



KD TRAINING SOLUTIONS

in partnership with the
Chartered Management Institute



The Diploma in First Line Management (Level 3)

Improving Team Performance
(Unit 3008)

Candidate Self-Study Guide

CONTENTS

| <u>Topic</u> | <u>Page No</u> |
|---|----------------|
| Introduction to the Diploma in First Line Management | 3 |
| Aim and Learning Outcomes of Unit 3008 | 4 |
| Part A – Managing the capability of team members: | 5-13 |
| • Introduction | |
| • What is performance management? | 5-6 |
| • What is performance management supposed to achieve? | 6 |
| • What is poor performance? | 6-7 |
| • What is your attitude to performance management? | 8 |
| • How do you find out about poor performance? | 9 |
| • How do you tackle poor performance? | 10-11 |
| • When should you refer issues to higher authority? | 12 |
| • Summary of Part A - Quiz | 13 |
| Part B – Dealing with behaviour of others: | 14-16 |
| • Introduction | 14 |
| • Attitude | 14 |
| • Personal emotions | 15 |
| • Your role in dealing with attitude and personal emotions | 15 |
| • Summary of Part B - Quiz | 16 |
| Part C – Adopting a counselling approach: | 17-21 |
| • Introduction | 17 |
| • Counselling tips | 17-18 |
| • Maintaining respect and keeping records | 19 |
| • What happens if you get it wrong? | 19-20 |
| • Summary of Part C - Quiz | 21 |
| Part D – Discipline and grievance: | 22-31 |
| • Introduction | 22-23 |
| • What is discipline? | 23 |
| • The disciplinary process | 23-24 |
| • Disciplinary penalties | 24-25 |
| • Gross misconduct | 25 |
| • The disciplinary interview | 26-27 |
| • Confidential records | 28 |
| • Appeals | 28 |
| • Managing poor performance whilst taking disciplinary action | 28 |
| • Grievance – introduction | 28 |
| • The grievance process | 28-29 |
| • The grievance interview | 29-30 |
| • Summary of Part D - Quiz | 31 |
| Part E – Unit summary | 32 |
| Part F – Preparing for assessment | 33 |

INTRODUCTION TO THE DIPLOMA IN FIRST LINE MANAGEMENT **(LEVEL 3)**

Welcome to The Chartered Management Institute Diploma in First Line Management (Level 3) that has been specifically designed to meet your needs as a junior manager whether you are currently in such a role or simply thinking of working in such a role. It provides you with an excellent opportunity to develop the effectiveness and efficiency of operations for which you are responsible by means of motivating and developing the people who work in your team or department, fostering effective communication and developing a sense of team/corporate identity.

This qualification was revised on 1 September 2008 and consists of the following core and optional units:

Core Units:

- 3001 - Personal development as a first line manager
- 3002 - Resource planning
- 3003 - Meeting stakeholder needs
- 3004 - Managing and communicating information
- 3005 - Developing individuals and teams

Optional Units:

- 3006 - Recruitment and selection
- 3007 - Maintaining quality standards
- 3008 - Improving team performance
- 3009 - Management communication

Please note that for your programme, you will need to complete the 5 core units plus Units 3007 and 3008.

Throughout this self-study guide there will be some basic information, followed by some questions. It should take you between 10-15 hours to work your way through each of the guides, depending on the topic and whether or not you attend the relevant workshop. You will then have to spend some time researching information, reading and completing your work. The total time required will also depend on your experience and should become less as you progress through your programme.

The dates that you are required to hand in your work are clearly marked on your programme so please make sure you become familiar with them and make every effort to stick to them. If you do have problems, however, please do not hesitate to contact us.

Having completed all core units and 2 optional units to the appropriate National Occupational Standard you will receive 43 credit points which means you will be awarded the Diploma in First Line Management (Level 3).

IMPROVING TEAM PERFORMANCE

UNIT 3008

Unit Aim

This unit is about impact of individual's performance on teams, recognising performance behaviours and implementing improvement measures.

Level

3

QCA Unit Number

K/501/5031

Credit Value

7

Learning Outcomes

Each topic has a set of learning outcomes that you will be able to achieve by the time you have worked your way through this self-study guide, attended the relevant workshop and carried out some research.

