The following principles should be applied when assessing a vacant role:

- assess the role on the basis of the work to be performed rather than the qualities of the person who was previously performing it (importance of the review of the old job description);
- the work value of a job is established by considering the type and nature of the work to be performed;
- generally, work value is determined according to the highest level of function performed most regularly;
- assess work value objectively with the outcomes of consistency and transparency in mind.

81. Other factors that should be considered before deciding a staff vacancy needs to be filled include:

- whether existing team members have sufficient work to keep them fully utilised;
- whether the vacancy presents a development opportunity for other staff;
- any insights from the person previously performing the role;
- emergent work;

- current and future budgets;
- whether the role is a critical post.

## **D. Key processes and issues**

### **1. Choosing the right person using the right selection process**

- At the initial identification stage, it is valuable to re-assess role capability requirements, by referring to Work Level Standards, the work programme, and updating the role description if required. From this point of view, a continuous maintenance of a skill register (better if integrated in a data base system) is required, taking into account both the evolution of professional profiles and emerging new skills.
- Then, critically assess work needs and the team structure, as you may be able to manage through internal options such as work distribution and a selection process not required.
- You should also consider the available salary (FTE), as you may wish to consider flexible working arrangements such as part time options to meet your requirements.
- Upon identifying the need for a new employee, you must consider which staff engagement strategy is most reasonable to pursue.
- Finally, determine what level of support and coordination the Human Resources Division or the National Recruitment Unit can provide to help you scope out what resources you need to manage a recruitment and selection process.

### **2. External recruitment**

- If you explore the external market, what process you choose depends on capability needs, the number of vacancies, time frames and budget;
- You can also use an existing order of merit from a similar selection exercise which is no more than 12 months old, or use a secondment, or transfer at level from another public service agency;
- Filling a vacancy at level (ongoing or non-ongoing) means you don't have to conduct a competitive selection, however it must still be based on merit.

### **3. Managing a selection process**

- Ensure that administration and coordination roles are clarified at the beginning of a selection process within the Human Resources Division;
- You may be the chair of a selection panel, or even the delegate. To streamline the process the delegate may be part of the selection panel;
- The selection method recommended by the panel must be supported by the delegate. There are several selection methods available, not only an interview;
- Use what meets the needs of the position that will select the most appropriate applicant(s). Examples include work samples, role plays, assessment, or based on application only;
- The selection panel will conduct a systematic process to assess the relative merit of applicants, document decisions, report to the delegate and provide feedback to applicants;

- Contacting referees is not a mandatory selection process requirement, however it is essential when obtaining a fair and accurate evaluation of an applicant's relative suitability to the role, team environment and organizational culture.

82. As a manager you will also have the responsibility to provide frank and honest responses as a referee:

- use an oral report to obtain targeted information, however written is an option as well;
- be prepared and obtain clarification about skills and behaviour;
- document the discussion and provide it to the referee for accountability and accuracy;
- if the referee provides a negative report, inform the applicant and offer the right to reply.

#### **4. Internal flexibility and inter-agency transfers**

83. It is good practice to look at your internal options and opportunities within the organization and the public service. They can be quicker, temporary, and provide developmental opportunities to employees.

84. For example, you may have a short term need to finish a project, and have lost a key employee. Internal options may help fill the vacancy quickly and achieve project time frames. You still need to evaluate the work-related qualities of the person against what is required in the position.

85. Assignments and movements at the same level can be non-ongoing, ongoing, internal or external. You may select an excess employee at level (first priority), or re-assign an ongoing employee at level within the organization and the public service.

86. You may also temporarily re-assign an employee at level or on higher duties. Higher duties are temporarily assigned to employees to undertake responsibilities at a higher work level according to work level standards, when you have decided it is not feasible to re-assign work.

87. Time and experience performing at a higher level will fill the work vacancy, and improve employee capability and retention through developmental opportunities.

#### **5. Managing integration of newly recruited staff**

88. Newly recruited staff have to be provided with all information and tools required to become fully operational in due time. This means of course to attend training activities organized at this aim by their organization.

