Performance improvement plan

This template provides an example of a performance improvement plan (PIP) that agencies might find useful to guide employee discussions. It can be used to document the formal PIP process to a standard required under the directive relating to positive performance management.

**Appendix A** provides a template for reviewing a PIP.
**Appendix B** provides a template about how to record the outcomes of a PIP. Agencies can use these documents in full or modify them to meet their specific needs.

These templates have been colour coded to help you complete them. Simply replace the red [ ] writing with what applies to your employee and situation.

Examples and explanatory information is shown in *green italics* to assist you and can be deleted.

|  |
| --- |
| **Employee** |
| Name: [Employee name] | Role title: [title]Classification Level: [level] |
| Name of employee support person (if applicable): | [Employee support person name] |
| **Manager** |
| Name: [Manager name] | Role title: [title] |
| Name of manager support person (if applicable): | [Manager support person name] |
| **PIP timelines** |

|  |  |
| --- | --- |
| PIP commencement date: | [commencement date] |
| PIP completion date: | [completion date] |
| Review/feedback meeting frequency and dates: | [meeting frequency][review dates] |

*[The following description and table can be completed for each area of improvement. Copy and paste as required.]*

## Issue 1– [topic]

[Provide a brief description of the issue.]

***For example:***

* *discussions have been held with [Employee name] about the need to improve the quality of written communications, including project updates, briefs and emails*
* *[Employee name] has missed the deadline for submitting updates on a number of occasions and has submitted updates and drafts that have not included key information and that have contained typos and errors that require significant editing*
* *[Employee name] has sent emails that have included the wrong addressees and inaccurate information.*

***NOTE****–any examples, file notes or feedback, summaries or emails should be attached to the plan and referenced here. For example:*

* *file notes of conversations with [Employee name] regarding issues with written communications dated X, Y and Z.*
* *copy of the project update submitted by [Employee name] and dated X showing highlighted typos and notes from [Manager name] regarding missing content and inaccuracies*
* *12 x emails from [Employee name] for the period X to Y with notes highlighting typos and inaccuracies.]*

## Issue 2– [topic]

 [Provide a brief description of the issue.]

***For example:***

* *discussions have been held with [Employee name] about their responsibility to always conduct and present themselves in a professional manner, and demonstrate respect for all persons, whether fellow employees, clients or members of the public.*
* *[Employee name] has not treated their co-workers with courtesy and respect, and has sent inappropriate emails to their team members and an employee from another team*
* *in team meetings and one on one conversations, [Employee name] has treated co-workers in a disrespectful and inappropriate manner.*

***NOTE****–any examples, file notes or feedback, summaries or emails should be attached to the plan and referenced here. For example:*

* *file notes of conversations between [Employee name] and co-workers regarding issues with inappropriate verbal communications dated X, Y and Z.*
* *minutes of team meetings that [Employee name] attended dated X, Y and Z.*
* *6 x emails from [Employee name] for the period X to Y with notes highlighting inappropriate written communication to other team members and an employee from another team.]*

|  |  |  |  |
| --- | --- | --- | --- |
| **Area for improvement** | **Tasks/expectations** | **Training, support and feedback** |  **Assessment** |
| [Clearly identify the specific area or areas of work performance that require improvement. This could include the employee’s:* quality of work (accuracy, thoroughness, competence, including professional competency)
* quantity of work (productivity level, time management, ability to meet deadlines)
* job knowledge (skills and understanding of the work)
* working relationships (ability to work with others, including communication skills);
* breaches of work practices, procedures or guidelines, or not following a manager’s reasonable direction, or
* breaches of policies, expectations or codes of conduct that are not sufficiently serious to warrant disciplinary action (such as absenteeism and lateness).]

*For example:** *Area for improvement–the timely and accurate processing of grant applications.*
* *Area of improvement– courteous and respectful interaction with work colleagues*
* *Area of improvement–to attend work on time and accordance with your contracted working hours*
 | [Describe what the employee needs to do to improve their work performance. This should include:* What are the tasks that need to be completed?
* What standard are these tasks expected to be completed to?
* What are the gaps currently between the employee’s actual and expected performance?
* Are there any set timeframes in which these tasks need to be completed?
* Where relevant, references to the pertinent sections/standards within the Code of Conduct, the employee’s role description, agency policies etc.]

