
Guidelines for Managers



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This publication is a living document for the staff working in the National Statistical Offices. It contains various information about what it means to be a good manager, examples of practices from different statistical offices, and links to many useful materials in this area. It was prepared by the Modernisation Committee on the Organisational Framework and Evaluation, under the [High Level Group for the Modernisation of Official Statistics](#)





Guidelines for Managers

Overview

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Leadership

Risk Management

Managing staff vacancies

Safe working environment

Managing a respectful workplace

Conduct and behaviour

Performance and underperformance

Recognition and reward

Capability and development

Managing work conditions and life balance

Managing attendance

Health and well-being

Users are encouraged to take part in improving and extending this publication. If you have questions or comments please e-mail them to: support.stat@unece.org

1 OVERVIEW

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1.1 Overview

This on-line publication is maintained by the members of the Modernisation Committee on Organisational Frameworks and Evaluation. This committee is one of the four committees under the [High-Level Group for the Modernization of Official Statistics \(HLG-MOS\)](#), which was created by the Bureau of the Conference of European Statisticians (CES) in 2010.

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.

The Guidelines contain information about what it means to be a good manager in a statistical organisation, 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.

We hope that the Guidelines will be a useful on-line resource for the staff working in national and international statistical organizations in their daily work.

Please provide any feedback or suggestions for enhancements to support.stat@unece.org.

2 BEING A GOOD MANAGER

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2.1 Introduction

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.

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.

A good manager is responsible and accountable for a number of functions including:

- the delivery of a timely work program of high quality
- encouraging innovation and identifying improvements
- building the capability of staff and teams
- contributing to the National Statistical Organisations mission and corporate objectives
- upholding and promoting Statistical Organisations values and policies

For example, a statistical manager is responsible for ensuring s/he delivers the right work program meeting priority requirements from a specific statistical field. S/he needs to possess a good understanding of the program area, and obtain the right resources and capability in order to deliver that work program efficiently and effectively.

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

2.2 Key Principles and Objectives

In all organisations employees are expected to act with integrity, to uphold the values, workplace ethics, behaviours and attitudes embodied in the organisation's guidelines.

In addition, most National Statistical Organisations hold the following values crucial to the role as an independent provider of information:

- integrity
- professionalism
- service
- relevance
- trust of providers
- access for all

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 organisations guidelines and ethics.

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Tips

In addition to the skills and behaviours 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

2.3 Key Processes and Issues

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:

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

The organisation 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 organisation.

Showing respect, trust and engagement towards the employees is as essential to effective management as achieving work outcomes. The organisation 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.

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

Below is a selection of activities and behaviours a manager will undertake and exhibit:

2.3.1 People

- exhibit integrity and professionalism and uphold the organisation'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, organise staff leave and flexible working arrangements
- continuously updating his/her own competences and keeping good management techniques up to date.

2.3.2 Resources and Organisational Responsibilities

- ensure financial and technological resources for a work unit, project or program 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 programs
- contribute to, or be responsible for the development of forward work programs 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, programs, resource allocations or strategic directions
- taking calculated risk
- maintaining systematic processes

2.3.3 Leadership

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, 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.

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Links to useful documents

- [Human Resources Management and Training: Compilation of good practices in Statistical Offices](#), *UNECE, 2013*
- Management development
Martin Lagerström, Statistics Sweden, 2012
- [From competences to awareness: approaches and activities to support management development in Istat](#)
Cecilia Colasanti, Antonio Ottaiano and Fabrizio Rotundi, National Institute of Statistics of Italy (ISTAT), 2012
- ABS Leadership and Management Charter and the Senior Executive Program
Chris Libreri, Australian Bureau of Statistics, 2012
- The improvement of HR management by using Lean
Jan Byfuglien, Heidi Torstensen and Anne Trolie, Statistics Norway, 2012
- [“Be a better leader, have a richer life”](#), by Stewart Friedman, University of Pennsylvania’s Wharton School, *Harvard Business Review, 2008*

3 GOVERNANCE

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3.1 Introduction

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.

Being a good manager is based on an awareness of the legislative framework that determines the duties, performance and behaviours 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 behaviours expected by the organisation.

Understanding and working within the organisation'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 organisation's goals. Managers need to appreciate organisational changes, strategic directions, decision making processes, and the manner how all managers and employees contribute to these wider events and outcomes.

3.1.1 The internal governance framework

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

The senior leaders are involved in specific forums that undertake significant strategic and tactical decisions and actions in the interest of the organisation and future business. The organisation'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.

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

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

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 program can outline each program, outputs, clients and medium term developments for the organisation. A forward work program is generally reviewed annually and this review often incorporates feedback from program managers.

3.1.2 Enterprise Risks

Enterprise Risks have the potential to significantly impact the organisation 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 (program) and project levels will be connected to these wider organisational risks. A Risk Management Framework and Project Management Framework can provide governance for risk taking in an organisation. This is discussed more detailed in the Risk Management chapter.

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

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

3.1.3 Core Values

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

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

Excellence and relevance

- A statistical agency's programs 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

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.

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.

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.

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3.1.4 Your Role

As a manager and role model you will act with integrity, professionalism and promote a values based culture at all times. You should respect and promote the values and ethics code of conduct for your organization. You should ensure your staff also act accordingly, and act quickly to intervene when this is not the case.

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 behaviours 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

A manager is responsible for making informed legal and ethical decisions within the appropriate frameworks, including legislative and policy frameworks. You are accountable for your decisions, actions, and outcomes. You also have a level of responsibility for decisions made by the employees you manage.

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

3.2 Key Processes and Issues

3.2.1 Identifying and capitalising on work opportunities

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

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 program, 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.

3.2.2 Making decisions

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

The general principles and processes that underpin decision making can be applied at any organisational 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.

