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| ESDC’s 2020-2021Year-End Assessment Performance Management(for non-EX employees) CHECKLIST  |
|   **The** [year-end cycle of performance management](http://iservice.prv/eng/hr/pla/topics/year_end_assessment.shtml) **is a time for Managers/supervisors to:** **⌘** Have a discussion and rate their employees about observed performance. **⌘** Provide recognition, encouragement, [support](https://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/support-soutien-eng.asp) and constructive feedback. **⌘** Provide direction or additional support on any aspect requiring improvement or change. **⌘** Assess andassign a [rating](https://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/ratings-attribution-eng.asp), both on [work objectives](http://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/wo-ot-eng.asp) (the « what ») and [competencies](http://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/comp-eng.asp) (the « how »). **⌘** Discuss the [Learning and Development Plan](https://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/ldp-pap-eng.asp). **⌘** Document the discussion and employee’s performance in relation to work objectives and [core competencies](http://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/comp-eng.aspl) in the [PSPM App](https://portal-portail.tbs-sct.gc.ca/home-eng.aspx).  |
| Step 1: Preparing for the Conversation |
| Managers/Supervisors | Employees |
| * Review each [work objective](http://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/wo-ot-eng.asp) against the established [performance indicators](http://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/smart-eng.asp) and expectations (the « what »).
* Review each [core competency](http://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/comp-eng.aspl) and determine how regularly or consistently the employee demonstrated the [effective behaviours](https://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/bi-ic-eng.asp) associated with the competency (the « how »).
* Identify possible factors that may have had an influence on success or [unsatisfactory performance](http://iservice.prv/eng/hr/labour_relations/managers_corner/coe_training_unsatisfactory_performance.shtml) and determine how to reinforce strengths and/or next steps for improvement.
* In cases of [unsatisfactory performance,](http://iservice.prv/eng/hr/labour_relations/managers_corner/coe_training_unsatisfactory_performance.shtml)  it is important that you document the specifics of the performance problem(s) by identifying which requirements are not being met and how they are not being met.
* For more information or tools, such as a [Performance Improvement Plan](http://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/ap-pa-eng.asp), to manage unsatisfactory performance, you are strongly encouraged to seek advice from [Labour Relations](http://iservice.prv/eng/hr/labour_relations/managers_corner/labour_relations_tools.shtml) as soon as possible.
* Address learning needs and status of learning activities and link to performance observations.
* Document the key messages/information you are going to discuss with your employee.
* Consider key questions you may want to ask your employee, such as career aspirations, motivations and professional interests.
* Take the time to check-in on a regular basis with your employees’ emotional well-being during these unprecedented stressful times.
* Do consider the many factors that could affect your employees’ performance during COVID-19 and take them into consideration when making your assessment.
* Schedule a virtual meeting well in advance with the employee to allow for preparation.
* Agree on the technology to use for the meeting (for example, MS Teams allows you to have a visual interaction).
* Provide specific guidance to your employee on what he/she needs to prepare in advance, including the level of contribution you expect in the discussion.
* Specify any documentation (i.e. performance agreement, learning plan, unit work plan, [employee self-assessment](https://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/se-ae-eng.asp), etc.) the employee should provide at the meeting or provide in advance, according to your preference.
* Allocate the same amount of time for each employee (approximately an hour) for the conversation to take place and eliminate possible disruptions or getting off topic.
* Have your year-end assessment discussions with your employees **no later than March 31, 2021**.
 | * Complete a [self-assessment](https://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/se-ae-eng.asp) of your progress against your [work objectives](http://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/wo-ot-eng.asp) (the « what »), [core competencies](http://iservice.prv/eng/hr/pla/topics/reference_tool.shtml) (the « how ») and learning goals, to ensure you are meeting established expectations.
* Ensure your manager/supervisor is aware of your progress by providing a list of your key results delivered to date and those you plan on accomplishing.
* Note any factors that have or may affect your ability to meet expectations, how these could be overcome or how your objectives may need to be adjusted.