At the end of this Unit, you will have the knowledge and understanding of how to:

1. Identify issues which affect performance
2. Select and apply the best course of action to address a performance issue
3. Take action to achieve the performance issues of an individual

Unit Contents

This Unit contains 6 parts:

- Part A – Managing the capability of team members
- Part B – Dealing with the behaviour of others
- Part C – Adopting a counselling approach
- Part D – Discipline and grievance
- Part E – Unit summary
- Part F – Preparing for assessment

PART A – MANAGING THE CAPABILITY OF OTHERS

Objectives:

By the end of Part A, you will be able to:

- Describe what managing performance is and why it is an important part of your role
- Understand what causes poor performance
- Use standards to tackle poor performance
- Describe when you would refer complex capability issues to higher authority

Introduction

Research into performance management seems to be a little light compared to other areas and the lack of a desire by managers to intervene in a poor performance problem is concerning. This is of particular concern because it has been said that during early research into the behaviour of human beings, when managers did intervene in poor performance situations, performance did improve.

In your role as a supervisor you will be required at some time to deal with performance issues and this is arguably one of the most difficult tasks you will face. If a member of your team is performing poorly, this can take up a great deal of, not only your time but also that of other team members. It is vital, therefore, that you are able to identify and recognise a performance issue and be able to deal with it effectively or pass it onto someone else depending upon your level of responsibility.

It is also a fact of life that dismissing employees because they are incapable of performing the job to an acceptable standard can be fair. There are though many pitfalls for unwary employers. If a long-term employee is threatened with dismissal due to poor performance, the employer must try to ascertain the reason for the problem. If poor performance has always been accepted in the past, the employee must be told clearly of the new standards and given help and support in meeting them. It is also important when setting new standards for someone that they are reasonably attainable by other workers.

What is performance management?

Issues on performance management are becoming vital when we are in an age where people are an organisation's greatest asset. The problem you have is that people are at different levels and you probably know who is above the standard, who is at the standard and who is below the standard. Research shows that round half the time worked by employees in the UK is found to be unproductive and the main reasons for this are:

- Bad management
- Low morale
- Lack of training

Most managers don't like this issue and often allow people to carry on the way they are rather than face the issue. Another way that manager's approach it is to "save up" lots of small issues and get the person in and take them down the disciplinary route.

The most successful managers, however, are those who can guide people towards productive outcomes.

The term "performance management" came into use during the 1980's and is about measuring performance and taking action if necessary to ensure desired results and is one of the 4 major areas of management, the others being Planning, Organising and Leading.

What is performance management supposed to achieve?

There are many benefits to performance management and those that may affect you directly are:

- To control the work and results that your team produces
- The ability to "highlight" potential problems before they occur
- Gives your team a clear picture of what is expected
- Supports any disciplinary action by providing a breach of standards
- Provides your team members with "objectives" feedback not your "subjective" view of their performance

One point of caution – setting goals and achieving them is ok but you must also bear in mind the processes in between. There would be no point in setting and achieving objectives and standards if your team are all off work with stress!

What is poor performance?

Poor performance (failure to carry out a job to the standard required) should not be confused with misconduct (failing to follow rules). This also means that unless a "standard" is established it cannot be measured and, therefore, poor performance cannot be substantiated. Poor performance could occur for a number of reasons and some are listed below:

- Poor standards of work which are identified by comparing the actual output with the agreed standard or against the work of colleagues. Also identified through lack of quality and complaints received from external or internal customers
- Inability to cope with a reasonable volume of work to a satisfactory standard
- Attitude to work (i.e. poor interpersonal skills, lack of commitment or drive
- Lack of apparent skills/method to cope with work
- Not consistently meeting targets/goals
- Confusion about the job because of a lack of job description or guidance on what needs to be done

- An inability to do the job because of a lack of skills or training
- Obstacles in the organisation like poor resources, faulty equipment and lack of staff
- Outside issues such as poor health or domestic problems

Which of the poor performance issues listed above have you come across in your work experience?

What is your attitude to performance management?

Have a look at the questions below and answer as appropriate:

| | |
|---|--|
| Are you clear what is acceptable and what is not acceptable at your organisation? | |
| Are you aware of the standards for the jobs your team members carry out? | |
| Do you regularly check that these standards are being met? If so, how? | |
| How do you let your team members know of what is acceptable and what is not? | |
| Are you confident your team members are aware of the acceptable standards? | |
| Do team members come to you and explain their problems? | |
| Are you confident that team members will come to you and share their problems? | |

How to find out about poor performance

Although we shall talk about the formal performance processes later, these are not sufficient by themselves. One way to find out how your team and individuals within it are performing is to “Manage By Walking About (MBWA)” (i.e. pay informal visits to team members and try to cut through the divide between managers and staff). MBWA will enable you to:

- Get to know your team members
- Find out how they are doing
- Identifying any problems they may be experiencing
- Praising their successes
- Being approachable

How do you recognise poor performance in your work area?