89. However, it is important that managers themselves take care of the integration of newly recruited staff within their organization: they could appoint more experienced people within the organization – or even the one the newcomer is going to replace – as mentors for newcomers, using mentoring as an informal tool for the newcomer to learn what he/she will have to know in his/her new position.

90. Managers could also support newly recruited staff integration by organizing knowledge sharing events within their structures, during which information and documentation about working activities are circulated and shared. Documentation for newcomers could also be made available on an electronic form and made accessible on the web, in case also in form of digital storytelling, where the retiring person tells about meaningful experiences of his/her working life and share his/her lessons learned.

## **E. Tips**

- Critically assess work needs and the team structure. You may not need to use a recruitment process;
- Talk to your human resources area before deciding whether a recruitment process is required;
- Refine the role, duties, capability and classification needs to what is required;
- Determine the budget for advertising costs;
- Look at internal options before recruiting externally;
- To implement a data base competences of the staff, accessible on an IT platform, in order to verify if internal options are available;
- To arrange e-recruitment procedure in order to support bulk recruitment activities;
- Attend training on conducting selection processes. Use a selection process that will give you the best chance to employ quality staff.

## **VII. A safe working environment**

### **A. Introduction**

91. Organizations are legally responsible for establishing and maintaining a working environment where employees are able to work safely, without risk to their physical and psychological health and welfare.

92. Likewise, employees are obliged to: comply with any legislative requirements and organizational policies and procedures; work in accordance with agreed safe work practices; and use all means provided to protect their health and safety.

93. Employer and employee health and safety responsibilities are often prescribed in legislation and supported by regulations, codes of practice and standards. These provide a foundation for guidelines on workplace safety, compensation and rehabilitation.

### **B. Key principles and objectives**

94. As a baseline employers take all 'reasonably practicable' steps to provide a working environment where employees can work without risk to their health, safety or welfare. Employers are also often required to establish workplace arrangements that allow for effective consultation on workplace health and safety matters.

95. Employees are obliged to cooperate with their employer and act in a manner that does not affect their safety or the safety of others in the workplace.

96. Organizations should be committed to maintaining the highest possible level of physical, mental and social well-being at work for its employees. All employees should look for ways to maintain or improve work conditions, processes, and behaviors as an ongoing commitment.

97. A manager is the conduit for ensuring that both the organization and employees maintain their duty of care. This chapter will provide managers with good practical information and advice on reporting, preventing and managing injuries and rehabilitation including maintaining mental health.

## C. Role of the managers

98. All managers have a duty of care for the health and safety of their work group. This duty often extends to visitors and contractors in the work environment.

99. A manager is required to be a model of appropriate behaviour and practice in the workplace, to educate, communicate with, and monitor staff to maintain a safe and healthy workplace, both physically and behaviourally. Recognising hazards, identifying problems and taking preventative action, as well as preventing the reoccurrence of any reported incidents or hazards is an ongoing responsibility.

100. Senior managers are responsible for the establishment, monitoring and evaluation of organizational policies, agreements, plans, and procedures. This ensures that the organization, its managers and staff, can fulfil the appropriate duty of care. You are required to provide the support and opportunity for health and safety inspections, investigations, and resolutions to be implemented, and ensure that line managers are capable of undertaking their human resources responsibilities.

101. Line managers are responsible for ensuring that staff are aware of and abide by work health and safety requirements. You are also responsible for managing practical and operational health and safety activities to prevent, report, and manage rehabilitation and injuries.

## D. Prevention

102. The most useful preventative measure to reduce employee occupational risk is to make health and safety awareness an everyday practice with your staff. Proactive activities managed by you will prevent or minimise the risk of occurrences. This will include comprehensive reporting of incidents and hazards, ongoing observation and early intervention. The good health and safety of your staff has a fundamental impact on your ability to efficiently and effectively manage delivery of a work programme.