***For example:**** *if an employee has consistently failed to demonstrate respect for others, reference could be made to ensuring their conduct is in accordance with the relevant section of the Code of Conduct.*
* *If an employee is not attending work in accordance with their contracted working hours, reference could be made to award, legislative and policy requirements relating to absence management*
* [Tasks should be specific and provide the employee with a clear overview of what is expected and to what standard and when. The expected work performance outcomes must be reasonable and measurable]

***For example:*** ***Current performance:**** *Average acknowledgement of grant applications is 2 weeks after receipt****–*** *longest outstanding acknowledgement was 30 days after receipt.*
* *On average, 3 grant applications are processed in a 10-day working period.*
* *Grant-related paperwork remains outstanding, paperwork is missing, records are not electronically filed in Record Management System.*

***Expected performance:**** *Acknowledge all grant applications within 48 hours of receipt.*
* *Process at least 1 grant application each working day.*
* *Complete grant-related paperwork neatly, accurately, and in accordance with the agency’s record management policies and procedures.*

***Gaps identified between employee’s actual and expected performance:**** ***Timeliness of acknowledgement of grant applications–****too long a period between when a grant application is received and when it is acknowledged*
* ***Quantity of grant applications processed–****not enough grant applications processed. Expected output is at least 1 grant application processed each working day, actual output is 3 grant applications processed over a 10 working day period.*
* ***Quality of work–****application form must be sighted and electronically filed into record management system; grant checklist must be utilised to see if application meets grant requirements; application form must be reviewed to identify if further information needs to be sought from applicant etc…*
 | [Describe what training and support you are going to provide to the employee to meet the required outcomes and standards. This should:* be specific
* include a description of any strategies which will be implemented to assist address and achieve expected work performance
* include a completion date, and
* include the details of the agency’s Employee Assistance Program as part of this section.]

***For example:**** *You must attend the specified time management course by the 31 October;*
* *Your manager will provide you with refresher training on the grant management software and the agency’s record management system by the 31 October.*
* *You will be shadowing, observing and working with role models/more experienced colleagues, and will both give and receive feedback.*
* *Your manager will provide you with information about the expectations regarding attendance in general; absence policies and procedures/business rules that apply to you; how to report illness and injury related absences, and what evidence you need to provide.*
* *The agency’s Employee Assistance Program is provided by [EAP provider name] and provides free, professional and confidential counselling services to assist you and your immediate family members through both personal and work-related problems. They can be contacted on [contact details].*

[Describe how additional feedback will be provided, outlining the formal and informal opportunities the employee will have to discuss their work with their manager and receive feedback on their performance. Any identified concerns should be raised and addressed at the time of incident and also tabled for discussion at the next review meeting.]***For example:**** *Your manager will meet with you each Monday to provide you with feedback on your progress against the required outcomes.*
* *If you have any questions (e.g. you’re not sure how to complete a task, or if you’re asked to complete a different task), you must immediately raise this with your manager.*
* *If your performance is below expectation, your manager will clarify or reset what is expected of you and coach you to improve your work.*
* *Your manager will meet with you the day you return to work after an unplanned absence, to discuss any concerns about attendance, identify possible causes and clarify expectations. (****Note–****where there is a reasonable suspicion that the employee’s unsatisfactory work performance is caused by a medical condition and the supports put in place have not brought about improvements, agencies may consider their options under section 174 of the Public Service Act 2008 and the directive relating to independent medical examinations.)*

[There is an expectation that [Employee name] will familiarise themselves with the agency policies and procedures relevant to their role. The Manager will provide clarification on policy content/interpretation where requested by [Employee name].] | [Describe how the employee’s work performance will be assessed against the tasks/expectations. The assessment measure should be specific and clear.] ***For example:**** *Until the completion date of this PIP, 90% of grant applications will be submitted within required deadlines (except in cases where delay is due to circumstances outside of the employee’s control)*
* *Until the completion date of this PIP, your manager will review all completed grant applications before sending.*
* *By the time of the mid-year review of this PIP, at least half of your grant applications submitted to your manager for review will be compliant with legislation*
* *Your manager will review with you specific work examples that demonstrate the development you need.*
* *Your manager may seek feedback from work colleagues, clients, or other sources.*
* *Your manager will monitor your attendance through your timesheets, which will be authorised by the manager.*
 |

## **Potential consequences**

[Provide a brief description of the potential consequences of the expected performance not being met, including that the chief executive may commence disciplinary action under Chapter 6 of the *Public Service Act 2008* and the directive relating to discipline.]