How do you tackle poor performance?

Here is a simple 4 stage process that you can to manage performance effectively:

- Establishing objectives and standards
- Measuring actual performance
- Comparing results with objectives and standards
- Taking necessary action to improve things

There is nothing complicated about this process but in many instances teams and individuals are not made aware of what objectives or standards they are supposed to achieve. This makes measuring difficult and obviously the results cannot be measured against anything. Let's have a quick look at each one of the steps:

- **Establishing objectives and standards** – You are already aware that objectives should be SMART (Specific, Measurable, Achievable, Realistic and Time-Bound) but what about standards? A standard measures the performance results in terms of quantity, quality, cost or time. You may agree on objectives such as:
 - Receiving a maximum number of 10 customer complaints per year
 - Meeting sales targets every 3 months
- **Measuring actual performance** – The emphasis of measuring should be on what “actually” happened and must be accurate enough to compare it to what “should” have happened. A common failure of management is an inability or unwillingness or measure actual performance and yet one of the best ways of improving current and future performance is to learn from the recent past

How do you currently measure the performance of your team members?

- **Comparing results with objectives and standards** – This is a critical test of how well (or not) the performance was and identifies the gaps between “planned” and “actual” performance

If you have ever compare results with the standards before, what sort of things have you noticed are not happening the way they should?

- **Taking the necessary action** – This is a straightforward step that requires necessary action to put the performance back on course by solving a problem. It can also be used when performance is above what is expected so that valuable lessons may be learned for next time. Part of taking the necessary action is producing a plan of some kind that can be used to monitor progress. This plan should contain:
 - SMART objectives
 - List of activities
 - Start and completion dates
 - Support required
 - Review dates

If you have noticed poor performance, what sort of things have you done to resolve the issue?

When should you refer issues to higher authority?

There are bound to be occasions when the poor performance issue you are faced with is either:

- Beyond your control to deal with
- Is sufficiently complex that you need specialist help
- Involves a team member of yours who is working for someone else

It would not be unusual for you to come across instances when the level of performance is so bad that you exhaust all your ideas and need help from others. If you decide that the problem is beyond your authority then you need to think about discussing it with your line manager and perhaps asking them to take over.

It may also be possible that the cause of the poor performance is personal. After gathering some facts you may find out that there is a serious domestic problem that is spilling over into the work environment. You would not normally be expected to deal with such issues but you should be aware of who in your organisation might.

It is also possible that, at some time, a member of your team works temporarily for another manager. What happens if that manager complains to you about the performance of that individual? If your team member is on "loan" to another department then you are still ultimately responsible for their performance. The best way to deal with this is to sit down with the other manager and discuss, sensibly, what they feel the problem is and then you can both decide how you are going to resolve it.

Have you ever come across any of the issues mentioned above? If you have, how were they dealt with?

Summary of Part A - Quiz

Here are a few questions that should remind you of what you have learnt in this section:

- What are the main reasons in the UK why half of the time worked by employees is found to be unproductive?
- What benefits might you get if you manage performance properly?
- Why does poor performance occur?
- What issues might prove you have a positive attitude towards performance management?
- What are the 4 simple stages to managing performance effectively?
- When might you refer poor performance issues to a higher authority?

Go back over this section and check your answers!!!!

PART B – DEALING WITH BEHAVIOUR

Objectives:

By the end of Part B, you will be able to:

- Understand why people change their attitude
- Describe why people are sometimes emotional
- Outline your role in dealing with attitude and emotions

Introduction

Dealing with the management of what people do (capability) is important for you as a manager as described in Part A because you have to get work done. The other side of managing performance is looking at the way people behave whilst they are carrying out their job.

When you hear the term “managing behaviour” you probably think of children or people who are bad. The fact is that when people are at work a certain level of behaviour is expected. You will be aware of the code of conduct that the CMI expect you to abide by as managers. Well the same thing applies to your team members.