103. Undertaking proactive activities will contribute to maintaining legislative and internal compliance, while fostering a positive work group culture based on safety awareness. In addition, regularly conducted information sessions will remind staff of their own responsibilities for health and safety. Proactive workplace safety activities include:

- conduct regular hazard inspections in your work area;
- observe any patterns in your staff that may indicate health/safety issues and seek advice and support from your corporate support units;
- support workplace investigations as they will make a difference to future workplace health and safety;
- having health and safety as an ongoing agenda item for team meetings, such as a discussion on organizational policy and procedures, outcomes of workplace inspections and reviews of incident or hazard reports by team members.

104. Your staff also plays an important role in the prevention of both physical and psychological workplace injuries. Potential injuries may be prevented through your employees continual awareness of how they operate, and the processes, practices and behaviors that can be improved.

105. Discussing workplace health & safety with your staff, and leading by example, are the best preventative tools that you have as a manager - use them on a regular basis.

## **E. Tips**

- Regularly check workstations and arrange assessment as required;
- Ensure that staff take regular breaks;
- Conduct regular workplace reviews and risk audits with your staff;
- Conduct or organize regular information sessions;
- Ensure your staff are aware of the 'warning signs' of common workplace risks and injuries and to report them.

## **F. Absence notification**

106. Early notification of employee absenteeism is crucial as extended unplanned absence may be work related. Be responsible and accountable by notifying to the relevant corporate area.

## **G. Managing injuries and rehabilitation**

107. In addition to minimising or eradicating poor health and safety practices and occurrences, it is also essential to support staff who have suffered an incident, illness or injury while on duty. The organization will work with the person, and make reasonable adjustments for a safe and sustained return to work.

108. Sometimes the stressor is outside the work environment and could be a non-work-related illness or a pre-existing condition.

109. The employee may require rehabilitation, a graduated return to work, or reasonable adjustments to work outcomes or the physical work environment. You may be responsible for an employee in these circumstances, and you may also have to review work priorities, re-allocate key duties, or obtain additional staff while the person is absent.

110. When the employee returns to work you will need to monitor changes in attendance or capability patterns for continued discussion with the employee to ensure the rehabilitation process is effectively and responsibly implemented. Support will be provided through the allocated case manager and other corporate services areas.

## **H. Tips**

- Know how to adjust the environment, outcomes and performance agreements for reasonable adjustment and rehabilitation;
- Pay attention to changes in behaviour e.g. withdrawal, apathy, agitation;
- Note and discuss with staff any patterns or increase in unscheduled absences;
- Observe any changes in working relationships;
- Note any additional work challenges or pressures;
- Note unexpected performance problems;
- Maintain regular ongoing support and feedback;
- Respect confidentiality.

## **I. Managing psychological health**

111. Work-related psychological hazards are present in all workplaces, and while often complex the risks associated with these hazards, in the same way as other workplace hazards, can be controlled. Possible indicators that the psychological health of your team or an individual team member is at risk include mental health conditions such as anxiety and depression, physical symptoms such as increased reports of aches and pains, gastrointestinal upsets, increased tiredness and fatigue and behavioural changes such as sadness, withdrawal, substance abuse, aggression and poor concentration.

112. Early intervention, comprehensive reporting, prevention and rehabilitation management also applies to the psychological well-being of employees, however there is no single approach to best tackle work-related stress factors or how an employee experiences it.

113. A healthy work environment is about more than being safe. A healthy workplace is one where employees in addition to feeling secure and enjoying a safe physical work environment;

- feel recognized for the work they do;
- enjoy a positive social environment that encourages respect, fosters a sense of belonging and purpose;
- enjoy an appropriate balance between work and home-life responsibilities;
- have the ability to influence their work and become involved in the decision-making process;
- are given opportunities for personal, intellectual and professional growth.

## **VIII. Managing a respectful workplace**

### **A. Introduction**

114. Organizations are committed to providing a workplace that is fair, flexible, safe, supportive and free from discrimination and employment disadvantage, where all employees are valued and treated with respect. Two-way communication, consultation, cooperation and input from staff on matters that affect their workplace, needs to be valued and respected. As a manager you play a key role in ensuring these activities and behaviors are supported and practised.