Any decisions must be made in accordance with the organisation'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 organisations objectives
- reflect natural justice

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.

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Links to useful documents

- [Fundamental principles of official statistics](#)
- [Strategic personnel planning, Statistics Netherlands, Wouter Jan van Muiswinkel and Ineke Van Der Stoel, Statistics Netherlands, 2012](#)
- [Career of “Ian Statistic” based on the new HR strategy of the Hungarian Central Statistical](#)

Office, Gábor Csutorás, Hungarian Central Statistical Office, 2014

4 LEADERSHIP

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4.1 Introduction

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

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.

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.

It is necessary to answer the question

What is good leadership for you, and in your organisation?

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
- delegates 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

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Tips

- Read any papers that are released after senior leadership meetings for a wider understanding of internal governance and strategic direction.
- 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.

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

4.1.1 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.

4.1.2 Strategic leadership - Giving direction:

- sets organisational direction and goal
- is forward thinking; being one-step-ahead
- development of new opportunities
- understands and communicate "the big picture" internally

- understands the business, the environment and the external stakeholders

4.1.3 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

4.1.4 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

4.2 Leadership versus management

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.

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?

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Links to useful documents

[Leadership in Statistics Norway, 2015](#)

[Government of Canada key leadership competencies](#)

5 RISK MANAGEMENT

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5.1 Introduction

All agencies are accountable for the effective and efficient use of resources. The National Statistical Organisations are responsible for ensuring that financial expenditure and organisational productivity are being performed to the highest standard possible. Organisational 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.

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 organisational 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.

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.

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 organisation. Manager should use risk management to minimize:

- uninformed and unnecessary risk taking, and/or
- risk aversion.

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

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.

5.2 Key Principles and Objectives

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 organisation. All risk management and decision making activities align with accountability standards outlined in related policies. This ensures that organisations undertake opportunities, risks and decisions that are legal, ethical, and withstand scrutiny.

Organisational 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 organisation'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.

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 organisation. Senior management expect staff to employ elements of identifying opportunities and managing risk as relevant to their roles, functions and responsibilities.

Examples of how opportunities and risks are being identified include work program 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.

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.

5.2.1 Your Role

Managers need to understand their operating environment to align work program priorities and performance expectations with the organisation'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.

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. Organisations 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.

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.

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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.

5.3 Key Processes and Issues

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 program, 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.

Identifying Opportunities

Organisations 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.

Organisational 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.

5.3.1 Assessing Risk

Risk that are not identified, or left unmanaged may lead to the following organisational outcomes

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

Generally, risk assessment activities are located in an organisation'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:

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

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.

5.3.2 Making Decisions

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 program, project, staffing or financial complications.

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

- legal
- fair
- ethical
- accountable
- aligned with NSO's objectives.

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, organisational, 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

5.3.3 Monitoring risks

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)

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Links to useful documents

- [Paper on organisational change](#), *Jackey Mayda, Stat Canada, 2015*
- Rethinking and reshaping Organizational systems in time of changes: The Process of Risk Management in Istat
Fabrizio Rotundi, ISTAT, 2014
- Change management through transformation
Julianne Jex, Australian Bureau of Statistics, 2014
- Change management – the key role of managers in the implementation of Lean in Statistics Norway
Anne S. Trolie and Ingvild Maanum Møller, Statistics Norway, 2014
- Excellent management and leadership support for putting change management into practice successfully – Why, What, How & Results
Martin Lagerström, Statistics Sweden, 2014

6 MANAGING STAFF VACANCIES

←	Risk Management	↑ Guidelines for Managers	A Safe Working Environment	→
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6.1 Introduction

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 organisations Enterprise Agreement (or equivalent).

6.2 Key Principles and Objectives

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.

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.

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

6.2.1 Your Role

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 program.

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

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.

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

- review the old job description, before hiring new staff (maybe the job description is outdated in the context of the organisation, or new skills are required for the job, etc.)
- 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
- assess work value objectively with the outcomes of consistency and transparency in mind

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

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6.3 Key Processes and Issues

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 program, and updating the role description if required. From this point of view, a continuous maintenance of a skills 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 if applicable the Recruitment Unit) can provide to help you scope out what resources you need to manage a recruitment and selection process.

External Recruitment

- If you explore the external market, what process you choose depends on capability needs, the number of vacancies, time frames and budget.
- Work with your Recruitment Unit from the beginning to establish what administrative assistance will be provided. They can help coordinate advertising and promotion, and for the time commitment from selection and placement panel members.
- Maybe it is possible to 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 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.

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 applicant's, 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 applicants relative suitability to the role, team environment and organizational culture.

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.

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Internal flexibility and inter-agency transfers

It is good practice to look at your internal options and opportunities within the organisation and the Public Service. They can be quicker, temporary, and provide developmental opportunities to employees.

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.

Managing integration of newly recruited staff

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.

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.

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.

Strategic workforce planning

On organisational level it might be valuable to use strategic personnel planning. The aim of Strategic Personnel Planning is to gain insight in the number and type of personnel needed in the short and long term, taking into account developments in the labour market. Strategic Personnel Planning helps to translate policy developments into HR-policy issues concerning the in- through- and outflow of personnel.

Drafting a Strategic Personnel Planning requires comprehensive data about the workforce. To that end, a computerized personnel information system should be filled with up-to-date data. Secondly, it requires a strategic vision of the organization, so the organization goals and ambitions can be translated in HRM and training policy (and HR-instruments).

Method:

1. Make a trend estimate regarding the need for human capital inflows in the coming five years.
2. Make a qualitative analysis about future developments in the statistical processes, and the needed knowledge and skills in the coming five years. More specific: • What level, function scale, requirements and competences are required in the near future?
3. Make an inventory of the labour market developments was made by performing a literature study.
4. Process all information and define a programme of concrete HR-solutions for addressing the issue of staffing needs.