When we consider this area it is quite common to see 3 areas:

- **Attitude** – according to Wordreference.com “attitude” is a complex mental state involving beliefs and feelings and values and dispositions to act in certain ways; "he had the attitude that work was fun". A more simple definition is offered by Hodson C (2001) who says that attitude is “a favourable or unfavourable response to a person, situation or object” But what happens if you see that attitude change? Maybe something has happened as work to make their attitude change? It could be less work coming in, redundancies, loss of promotion plus many others. The biggest problem you will have is that attitude is difficult to measure. One suggest way of assessing someone’s attitude is to put them in a group an, put a question to the group, and see what response you get

What is the attitude like of your staff? Have you noticed anyone who has changed their attitude to the work they are doing or to your organisation?

- **Personal emotions** – emotion is simply “any strong feeling” (Wordreference.com) and this could be caused by many things at work or in a person’s private life. You may be aware of the difficulties trying to deal with someone who is very emotional. We have discussed this in other units and decided that the best thing to do is wait until the person has calmed down and then try to find out what is causing the problem

What experience do you have of people who are very emotional (for whatever reason) and how has this affected their work?

Your role in dealing with attitude and emotion

Regardless of your view of a situation, if a member of team has changed their attitude, is displaying a negative attitude or is emotional, they have to be aware that support is available. Gone are the days when you can say to someone “pull yourself together” – you are there to provide support in whatever way you can.

Building and maintaining positive working relationships is based on trust, respect, openness and co-operation and if these issues are in place and working well, your team member will feel much better about the support that might be available.

You will recall from another unit that leadership, according to John Adair, is about dealing with the task, the team and the individual. It is, therefore, vital that you are able to take into account the needs of individuals in your team and adopt the right leadership style when dealing with them. You need to adopt a friendly approach, set a good example and be there when they need you the most.

Summary of Part B - Quiz

Here are a few questions that should remind you of what you have learnt in this section:

- What is “attitude” and why can it change in people?
- What is “emotion” and why are people’s emotions different at various times?
- How can you help people deal with negative attitude and emotions?

Go back over this section and check your answers!!!!

PART C – ADOPTING A COUNSELLING APPROACH

Objectives:

By the end of Part C, you will be able to:

- Adopt a counselling approach to resolving poor performance
- Describe 10 basic tips for effective counselling
- Maintain respect for individual who are being counselled
- Keep confidential records of any counselling session
- Understand what happens if you get it wrong

Introduction

If you spot poor performance and find out it is a capability or behaviour problem, the best way to start dealing with them is on an informal basis. I guess what we are asking you to do is to take more of a counselling role. The term counselling used to be associated with very serious issues such as personal problems like drugs or alcohol dependency. Over the past few years, though, it has cropped up in management texts and suggestions have been made that as a junior manager, it would be impossible for you not to have to counsel someone at some time or another.

People working in a non-threatening atmosphere are more likely to discuss performance problems but if they do not bring up any issues that you know exist, then you have to bring them up (some people may not even realise they have shortcomings).

Regardless of whether poor performance is discussed at informal or formal occasions, the strictest confidentiality must be maintained. If a member of staff is feeling down because they cannot cope with a new piece of technology, for example, the last thing they need is for everyone else to find out.

Counselling tips

Here are some effective counselling tips:

- Tip 1 – Make sure before you start that you can clearly define what would constitute acceptable performance. That means looking at the standards and making sure that the person has been informed of what they are
- Tip 2 – Whenever possible conduct the counselling session in a private place so that you cannot be overheard or seen by colleagues
- Tip 3 – Make sure you give adequate time to the whole process. That means time for you and them to talk
- Tip 4 – Clearly state what standards are acceptable and get the person to acknowledge those standards

- Tip 5 – Make sure you focus on the performance not the individual themselves
- Tip 6 – Make sure you are always professional and adopt a constructive attitude because counselling is not about “telling someone off”
- Tip 7 – Try to get co-operation as opposed to confrontation
- Tip 8 – Remember that the aim of your counselling session is to improve the performance of the individual, not to win an argument
- Tip 9 – Use “open” questions to keep the dialogue going
- Tip 10 – At regular intervals try to summarise where you have got to without it being too obvious what you are doing
- Tip 11 – Try to make sure you end the session on a positive note
- Tip 12 – Make sure you keep notes and keep them in a safe place so that confidentiality is maintained

If you have any experience of counselling someone for poor performance, which of the above tips did you use or could have used?

