

Supervision and Performance Management of Employees

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Introduction

1. Managing employee's performance is a continuous part of the employment journey to ensure the employee's own performance contributes to the aims and objectives of the team, the department and those of the City of London Corporation's.
2. Performance management consists of two processes which support each other:
 - induction, informal day-to-day management, supervision and guidance of employees and teams by the manager;
 - formal performance appraisal framework.

Why is managing performance important?

3. Managing performance is a key part to the employment relationship between manager and employee. Good performance management will help the City

Corporation to develop employees, through training and experience, which in turn can help aid succession planning.

4. Good performance management ensures employees are clear about:
 - the aims and objectives of the team, department and City Corporation;
 - how their role fits in to help the team, department and City Corporation achieve their goals;
 - the skills and competencies they require in order to fulfil their role;
 - the standards of performance expected;
 - the support available to them to perform well (e.g. training, coaching etc);
 - how they can develop their performance, in their role and achieve their career aspirations;
 - how they are doing, through clear and objective feedback on their progress against objectives;
 - what will happen if there are performance problems.

Measuring Performance

5. The tools used for measuring performance are:
 - Job description;
 - Person specification;
 - Learning and development record;
 - City of London Values – Lead Empower Trust;
 - 1:1 notes and action plans;
 - Appraisal documents;
 - Feedback notes;
 - Return to work interviews;
 - Time keeping records.
6. In instances where an employee is underperforming managers should identify what the required standard of performance is and compare this to the employees' current performance. If underperformance is identified managers should take into account whether this is a one off occurrence or whether this level of underperformance has become consistent.

Regular Feedback

7. Good communication is a key element of the relationship between manager and employee. This will allow for an open and honest dialogue when discussing performance.

8. Managers should provide feedback to employees on work at the time that it occurs, highlighting areas of both high performance and areas where performance may not be at the expected standard. Highlighting areas of high performance will help to reinforce the behaviour and the standards expected. Discussing issues of underperformance at the time they occur will allow the employee to address the concerns and take remedial action sooner, e.g. training, reviewing operational instructions, guidance, procedures etc.
9. Managers should meet regularly with employees to discuss work (one to one meeting), discussions will include:
 - progress against objectives and competencies;
 - key achievements;
 - learning and development undertaken;
 - area(s) to think about that might be improved further;
 - area(s) to work on and any concerns about performance.
10. In most cases, action can be agreed between the manager and the employee to resolve any problems at the earliest opportunity. When discussing performance issues with employees, managers should:
 - stick to the facts and not express personal opinion;
 - be specific and avoid generalisations;
 - ask open questions;
 - listen to the employee;
 - use positive words and tone;
 - focus on future improvements;
 - check for understanding;
 - follow through on commitments to review, provide support, training etc;
 - identify an appropriate timeframe for improvement, based on the nature and degree of performance improvement required.

Keeping a Record

11. Managers and employees should both keep records of achievements and development activities as they occur throughout the year to aid discussion at performance appraisal reviews. This should not be a time-consuming task, it could simply be a bullet point list to serve as a reminder to facilitate a wider discussion at one-to-one meetings and appraisal reviews.

When Performance Becomes a Concern

12. Managers will have outlined the objectives for the job and the competencies required during the recruitment process, ensuring that the successful applicant meets the relevant criteria at the start of the employment process.
13. It should be noted that very few employees choose to perform their work badly, make mistakes or fail to complete tasks. In the normal course of day-to-day work and supervision, employees will be made aware of instances where their performance is below the standard expected. They will be provided with an opportunity to improve their performance to an acceptable level with the appropriate support and training.
14. Managers should keep supervision notes detailing the steps taken to try to resolve matters of concern informally. This should include summary notes from the meeting, setting standards required to achieve and objectives to be met for improvement within a specified timeframe.
15. Where there have been a number of discussions regarding underperformance managers may issue a matter of concern letter to the employee. Appendix 1 provides a template matter of concern letter.
16. If the employee's work performance has not reached the standard expected, the manager will explain the shortcomings and provide them with an opportunity to respond. If there has been some improvement, then this should be acknowledged but should be set within the context of the overall issues.
17. If the manager considers that there is not a justifiable reason for not reaching the required standard during the review period, and/or that the shortcomings are likely to continue, then the matter will progress to the formal capability, disciplinary or probationary procedure. The probation procedure will be used where the employee is still a probationer. The disciplinary procedure may be appropriate in the rare case where the failure to reach expected standards involves breach of code of conduct or a refusal to cooperate/improve. If this decision is made, the employee should be advised of this by the manager. Appendix 2 provides guidance on identifying whether an issue is a capability or conduct matter.

Links / Other resources

- Capability Procedure (*under review*)
- [Disciplinary Procedure](#)
- [Managing People Policy](#)
- [1 to 1 Meeting Action Form](#) (under Preparing for Appraisal section)
- [Performance Development Framework and Appraisal](#)
- [Probation Policy](#)

Appendices

- Appendix 1 – Template Matter of Concern Letter
- Appendix 2 – Managing Performance – Capability or Conduct Flowchart