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Performance Review And Planning System
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**PERFORMANCE REVIEW AND PLANNING
SYSTEM**

Sector: Human Resources

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Training/Development Programs

Human Resources Division



**Performance Review &
Planning System**



Northwest Territories Housing Corporation

Performance Review & Planning System

Incl udi ng: Policy Statement
Directive
Procedures
Supervisor's Guide
How to Conduct the Annual Performance Review

**POLICY: PERFORMANCE REVIEW
AND PLANNING SYSTEM**

N.W.T. HOUSING CORPORATION POLICY: PERFORMANCE REVIEW AND PLANNING SYSTEM

The Northwest Territories Housing Corporation recognizes the important role that planning and evaluation plays in the provision of quality services and, in the development of Corporate employees. The Corporation further recognizes that its employees are one of its most important resources. The Corporation is committed to enhancing the effectiveness of both its organization and its employees. This commitment will be demonstrated through an ongoing and integrated process known as the Performance Review and Planning System.

Performance Review and Planning is a management system which enables the individual, division/district and Corporation to evaluate past goals, objectives and priorities and, to plan new ones. It is a management system that brings the goals and objectives of the Corporation together with the job/career goals and objectives of employees.

The Performance Review and Planning System links job responsibilities and personnel and organizational development. Therefore, employee performance is always evaluated in light of Corporate, divisional/district and individual goals, objectives and priorities. Likewise, planning for an employee's training and career development always considers Corporate, divisional and individual goals, objectives and priorities.

The Performance Review and Planning System involves commitment and participation by both the supervisor and employee. With the employee, the supervisor assesses the accomplishment of individual and Corporate goals, objectives and priorities over a certain period. The employee discusses with the supervisor any problems he/she may have performing his/her job responsibilities. The supervisor and the employee jointly refine/establish goals, objectives and work plans/priorities for the upcoming period.

Effective implementation of the Performance Review and Planning System will benefit the Northwest Territories Housing Corporation by:

- improving employee morale, motivation and the quality of working life;
- enhancing competence and productivity among all Corporation employees;
- improving training, career management, and other employee development systems within the Corporation;
- improving overall human resource potential and management within the Corporation;
- improving the Corporation's ability to plan for the future of the organization;
- improving the Corporation's management systems; and
- enhancing the services provided by the Corporation.

**DIRECTIVE: PERFORMANCE
REVIEW AND PLANNING SYSTEM**

N.W.T. HOUSING CORPORATION DIRECTIVE: PERFORMANCE REVIEW AND PLANNING SYSTEM

SCOPE

The Performance Review and Planning System applies to all employees of the Northwest Territories Housing Corporation.

DEFINITIONS

Career Management:

A planning and implementation process which has as its goal the development of the “Corporate employee”. The process involves establishing individual career goals and, planning and pursuing activities which will achieve them.

Employee Performance:

The measurement or evaluation of an employee’s goals, objectives and work plan accomplishments, as mutually agreed to and as derived from job responsibilities.

Human Resource Forecasting:

The analysis of employee turnover, recruitment, mobility, number, type and, a multitude of other personnel related factors for the purpose of identifying manpower/human resource needs.

Job Responsibilities:

Those major and minor duties described in the approved job description for a particular position.

Performance Planning:

The process by which a supervisor and employee jointly prepare and agree on, work plans and objectives for the upcoming period.

Performance Review:

A comprehensive, ongoing process which measures the accomplishment of individual and organizational goals, objectives and work plans.

Performance Review Criteria:

The standards or rules used to measure employee performance and which are mutually agreed to by the employee and supervisor.

Training:

A learning activity that, in response to clearly identified organizational needs, contributes to an employee’s acquisition of knowledge and skills, to do his/her present job efficiently and effectively, or to prepare him/her for future responsibilities.

PROVISIONS

1. Authority and Accountability

a) Executive Council

Sets priorities and approves policies and objectives which will guide the implementation of the Performance Review and Planning System within the Public Service including the N.W.T. Housing Corporation.

b) Minister Responsible for the N.W.T. Housing Corporation

Responsible for the implementation of the Performance Review and Planning System - within the N.W.T. Housing Corporation.

Responsible for recommending policies and processes to the Minister responsible, on the Performance Review and Planning System.

c) Minister of Personnel

Responsible for providing technical and consultative programs and services to enhance the implementation of the Performance Review and Planning System throughout the Public Service including the N.W.T. Housing Corporation.

Responsible for recommending policies, objectives and priorities for the Performance Review and Planning System within the Public Service including the N.W.T. Housing Corporation to the Executive Council.

d) Minister of Education

Responsible for providing staff development and training programs and support services to enhance the implementation of the Performance Review and Planning System throughout the Public Service including the N.W.T. Housing Corporation.

e) President of the N.W.T. Housing Corporation

Responsible for recommending to the Minister, policies and processes for the Performance Review and Planning System.

f) Director of Human Resources Division

Responsible for ensuring that the Northwest Territories Housing Corporation Performance Review and Planning System is implemented in a timely, comprehensive and professional manner, consistent with this directive. Responsible for ensuring that the Northwest Territories Housing Corporation Performance Review and Planning System is adhered to by all Corporate supervisors.

Responsible for ensuring that the Northwest Territories Housing Corporation Performance Review and Planning System is implemented in accordance with current and approved Corporate goals and objectives.

g) Supervisors

Responsible for the timely, consistent and professional implementation of the Performance Review and Planning System to all subordinate employees.