Maintaining respect and keeping records

If a person has had a counselling session regarding poor performance they should still be treated as human beings and respect for them as individuals should be maintained.

If you ever have to set up and run a counselling session, you should also be aware of the importance of keeping records. Your HR department may already have procedures in place for this issue and may hold “personal files” on people where such information could be held.

Whilst the importance of keeping such records confidential is self evident, you must also make sure that records are kept confidential.

What records are kept in your organisation?

What happens if you get it wrong?

Here is where most supervisors lack of counselling skills shows up. Poor counselling skills can actually make the problem worse so when you have finished this Unit make sure you talk to your line manager and decide what your limitations are when it comes to counselling staff in your own work area.

This means that you are probably better off sticking to the work-related issues discussed in Part A that you can clearly deal with i.e. what are the standards for a particular, are they being met, if not try to find out why and if you come across a serious issue, refer it to someone else. Maybe your organisation has the services of professional counsellors?

Sometimes supervisors try to refer people to specific professionals such as drug or marital counsellors. Again, this is a problem area because you really need to know that you have discovered the real issue.

It is also possible to see how you could spend a lot of time and effort trying to deal with something you are clearly not qualified, or arguably, even entitled to do. The other issue is that if you give advice to someone and they follow that advice and end up in serious trouble, both you and your organisation might be brought to task.

Have you ever got it wrong? What were the consequences?

Summary of Part C - Quiz

Here are a few questions that should remind you of what you have learnt in this section:

- What is the best way to deal with a capability or behaviour issues in the first instance?
- Why is it important to ensure the strictest confidentiality when dealing with poor performance?
- What are the main tips in carrying out a counselling session?
- What happens if you get a counselling session wrong?

Go back over this section and check your answers!!!!

PART D - DISCIPLINE AND GRIEVANCE

Objectives:

By the end of Part D, you will be able to:

- State what the terms “discipline” and “grievance mean”
- Apply your organisation’s disciplinary and grievance procedures
- List the disciplinary penalties imposed by your organization
- State what your organization defines as gross misconduct
- Explain how to set up and run a disciplinary interview
- Explain your organisations grievance process
- Describe how to set up and run a grievance interview

Introduction

It is quite clear that we must have rules at work as well as in our social lives and that you are aware of the procedures in your organisation should someone decide to break those rules. Your organisation will have its own discipline and grievance procedure but normally they cover the areas discussed earlier.

An important issue is that both you and your team members are aware of what those rules are and therefore should be written down and be reviewed from time to time. You and your colleagues should be made aware of those rules during a formal induction and reminded when necessary. In order that you may carry out whatever responsibility you have towards discipline, you need to be trained.

Does your organisation have written discipline and grievance procedures? Are they reviewed regularly and have you been trained in their usage? Are your team members aware of the rules? How easily accessible are they? Would you know what to do if you had to invoke the disciplinary process?

If you have tried the informal, counselling approach and the behaviour does not improve, you might have to use your organisation's disciplinary process. Let's first look at discipline, what it is, what sort of procedures should be in place, how an investigation should take place, how to conduct a disciplinary interview and then we will look at grievance procedures.

What is discipline?

According to the Concise English Dictionary the word "discipline" means control or order exercised over people especially children!! It also means a system of rules used to maintain this control. In essence, disciplinary procedures will help you deal with people in your organization that decides to break the rules that are in place.

According to ACAS disciplinary procedures can encourage employees to achieve and maintain standards of behaviour and performance and help ensure that disciplinary offences are dealt with fairly and consistently.

In a survey carried out in 1995 by the Industrial Relations Service, the most common disciplinary offences were absenteeism and poor time keeping.

If you carry out an investigation and decided that formal action is not needed then you may decide on a "quite chat" or a counseling session referred to earlier under informal procedures. If you do decide that formal action is needed then it is important you know how to do it.

The disciplinary process

ACAS recommend that disciplinary (and indeed grievance) procedures should:

- Be in writing
- Specify to whom they apply
- Provide for matters to be dealt with quickly
- Indicate the disciplinary action which may be taken
- Specify the levels of management which the authority to take the various forms of action
- Provide for individual to be informed of the complaint being made against them and be given a chance to state their case before a decision is made
- Give individuals the right to be accompanied by a trade union representative or by a fellow employee
- Ensure that, except for gross misconduct, no employees are dismissed for a first breach of discipline
- Ensure that disciplinary action is not taken until the case has been carefully investigated
- Ensure that individuals are given an explanation for any penalty imposed
- Provide a right of appeal and specify the procedure

How does your organisation's disciplinary procedure hold up against that suggested by ACAS?

