Unit 315 Manage individuals' performance

UAN:	**J/506/1921**
Level:	3
Credit value:	4
GLH:	20
Relationship to NOS:	Management & Leadership (2012) National Occupational Standards: • CFAM&LDB4 Manage people's performance at work • CFAM&LDC2 Support individuals' learning and development • CFAM&LDC3 Mentor individuals • CFAM&LDC5 Help individuals address problems affecting their performance
Assessment requirements specified by a sector or regulatory body:	This unit is endorsed by Skills CFA Assessment Strategy Competence units (S/NVQ)
Aim:	This unit aims to develop the knowledge and skills required to manage individuals' performance. Upon completion of this unit, learners will have developed an understanding of the management of underperformance in the workplace and will be able to manage individuals' performance in the workplace.

Learning outcome
The learner will: 1. understand the management of underperformance in the workplace
Assessment criteria
The learner can: 1.1 explain typical organisational policies and procedures on discipline, grievance and dealing with underperformance 1.2 explain how to identify causes of underperformance 1.3 explain the purpose of making individuals aware of their underperformance clearly but sensitively 1.4 explain how to address issues that hamper individuals' performance 1.5 explain how to agree a course of action to address underperformance.

Assessment Guidance

1.1

Performance management is a holistic process of bringing together many activities that collectively contribute to the effective management of individuals. The process covers the broader issues of the organisation and long term goals.

Performance appraisal is part of performance management; it is operational, uses data and information and relates to individuals. In the case of underperformance, can involve specific policies on discipline and grievance. It is usually within the role of the line manager to deal with issues relating to the individual.

Underperformance means that agreed targets and objectives, and behaviour and attitudes are below or against the standards required by the organisation. Examples could include poor timekeeping, lack of respect of others or failure to carry out instructions which could have serious implications.

There are many policies within the organisation, these are regularly updated in line with current legislation and good practice. Employees are provided with access to key policies usually through the use of the shared drive and this information is commonly used as part of staff induction.

Disciplinary and grievance policies and procedures are frameworks providing clear information for dealing with difficulties which may arise as part of the working relationship from either the employer's or employee's perspective. The policies let employees know what is expected and provide courses of action (steps) to follow with key contacts. It is very important to follow the stages carefully and to keep good records, these might include minutes of meetings, emails, attendance notes, notes of telephone calls, letters etc.

In this criterion the learner is required to provide evidence that he or she has:

- Explained using an example for each of the disciplinary and grievance policies of when each policy would be used and the type of evidence that would be needed before, during and after the process.
- Identified the key steps for each of the policies and described a work related outcome for the individual and the organisation of using each policy together with supporting information of each stage.

1.2

Formal and informal feedback provides the line manager with information from systems, processes individuals and teams which can be used to show gaps between what you have planned or could have achieved and actual achievement. These 'gaps' which are below what is expected can be called indicators of underperformance.

- In order to identify causes of underperformance, feedback from the individual in the form of words, behaviour or attitude may give an early indication of performance gaps.
- Feedback from others, including the team, other departments and customers may also be of a formal or informal nature.
- An increased number of customer complaints, for example, are a significant indicator.

- Informal meetings provide an ongoing method of feeding back and ascertaining impact assessment, where individuals can discuss how their attitude and standard of work affects outcomes and standards.
- Formal appraisal/ performance review meetings where data and information is brought by both parties to review progress.

In this criterion the learner is required to provide evidence that he or she has:

- explained the methods used to identify underperformance using reliable sources of information.

1.3

Clear lines of communication are very important when working with others and early indicators based on evidence, enable parties to agree and make changes accordingly. As good use of interpersonal skills is essential when working with others, it is very important to be sensitive to the needs of others as messages can be interpreted differently from the sender to the receiver and levels of co-operation and motivation can be affected.

In this criterion the learner is required to provide evidence that he or she has:

- explained why a clear and sensitive approach is important when dealing with underperformance.

1.4

Wherever possible one -to -one meetings should be undertaken in a quiet and confidential setting without interruptions from mobile phones or visitors. Feedback should be two way and both speaking and listening are important for both parties. Events, observed behaviours and actions are described rather than judged.

In this criterion the learner is required to provide evidence that he or she has:

- explained to an individual that there are underperformance issues to address.
- described how the approach was made, if agreement was reached and the outcomes for both parties.

1.5

Individuals are encouraged to come to their own conclusions about what has been going wrong (ownership), with a clear understanding of how to move forwards and take corrective action.

Changes to other areas of work which are outside the scope of the individual may also need to take place in the future and there is also a need to agree individual responsibilities and set new targets. It is advisable for both parties to have a written record of the new outcomes with agreed timescales and opportunities for review.

In this criterion the learner is required to provide evidence that he or she has:

- explained how a new course of action was agreed and providing examples of documentation which both parties can access and refer to.