***For example:***

* *If the expected performance has not been met, potential consequences to [Employee name] include:*
	+ *extending the PIP for a further period in order to try and achieve the required outcomes (this is more likely in cases where the employee has met some of the required standards or has demonstrated good progression towards these and it is anticipated they will be achieved within a short period or with additional supports, or in situations where there has been significant absence during the initial PIP period), or*
	+ *consideration by the chief executive of management action or making disciplinary findings under section 187 of the Public Service Act 2008 and the directive relating to discipline.*

#### Employee declaration

I have read, understood and agree to this PIP and its requirements upon me and commit to the tasks and expectations stated in the plan. I have read and understood the potential consequences should the expected level of performance not be met:

Name: [Employee name]

Signature: ¬¬\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:

#### Manager declaration

I have read, understood and agree to this PIP and its requirements upon me:

Name: [Manager name]

Signature: ¬¬\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:

#### [Name] declaration *[insert position title of team leader or other manager who may have responsibilities imposed on them under this PIP – repeat this signature block if there is more than one other manager/team leader/supervisor with responsibility under this PIP]*

I have read, understood and agree to this PIP and its requirements upon me:

Name: [Name of other manager/team leader]

Signature: ¬¬\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:

## **Appendix A–Template for the review of a PIP**

## **Review 1–**[Date of review] *[Complete a new feedback sheet for each review. Cut and paste as required]*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Area for improvement** | **Tasks/expectations** | **Training, support and feedback** | **Employee comments** |  **Assessment** |
| [Clearly identify the specific area or areas of work performance that required improvement, as identified in the initial performance development agreement.] | [Describe what the employee needed to do to improve their work performance, as identified in the initial performance development agreement.]  | [Describe what training and support you provided to the employee to meet the required outcomes and standards.] [Insert comprehensive notes of the feedback provided to the employee, including any outcomes or action items. The employee should also receive an indication of whether their performance and/or conduct to date is satisfactory in each of the identified areas for improvement.] [Attach any copies of documentation or work examples which were discussed with the employee during the review period to this plan and reference them in this section.] | [Insert any employee comments, issues or points they would like noted.] | [Describe how the employee’s work performance was assessed against the tasks/expectations, as identified in the initial performance development agreement.][If the employee has failed to meet expectations and therefore their performance is deemed to be unsatisfactory, the reasons why should be clearly articulated with examples provided.][In addition, for the final review, a comprehensive summary of the overall assessment of the employee’s performance and/or conduct against the Tasks/expectations needs to be provided including a finding of whether the employee’s performance and/or conduct in each area of improvement is satisfactory or not.]  |

#### Signatures

|  |  |
| --- | --- |
| Name: [Employee name] Signature: ¬¬\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:  | Name: [Manager name] Signature: ¬¬\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:  |
| Name: [Employee support person name – if applicable] Signature: ¬¬\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:  | Name: [Manager support person name – if applicable] Signature: ¬¬\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:  |

## **Appendix B–Template for how to record the outcome of a PIP**

## **Record of performance improvement plan outcome**

1. **Attached documentation** *(indicate those provided by marking each applicable checkbox)*

|  |  |
| --- | --- |
| * PIP
 | * Original feedback documentation, work examples etc
 |
| * Completed review or feedback sheets
 | * File notes, conversations, records or meeting summaries
 |
| * Work samples
 | * Other evidentiary materials: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
 |

1. **Manager–outcome and recommendations**

I certify that this PIP has been developed and administered in a fair and appropriate manner consistent with the directive relating to discipline, the directive relating to positive performance management, and agency policies and procedures. I also certify that the employee has been afforded natural justice and procedural fairness.

Based on the attached documentation, I am of the reasonable belief that [Employee name] **HAS / HAS NOT** achieved the required standard on all performance improvement expectations/goals/tasks detailed within the PIP.

Accordingly, I consider that the performance of [Employee name] **IS / IS NOT** satisfactory and make the following recommendation:

* resume routine local performance monitoring and development processes
* extend the PIP period [this may be recommended when there is significant absence during the initial PIP period, or where additional time will allow the employee to demonstrate sustained improvement, or where only some of the performance standards were met]
* refer the outcome to the appropriate delegate for consideration of disciplinary or further management action.

Name: [Manager’s name] Signature: [Manager’s signature] Date: [Date signed]