These procedures should apply to ALL employees, be non-discriminatory, ensure that any investigation period is with pay and ensure that no disciplinary action is imposed if facts are in dispute.

Disciplinary penalties

ACAS suggest that informal actions such as admonishments or counseling should take place before any kind of formal warning. If informal processes fail then disciplinary penalties should be implemented progressively as follows:

- First oral warning
- First written warning
- Final written warning
- Dismissal or other sanction

In some serious instances it will be appropriate to enter the procedure at the final written warning stage.

What are the disciplinary penalties in your organisation?

Gross misconduct

We have discussed misconduct but disciplinary procedures must also allow for cases of gross misconduct which are normally associated with:

- Theft, fraud or deliberate falsification of records
- Fighting or assault on another person
- Deliberate damage to company property
- Serious incapability through alcohol or illegal drugs
- Serious negligence which causes unacceptable loss, damage or injury
- Serious act of insubordination
- Unauthorised entry to computer records

What constitutes gross misconduct in your organisation?

Normally people who commit gross misconduct may be suspended for 5 working days after which, if proved guilty, may be dismissed without lieu or payment of notice.

The disciplinary interview

If the disciplinary process is invoked, then an interview needs to be arranged and below are some simple steps to follow:

- **Prior to the interview** – ensure that the individual knows the nature of the complaint and that they will be attending a disciplinary interview. Remind them that they are entitled to a trade union representative or a colleague and that another manager or member of HR will be in attendance. It is then important that you:
 - Make sure you have all the facts
 - Try not to prejudge the case before the interview
 - Guard against any kind of bias
 - Allow plenty of time for the interview
 - Plan and organise the interview, making sure you are not disturbed
 - Ensure you know your procedures
- **During the Interview** – Again tell the person the purpose of the interview and confirm that it is a disciplinary. Make sure that they understand the complaint that has been made against them and give them a chance to state their own case. You should also:
 - Ask open questions that do not demand a yes or no answer
 - Probe when you are not sure or need more detail
 - Make sure you clarify your organisations position
 - Listen carefully and take notes
 - Try to keep calm at all times
 - If new facts emerge, decided whether to adjourn and hold another investigation

Before you decide on the penalty to be awarded:

- Does your disciplinary procedure give you any guidance?
- What has happened in similar cases in the past?
- What is the employee's disciplinary record like?
- Are there any mitigating circumstances?

If you have to reconvene the interview you need to go through the whole procedure again, this time adding in what new information if any has come to light. If you decide to issue a warning, you must also state how long it will last for and what improvement is expected in that time.

- **Follow up actions** – Immediately after the interview you should:
 - Write up your notes
 - Unless you have given an oral warning, prepare the written warning, send it to the individual concerned, HR and their representative (if in attendance)
 - Monitor future conduct
 - Make an appointment for a follow up interview
 - Take any action that you agreed
 - Inform HR of all your actions

Have you ever been involved in a disciplinary interview? How does the above compare with your organisations procedures?

Confidential records

Confidential records should be kept of all disciplinary action, including oral and written warnings.

Appeals

There should be a procedure, which allows for appeals against any disciplinary action, again dealt with speedily. Normally someone should hear the appeal higher in authority than the person who conducted the disciplinary interview and awarded the penalty.

Managing poor performance whilst taking disciplinary action

Disciplinary action should not be seen as the final way of obtaining improvement from an individual. Just because disciplinary action has been taken there is no reason why you should not continue to get the individual concerned to improve their performance.

Grievance - Introduction

The word “grieve” means to suffer and “grievance” means a real or fancied cause for complaint. It’s not difficult to see how this goes hand in hand with discipline because we are human and we make mistakes. Also, we do not have access to all the information we need to make decisions and often we get it wrong. There seems no reason, therefore, why an individual should not have a right to complain if they think they have been wronged. After all, one of the reasons we stopped hanging in this country was because we may have hanged the wrong people at some time!

If there is a “collective dispute” i.e. one that involves everyone, then the unions normally deal with it but when it concerns an individual it is normally dealt with by use of a grievance process. It also seems quite obvious that grievances, like discipline, should be dealt with as quickly as possible otherwise they may cause unrest, bad employee relations and may develop into a major dispute.