Examples from the countries:

[Strategic personnel planning](#) - Statistics Netherlands

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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.
- It is useful to use modern technology for recruitment. For instance 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.

Links to useful documents**Competencies**

- [Skilled Staff – The Secret to Modernising Statistics](#) ,*Marie Creedon and Eilish O’Sullivan, CSO Ireland, 2014*
- [A new job for statisticians: the data scientist. Which skills, how to build them?](#) , *Antonio*

Ottaviano, ISTAT, 2014

- Raising the level of competences of the CSO employees through the modernization of Statistical Education System, *Emilia Andrzejczak, CSO Poland, 2014*
- Job competencies for the future, *Olga Pozharitskaya, National Statistical Committee of the Republic of Belarus, 2014*
- Competencies appraisals from Statistics Lithuania, 2012

Recruitment

- Recruitment of Statisticians in the UK
Andy Roberts, UK Statistics Authority, 2012
- Graduate Development Program and Graduate Leadership Program: recruitment and training of new staff members
Andrea McIntyre, Australian Bureau of Statistics, 2012
- Induction Programme for newcomers in Eurostat - a career development and forward planning project
Petra Metzmeier-Weiss, European Commission, Eurostat, 2012
- Recruiting and retaining qualified staff at Statistics Finland
Eliina Paakko, Statistics Finland, 2012

Mobility

- The procedure for transfer of a member of the civil corps for the appointment to the post of a deputy director without conducting recruitment
Tomasz Białas, Central Statistical Office of Poland, 2012
- Mobility and Knowledge sharing
Marleen Verbruggen and Adrie Ykema, Statistics Netherlands, 2012

7 A SAFE WORKING ENVIRONMENT

←	Managing Staff Vacancies	↑ Guidelines for Managers	Managing a Respectful Workplace	→
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7.1 Introduction

Organisations 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.

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

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.

7.2 Key Principles and Objectives

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.

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.

Organisations 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 behaviours as an ongoing commitment.

A manager is the conduit for ensuring both the organisation and employees maintain their duty of care. This chapter will provide managers with good practical information and advice to

- report
- prevent
- and manage injuries and rehabilitation including maintaining mental health.

7.2.1 Your Role

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.

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.

Senior managers are responsible for the establishment, monitoring and evaluation of organisational policies, agreements, plans, and procedures. This ensures that the organisation, 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 OHS responsibilities.

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

7.2.2 Prevention

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 program.

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 organisational policy and procedures, outcomes of workplace inspections and reviews of incident or hazard reports by team members.

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 behaviours that can be improved.

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.

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Tips

- Lead by example.
- Regularly check workstations and arrange assessment as required.
- Ensure staff takes regular breaks.
- Conduct regular workplace reviews and risk audits with your staff.
- Attend relevant training where provided.
- Conduct or organise regular information sessions.
- Ensure your staff are aware of the 'warning signs' of common workplace risks and injuries and to report them.

7.3 Key Processes and Objectives (continued)

7.3.1 Absence Notification

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.

7.3.2

7.3.3 Managing Injuries and Rehabilitation

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 organisation will work with the person, and make reasonable adjustments for a safe and sustained return to work.

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

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.

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.

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.

7.3.4 Managing Psychological Health

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.

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.

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

See also the chapter on Health and well-being

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8 MANAGING A RESPECTFUL WORKPLACE

←	A Safe Working Environment	↑ Guidelines for Managers	Conduct and Behaviour	→
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8.1 Introduction

Organisations 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 behaviours are supported and practised.

8.2 Key Principles and Objectives

Employees are required to uphold the organisation's values and conduct requirements. Employees are expected to behave with honesty, integrity, care, diligence, respect and courtesy. Organisational 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.

There is equal responsibility of the staff and managers to:

- model and encourage behaviours 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

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

Organisations may adopt specific strategies that show the organisation values employee diversity and capitalise on the unique perspectives and talents this brings.

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.

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 National Statistical Organisation.

8.2.1 Your Role

As a manager you model and encourage behaviours 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.

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 utilises the contributions of all employees within your team.

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.

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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 behaviours and discrimination, bullying and harassment.
- Undertake early corrective action to manage offensive, intimidating behaviour or any other action not compliant with your organisations values and conduct.
- Seek advice and support from institutions, committees, areas in charge of Well-being, Health and Safety, Workplace Diversity and Harassment.

8.3 Key Processes and Issues

8.3.1 Respect, diversity and good working relationships

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

Managers should:

- make sure the team have completed available training in relation to diversity, health and safety, discrimination, and bullying and harassment
- 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.

You can also:

- 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.

8.3.2 Minimising behaviour that is harassing, offensive and bullying

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 organisation.

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.

[Back to top](#)**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.
- Ensure your employees complete mandatory training on workplace behaviours, discrimination, bullying and harassment.
- Undertake early corrective action to manage offensive, intimidating behaviour or any other action not compliant with the organisations conduct.
- Seek advice and support from institutions, committees, areas in charge of Well-being, Health and Safety, Workplace Diversity and Harassment.

9 CONDUCT AND BEHAVIOUR

←	Managing a Respectful Workplace	↑ Guidelines for Managers	Performance and underperformance	→
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9.1 Introduction

National Statistical Organisations are value-based organisations 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.

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

9.1.1 Your Role

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.

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, behaviours and activities within your work environment.

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

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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).

9.2 Key Processes and Issues

9.2.1 Resolving Workplace Issues

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.

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.

Seeking early advice is always encouraged.

9.2.2 Managing Breaches of the Required Standard of Conduct

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:

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.