Responsible for:

- introducing and explaining the Corporation's Performance Review and Planning System including performance review criteria;
- introducing and explaining the job responsibilities of the particular position;
- ongoing/regular discussions of job responsibilities, goals and objectives;
- identifying and explaining the resources available to assist employees to fulfill job responsibilities, goals and objectives;
- conducting quarterly and annual performance reviews; and
- conducting annual performance planning and follow-up.

h) Employees

Responsible for adhering to the Corporation's Performance Review and Planning System as implemented by the Supervisor.

Responsible for planning and carrying out job responsibilities in a manner that will lead to the accomplishment of goals, objectives and priorities.

Responsible for raising any problems affecting the achievement of work goals, objectives or priorities.

Responsible for:

- participating in an introduction to the Corporation's Performance Review and Planning System;
- learning about the specific responsibilities of the particular job;
- learning about the resources available to assist employees to fulfill job responsibilities, goals and objectives;
- participating in quarterly and annual performance **reviews**; and
- participating in annual performance planning discussions.

2. The Performance Review and Planning System

The Northwest Territories Housing Corporation Performance Review and Planning System is comprised of eight (8) components. The eight components of the Performance Review and Planning System will be implemented in the following sequence.

PHASE 1

Phase I will be delivered to all new/transferred Corporate employees. Phase I will be implemented with the N.W.T. Housing Corporation's Employee Orientation Program.

1: Introduction to the Performance Review and Planning System

Timeframe: Between day 5-10 of the employee's tenure with the Corporation (see N.W.T.H.C. Employee Orientation Program)

Responsibility: Supervisor/Employee

2: Review Of Current Job Description

Timeframe: Between day 5-10 of the employee's tenure with the N. W.T.H.C.

Responsibility: Supervisor/Employee

3: Discussion of Job Responsibilities and Workplans

Timeframe: Between day 5-10 of the employee's tenure with the N.W.T.H.C.

Responsibility: Supervisor/Employee

4: Review of Resources Available to Assist the Employee

Timeframe: Between day 5-10 of the employee's tenure with the N.W.T.H.C.

Responsibility: Supervisor/Employee

PHASE 2:

Phase 2 will be implemented on an ongoing basis and to all Corporate employees.

5: Regular/Ongoing Review of Job Responsibilities

Timeframe: Ongoing and at minimum, quarterly.

Responsibility: Supervisor/Employee

6: Regular/Ongoing Review of Employee Performance

Timeframe: Ongoing and at minimum, quarterly.

Responsibility: Supervisor/Employee

7: Annual Performance Review and Planning

Timeframe: Annually and, before March 31.

Responsibility: Supervisor/Employee

8: Follow-Up

Timeframe: Ongoing

Responsibility: Supervisor/Director of Human Resources Division

**PROCEDURES: PERFORMANCE
REVIEW AND PLANNING SYSTEM**

N.W.T. HOUSING CORPORATION PROCEDURES: PERFORMANCE REVIEW AND PLANNING SYSTEM

THE PERFORMANCE REVIEW AND PLANNING SYSTEM

There are three main ingredients which make up any organization:

- 1) a reason for existing (mandate or overall goal);
- 2) people to **work** toward the organization's goal(s); and
- 3) an organizational structure and management systems which focuses **people's** work so that goals can be achieved.

Performance Review and Planning is a management system that links these three ingredients together. Performance Review and Planning **ENSURES THAT THE WORK OF CORPORATE EMPLOYEES CONTRIBUTES TO THE ACHIEVEMENT OF CORPORATE GOALS.**

A well understood and implemented Performance Review and Planning System offers many benefits. The System can be **CENTRAL TO THE EFFICIENT OPERATION AND FUTURE DEVELOPMENT OF THE N.W.T. HOUSING CORPORATION.**

*The System can establish targets and plans of action for each employee. Managers can then combine these employee action/work plans to develop a divisional/district plan which reflects both the goals of the employee and the Corporation as a whole. As a result, Performance Review and Planning improves overall employee productivity as well as Corporate effectiveness because the work of every individual is linked to the work of the Corporation.

*Performance Review and Planning can help make goals and objectives more realistic and more responsive to northern needs. This means better quality service to Corporate clients.

*Realistic and achievable objectives and work plans that everyone agrees on, can improve the quality of working life in the Corporation. Knowing the why, when, where, what, who and how of the Corporation's work will give each employee a better sense of his/her own responsibilities and how these relate to those of others.

The Performance Review and Planning System **IS SUPPORTIVE TO THE ASPIRATIONS OF ALL N.W.T. HOUSING CORPORATION EMPLOYEES.** The System considers how well the employee performed his/her job responsibilities and met Corporate goals, objectives and priorities. It also considers how performance can be improved and the employee's potential enhanced. Therefore, in each performance review and planning function, supervisors and employees are able to discuss and plan for training and career development needs. A timely, consistent and professionally implemented Performance Review and Planning System can benefit all Corporate employees.

*The System can improve job performance because employees and supervisors are planning and acting upon training and career development needs.

*Job satisfaction can increase because employees **will** be provided with the training or guidance needed to do their job.

*Motivation can increase as employees gain skills and plan for new career opportunities.

*Relationships among all employees can be enhanced through supervisors and employees working together developing work and training plans or, resolving job related problems.

TO BE EFFECTIVE, the Performance Review and Planning System **MUST BE IMPLEMENTED IN A TIMELY, CONSISTENT AND PROFESSIONAL MANNER** by all supervisors. At first, implementation of the Performance Review and Planning System may seem difficult. Yet, if properly understood and implemented, the System is an excellent management, evaluation and planning tool. A Supervisor's Guide has been prepared to ensure understanding and proper implementation.

The Northwest Territories Housing Corporation Performance Review and Planning System is comprised of eight (8) components. The components of the Performance Review and Planning System will be implemented in the following sequence.