The grievance process

According to ACAS, because any complaint should be dealt with quickly, the normal “first port of call” is the employees immediate line manager. This may solve the problem quickly and avoid such issues as union or a representative involvement. Just like disciplinary procedures, grievance procedures should be communicated to all employees and if the issue cannot be resolved with the immediate line manager, then the procedure should provide for higher levels of management to become involved.

Some grievance procedures that are similar to discipline are:

- The person making the complaint is entitled to a representative to be present whether that person is from the union or is a colleague
- Reasonable time limits should be attached to each stage
- Those involved should be properly trained in the procedures

How does your grievance procedure hold up against that suggested by ACAS?

The grievance interview

Again there are similarities to the disciplinary interview in that:

- **Interview preparation** – should involve you:
 - Finding out the facts behind the grievance
 - Finding out who is involved
 - Getting advice from appropriate people (such as HR)
 - Checking to see if this has happened before
 - Checking the grievance procedure and following it
 - Having a private room where interruptions are not possible

- **Conducting the Interview** – should involve you:
 - Aiming for a win/win situation (i.e. where both side win)
 - Remaining calm but positive throughout
 - Allowing the person to “let off steam” at the start
 - Listening very carefully to the complaint
 - Summarising from time to time to ensure both you and the person making the complaint are sure of the facts
 - Attempting to unravel the reasons or cause for the complaint
 - Finishing with some kind of positive action that both you and the person complaining agree on

- **After the Interview** – should involve you:
 - Carrying out any further investigation
 - Writing up some notes about what occurred
 - Carrying out any agreed actions
 - Keeping HR informed

Have you ever been involved in a grievance? What was the procedure? How does your organisations procedure compare with that suggested above?

Summary of Part D - Quiz

Here are a few questions that should remind you of what you have learnt in this section:

- Why must we have rules at work?
- What happens if your informal counselling approach does not work?
- What should disciplinary procedure contain, according to ACAS?
- What are the main disciplinary penalties?
- What would normally constitute gross conduct?
- What are the 3 stages of a disciplinary interview?
- What records should be kept of any disciplinary action taken?
- What happens if a person has been disciplined and they are not happy with what has happened to them?
- Who is the “first port of call” relating to a complaint made by an employee?
- What are the 3 main stages of a grievance interview?

Go back over this section and check your answers!!!!

PART E - UNIT SUMMARY

This self-study guide has been designed so that you may have a better understanding of:

- What constitutes poor performance based on capability, attitude and emotion
- What managing performance is supposed to achieve and how you find out if it is occurring
- How to tackle poor performance yourself and when you should refer issues to higher authority
- How to deal with a change in attitude or behaviour
- How to plan and run an informal counselling session with a member of your team whose performance is not up to scratch
- Your organisation's discipline and grievance procedures

Having completed this self-study guide and attended the appropriate workshop you are now in a position to complete the Unit assessment.

Remember that there are very specific outcomes from this Unit and you must cover each one satisfactorily in your work so make sure you pay particular attention to your assessment brief and the guideline questions you have been given.

PART F - PREPARING FOR ASSESSMENT

By the time you have completed this self study guide, you will also have attended the relevant monthly workshop. Now you need to carry out some extra research and gather some more information on these topics which you can use for your assessment.

Remember that you can submit a draft of your assessment to the Centre and we will try and give you some form of feedback as quickly as possible.

When you have completed your assessment you need to bring it to the next monthly workshop and hand it in to the tutor. You should hand in the following:

- Your completed work
- Your work brief
- The marking sheet for this unit (after signing the front page and making a self-assessment in the first box on the first page)

These documents can be found by going to www.kdtraining.co.uk and following the relevant links.

Once your work has been assessed, you will receive a copy of your feedback by email and we will attempt to do this about 2-3 weeks after you hand your work in. If you hand your work in late, you may go to the back of the queue so try to make sure you deliver on time.

After your work has been assessed, it may be selected to be internally moderated by another tutor. That means it will be checked to make sure all the relevant paperwork is there and that the assessment was rigorous and fair.

Your work will then be kept by the Centre and shown to the CMI External Verifier when he next visits.

At the end of your programme, all of your work will be presented to the CMI External Verifier and he will make the final decision regarding your qualification.

Good Luck!