### **B. Key principles and objectives**

115. Employees are required to uphold the organization's values and conduct requirements. Employees are expected to behave with honesty, integrity, care, diligence, respect and courtesy. Organizational values build upon the definition that we work and treat each other with fairness, respect and trust, and do so in our work and relationships with external clients and providers.

116. There is equal responsibility of the staff and managers to:

- model and encourage behaviors that assist in creating a culture of respect and trust, and reflect and legislative principles;

- recognize the value of individual differences and manage these effectively to ensure an inclusive workplace environment that values and utilizes the contributions of all employees within the team.

117. The governance framework provides ways to make sure employees are clear about behavioural expectations and how to treat each other.

118. Organizations may adopt specific strategies that show the organization values employee diversity and capitalise on the unique perspectives and talents this brings.

119. The framework incorporates guidelines on preventing and eliminating workplace harassment, which are designed to encourage understanding of and action to eliminate direct and indirect discrimination, particularly arising from bullying or harassment.

120. These guidelines will assist with resolving such issues promptly and effectively by processes which will satisfy legislative responsibilities, procedural fairness, confidentiality, natural justice, and protect the good reputation of the NSO.

### **C. Role of the managers**

121. As a manager you model and encourage behaviors that assist in creating a culture of respect and trust, and reflect any legislative principles. Your role as a manager includes providing your staff with an understanding and awareness of behavioural expectations, and their rights and responsibilities to value diversity.

122. As a manager you are also responsible for recognising the value of individual differences and managing these effectively to ensure an inclusive workplace environment that values and utilites the contributions of all employees within your team.

123. To demonstrate this you may use regular meetings, performance feedback, celebrations to raise awareness about diversity, development opportunities in team relationships, implement and support reasonable workplace adjustments and flexible working arrangements to support diverse employee needs or work/life balance, in consideration of work plan requirements.

### **D. Tips**

- Be a role model of good behaviour to your staff;
- Ensure your staff behaves accordingly;
- Maintain the appropriate levels of confidentiality;
- Ensure your employees complete any mandatory training about workplace behaviors and discrimination, bullying and harassment;
- Undertake early corrective action to manage offensive, intimidating behaviour or any other action not compliant with your organizations values and conduct;
- Seek advice and support from institutions, committees, areas in charge of Well-being, Health and Safety, Workplace Diversity and Harassment.

## **E. Key processes and issues**

### **1. Respect, diversity and good working relationships**

124. Strategies are required for supporting a workplace environment where everyone is treated with respect, fairness and dignity.

125. Managers should:

- make sure all employees know their responsibilities and the process for preventing and eliminating unacceptable behaviour;
- develop employees' work skills and abilities to help them reach their full potential;
- use open and honest communication in team and individual meetings;
- make use of reasonable workplace flexibility arrangements (i.e. part time, different working patterns) as appropriate, efficient and effective;
- ensure employees are aware of the variety of office based facilities to support employee diversity (i.e. carer rooms, technological support);
- maintain confidentiality and privacy about employee information or disclosure where appropriate and in accordance with legislation;
- celebrate diversity and reward diversity initiatives;
- promote information sessions about respectful behaviour, practising diversity and how to identify behaviour that is unacceptable;
- ask for additional training courses, or specialised information sessions, to help staff improve their communication skills and professional workplace interactions.

### **2. Minimizing behaviour that is harassing, offensive and bullying**

126. Behaviour that is unwelcome, unsolicited, offensive, abusive, belittling, threatening or otherwise inappropriate is unacceptable, and has a negative impact on the recipient and ultimately on the organization.

127. As a manager, you are required to take prompt action to address any incidences of inappropriate behaviour that comes to your attention. Provide clear standards of expected behaviour and examples of unacceptable behaviour, which can help identify incidents, and the appropriate process to take to resolve these. It is preferred that a workplace incident is resolved informally at the local level. However, provide further information on correct procedures and processes for resolving workplace incidents.