PHASE 1:

Phase I will be delivered to all new/transferred Corporate employees. Phase I will be implemented with the N.W.T. Housing Corporation's Employee Orientation Program.

STEP 1: Introduction to the Performance Review and Planning System

Timeframe: Between day 5-10 of an employee's tenure with the N.W.T. Housing Corporation (see N.W.T. Housing Corporation's Employee Orientation Program).

Responsibility: Supervisor/Employee

Procedure: Face to face (one to one) discussions, **supported** by written information on the Performance Review and Planning System.

Step 1 will introduce the employee to the Corporation's Performance Review and Planning System. Upon completion, the employee will understand:

- . what the N.W.T. Housing Corporation's Performance Review and Planning System is;
- . why the Corporation implements a Performance Review and Planning System, its purpose and use;
- . the components that make up the Corporation's Performance Review and Planning System including performance review criteria;
- . how the Performance Review and Planning System is implemented;

- . when each component of the Performance Review and Planning System is implemented; and
- . the roles and responsibilities of the employee, the supervisor and the Human Resources Division in implementing the Performance Review and Planning System.

At the completion of this step, the employee should be provided with a personalized calendar identifying those performance review and planning activities for which he/she should prepare and for which he/she should participate.

STEP 2: Review of Current Job Description

Timeframe: Between day 5-10 of an employee's tenure with the N.W.T. Housing Corporation

Responsibility: Supervisor/Employee

Procedure: Face to face (one to one) discussions, supported by a clear, relevant and current job description.

The employee will be provided with a clear, relevant and, current job description and organizational charts for the N.W.T.H.C. and the particular division/district. The supervisor will ensure that the employee understands his/her major and minor duties, overall responsibilities and, reporting and functional relationships. The supervisor will also identify those responsibilities which have reports, meetings or other products associated with them.

STEP 3: Discussion of Job Responsibilities and Workplans

Timeframe: Between day 5-10 of an employee's tenure with the N.W.T. Housing Corporation

Responsibility: Supervisor/Employee

Procedure: Face to face (one to one) discussions, supported with written information such as overall Corporate goals, divisional/district objectives and objectives for the position.

Step 3 will relate the employee's specific job responsibilities to the:

- . long and short term goals and objectives of the Corporation;
- . annual divisional/district work objectives; and
- . objectives of the position.

At the end of this step, the supervisor and employee will prepare a workplan for the position for the upcoming year.

STEP 4: Review of Resources Available to Assist the Employee

Timeframe: Between day 5-10 of an employee's tenure with the N.W.T. Housing Corporation

Responsibility: Supervisor/Employee

Procedure: Face to face (one to one) discussions supported with written information such as lists of in-house resource people and, support services and programs available through the Corporation/G. N.W.T.

At the completion of Step 4, the employee will understand:

- individual and group support available within the Corporation; and
- . other employee support programs and technical services available to all - employees of the N.W.T. Housing Corporation.

PHASE 2:

Phase 2 will be implemented on an ongoing basis to all Corporate employees.

STEP 5: Regular/Ongoing Review of Job Responsibilities

Timeframe: Ongoing At minimum, supervisor-employee reviews will be held quarterly (every 3 months).

Responsibility: Supervisor/Employee

Procedure: Face to face (one to one) discussions.

Regular reviews of job responsibilities and actions taken to fulfil these responsibilities will provide both the supervisor and the employee with an opportunity to clarify and resolve any concerns respecting:

- . reporting and/or functional relationships,
- . specific duties and/or,
- . any other job related matters the employee or supervisor may wish to deal with.

STEP 6: Regular/Ongoing Review of Employee Performance

Timeframe: Ongoing. At minimum, supervisor-employee reviews will be held quarterly (every 3 months).

Responsibility: Supervisor/Employee

Procedure: Face to face (one to one) discussions.

Regular reviews of employee performance will enable the employee and the supervisor to discuss:

- . strengths and weaknesses in job performance,
- . appropriateness of job description,
- . suitability of individual work plans, and
- concerns/issues associated with management or direction Provided”

Between regular reviews both the supervisor and the employee should keep records or examples of issues which will be discussed in future reviews.

STEP 7: Annual Performance Review and Planning

Timeframe: The ‘Human Resources Division will send out a call letter three (3) months in advance (December 31) of all annual performance reviews. All performance reviews are to be completed by March 31st regardless of job category or the employee’s hire date.

In the event that an employee leaves a position within the Corporation, an annual review must be completed within one (1) day of the employee vacating the particular position.

To allow for flexibility, help with peak work schedules and so on, annual reviews may be completed up to three months before the due date of March 31st.

Responsibility: Supervisor/Employee/Human Resources Division.

Procedure:

1. The supervisor will provide the employee with one (1) week advance notice of the review. At this time, the supervisor will also provide the employee with copies of the:
 - a) Performance Review and Planning Report,
 - b) appropriate Performance Review - Skills Profile,
 - c) Training and Development Plan,
 - d) current, approved job description and,
 - e) current work plan prepared by and agreed to by the supervisor and the employee.
2. The supervisor will plan and prepare for the annual performance review by structuring a discussion format that ensures:
 - . a two-way communication process between the supervisor and the employee;
 - feedback and direction to the employee on his/her performance;
 - evaluation of employee performance, activities, strengths and areas of weakness;
 - development of work plans for the upcoming period;

- . asking the employee to **review his/her job description**, work plan, notes from previous **reviews**; and
- . asking the employee to think about future work plans, job responsibilities and professional development requirements.

3. The supervisor will conduct a face to face (one to one) discussion supported by written information such as the Performance Review and Planning Report, the appropriate Performance Review - Skills Profile, the Training and Development Plan, the employee's current, approved job description and, the employee's current work plan as previously prepared by and agreed to by the supervisor and the employee.