9.2.3 Escalation

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.

9.2.4 Investigating breaches

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.

9.2.5 Maintaining Confidentiality

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.

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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

10 PERFORMANCE AND UNDERPERFORMANCE

←	Conduct and Behaviour	↑ Guidelines for Managers	Recognition and Reward	→
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10.1 Introduction

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

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

10.1.1 Managing Performance

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

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.

10.1.2 Key Principles and Objectives

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.

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 behaviours and values that reflect the values and conduct.

10.1.2.1 Your Role

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.

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;

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

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10.1.2.2 Performance Assessment

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.

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.

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.

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 behaviours 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.

When making a formal (written) performance appraisal:

- write up your final review as close to the discussion as possible. This enables clear recollection of the discussion for a more accurate record.

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

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

1. employees with a good average performance
2. employees who perform exceptionally (above average)
3. employees with underperformance

For categories 1 and 2, see [Chapter on Recognition and Rewards](#) and [Chapter on Capability and Development](#).

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Examples from the countries:

[Performance review form - Statistics Netherlands](#)

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 organisational 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.

10.1.3 Managing Underperformance

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).

10.1.4 Key Principles and Objectives

The primary aim of the 'managing underperformance process' is to improve the employees' performance to an effective or better standard. Employees and managers have a mutual obligation to ensure timely and meaningful participation in all performance management processes, including, where necessary, addressing underperformance.

The process for addressing underperformance is based on the following good practice principles:

- clarity of role and responsibilities;
- open communication and feedback;
- natural justice;
- transparency of process.

10.1.4.1 Your role

As a manager you will have to discuss the areas of underperformance with the employee, and provide reasonable opportunities to address the specific areas of underperformance, to attempt to reach and sustain an effective level of performance.

Underperformance process

If you are considering an underperformance process, you must contact the Human Resources section (or equivalent). They will provide advice in this (in most countries) highly regulated accountable process and are responsible for case managing underperformance processes. They will provide advice and support to all parties, and ensure all principles or natural justice, underperformance processes and feedback provisions are properly used.

The managing of an underperformance process in general consists of the following stages:

1. In stage one the line manager assesses employee performance (this may be in the regular performance appraisal review or during a specified period).

2. If the employee attains and sustains the required performance standards, no further action is taken, however if the employee has not satisfied performance standards stage two of the process is instigated. In this stage performance is closely monitored and assessed - and results of the assessment will be discussed and carefully documented. This assessment may be undertaken by an independent assessor over a specified period.
3. Depending on the specific situation of the employee, facts, circumstances and national working arrangements and conditions, formal or legal steps will be undertaken.

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Tips

- Be proactive and address underperformance. Avoidance will not improve employee performance or team productivity.
- Be sure to follow the procedures and obtain assistance and support
- Clarify work expectations and standards and maintain open, honest two way communication.
- Keep comprehensive records of meetings and conversations for procedural fairness and provide the employee with an opportunity to comment

11 RECOGNITION AND REWARD

←	Performance and underperformance	↑ Guidelines for Managers	Capability and Development	→
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11.1 Introduction

All of us like to receive recognition and appreciation for good work. The recognition and reward process is a more formal means of recognising exceptional one-off or significant achievements by teams and individuals and can be adapted to suit the requirements of a group, division, or office.

Rewards can take many forms and may be financial or non-financial. Most resource centres have their own procedures for this scheme. Note that appropriate delegations are required to approve expenditure under the scheme.

11.2 Key Principles and Objectives

A Recognition and Reward scheme may be used to:

- provide tangible evidence of the importance played by teams and individuals in meeting corporate objectives,
- recognise and reward workplace achievement and
- contribute to a more productive and satisfying work environment.

A Recognition and Reward scheme, does not replace a manager providing ongoing recognition to their employees. Constructive feedback and recognition has the greatest impact if it immediately follows the behaviour or results. Some of the informal opportunities may include:

- providing on-the-job performance feedback
- recognition of good performance at section meetings or similar forums
- acknowledging milestone achievements and
- asking people to participate in special projects or corporate tasks

11.3 Key Processes and Issues

Recognition and Reward schemes can periodically identify and recognise contributions by individuals and teams that go over and above normal contributions to their work programs.

Criteria for assessing achievement, recognition and reward may include, but are not limited to:

Innovation: A team or individual, whose new concept or idea, once implemented, resulted in one or more of the following benefits:

- a sustained improvement in efficiency/productivity to a collection or process
- improved relationships with providers or clients through initiatives that, for example, reduce respondent load or lead to the development of successful new products or services or
- improved working environment

Advancement of the organisation: A team or individual achieving one or more of the following:

- outstanding contribution that has a positive and important impact on corporate objectives or reputation; or
- outstanding contribution towards improved service in terms of responsiveness, quality and client service.

Work Performance: (including professionalism, communication and leadership). A team or individual, which displayed one or more of the following qualities:

- a high level of dedication coupled with skills leading to the achievement of a corporate goal or
- an outstanding effort beyond what is required of daily duties to achieve a corporate goal.

Recognition and Reward schemes operate in an open and transparent way, while remaining sensitive to privacy issues associated with individual awards and rewards. May effective recognition and reward processes capitalise on the social recognition of highlighting employee or team achievements within the organisation. Consideration can be given to publishing information about any notable events rewarded during the year.

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Tips

- Be accurate, encouraging, constructive, and objective.
- Provide specific examples of achievements against objectives, the contribution to work group, and organisational objectives.
- Encourage input.
- Make sure they understand the feedback.
- Identify and commit to actions and solutions.

- Be a forward thinker and discuss future directions.