* Determine 1-2 key strengths you consistently demonstrated, or significantly improved, in performing your [work objectives](http://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/wo-ot-eng.asp) and want to communicate with your manager/supervisor.
* Make sure that you have completed your mandatory training by the deadline date. Consult [iService](http://iservice.prv/eng/college/mandatory_training/index.shtml) for the details.

**⌘ Managers and Employees:** *Are you anticipating a* [*difficult conversation*](https://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/strat-eng.asp)*?*[The Office of Informal Conflict Management (OICM)](http://iservice.prv/eng/hr/oicm/index.shtml) is available to assist both managers and employees by acting as a neutral third party and by offering ways to prevent, manage and resolve workplace conflicts.Check out the NEW workshop [Difficult Performance Management Discussions](https://esdc.sabacloud.com/Saba/Web_wdk/CA1PRD0006/index/prelogin.rdf?spfUrl=%2FSaba%2FWeb_spf%2FCA1PRD0006%2Fcommon%2Fledetail%2F0000072561) \* available via SABA. \* For supervisors only. |
| **⌘** ESDC’s newly revised[Competency Dictionary](http://iservice.prv/eng/college/competency-dictionary/index.shtml) is a tool that managers and employees can use to find definitions of behaviours provided for each competency and skill to assess or self-assess performance and identify gaps at the individual and team level. |
| Step 2: Holding the Conversation |
| Managers/Supervisors | Employees |
| * Encourage a collaborative and open discussion by asking the employee to lead the discussion and then provide supportive and/or corrective feedback. Elaborate on what you have heard.
* Offer recognition, encouragement, and constructive feedback. Discuss in detail any issues that may require additional direction or [support](https://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/support-soutien-eng.asp).
* Be open to receiving feedback on your management style.
* Review the established [Learning and Development Plan](http://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/ldp-pap-eng.asp) or [Performance Improvement Plan](http://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/ap-pa-eng.asp) – PIP (formerly known as Action Plan), if applicable.
* Discuss progress to the [mandatory training](http://iservice.prv/eng/college/mandatory_training/index.shtml).
* Consider how your assessment compares to the employee’s [self-assessment](https://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/se-ae-eng.asp).
* Communicate your assessment based on observed performance and results to date.
* Make sure to get direction from your branch or region’s [review panel](https://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/rp-ce-eng.asp) as to when you can share the year-end [rating](https://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/ratings-attribution-eng.asp) with your employee.
* Summarize the conversation (i.e. key messages, next steps, and follow-up plan).
 | * Share your [self-assessment](https://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/esep-aepe-eng.asp) against the achievement of your objectives and performance indicators.
* Discuss what went well and/or not so well. What could have been done better or differently? What would you like to improve?
* Ask for feedback from your manager/supervisor on what you are doing well and what you might improve upon so you can focus on these areas for development.
* Share your thoughts on your career aspirations, motivations and professional interests at work.
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| **⌘** *The* [*conversation*](https://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/yr-fe-eng.asp) is the most important aspect of performance management. Open, honest two-way communication, active listening, constructive feedback and mutual respect are key factors. |
| Step 3: After the Conversation |
| Managers/Supervisors | Employees |
| **Document the** [PSPM App](https://portal-portail.tbs-sct.gc.ca/home-eng.aspx) **no later than April 30th, 2021*** **Section A**. Update employee’s personal information, if necessary.
* **Section B.** Assign one [rating](https://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/ratings-attribution-eng.asp) for all [work objectives](http://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/wo-ot-eng.asp) and write comments about how well each work objectives were achieved against [performance indicators](https://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/smart-eng.asp).
* **Section C.** Assign one [rating](https://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/ratings-attribution-eng.asp) for all four [core competencies](http://iservice.prv/eng/hr/pla/topics/reference_tool.shtml) and write comments about how each competency was demonstrated against behavioural indicators.
* **Section D**. Review the [Learning and Development Plan](http://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/ldp-pap-eng.asp).
* **Section F** (if applicable). Update the current [Performance Improvement Plans](http://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/ap-pa-eng.asp) (formerly called Action Plan) or create a new one based on the employee’s [rating](https://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/ratings-attribution-eng.asp).