Keeping in mind the requirement to be systematic, accurate and positive, the supervisor should not be limited by forms provided or the categories of skills/knowledge listed.

STEP 8: Follow-Up

Timeframe: Ongoing

Responsibility: Supervisor/Director of Human Resources Division

Procedure: All completed Performance Review and Planning Reports including the Training and Development report will be provided to the Human Resources Division for recording and monitoring.

The Human Resources Division will collect training and staff development information and act upon supervisor's recommendations. Supervisors will work with Human Resources to ensure timely and appropriate follow-up to all staff development and training recommendations.

Poor performance will be dealt with immediately and not kept on file until the annual performance review. In cases where corrective action other than training is identified, the supervisor will work with the Director of Human Resources Division to determine the most appropriate solution(s) to the problem(s). Such solutions may include alcohol and drug counseling, family counseling, movement to another position within the Corporation, dismissal from the Corporation's employ and so on.

Supervisors are required to diligently pursue follow-up of Performance Review and Planning Reports. A high level of commitment signifies a supportive and professional manager.

**SUPERVISOR'S GUIDE:
PERFORMANCE REVIEW
AND PLANNING**

THE NORTHWEST TERRITORIES HOUSING CORPORATION SUPERVISOR'S GUIDE: PERFORMANCE REVIEW AND PLANNING SYSTEM

PERFORMANCE-BASED MANAGEMENT - MANAGING FOR RESULTS

WHAT IS PERFORMANCE REVIEW AND PLANNING?

*Performance Review is a process which measures the achievement of individual and organizational goals, objectives and workplans. It involves two-way communications between the supervisor and the employee in daily, quarterly and annual reviews.

*Performance Planning is a process in which the supervisor and employee jointly prepare and agree on a work plan and objectives for the upcoming quarter and for the year.

*Together, Performance Review and Planning provides the employee, supervisor and the Corporation with a meaningful system for evaluating and planning the effectiveness of individual, divisional/district and Corporate goals, objectives, priorities and activities. Combining Performance Review and Planning into one management system is an effective means of giving direction and mission to the employee and the organization as a whole.

WHY PERFORMANCE REVIEW AND PLANNING?

The Northwest Territories Housing Corporation is committed to implementing the Performance Review and Planning System for a number of reasons.

*The Performance Review and Planning System is an excellent management and planning tool. It can establish targets and plans of action for each employee as well as for the Corporation as a whole.

*The System allows N.W.T. Housing Corporation supervisors to measure the performance of an employee against mutually agreed to goals and objectives.

*It enables the supervisor to provide feedback to the employee on his/her job performance.

*The System enables both the supervisor and employee to adjust and refine goals, objectives and, workplans to reflect changes in divisional/district direction.

*Performance Review and Planning enables both the employee and the supervisor to identify training courses required for: present position, career advancement, specific Corporation functions and/or, other or personal reasons.

*Relationships among all employees can be enhanced. In particular strong management-employee relationships can develop through supervisors and employees working together to prepare work and training plans or, to resolve job related problems.

*Performance Review and Planning can **help** make Corporate goals and objectives more realistic and responsive to northern needs. This means better quality service to Corporate clients.

*Realistic and achievable objectives and work plans that everyone agrees on, can improve the quality of working life in the Corporation. Knowing the why, when, where, what, who and how of the Corporation's work will give each employee a better sense of his/her responsibilities and how these relate to those of others.

*As a Government Corporation, the **N.W.T.** Housing Corporation is also required to adhere to the Public Service Act which provides for the regular evaluation of employee performance.

WHEN TO IMPLEMENT THE PERFORMANCE REVIEW AND PLANNING SYSTEM?

*The Performance Review and Planning System is an ongoing process. It is part of the Corporation's yearly planning cycle and daily management function.

*When it comes to performance reviews and performance planning, supervisors and employees alike should always know what is expected. Supervisors and employees should expect day to day discussion and feedback, quarterly reviews at minimum and, an annual review.

*Both supervisors and employees should take time daily to maintain records of performance, copies of projects, notes on deadlines and so on. These will contribute greatly to meaningful quarterly and annual reviews.

*In the event of the transfer or promotion of an employee or supervisor, a performance review must be completed before the position is vacated.

IMPLEMENTING THE PERFORMANCE REVIEW AND PLANNING SYSTEM - SOME TIPS

*Supervisors are responsible for ensuring that employees know what happens within and as a result of each step of the review and planning process. Supervisors and employees should also share mutual expectations of the follow-up that is to be done as a result of each step. There should never be any surprises in any part of the Performance Review and Planning process.

*Supervisors are responsible for ensuring that the 'tools' of performance reviews and performance planning are current, relevant and clearly understood by the employee.

*Supervisors must make sure the performance review criteria used in quarterly and annual reviews is agreed to and understood by the employee.

*In implementing all facets of the Performance Review and Planning System, it is important that the supervisor is systematic, accurate and positive.

*Successful performance reviews and performance planning are dependent on preparation, sensitivity, effective listening and honesty.

*Avoid common pitfalls of performance review and performance planning. personality differences, inappropriate or untidy physical appearance and, cross cultural conflicts are just three problems that can be encountered. Remember that performance is what is being evaluated. Personalities, appearances or cultures should never be evaluated except in relation to on-the-job performance. Remember that conflicts can act as barriers to communication and understanding and eventually, affect work attitudes and performance.