12 CAPABILITY AND DEVELOPMENT

←	Recognition and Reward	↗ Guidelines for Managers	Managing Work Conditions and Life Balance	→
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12.1 Introduction

Building and sustaining the capability of managers and their employees is central to ensure the ongoing success of the organisation in meeting its business objectives. Managers are expected to professionally develop and actively progress the capability of their teams.

The organisation should provide staff with opportunities for training and development. Employees are encouraged to develop through a mix of formal training, on the job training, coaching and mentoring.

12.2 Key Principles and Objectives

Statistical organisations should provide training and development opportunities for staff to achieve results and manage performance. Organisations should support learning, innovation and high performance to build an organisation that, through individual learning, drives itself to becoming a "learning organisation", able to meet challenges of the future.

Organisations that invest in the ongoing training and development of their employees are rewarded with a more dedicated, professional and capable workforce. Organisations should encourage staff to take personal responsibility for their development including career enhancing opportunities across the organisation. There is an expectation that managers will support and encourage employee development. The employer recognises that manager support is critical to engaging and retaining high performing staff and maintaining specialist knowledge to the advantage of the organisation.

Learning and development are a blend of formal and informal activities designed to enhance our knowledge acquisition and competency development. In addition to the structured learning of online and classroom training, a range of resources and tools to support employees' learning and development in an informal manner should also be available.

12.2.1 Your Role

Managers are the key facilitators in ensuring all staff, including new starters and probationers, are provided with the relevant training and on-the-job developmental opportunities to make sure they get 'up to speed'.

Managers are responsible for actively assisting staff identifying current and emerging capability requirements to add value to their current role, and assist in career planning and progress.

Managers are expected to do this through:

- ensuring the staff understands performance expectations and receives ongoing performance feedback (see chapter on [Performance and Underperformance](#))
- discussions about capability, skills and career development
- using succession planning strategies wisely to help with team knowledge management and individual career development
- providing access to appropriate learning opportunities (e.g. on-the-job training, access to development opportunities like seminars, approving course attendance)
- being a role model of the organisation and commitment to learning (being a coach or mentor to staff).
- continuing dialogue within the organisation with the unit in charge of training, in order to build training paths and initiatives that meet the needs of their staff

As a manager you will need to balance work priorities against staff development requests and opportunities. This may include deciding what format of learning and development best suit staff's current needs and how to manage reasonable future aspirations. Encouraging on-the-job multi-skilling and using team meetings to aid problem solving will help transfer knowledge and emphasise that learning can occur in many ways, not only in training rooms.

Having clearly defined roles, responsibilities and performance standards will maximise learning, and ongoing performance feedback will help you and your staff define developmental requirements and the best way to obtain them. Attention to the specific needs of your team will improve their current capabilities, performance, and enable career progression.

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Examples from the countries:

Statistics Canada - Example of the [Talent management plan](#)

12.3 Key Processes and Issues

Ongoing skills development is encouraged in the following general areas:

- the core business of the organisation
 - statistics and methodology: basic and advanced training on topics such as survey design and development, questionnaire design, sampling, data analysis, time series methods, non-response, imputation, quality assurance, longitudinal surveys, and the interpretation and presentation of data
 - subject matter: for example System of National Accounts, business surveys, household surveys, Census
- people management (managing and leading others)
- project management
- effective communication, professional relationship development and client management
- technical expertise (IT systems and infrastructure, programming)
- corporate management (people, budget, legal, financial)
- second language training (if applicable)
- client service (website and data dissemination, client interactions).

Programs including face-to-face training and on-line development are useful tools. Training may be in the classroom or self-paced through the desktop, which allows managers and staff to organise learning in line with work priorities and ensures that all staff members have training opportunities.

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12.3.1 Coaching, mentoring and on-the-job training

Managers can be effective coaches in the workplace to support formal training with:

- one-to-one guidance
- sharing workplace experience
- sharing technical expertise
- effective performance feedback to sharpen staff skills and improve their performance

Managers can also invest in having their most experienced employees take part in coaching and mentoring programs. It may also be useful to have a team of coaches and mentors who are able to support newly recruited and less experienced employees.

National Statistical Organisations should encourage mentoring in order to:

- share knowledge
- provide guidance and advice about work and the workplace
- discuss career and courses of action

You may be a mentor or assist your staff in finding one that is suitable to their requirements. Managers can provide on-the-job training and development as part of the regular working environment. For example, holding information sessions when a person returns from training to share what they learned can be beneficial, as is involving the team in work related problem solving. It is also useful to 'buddy up' team members to share knowledge and skills. This is also effective to maintaining work program continuity if an employee is absent from the workplace for a period of time, leaves the work group, or the organisation.

Examples from the countries:

Italian National Institute of Statistics - is investing in coaching and mentoring initiatives aiming at the objectives mentioned in the Guidelines. Such initiatives are carried out at two levels:

a) some executive coaching sessions are addressed to managers in order to help them to fully develop their potential;

b) managers themselves, being aware of the value of these tools, invest in having their employees trained on mentoring and coaching programs: at the moment, we are carrying out the second edition of a training path (10 days, 80 hours) on one-to-one HR development tools and methods (in addition to coaching and mentoring, also competences evaluation).

The aim is to provide our Institute with a group of trained employees that are able to support HR department in capability and development programs. This is highly valuable in this moment, since at Istat we are facing a modernization process and we need to take personnel to properly tackle new tasks they will be given.

12.3.2 Second language training

Examples from the countries

Italian National Institute of Statistics - is carrying out English lessons on the phone. It's a training program that is organised in addition to classroom lessons, and is addressed mainly, but not only, to managers. Students benefit of 20 lessons of 30' each, during which they talk on the phone with English-speaker teachers about topics they agreed on previously; they also can benefit of an online platform to carry out exercises and tests and to access to other training resources.