Learning outcome
The learner will: 2. be able to manage individuals' performance in the workplace
Assessment criteria
The learner can: 2.1 agree with team members specific, measurable, achievable, realistic and time-bound (smart) objectives that align to organisational objectives 2.2 delegate responsibility to individuals on the basis of their expertise, competence, skills, knowledge, and development needs 2.3 apply motivation techniques to maintain morale 2.4 provide information, resources and on-going mentoring to help individuals meet their targets, objectives and quality standards 2.5 monitor individuals' progress towards objectives in accordance with agreed plans 2.6 recognise individuals' achievement of targets and quality standards 2.7 adhere to organisational policies and procedures, and legal and ethical requirements when managing individuals' performance in the workplace.

Assessment Guidance

2.1

Objectives are targets to be implemented or completed, or standards of performance to be achieved and maintained. These objectives or courses of action need to be going in the same direction in the as the organisation has decided to go. Objectives provide focus and clear direction, and should be SMART:

- Specific: Clear, unambiguous, straightforward, understandable
- Measurable: Related to quantified or qualitative performance measures
- Achievable: With known resources
- Realistic: Linked to business needs
- Time-bound: Building-in completion date and review dates

In this criterion the learner is required to provide evidence that he or she has:

- identified the relevant priorities for action to address issues of underperformance.
- agreed two SMART objectives with their line manager that support the improvement required.

2.2

'Delegation' means that you are able to trust someone with appropriate levels of expertise, competence, skill, knowledge and development needs to undertake specific tasks or duties on your behalf. However, individuals still require support and resources to be able to complete set tasks.

In this criterion the learner is required to provide evidence that he or she has:

- delegated responsibility to two individuals for a specific task each, having clearly explained outcomes required.
- identified the key factors for each individual that were used to ensure that both parties were suitable for the tasks undertaken.

2.3

'Motivation' is a word used to describe an inner drive to behave or act in a certain manner. There are many theories and most describe a goal or reason to do something that will produce a desired result. Individuals have their own 'intrinsic' or inner motivation and 'extrinsic' motivation comes from others. Line managers often encourage and inspire others to maintain or improve morale.

'Morale' describes the mood and feelings of goodwill which inspire others to maintain or increase their outputs and contribute to harmonious working relationships. Getting to know people is vital and involvement and ownership of responsibility for achieving targets, quality standards and good customer feedback is critical. Techniques include daily conversations with individuals, organising team events, sharing collective performance data, celebrating achievement and rewarding effort.

In this criterion the learner is required to identify how he or she has:

- applied motivation techniques, explained, how, when and where they were used.
- described what happened as a result of using the techniques and the effects on individuals, the team and customers.

2.4

'Mentoring' is a relationship between an experienced person and less experienced person for the purpose of helping the one with less experience. This help can be in various forms and good examples are in the provision of information and resources to help the person complete their tasks. The help is provided in a non- threatening way, in a manner that the recipient will appreciate and value and will empower them to move forward with confidence towards what they want to achieve.

In this criterion the learner is required to identify how he or she has:

- provided resources (as a mentor) and information and resources to an individual (as a mentee).
- described how one target/ goal has been met, explaining why meeting the target/ goal was important and the implications of not meeting the target/goal.

2.5

'Monitoring ' is the process of checking progress on an ongoing basis in order that there can be an early indication of when the product, process or service is not meeting or not likely to meet pre-agreed standards of quality and performance. This system of regular checks can save on wasted, time, effort, resources and employee energy and motivation levels.

In order to check for negative outcomes plans should be agreed in advance of actions being undertaken.

In this criterion the learner is required to describe how he or she has:

- monitored two individuals describing what expected and what was actually happening.
- described the actions that were undertaken where discrepancies were found and the impact on the individuals concerned.

2.6

When individuals meet or exceed the expected standards/ targets 'recognition' provides a way of thanking or rewarding all parties. Rewards can be financially linked in the form of bonuses or performance related pay, but more commonly other forms of 'recognition' may include, time off in lieu, thanking and publicising individual and team efforts in data displayed in work areas or in company newsletters. Feedback and compliments from customers and the recording of achievements in information used for individual performance monitoring and review.

In this criterion the learner is required to describe how he or she has:

- demonstrated recognition, for at least two members of staff, by explaining what actions were taken and provided information about the specific targets/ quality standards involved.

2.7

'Adhered' means followed closely, in this case the rules and guidance provided by policies and procedures as produced by the organisation and circulated to members of staff. As individuals we also have to make judgments, not only about legal implications i.e. obeying the law, but also using our values to make ethical judgments when managing individual levels of performance. When there is a positive working relationship, levels of trust can build and shared values are conveyed.

In this criterion the learner is required to describe how he or she has:

- followed an established policy or procedure with an individual in order to manage their underperformance.
- explained what happened at each of the key stages and described one outcome of the process for the both line manager and the individual concerned.