MAKE SURE THERE IS FOLLOW-UP TO EACH COMPONENT OF THE PERFORMANCE REVIEW AND PLANNING TASK. **BE THE SUPERVISOR WHO:**

- . Provides counseling.
- . Gives feedback to employees.
- . Deals with a problem as soon as one becomes evident.
- . Follows-up on performance difficulties.
- . Recognizes that income, career potential and professional goals are for most, extremely important issues. Be sensitive to this.
- . is aware of and sensitive to personal problems employees may have and the impact these problems may have on their work performance.

Remember the Human Resources Division can provide you with training to improve **your** skills in implementing the Performance Review and Planning System. Also, consult the resources listed at the end of this manual.

PHASE 1

Phase 1 will be delivered to all new/transferred employees. It will be implemented with the N.W.T. Housing Corporation's Employee Orientation Program.

STEP. 1: Introduction to the Performance Review and Planning System

Step 1 will introduce the employee to the Corporation's Performance Review and Planning System. This will be done between 5-10 days after an employee joins the Corporation. Upon completion, the employee will understand:

- . what the N.W.T. Housing Corporation's Performance Review and Planning System is;
- . why the Corporation implements a Performance Review and Planning System, its purpose and use;
- . the components that make up the Corporation's Performance Review and Planning System including performance review criteria:
- . how the Performance Review and Planning System is implemented;
- . when each component of the Performance Review and Planning System is implemented; and

- . the roles and responsibilities of the employee, supervisor and the Human Resource Division' in implementing the Performance Review and Planning System.

Procedure:

1. Prepare a package of written materials explaining the Performance Review and Planning System. This package should include:
 - the N. W.T.H.C.'s Performance Review and Planning policy, directive and procedures;
 - completed examples of a Performance Review and Planning Report, an appropriate Performance Review-Skills Profile and a Training and Development Plan; and
 - a calendar identifying dates for performance review and planning activities. The calendar should be personalized and identify those activities which the employee should prepare for and participate in.
2. Provide the information package to the employee. Within three (3) days, discuss the information package with the employee. Allow time for employee questions at this time or for the day immediately following.

Ensure that the employee is provided with verbal or written examples of performance review criteria which have been used in the past by the Corporation to evaluate this position (or a similar position). Ask the employee to consider these in light of his/her quarterly and annual reviews.

Ensure that the employee is provided with verbal or written examples of measures (ie. training, counseling and, disciplinary actions) that the Corporation may take to improve performance.

STEP 2: Review of Current Job Description

Step 2 will ensure that the employee understands:

- . his/her major and minor duties;
- . overall responsibilities;
- . those responsibilities which have reports, meetings, presentations, forms or other specific actions associated with them; and
- . reporting and functional relationships.

The review of responsibilities and expectations will occur between 5-10 days after the employee joins the Corporation.

Procedure:

1. Ensure that the employee is provided with a clear, relevant and, current job description and organizational charts for the Corporation and divisional/district.

Supervisors will ensure that they are prepared to discuss examples of activities (ie. meetings, reports and, other day to day activities) required of the particular position.

2. Meet with the employee to discuss his/her job responsibilities and, reporting and functional relationships. Allow time for employee questions either at this time or for the day immediately following.

Written notes prepared by the supervisor during this meeting should be kept on file and made available as required, to the Human Resources Division.

STEP 3: Job Responsibilities and Workplans

Step 3 will result in the establishment of an individual work plan for the upcoming year, relating the employee's particular job responsibilities to:

- . long and short term goals and objectives of the Corporation;
- . annual divisional/district work objectives; and
- . objectives and priorities of the position.

This step will be taken between 5-10 days after the employee joins the Corporation.

Procedures:

1. Supervisors will ensure that they are prepared to explain and discuss: the long and short term goals and objectives of the Corporation; annual divisional/district objectives; and the objectives of the particular position. Copies of documents outlining these goals and objectives should be made available to the employee.

2. The supervisor will meet with the employee to develop his/her workplan. Supervisors will discuss the employee's job responsibilities (as described in the job description) and relate these responsibilities to Corporate and divisional/district goals, objectives and priorities.

3. The supervisor and the employee will then identify what goals and objectives are appropriate for the particular position. Together the supervisor and employee will agree on the objectives and priorities for the position: for each month, for each quarter and for the year. These MUTUALLY AGREED objectives and priorities will be documented at this time in a work plan for the position. Both the supervisor and the employee should consider the needs and directions of the Corporation and the division/district as well as job/career development goals and objectives when developing the work plan for the upcoming period.

Allow time for employee questions either at this time or for the day immediately following.

Written notes prepared by the supervisor during this meeting should be kept on file and made available as required, to the Human Resources Division.

STEP 4: Review Of Resources Available to Assist the Employee

The objectives of this step are to ensure that the employee has adequate knowledge of and access to individual and group support within the Corporation and the G. N.W.T. At the completion of this step, the employee will understand what resources are available to assist him/her to fulfill job responsibilities and accomplish his/her work plan.

This step will be taken between 5-10 days after the employee joins the N.W.T. Housing Corporation.

Procedures:

1. Develop a list of reference/resource materials available to the employee. The list at the back of this guide provides a good beginning.
2. Develop a list of in-house resource people and their particular areas of expertise and/or responsibility.
3. Develop a list of services and programs available to Corporate employees. This list should include support offered by the union, the G. N.W.T. Dept. of Personnel and, the G. N.W.T. Dept. of Education. For example include: information on pay and benefits; personal, family and other counseling services; and training and other staff development programs/courses.
4. Meet with the employee to review these lists. Ensure that the employee understands that he/she can contact you or the Human Resources Division to access these resources.

PHASE 2:

Phase 2 will be implemented on an ongoing basis to all Corporate employees.

STEP 5: Regular/Ongoing Review of Job Responsibilities

This step ensures that there is a forum regularly available to clarify and resolve any concerns respecting reporting/functional relationships, specific job responsibilities and/or any other job related matter the employee or supervisor may wish to deal with. At minimum, supervisor-employee reviews will be held every three (3) months.