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Tips

- Consider using a 'buddy system' for new starters and multi-skilling.
- Consider flexible workplace arrangements for staff undertaking study.
- Consider short term job rotations or project work for skill development.
- Create SMART (Specific, Measurable, Attainable, Realistic, Time-bounded) performance objectives
- Conduct regular performance feedback.
- Implement formal mid-year performance reviews
- Consider implementing skip-level (supervisor's supervisor) meetings as part of performance feedback.
- Use succession planning strategies wisely to help with team knowledge management and individual career development.
- Provide access to appropriate learning opportunities (e.g. on-the-job training, access to development opportunities like seminars, approving course attendance)
- Develop roadmaps linked to competencies contribute to a sound learning plan and help identify the activities and resources that best meet employee needs
- Consider developing Talent Management Plans for employees that surpass expectations. Talent Management Plans are meant to well beyond the focussed job related learning and development found in an employee's learning and development plan. Talent Management Plans concentrate on developing the skills, competencies and experience of employees with outstanding performance to position them for future career possibilities.
- Be a role model of the organisation and commit to learning (being a coach or mentor to staff).

Tips

- A specialized training curriculum for recruits is strongly encouraged. This curriculum should include:
 - Orientation (to the public service and/or the agency specifically)
 - Confidentiality for new employees

- Survey skills development course (business or social)
- Statistical analysis software training (e.g. SAS, SPSS, etc.)
- Part-time second language training (if applicable)
- Work with your team members to develop a career pathway and individualized learning plans.
- Provide staff with the opportunity to practice their new skills.
- Sometimes, mistakes can be used as learning opportunities. Ask staff what can be learned?' and how can we improve?'
- Encourage staff to become involved in work-related development such as personal study, committees, and networks.

13 MANAGING WORK CONDITIONS AND LIFE BALANCE

←	Capability and Development	↑ Guidelines for Managers	Managing Attendance	→
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13.1 Introduction

Employment conditions provide managers and employees with a range of flexible working options to help combining personal responsibilities and lifestyle choices with their work commitments.

Flexible working arrangements such as part-time employment, working from home and flex-time allow employees to meet both personal, family and work demands. This facilitates to attract and retain our highly skilled people and enables employees to satisfy their competing demands. In turn, they are more capable to perform well at work and have an increased level of organisational engagement having been given the opportunity to secure a good work/life balance.

13.2 Key Principles and Objectives

Flexible working arrangements need to be considered on a case by case basis, with due regard to the work program, team structure and operational requirements. Meeting the demands of the work program is the overriding principle when deciding on requests for leave or changes in working conditions.

Planned leave, such as annual leave is generally negotiated in advance, to help prepare and plan for absences while still meeting work program requirements. As a manager you should encourage the regular use of annual leave to allow your staff to have a reasonable break from work each year and to avoid any substantial accumulation of credits.

It is expected that all employees will use their leave entitlements for the purpose in which they are intended to be used, and seek relevant approvals in a timely manner.

13.2.1 Your Role

As a manager you will be expected to use your judgement and discretion in a professional and ethical manner to make sound decisions with regard to flexible working arrangements. This will require an understanding of the balance between achieving work and team priorities, and meeting the diverse needs of your team. You are required to manage the leave and work arrangements in your team and to deliver on a work program in line with performance objectives.

Managers are also responsible to meet reasonable requests for improved work/life balance by providing flexible working arrangements to allow staff to better balance the demands of their work and family, whilst maintaining operational requirements and workgroup efficiency. If this is done well the reward to the organisation is higher morale, improved job satisfaction and the retention of our highly skilled people.

As a Manager you are responsible for developing, progressing and improving work program delivery with due consideration of the capacity and capability of your team.

These responsibilities include negotiating, planning and approving leave requests, and managing any unscheduled leave throughout the year. You may need to negotiate and manage a variety of flexible working arrangements in order to provide an optimal work life balance while still delivering on the agreed program of work. You are also responsible for ensuring your staff abides within the terms and conditions of their employment.

It is essential that your staff understand the variety and the intent or purpose of the types of leave and working arrangements available, and how to request it. This ensures the right leave is used for the right purpose. As a manager you must be fair, equitable and transparent when making decisions on leave and other arrangements. You may need to monitor staff leave balances in times of extended unplanned absences, undertake further consultation with the Health and Safety section if needed, and also ensure the staff is not accruing excess annual leave.

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13.3 Key Processes and Issues

13.3.1 Flexible Working Arrangements

Organisations may provide several options to support work/life balance and diversity. These can include:

- part-time;
- working from home;
- flexible working hours in the office;
- job sharing;
- outside employment;

- subsidised transportation to/from home to the workplace (for example, providing a shuttle for part of the route).

Flexible working arrangements can be used for a wide variety of personal and professional needs, not only for family related requirements. They can include creative or sporting pursuits for example. Transfers within or between offices can also be considered as a flexible approach to maintaining the employment of employees while satisfying their personal requirements.

Various leave options, such as study leave or leave without pay also provide employees with the opportunity to vary current working arrangements to better meet their work/life balance or undertake other developmental opportunities.

You will need to objectively review each request in line with work program priorities, team structure, other staffing needs, and any conflicts of interest. Ensure you explore all options, refer to the guidelines and talk with your CSU or DSU for advice. A manager should regularly monitor the arrangement to ensure it is still appropriate, review at regular intervals and negotiate new arrangements if required.

Examples from the countries:

[Working arrangements form](#) - Statistics Netherlands

13.3.2 The Working Day

The number of standard hours expected to be completed during a normal working week should be clearly communicated to your staff at the outset. If flexible working arrangements have been agreed on, the number of hours worked each day could vary, but should be agreed between each party ahead of time, to avoid conflicts later on.