## **F. Tips**

- Maintain the appropriate levels of confidentiality;
- Ensure your employees are aware of the appropriate processes in place for resolving workplace incidences and have access to relevant guidelines, training and support;

## **IX. Conduct and behaviour**

### **A. Introduction**

128. NSOs are value-based organizations that are committed to ensuring that all employees work in an environment that is fair, safe and results-oriented. Decisions are based on merit and the highest standards of behaviour and conduct are modelled.

129. This chapter provides an overview of how you, as a manager, ensure appropriate behaviors and conduct are upheld and managed in the workplace.

### **B. Role of the manager**

130. As a manager your own behaviour must be flawless and you must ensure that employees in your section are familiar with and meet the required standard of conduct. If you have reason to believe that standards may have been violated, managers should take early corrective action to remedy the situation. Any activity in relation to employee behaviour and conduct is best undertaken with evidence or information about the matter. Managers should clearly document any information or conversations that may be relevant and include this information when you seek early advice or assistance.

131. Early action may include resolving issues at the workplace level. You may be able to resolve the issues informally in the workplace, and obtain a mutually agreeable outcome that improves relationships, behaviors and activities within your work environment.

132. Managers should undertake the following action for informal workplace resolution:

- if you believe an employee may have violated the required standard of conduct, you should seek an explanation from the employee(s) involved;
- if you accept the explanation the matter will go no further, if the behaviour is not repeated (to be considered on a case by case basis);
- if you are not satisfied, you will need to refer the matter to the relevant corporate area for assistance. Together you will decide on a further appropriate course of action;
- any work related matter that may amount to a criminal offense must be immediately referred to the relevant corporate area.

### **C. Tips**

- Seek early advice;
- Be open and confident about resolving issues informally where appropriate;
- Report possible breaches that require a formal investigation;
- Maintain strict confidentiality regarding any investigation;
- Use personal information in line with relevant privacy principles (including referee reports).

## **D. Key processes and issues**

### **1. Resolving workplace issues**

133. The aim of these procedures is to sort out problems quickly, informally and as close to the workplace as possible. Employees are encouraged to use these procedures whenever possible, but they are not intended to replace more formal mechanisms. Experience shows that workplace issues that are dealt with quickly and informally have the best chance of being satisfactorily resolved, often improving working relationships.

134. Where possible, disputes should be dealt with within the workplace and resolved between the employee concerned and their manager. Employees may speak with a higher level manager or the relevant corporate area if the matter relates to their direct supervisor.

### **2. Managing breaches of the required standard of conduct**

135. As a manager, you may undertake the following course(s) of action when you have not been satisfied with the explanation provided by employee(s) who have been involved in a possible breach of the required standard of conduct. Once you have sought advice, the next course of action may involve the following:

136. Where the supposed breach is minor:

- informal discussion and counselling including constructive feedback and methods for improvement;
- Where there is a pattern of this type of conduct it will need to be treated more seriously (unless rectified);
- more formal counselling, including a written record of the discussion that will be provided to the employee and noted on the employee's file.

### **3. Escalation**

137. Where options of this kind have been unsuccessful, or where the seriousness of the possible breach clearly requires immediate consideration of a formal process, you must ensure that all information is provided.

### **4. Investigating breaches**

138. Procedural fairness will apply to all parties involved in the investigation and a determination will be made with as little formality and as much expedition as appropriate. As a manager, your involvement in an investigation may be limited. The outcome of the investigation and any sanction is highly confidential. Any information communicated about the matter will be under the specific authorisation of the delegate.

### **5. Maintaining confidentiality**

139. All employee records and information must be managed in accordance with the relevant privacy principles which govern the use and disclosure of personal information. This includes information relating to reviews of action, employee conduct and behaviour, performance management or injury and rehabilitation case management.

## **E. Tips**

- provide a copy of any reports to the employee;

- inform the employee of the sanction being considered;
- provide seven days for the employee to provide a statement;
- make a final decision on the outcome and inform the employee in writing.

## **X. Performance and underperformance**

### **A. Introduction**

140. Effective performance management is fundamental to achieve outcomes and deliver productivity improvements. All managers are responsible and accountable for effectively managing performance within their organization, including driving improvement in their own and their teams' performance, as individuals and as a section. This also includes addressing any identified underperformance.