Procedures:

1. The supervisor and the employee will meet face to face at least every three (3) months to review job responsibilities, reporting/functional relationships and any other concerns related to the employee's job description.

Quarterly reviews are important and an integral part of the Performance Review and Planning System. All reviews should be scheduled in advance and both the supervisor and the employee should know what to expect from them.

Supervisors should recognize that employee perceptions can be different than their own. Ask the employee his/her opinion on the responsibilities of the job and reporting/functional relationships. Listen to and discuss possible solutions and take responsibility for the action. Ensure that the employee has the opportunity to respond to all points raised. Be sensitive and open.

Written notes prepared by the supervisor during this review should be kept on file and made available as required, to the Human Resources Division.

STEP 6: Regular/Ongoing Review of Employee Performance

Regular reviews of **employee performance enable the employee and the supervisor to identify strengths and weaknesses in job performance, appropriateness of job description, suitability of individual work plans, and concerns/issues** associated with management or direction provided. Performance **reviews** will be held at least every three months and may be held in conjunction with the review of job responsibilities (see Step 5 above).

Procedures:

1. Between regular quarterly reviews, both the supervisor and the employee should keep records or examples of issues which will be discussed.
2. The supervisor should remind the employee to prepare for the review meeting. Make sure you prepare as well. The employee should be reminded that his/her comments and aspirations are important and will be discussed.

When preparing for the review, both the supervisor and the employee should know the objectives for the period. Remember these objectives should have been mutually understood and agreed upon. It is not possible to set realistic, achievable, mutually agreed-on goals without understanding the job.

Both the supervisor and the employee should know what they want to get out of the review. In preparing for the review, ask yourself: "What results do I want?", "Am I getting these results?" "Why not?", "IS the work plan realistic?", "What are the individual's strengths?", "Would training help the individual to better do his/her job?", "Would training help the individual to better develop his/her potential?"

3. The supervisor and the employee will meet at least every three months to review employee performance. Before the review begins, take time to discuss and agree on the performance review criteria which will be used. Remember there should never be any surprises in any aspect of the performance review. This means that criteria which have not been agreed to cannot be used in the review process. Likewise, any goals and objectives which have not been mutually agreed upon cannot be used to measure performance.

Supervisors should remember that ongoing reviews require a fine balance of objective, professional judgement combined with personal opinion. Good quarterly reviews happen when both the supervisor and employee are specific and candid in their discussion. Making vague comments only **serve** to confuse the other person.

Be sensitive and a good listener. Show that you care about the concerns being raised and that you are committed to doing something about them.

Written notes prepared by the supervisor during this review should be kept on file and made available as required, to the Human Resources Division.

STEP 7: Annual Performance Review and Planning

The annual performance review is an exercise which provides feedback and direction to the employee on his/her performance for the past year. The annual review pulls together quarterly reviews to identify overall strengths and weaknesses in job performance, appropriateness of job description, suitability of individual work plans, requirements for corrective action and other supervisor or employee concerns/issues. The review allows the employee and supervisor to plan for the upcoming year. The review also enables the Corporation to establish organizational and human resources goals, objectives and priorities for the upcoming year.

The Human Resources Division will send out a call letter three months prior to March 31st. All annual performance reviews are to be completed by March 31 regardless of job category or the employee's hire date.

In the event of the transfer or promotion of an employee or supervisor, an annual review must be completed within one (1) day of the employee vacating the particular position. To allow for flexibility, help with peak work schedules and so on, annual reviews may be completed up to three months before the due date of March 31st.

Procedures:

1. Both the supervisor and the employee must prepare for the annual review. Ask the employee to review his/her job description, work plan and notes from quarterly reviews and, to think about future work plans, changes in job responsibilities and professional development requirements for the future. Do likewise.
2. Establish a time for the **review** and make sure that there will be no interruptions. One (1) week notice of the review is appropriate.
3. Before the review begins, the supervisor and employee will discuss and agree on the performance review criteria to be used. Make sure that copies of the Performance Review and Planning Report, the appropriate Performance Review-Skills Profile, the Training and Development Plan, current job description and, current individual and divisional work plans are available for the review.

Structure your questions in a positive way. Prepare these ahead of time. Be prepared to modify some of your statements and queries on the basis of the employee's comments. Focus the discussion on objectives and priorities. Be specific and candid. Avoid generalities.

Performance reviews are a two-way process. Avoid dominating the discussion. Performance reviews are not subjective or moral judgments. Reviews are not personal opinions of the habits, characteristics or traits of the employee, except as they directly relate to on-the-job performance. If personalities become an issue, or if personal opinion becomes the only measurement, the value and purpose of the review will be lost.

4. Supervisors **will** discuss the employee's job responsibilities (as described in the job description) and relate these responsibilities to Corporate and divisional/district goals, objectives and priorities.

The supervisor and the **employee will then identify what goals and objectives are appropriate** for the particular position. Together the supervisor and employee will agree on the objectives and priorities **for the position: for each month, for each quarter and** for the upcoming year. **These MUTUALLY AGREED objectives and priorities** will be documented at this time in a work plan for the position.

Both the supervisor and the employee should consider the needs and directions of the Corporation and the **division/district** as well as job/career development goals and objectives when developing the work plan **for the upcoming period**.

5. Complete **the Performance Review and Planning Report, the appropriate Performance Review-Skills Profile and the Training and Development Plan. Note that the Performance Review and Planning Report and the Training and Development Plan are required forms. The Performance Review-Skills profile is optional.**

6. Provide all written reports to the **employee for** review, written comment and signature. Employees have the right to grieve the performance report to correct any factual inaccuracies.

