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## About the Document

<b>name</b>	<b>PI-MGR-3200-M. Performance Improvement Plan Form</b>
<b>owner</b>	HR
<b>access &amp; use</b>	Restricted to Managers & HR
<b>what it is</b>	<p>A form to document and track an employee's Performance Improvement Plan</p> <p>Used when:</p> <ul style="list-style-type: none"> <li>◆ An employee's performance is not meeting expectations, or</li> <li>◆ An employee's behavior is not meeting the expectations of management or of the job</li> </ul>
<b>who uses it</b>	HR and the employee's Manager
<b>used with</b>	<ul style="list-style-type: none"> <li>◆ <i>PO-MGR-3105-R. Performance Management Overview Guide</i></li> </ul>
<p><b>Note:</b> Once completed, the Performance Improvement Plan Form includes extremely sensitive information about the employee. It is not to be shared with anyone other than the employee, the employee's manager, and HR. Use caution and discretion when printed.</p>	

## Working with the Document

- ◆ Gray shaded form fields are input placeholders. To replace the text in these form fields, click **ONCE** on the field and type your new content.
- ◆ To insert a check inside a check box, double-click on the check box and under the **Default value** heading, select **Checked**.
- ◆ Table cells will expand to accommodate any length of text.
- ◆ If required, you can copy and paste to add additional rows to the tables. Place the cursor in a row, right-click, and select **Insert > Insert Rows Below**. Or, to copy and paste a row, select the entire row and press **Ctrl + C**, then place cursor in the first cell of the destination row and press **Ctrl + V**.

## Why this Process is Important

When an employee's performance does not meet expectations, we believe they deserve clear communication and an opportunity to turn the situation around.

Using this form to communicate expectations, document an action plan, and track progress helps facilitate what is likely to be a difficult conversation between a manager and employee. By putting expectations in writing and measuring progress against observable goals, the conversation focuses on clear, objective outcomes versus vague feelings and emotions.

Once an employee has been the opportunity, guidance and support to improve performance, the outcome is up to them. If performance improves, everybody wins. If not, then having a clearly documented and communicated history of performance helps to support and justify making the difficult decision to terminate employment, if necessary.

## About the Form

### Overview

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Consult with **CUSTOMIZER: Insert the title of the HR or other appropriate individual** before starting this process. A Performance Improvement Plan form should never be the first step in addressing a performance issue. It should always be preceded by at least one or more conversations and a verbal or written warning, all of which have been documented by the employee's manager.

Managers should always work with **CUSTOMIZER: e.g., HR or other appropriate individual** to complete this form prior to setting up a meeting to review it with the employee.

When the initial and follow-up meetings take place, they should be attended by the employee, the employee's manager, and **CUSTOMIZER: Insert the title of the HR representative, or other appropriate individual** to ensure that another party is present to witness the conversation.

This form is divided into three sections:

- ◆ **Initial Meeting** – Summarizes the history and issues. Documents expected performance, action plan and support commitments.
- ◆ **Follow-Up Meeting #1** – Documents progress and observations at first follow-up meeting
- ◆ **Follow-Up Meeting #2** – Documents progress and observations at second follow-up meeting

### Getting Started

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1. Open the *PI-MGR-3200-M. Performance Improvement Plan Form* and save a copy with the following file name convention: Doe\_Jane\_Performance\_Improvement\_Plan\_2016\_01\_03.

2. Double-click on the page header to open it. Replace the <Employee Name> placeholder with the employee's name.
3. Complete the form electronically, not on paper.

## Initial Meeting

### Date & Attendees

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Complete the fields in the table provided.

### Previous Discussions and/or Verbal Warning

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Summarize the dates and subject of previous conversations or verbal warnings given about the performance issue(s). Be specific, brief and factual.

### Performance Improvement Area(s)

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Use the table provided to list the specific skills, behaviors or traits required for the position in which the employee is not meeting expectations, and cite examples you have observed of unacceptable performance.

State observable facts versus impressions or feelings, and avoid hearsay. For example:

- ◆ Good – “I saw you stop by Mary’s desk and talk to her briefly. As you walked away, I saw her drop her head, hunch her shoulders and reach for a tissue.”
- ◆ Not as good – “Mary was upset after you talked to her yesterday.”
- ◆ Unacceptable – “Everyone said Mary was upset after you talked to her yesterday.”

### Expected Results

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In the table provided, list the same skills, behaviors or traits as in the previous table and describe the level of behavior or performance expected. For job-specific skills, give measurable, observable guidelines. For behaviors and success traits, cite examples where appropriate.

The more clarity you can provide in this section, the easier it will be for you to communicate expectations and for the employee to visualize what those behaviors or traits should look like in their job.

Relate standards and expectations back to the position job description of company success traits wherever possible.

## **Corrective Action**

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If applicable, list any corrective action that must be taken by the employee. For example, reading specific subject matter resources, attending a course, or reviewing previous work for errors. These are actions the employee must do.