141. This chapter provides an overview of ways to manage performance as well as underperformance.

### **B. Managing performance**

142. As a manager you are responsible and accountable for the effective performance of your staff.

143. You must therefore take all reasonable attempts to improve, attain and sustain performance. This includes time and opportunity to integrate any learning or development outcomes into work, provide ongoing constructive feedback, monitor performance and recognise and reward the performance of your staff.

### **C. Key principles and objectives**

144. The key component to enhancing employee performance is the manager/employee relationship and effective communication which is fundamental to fostering high performance. It is vital that each employee has a clear understanding of performance expectations and is given an opportunity to discuss and contribute to those expectations.

145. Managers are responsible for engaging employees in honest feedback discussions that focus on how to achieve work objectives, identify personal and professional development opportunities and how they will demonstrate behaviors and values that reflect the values and conduct.

### **D. Role of the manager**

146. All managers are responsible and accountable for effectively managing employee performance. This includes:

- discussing and articulating performance expectations;
- driving improvement in their own and their teams' performance, as individuals and as a section;
- conducting regular and ongoing honest two way performance and developmental discussions with employees;

- conducting and documenting performance review discussions, and
- addressing identified underperformance.

147. In performance discussions managers should:

- clearly identify and measure the personal value-added contribution that employees bring to their roles;
- focus on how we achieve, not only what we achieve;
- assist employees in identifying personal and professional development opportunities;

148. In most organizations the Human Resources Section can provide advice and information to assist with performance agreement development.

## **E. Performance assessment**

149. Performance review discussions are a joint responsibility between you and your employees. In addition to performance review discussions and appraisals regular two-way feedback throughout the assessment period is essential.

150. Performance assessments can be organized in different ways. Essential elements are:

- making working arrangements;
- performance review discussions between manager and employee,
- and a written performance appraisal.

151. Performance review discussions are a vital element in performance assessment. During these discussions it is your responsibility as a manager to encourage feedback from your staff about your performance as a manager and leader, to help you continually enhancing your capabilities. Obtaining constructive feedback from your staff is an excellent example of good management practices, and a direct avenue for you to measure your performance as a manager/leader.

152. The following tips will assist you to conduct effective, constructive performance review discussions:

- review each employees performance against their performance expectations;
- use examples to demonstrate your assessment;
- praise achievements, comment on progress, and discuss development opportunities and future aspirations. Employees need to hear when they are effectively working towards their goals, and if they need to modify their performance in order to do so;
- feedback should not only cover the outcome of a task, objective or project; furthermore it should reflect the way it was undertaken, and what behaviors and skills were used and developed during the process;
- structure the discussion according to your management style and the communication style preferred by your employee. Remember, the discussion itself doesn't need to be formal just because it is a formal review;
- encourage your staff to prepare and provide you with feedback about your performance as a manager and leader, and provide them with your key deliverables for leading and managing a team to assist.

153. When making a formal (written) performance appraisal managers should write up their final review as close to the discussion as possible. This enables clear recollection of the discussion for a more accurate record.

154. Performance review time is also a good opportunity to review the continued appropriateness of the performance agreement, particularly where priorities may have changed.

155. In assessing performance a manager can (in general) identify three categories of employees:

- employees with a good average performance
- employees who perform exceptionally (above average)
- employees with underperformance

## **F. Tips**

- Commit to performance management arrangements;
- Be accurate, encouraging, constructive and objective;
- Provide specific examples of achievements against objectives, the contribution to work group, and organizational objectives;
- Encourage input;
- Managers are responsible for conducting challenging performance conversations. Avoidance will not help the employee's performance, team productivity or morale;
- Make sure employees understand your feedback;
- Identify and commit to actions and solutions;
- Be a forward thinker and discuss future directions;
- Take action if underperformance is identified.

## **G. Managing underperformance**

156. Despite all efforts as mentioned in the above paragraph on managing performance, employees may not perform at the expected level. In that case as a manager you must undertake appropriate action either to improve performance or to find another solution (such as mobility to a more appropriate job).

---