A well-documented performance report includes:

- . a statement of objectives and actual results achieved for the year;
- . a brief narrative substantiating rating and highlighting strengths and areas where improvement is required;
- development and training needs for the present position and for future promotions;
- . a fair and objective assessment of the employee's potential;
- . the supervisor's statement on the employee's career aspirations;
- . the employee's statement on his/her career aspirations;
- . employee and supervisor's comments on the overall report; and
- . a clear statement of objectives and expected results for the coming year.

Where the review form recommends advancement, be as specific as possible in terms of timeframe, position and comments on skills/knowledge.

Keeping in mind the requirement to be systematic, accurate and positive, the supervisor should not be limited by forms provided or the categories of skills/knowledge listed. Append other comments if necessary.

7. Review all completed forms with your manager in order to ensure completeness, fairness and accuracy. Your manager will sign off completed forms.

8. All Performance Review and Planning Reports, Training and Development Plans

and Skills Profiles as well as **employee or other written attachments will be forwarded to the Human Resources Division.**

9." The Human Resources Division will record all requirements **for follow-up.**

10. All performance review reports **will be placed on the employee's file.**

STEP 8: Follow-Up

There are a number of areas **where follow up of the performance review may be required: job, career or other training; disciplinary actions; motivational requirements; personal counseling; and/or promotional/transfer initiatives. Lack of follow up to the annual performance review will negatively impact the effectiveness of this planning and management tool.**

Follow-up actions should occur in the month immediately following the performance review and be ongoing thereafter, as required.

Procedures:

1. The supervisor will work with Human Resources to ensure timely and appropriate follow-up to performance reviews.

Remember that:

*Training may not be supported unless it is identified in the performance review. It is important to distinguish between a course needed to improve present job performance and a course to prepare the person for another job.

***While training to enhance on-the-job performance is available to all employees, only employees with good work records should receive career development support. Make sure this is identified in the performance review.**

*Employees should have some idea of the field or profession that they want to pursue. Courses should be directed toward a career goal which will be of benefit to both the individual and the Corporation.

The decision whether an employee is to be recommended for an annual pay increment is made at a different time than the performance review. The decision however to grant an increase is in conjunction with the employee's normal anniversary date and how well the employee has done his/her job. The performance report supports the supervisor's decision to recommend approval or denial of an increment.

in cases where corrective action other than training is identified, the supervisor will work with the Director of Human Resources Division to determine the most appropriate solution(s) to the problem(s). Solutions may include family counseling, alternative housing, movement to another position in the Corporation, dismissal from the Corporation's employ and so on.

Remember poor performance is to be dealt with immediately and not kept on file until the annual performance review.

RESOURCE MATERIALS

N.W.T.H.C. Policies and Guides:

1. Employee Orientation Manual
2. Employee Orientation Program
3. Performance Review and Planning System Policy
4. Staff Training and Development Policy

G. N.W.T. Policies and Guides:

1. A Manager's Guide to Employee Discipline
2. Alcoholism, A Guide for Supervisors
3. Hay Plan, Position Evaluation and Compensation System for Senior Employees
4. Employee's Guide to Performance Review and Planning

N.W.T.H.C. Audio-Video Materials

1. Human Touch Performance Appraisal

HOW TO CONDUCT THE ANNUAL PERFORMANCE REVIEW

*This book/et has been designed by the **Human Resources Division** as a quick reference guide for all Corporate Supervisors conducting annual performance reviews.*

WHEN TO CONDUCT THE ANNUAL PERFORMANCE REVIEW?

-All annual performance reviews are to be completed by March 31st regardless of job category or the employee's hire date.

-In the event that an employee leaves the Corporation, an annual review must be completed within one (1) day of the employee vacating the particular position.

-To allow for flexibility, **help with peak work schedules and so on, annual reviews may be completed** up to three (3) months before the due date of March 31st.

DO YOU KNOW WHAT PERFORMANCE REVIEW AND PLANNING IS?

Let's quickly review the N.W.T. Housing Corporation's Policy for Performance Review and Planning.

PERFORMANCE REVIEW is a process which measures the achievement of individual and organizational goals, objectives and workplans.

PERFORMANCE PLANNING is a process which enables you and your employee to prepare and agree on a work plan and objectives for the upcoming quarter and for the year.

Combined, **PERFORMANCE REVIEW AND PLANNING** provides you and your employee and the Corporation with a meaningful system for planning and evaluating the effectiveness of individual, divisional/district and Corporate goals, objectives, priorities and activities.

GETTING READY TO CONDUCT THE ANNUAL PERFORMANCE REVIEW

As you know, the Performance Review and Planning System is an ongoing part of the Corporation's yearly planning cycle and daily management function. Two way communications between you and your employee on a daily and quarterly basis, is part of your preparation for the annual performance review. In fact, the annual performance review allows you and your employee to pull all these discussions together.

To conduct a successful annual review,

1. Know what you and your employee want to get out of the annual performance review.

-The annual performance review provides feedback and direction to the employee on his/her performance for the past year.

-It identifies: overall strengths and weaknesses in job performance, appropriateness of job description, suitability of individual work plans and requirements for actions to improve on-the-job performance.

-The annual review allows you and your employee to plan for the upcoming year.

-The review also enables the Corporation to establish organizational and human resources goals, objectives and priorities for the upcoming year.

REMEMBER THERE SHOULD NEVER BE ANY SURPRISES OR FEARS ASSOCIATED WITH THE ANNUAL PERFORMANCE REVIEW.

2. Give the employee notice of the date and time of the annual performance review.
-Provide the employee with one (1) week advance notice of the review.