## **Time Frame**

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Insert the end date for the Performance Improvement Plan—this is the date by which the employee is expected to be performing to the standard described in the **Expected Results** section. Set a realistic time frame, but not so long that the process is drags on endlessly. Normally, 3 months is adequate.

Set the date for the first follow-up meeting. It should be soon enough to give early feedback, yet far enough out to allow time for progress to be made. The length of time will depend on the position the employee holds, and the severity and type of problem. Normally 2-4 weeks is sufficient.

## **Support & Resources**

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If applicable, list any internal and/or external support or resources that will be provided to help the employee achieve the changes required. This may include coaching, mentoring, job shadowing, counseling, etc. These are optional resources available to the employee, not required.

## **Action Plan**

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Create a list of incremental goals that must be achieved by the employee throughout the period of the Performance Improvement Plan, and assign a completion date to each one. Space the completion dates throughout the whole period of the plan (e.g., over all 3 months), rather than making them all due at the end.

Each goal should be specific, measurable and observable, achievable by the individual within the time given, and relevant to the performance area that needs to be improved.

Progress toward each goal will be reviewed at each follow-up meeting, with an opportunity to revise dates or assignments, or add new ones.

## **Consequences**

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Standard text is provided in the form template. Revise as necessary.

## **Authorization & Acknowledgement**

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Each time the Performance Improvement Plan form is reviewed and updated, two copies are to be signed by the employee, the employee's manager and the witness attending the meeting. One copy is

given to the employee for their records, and the other is kept on file by **CUSTOMIZER: e.g., HR or other appropriate individual**.

## Follow-Up Meetings

The Performance Improvement Plan form contains sections for two follow up meetings in addition to the initial meeting. The fields in both of these sections are identical.

For a 3-month Performance Improvement Plan with monthly follow-up meetings, two follow-up sections is all you'll need. For a longer plan, or a plan with more than two follow-up meetings, simply copy and paste additional "Follow-Up Meeting" sections at the end of the document.

Keep the entire Performance Improvement Plan, including notes for all follow-up meetings, in a single file. It may become a long document, but it'll keep documentation of the process in a single location and prevent the risk of pieces going missing. If the outcome of the Performance Improvement Plan is termination of employment, we need a clear documentation trail in case the employee contests the decision in court.

### Date & Attendees

Enter the date of the follow-up meeting, and names of those attending.

**Note:** In addition to the manager and employee, a third party—such as **CUSTOMIZER: e.g., HR or other appropriate individual**—should attend the meeting as a witness.

### Performance Improvement Area(s) – Observations & Outcome

Copy and paste the **Performance Improvement Areas** listed in the **Initial Meeting** section of the form into the **Performance Improvement Areas** column of this table.

In the **Observations/Outcome** column, for each performance improvement area identified, provide observations on progress made during the review period.

- ◆ If the employee demonstrated satisfactory improvement, and fulfilled the terms committed to in the initial meeting, indicate as such and provide specific examples of the improvement(s) demonstrated.
- ◆ If the employee demonstrated some improvement in one or more areas, mention them but encourage further improvement in the other. Provide specific examples of:
  - The area(s) in which performance or behavior has sufficiently improved.
  - The area(s) in which performance or behavior has not sufficiently improved. Provide details of new objectives, deadlines, expectations, support, etc.

- ♦ If the employee did not demonstrate satisfactory improvement in any area, indicate as such and provide specific examples.

## **Action Plan – Progress Update**

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Copy the list of goals and completion dates from the **Action Plan** table in the **Initial Meeting** section of the form into the **Measurable Goal** and **Completion Date** columns of the table provided.

Indicate the current status of each goal. Include notes on progress, where appropriate. Examples:

- ♦ Completed, on time
- ♦ Completed, 1 week late
- ♦ In progress, on schedule
- ♦ In progress, late
- ♦ Not completed
- ♦ Not started

## **Summary Comments**

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Summarize the results of the performance improvement period. For example:

- ♦ Did the employee demonstrate satisfactory improvement, and fulfil the terms committed to in the written warning meeting?
- ♦ Is further improvement required in some/all areas?
- ♦ Is the employee on track to meet expectations in the timeframe provided?
- ♦ Is an extension warranted, or is further disciplinary action or termination required? Refer to *PO-MGR-3105-R. Performance Management Overview Guide – Involuntary Termination* section.

**Note:** If an employee is not meeting the expectations outlined during the initial Performance Improvement Plan meeting, and there's no indication of willingness or ability to do so in the timeframe given, there's no point extending the Performance Improvement Plan for its full length. A recommendation for continuation or termination of employment should be made after each follow-up meeting.

## **Authorization & Acknowledgement**

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Each time the Performance Improvement Plan form is reviewed and updated, two copies are to be signed by the employee, the employee's manager and the witness attending the meeting. One copy is given to the employee for their records, and the other is kept on file by CUSTOMIZER: e.g., HR or other appropriate individual.