* **Section G** (If applicable). If the employee currently has a [Talent Management Plan](http://iservice.prv/eng/hr/pla/talent_management/tools_help_complete_tmp.shtml) (TMP), complete all sections and close it (as of April 1st 2020, Talent Management Plans are no longer linked to performance ratings).
* **Section I.** (If applicable), ensure that for an employee on probation, an attestation has been made a few months before the end of the probation period, to confirm whether the employee has met expectations.
* **Section E**. Check the 1st box to indicate that you and your employee have discussed the content of the performance agreement, including the assessment against the work objectives and the competencies (expected behaviours).

Check the Manager’s signature box.Ask your employee to: 1) read your comments 2) check the 1st box to confirm that the conversation took place (Note: this statement indicates that the discussion has taken place; it does not indicate agreement on the content) 3) check the signature box. **Remember**: the manager/supervisor signs first, the employee signs afterwards. Click “**Save**” (at the top or at the bottom of the screen). * After signing the year-end PA, make sure to click on ‘’***Add a Performance Agreement’’*** to open next year’s beginning of year cycle.
 | **Document the** [PSPM App](https://portal-portail.tbs-sct.gc.ca/home-eng.aspx) **no later than April 30th, 2021*** **Section A**. Review your personal information and ask your manager/supervisor to make any necessary updates.
* **Section B**. read the manager’s comments and, if you wish, add your own comments.
* **Section C**. read the manager’s comments and, if you wish, add your own comments.
* **Section D**. Review and update accordingly your [Learning and Development Plan](http://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/ldp-pap-eng.asp).
* **Section F** (if applicable). Discuss with your manager your progress on your current [Performance Improvement Plans](http://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/ap-pa-eng.asp) (formerly called Action Plan) or the need to implement one based on your [rating](https://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/ratings-attribution-eng.asp).
* **Section G** (if applicable). If you currently have a [Talent Management Plan](http://iservice.prv/eng/hr/pla/talent_management/tools_help_complete_tmp.shtml) (TMP), ask your manager to close it (as of April 1st 2020, Talent Management Plans are no longer linked to performance ratings).
* **Section E**. Check the 1st box to confirm that the conversation took place (Note: This statement indicates that the process has taken place; it does not indicate agreement on the content).

Check the Employee’s signature box.**Remember**: Your manager/supervisor will sign first and you will sign afterwards. Click “**Save**” (at the top or the bottom of the screen). |
| **⌘ Important reminder**: In addition to capturing intended learning activities in the [Learning and Development Plan](http://intranet.canada.ca/hr-rh/ptm-grt/pm-gr/pmc-dgr/ldp-pap-eng.asp) within the [PSPM App](https://portal-portail.tbs-sct.gc.ca/home-eng.aspx), at ESDC, all completed learning activities should also be recorded in [Saba](http://iservice.prv/eng/college/saba/index.shtml), since it is the department’s source for tracking and reporting all learning activities. |
|  | * For answers to branch or region-specific questions, contact your [Performance and Talent Management Branch and Regional Coordinators’ Network](http://iservice.prv/eng/hr/pla/branch_coordinators.shtml)representative.
* For questions or comments pertaining to this Checklist or regarding the [Performance Management Program](http://iservice.prv/eng/hr/pla/tools_and_resources/faq_pmp.shtml) and associated year-end requirements, contact the Non-Executive Employees Performance Management team.
* For help regarding the Public Service Performance Management Application (PSPM App), contact your branch or regional [PSPM App Administrator](http://iservice.prv/eng/hr/pla/psmp-administrators.shtml).
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| **Check out** the [Performance Management Year-End Assessment](http://iservice.prv/eng/hr/pla/topics/year_end_assessment.shtml) and [Reference Tools](http://iservice.prv/eng/hr/pla/tools_and_resources/reference_tools.shtml) iService pages where you will find the Year-End Assessment’s Complete Guide, various tools, Q&A’s, learning labs, etc. |