As a manager you have a responsibility to ensure the well-being of your staff and helping to achieve a good work life balance. This extends to allowing for time during the working day for staff to take reasonable breaks. This can also help towards improved productivity and personal development, so the staff members have an opportunity to socialise with other employees both within and outside their immediate teams. You should refer to the guidelines and talk with your human resources area for break entitlements.

13.3.3 Flex-leave

Flex-leave is a system of working arrangements which enables the staff to vary work hours and patterns for productive work outcomes, and to support work/life balance. Flex -leave should be pre-approved and is subject to operational requirements. Managers are responsible for monitoring the correct usage of the system and have some discretionary decision making responsibilities.

13.3.4 Overtime

Overtime is used in exceptional circumstance where there are clear operational requirements and reasonable amounts of overtime are required to ensure the timely delivery of the organisations work program. The Enterprise Agreement (or equivalent) provides parameters for requesting

overtime and circumstances when overtime is not appropriate. When requiring employees to work overtime, you are required to provide as much notice as possible, and take into account the employee's personal circumstances including any family responsibilities and Occupational Health and Safety implications. Employees also have the flexibility to negotiate time off in lieu as an compensation to overtime.

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Tips

- Ensure you and your staff is aware of your leave entitlements and your responsibilities.
- Review working arrangements periodically.
- Ensure confidentiality is maintained.
- Seek advice and assistance from human resources as necessary.
- Develop a system that allows forward planning for planned leave in consultation with staff.

14 MANAGING ATTENDANCE

←	Managing Work Conditions and Life Balance	↑ Guidelines for Managers	Health and well-being	→
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14.1 Introduction

A level of workplace absence (unscheduled leave) is to be expected due to personal illness, injury, caring responsibilities or sometimes because of personal or professional issues. If the cause(s) of ongoing workplace absence (unscheduled leave) by an employee is not resolved, or reasonably managed, the level of accumulated absence across the organisation can increase beyond acceptable limits and impact negatively on organisational productivity and staff morale. Therefore the organisation should be committed to ensuring workplace absence is maintained at an appropriate level by ensuring staff are aware of and have access to reasonable flexible work arrangements, leave entitlements, and internal support and reporting processes to help in times of:

- illness;
- injury;
- caring responsibilities;
- personal or household emergencies.

A manager can be highly influential in identifying attendance barriers and helping to improve attendance levels by using good communication, encouraging mutual obligation, applying workplace flexibility, and encouraging the use of support programs and reporting processes in situations of personal or professional challenges.

14.2 Key Principles and Objectives

There are a range of practical applications or guidelines that can be implemented to manage and foster a good attendance culture:

- ensure staff have meaningful, challenging work and training to undertake their core responsibilities;

- improve motivation through better work-related collaboration and regular constructive performance related feedback;
- maintain the highest standards of confidentiality, due process, and ethical behaviour in a performance management process.

14.2.1 Your Role

As a manager you are expected to demonstrate these key principles using positive people management and leadership capabilities. Employees will look to you as a benchmark for standards in attitude and behaviour in the workplace. Therefore you are responsible for clearly articulating the organisational approach to managing attendance.

Managers should develop strong communication and trust within their team and build a positive culture of attendance, supported by a commitment to employee health and well-being. Managers should work in partnership with their team members to achieve the best outcomes for both the organisation and the employee.

As a manager you should be alert to early indicators of potential attendance issues and ensure that unscheduled leave is kept at a reasonable level. You should take note of any concerns and address any increasing or regular absences in your team. High levels of unscheduled leave may indicate workplace issues of which you are unaware, or issues outside work that are impacting on team members' ability or motivation to be at work.

When excessive workplace absences occur, meeting work outcomes and following staffing plans (like recreation leave or training) for work productivity and effective work-life balance is difficult for you and the team to maintain. The manager/employee relationship is the key to identify or prevent these issues occurring in the first place. It is also important to take prompt steps to manage or resolve any identified issues and challenges.

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14.3 Key Processes and Issues

At the operational level you need to observe if there are any increasing or regular absences, and any patterns that could help identify barriers or causes for not attending work. There are a range of tools and processes you can use to identify any patterns or higher levels of unscheduled leave such as:

- leave records;
- being aware of any current or emerging workplace resolution issues that may have an impact on attendance;
- being aware of any recent role changes or peaks in work that may have an impact on attendance;

- paying attention to larger organisational processes, such as mid or end cycle performance agreement discussions, team restructuring and how it is affecting the work program or team morale.

Having a professional, open and confidential conversation with an employee is the most effective and important tool to help you work with that person to address the causes of the absences and improve workplace attendance. You may find that the reasons for their unscheduled leave stem from the following broad range of work and/or personal issues such as:

- personal illness/injury;
- caring requirements, ill health of a family or household member;
- bereavement;
- cultural obligations;
- incidents of bullying/harassment or similar;
- workload and time management;
- a loss of confidence and motivation from a lack of training to 'get up to speed' in a new role;
- a loss of motivation without challenging work or purpose;
- a response mechanism to a managing performance process.

What action you undertake from here is dependent on the situation. You and your employee may be able to resolve the matter together. This may include short or longer term flexible working arrangements such as part time, working from home, amended working hours, or supporting the employee in obtaining assistance or other external support.

You should seek advice from relevant areas to make sure that agreed strategies are reasonable, and will work towards reducing unscheduled leave to help you and your area effectively manage the work program for better productivity.

See also the chapter on Health and well-being

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Tips

- Let your team know that unscheduled leave provisions are provided in good faith, and should be used with a genuine reason.
- Encourage employees to use flex leave to meet unexpected or expected short term absences (excluding sickness).
- Support genuine leave requests, and provide what organisational support and flexible workplace arrangements are suitable and reasonable in the circumstances.