MAKE SURE THAT THERE WILL BE NO INTERRUPTIONS AT THIS TIME.

3. Prepare for the annual performance review.

-You and your employee should review the:

- a) Performance Review and Planning Report,
- b) appropriate Performance Review - Skills Profile,
- c) Training and Development Plan,
- d) current, approved job description and,
- e) current **work plan prepared by and agreed to by yourself and your employee.**

-Ask your employee to review his/her job description, work plan and notes from quarterly reviews and, to think about future work plans, changes in job responsibilities and professional development requirements for the future. You should do the same.

-Prepare a list of questions ahead of time. Structure **your questions** in a positive way.

MAKE SURE THAT THE 'TOOLS' OF THE PERFORMANCE REVIEW ARE CURRENT, RELEVANT AND CLEARLY UNDERSTOOD BY YOURSELF AND YOUR EMPLOYEE. REMEMBER TO BE PREPARED TO MODIFY SOME OF YOUR STATEMENT AND QUERIES ON THE BASIS OF YOUR EMPLOYEE'S COMMENTS.

SUCCESSFUL PERFORMANCE REVIEWS ARE DEPENDENT ON PREPARATION, SENSITIVITY, EFFECTIVE LISTENING, and HONESTY.

CONDUCTING THE ANNUAL PERFORMANCE REVIEW.

THE ANNUAL PERFORMANCE REVIEW WILL BE COMPLETED THROUGH DISCUSSION BETWEEN YOU AND YOUR EMPLOYEE.

1. Discuss and agree on the performance review criteria to be used.

REMEMBER ONLY CRITERIA MUTUALLY AGREED TO BY BOTH YOURSELF AND YOUR EMPLOYEE CAN BE USED TO MEASURE PERFORMANCE.

2. Discuss your employee's job responsibilities (as described in the job description) and relate these responsibilities to Corporate and divisional/district goals, objectives and priorities.

PERFORMANCE REVIEWS ARE A **TWO-WAY PROCESS. AVOID DOMINATING THE DISCUSSION.**

3. Identify what goals and objectives are appropriate for the particular position.

FOCUS DISCUSSION ON OBJECTIVES AND PRIORITIES. BE SPECIFIC AND CANDID. AVOID GENERALITIES.

4. Agree on the objectives and priorities for the position: for each month, for each quarter and for the upcoming year.

REMEMBER THAT THESE OBJECTIVES AND PRIORITIES MUST BE MUTUALLY AGREED TO BOTH YOURSELF AND YOUR EMPLOYEE.

5. Document these MUTUALLY AGREED OBJECTIVES AND PRIORITIES in a work plan for the position. Consider the needs and directions of the Corporation and the division/district as well as job/career development goals and objectives when developing the work plan for the upcoming period.

YOU SHOULD BE SYSTEMATIC, ACCURATE AND POSITIVE AT ALL TIMES. .

6. Complete the Performance Review and Planning Report, the appropriate Performance Review-Skills Profile and the Training and Development Plan. Note that the Performance Review and Planning Report and the Training and Development Plan are required forms. The Performance Review-Skills profile is optional.

DO NOT BE LIMITED BY THE FORMS PROVIDED OR THE CATEGORIES OF SKILLS/KNOWLEDGE LISTED. APPEND OTHER COMMENTS IF NECESSARY.

7. Provide all written reports to the employee for review, written comment and signature.

EMPLOYEES HAVE THE RIGHT TO GRIEVE THE PERFORMANCE REPORT TO CORRECT FACTUAL INACCURACIES.

8. Review all completed forms with your manager in order to ensure completeness, fairness and accuracy. Your manager will sign off completed forms.

REMEMBER YOU ARE MEASURING ON-THE-JOB PERFORMANCE. DO NOT MAKE ANY PERSONAL JUDGMENTS ABOUT THE HABITS OR PERSONALITY OF YOUR EMPLOYEE EXCEPT AS THEY RELATE TO ON-THE-JOB PERFORMANCE.

9. Forward all Performance Review and Planning Reports, Training and Development Plans and Skills Profiles as well as employee or other written attachments to the Human Resources Division.

REMEMBER POOR PERFORMANCE MUST BE DEALT WITH IMMEDIATELY AND NOT KEPT ON FILE UNTIL THE NEXT REVIEW PERIOD.

WHAT IS A WELL-DOCUMENTED PERFORMANCE REPORT?

- A statement of objectives and actual results achieved **for the year**.
- Brief narrative substantiating rating and highlighting strengths and areas where improvement is required.
- Development and training needs for the present position and for future promotions.
- A fair and objective assessment of the employee's potential.
- Your statement on your employee's career aspirations.
- Your employee's statement on his/her career aspirations.
- Your employee's and your comments on the overall report.
- A clear statement of objectives and expected results for the coming year.

Where the review form recommends advancement, be as specific as possible in terms of timeframe, position and comments on skills/knowledge.

FOLLOW-UP TO THE ANNUAL PERFORMANCE REVIEW

You are required to follow-up on the annual Performance Review.

1. The Human Resources Division will record all requirements for follow-up. All performance review reports will be placed on the employee's file.
2. The Human Resources Division will collect training and staff development information.
3. You should work with Human Resources to ensure timely and appropriate follow-up to all staff development and training recommendations.

A HIGH LEVEL OF COMMITMENT TO FOLLOW-UP INDICATES A SUPPORTIVE AND PROFESSIONAL MANAGER.

Remember the Human Resources Division can provide you with training to improve your skills in implementing the Performance Review and Planning System. Also, consult the N. W. T. H.C.'s Policy on the Performance and Review Planning System and Supervisor's Guide to the Performance Review and Planning System.