15 HEALTH AND WELL-BEING

←	Managing Attendance	Guidelines for Managers	
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15.1 Introduction

Organisations have a direct interest in creating an environment that helps people make healthy choices, as a healthier more engaged workforce makes good business sense. A motivated and healthy workforce is more likely to perform well and everyone can benefit through improved morale, reduced absenteeism and increased retention and productivity.

Wellbeing is defined as “creating an environment to promote a state of contentment which allows an employee to flourish and achieve their full potential for the benefit of themselves and their organisation”.

Wellbeing is more than an avoidance of becoming physically sick as it represents physical, mental and social health. Well employees are physically and mentally able to contribute in the workplace and likely to be more engaged at work.

15.2 Key Principles and Objectives

The organisation and staff share the responsibility for well-being; Managers in the organisation can create and support an environment where staff can be healthier through providing information and access to schemes to improve well-being; however, well-being is ultimately each individual’s responsibility requiring both education and self-awareness.

15.2.1 Your role

The manager should view his/her role as an enabler in promoting health improvement and healthy lifestyles for all staff. Managers should support staff in improving their own health by promoting a culture of health improvement which motivates and inspires staff to become healthier. The definition of health encompasses both the physical and psychological health of staff and managers should aim to adopt a preventative approach to illness. Health and well-being can be grouped under five domains and the manager has a role to play in each of these areas:

Values

To further improve staff wellbeing it is essential that the organisation has ethical standards, values diversity and can meet commitments in relation to staff expectations. The manager needs to ensure that he/she leads by example and that an effective governance structure is in place.

15.2.2 Personal development

In considering staff wellbeing the manager needs to consider areas such as autonomy, career development, lifelong learning and creativity and ensure that these are reflected in appropriate policies. The manager also needs to ensure that these policies are active and are implemented in his/her workplace.

Emotional

The manager has a duty to ensure that the workplace culture fosters a positive working environment and is focused on creating a workplace culture in which everyone feels included, valued and respected. Creating a climate of mutual respect and dignity will foster improved working relationships and contribute to productivity and business performance.

Work/Organisation

This includes change management, work demands, and job security. Managers should ensure that staff are engaged in discussions about how their work is organised as this could have a significant impact on their well-being. It is important that staff have meaningful and challenging work and have an opportunity to apply their skills and knowledge in effective working relationships with colleagues and managers in a safe and healthy environment.

Physical

The manager needs to consider a number of aspects of staff well-being in this area including physical health, mental health, the working environment, physical safety and the provision of healthy and safe accommodation. (See also chapter on “A safe working environment”)

15.3 Key processes

The section outlines various actions under each of the five domains which promote health and well-being in the organisation

Values

- Lead by example
- Ensure the organisation has an effective corporate governance structure in place and that all appropriate policies are effectively communicated to all staff
- Ensure that the organisation adheres to the Diversity and Equality Policy and that this is effectively communicated to staff
- Hold regular Diversity related Training and Awareness Sessions
- Adopt a Partnership approach to fostering employee commitment and negotiating change.

Personal development

- Adopt a consultative approach to decision making
- Ensure effective functioning of performance management system as a tool for both performance management and staff development
- Provide a mentor for newly appointed employees
- Provide access to career breaks for developmental purposes
- Investigate suitable coaching training for staff
- Provide access to appropriate learning and development interventions

Emotional

- Ensure that the organisation's Dignity in the Workplace Charter is adhered to
- Ensure the organisation's Positive Working Environment Policy is adhered to and training in this area is provided for all staff
- Provide time for team sessions for all teams every six months
- Promote the Employee Assistance Service to staff.

Work/organisation

- Utilise technology to the highest levels to minimise the amount of mundane work for staff
- Promote a culture of staff consultation and involvement
- Provide adequate training for all staff appropriate to their role in the organisation
- Conduct risk assessments as part of Health and Safety Policy development
- Ensure compliance with the Working Time Act and ensure a "long hours" culture does not develop in the organisation
- Encourage staff to avail of a range of work-life balance initiatives, including: flexi-time, work-sharing, shorter working year scheme ([See chapter on Managing work conditions and Life Balance](#))
- Provide training in stress management, time management and other similar areas to support staff in managing their work.

Physical

- Encourage physical activity by displaying appropriate signage setting out walking routes etc
- Provide health checks as appropriate
- Adhere to a Healthy Working Environment Policy
- Arrange for ergonomic checks of each staff member's work station
- Provide personal safety awareness sessions
- Promote the organisation's Absenteeism Policy and ensure staff are aware of both their rights and obligations in relation to this

- Encourage staff to contact the Employee Assistance Officer where appropriate and provide contact details to staff
- Ensure that an up-to-date Health and Safety Statement is in place at all times and staff are aware of their responsibilities in this regard
- Provide safe equipment and ensure that safe working practices are in place
- Provide regular Health and Safety Awareness Sessions and relevant training for all individuals with specific health and safety related responsibilities (including fire and road safety)
- Implement the organisation's Emergency Egress Plan to ensure the safe egress of people with disabilities
- Provide regular First Aid training and Refresher training for interested staff
- Promote recycling and energy saving in the organization

Tips

- Make health and safety awareness an everyday practice with your staff. This will include comprehensive reporting of incidents and hazards, ongoing observation and early intervention.
- Regular information sessions conducted by you or the Work Health and Safety Section will remind staff of their own responsibilities for health and safety.
- Seek advice and support from institutions, committees, areas in charge of Wellbeing, Health and Safety, Workplace Diversity and Harassment.
- Managers should develop strong communication and trust within their team and build a positive culture of attendance, supported by a commitment to employee health and wellbeing.