**Performance Improvement Plan (PIP)**

|  |  |  |
| --- | --- | --- |
| Employee’s printed name | First-level supervisor’s printed name | Second-level supervisor’s printed name |
| Employee’s PMKeyS ID | First-level supervisor’s PMKeyS ID | Second-Level supervisor’s PMKeyS ID |
| Performance year | Group | Branch | Directorate |

|  |
| --- |
| Performance Improvement Plan period **+** |
| Commencement Date / /  | End Date  / /  |

**+ Note:** The length of the PIP period will vary depending on the individual circumstances, however as a general guide, 4-8 weeks could be considered an appropriate length of time for performance to improve.In exceptional circumstances, it may be appropriate to reduce the agreed period of the PIP during the process, but only where the employee is not available to complete the process, the majority of the assessment has already been completed and any significant change in the remaining period would be unlikely to alter the final assessment.

**Instructions for Completion**

|  |  |
| --- | --- |
| ***When to use this form***This form is to be used:1. where day-to-day monitoring and feedback does not improve performance; or
2. when an employee's performance is rated Partially Effective at the end-cycle performance exchange in August.

Parts A, B & C are to be completed at the commencement of the PIP. Complete Parts D, E, F & G at the end of the PIP period.It is not mandatory to use this specific PIP template. For example, employees in the Defence Materiel Organisation (DMO) use the PIP box on the Form AD678 - Employee Performance Agreement (EPA).Supervisors may use this PIP form or any other tool to develop a PIP, provided that the PIP:1. provides a set of short-term realistic and achievable expectations regarding the standard of performance and the conduct required throughout the PIP period;
2. focuses on the areas where performance requires improvement;
3. is supported by the employee's supervisory line;
4. includes strategies to address causal and contributing factors to the poor performance; and
5. provides the Performance Delegate with sufficient information to decide, at the end of the PIP period, whether the employee's performance has improved or whether the Performance Evaluation Process (PEP) is to be commenced.

More information on the PIP and the PIP process is available in the Defence Workplace Relations Manual (DWRM) Chapter 12 Part 3 (<http://intranet.defence.gov.au/dwr/>).***Suggested steps to take when preparing for a performance exchange to improve poor performance\****1. Agree on a time and location to hold the exchange. These should be suitable to both the first-level supervisor and the employee (as well as any support people).
2. Gather all relevant documentation, such as:
* The employee’s current Performance Agreement;
* Evidence of poor performance (including monitoring and feedback);
* Position documentation (eg duty statement); and
* Performance management policy and guidance. *This includes Part D of the DeCA, Chapter 12 of the DWRM, relevant DEFGRAMS and Fact Sheets.*
1. If necessary, seek assistance from the local Performance Case Manager.
 | ***Suggested steps to take when conducting a performance exchange to improve poor performance\*****Evaluation:*1. Employee self-assesses their performance against the KERs on their current Performance Agreement.
2. First-level supervisor provides comprehensive, honest and fair feedback on the employee’s performance, providing any relevant evidence.
3. Employee provides any necessary response, for example additional evidence, mitigating factors such as personal circumstances.
4. Assess the achievement of results (or progress) against the KERs set for the performance cycle.
5. Evaluate and assess whether learning and career development activities met their intended purpose.
6. evaluate whether the Work Arrangements as planned were suitable and whether planned leave was taken.
7. Close the existing Performance Agreement, noting the commencement of a PIP.

*Planning:*1. Discuss and identify the KERs to be set for the forthcoming performance cycle and their priority.
2. Discuss standards of behaviour expected.
3. Identify strategies to improve performance, for example development activities or referral to the Employee Assistance Program;
4. Discuss Work Arrangement such as attendance, working hours, travel, flextime or time off in lieu arrangements and flexible work options.
5. Discuss leave plans including all leave.

*Follow up:*1. Formulate a PIP document to include this information.
2. Employee and first-level supervisor sign completed PIP.
3. Submit the PIP to the second-level supervisor for approval.
4. Employee retains original copy, and first-level supervisor retains a copy for their reference.

\*These are guidelines only. They should be read in conjunction with Chapter 12 of the DWRM. |

 **Part A – Improvement goals/targets/objectives**

|  |  |  |
| --- | --- | --- |
| **Tasks to be achieved** *(These may stem from KERs not previously achieved or from new projects. If applicable, the Supervisory and/or Leadership proficiency mandatory KERs should also be included in this section)* | **Deadline/ Timeframe** | **Quality / Quantity Measure** |
| 1. Demonstrate adherence to the Defence values, the APS Values, Defence's Mutual Responsibilities and uphold the APS Code of Conduct.2. | Ongoing |  |
| **Scheduled Review Dates** *(specify when regular meetings* *will be held to discuss progress)* | **Mandatory awareness** |

|  |  |  |
| --- | --- | --- |
| **Work Arrangements** *(record attendance arrangements eg agreed pattern of hours, flex time usage, etc)* | **Leave approved** | **Annual leave balance** |
|  |  |  |

**Part B – Strategies to Improve Performance**

|  |
| --- |
| Agreed strategies to assist in improving performance *(e.g. learning and development activities, new equipment, change of work processes, referral to Employee Assistance Program)* |
|  |

**Part C – PIP Checklists**

|  |
| --- |
| ***Employee checklist:***[ ]  I am aware of my obligations as an APS employee under Section A3 (Mutual Responsibilities) of the DECA.[ ]  I have read the Privacy Notice on page 4 of this form. [ ]  I understand that at the end of the PIP period if my performance: * improves to at least Fully Effective level then I will return to standard performance management arrangements.
* **does not** improve to at least a Fully Effective level, my second-level supervisor may refer the matter to a performance delegate, requesting the commencement of a Performance Evaluation Process (PEP). As a result of the PEP, the performance delegate may decide that reassignment of other duties at the same classification, reassignment to other duties at a lower classification, or termination of my APS employment may be appropriate actions to take.

[ ]  I understand and agree with this PIP; or[ ]  I disagree with some/all aspects of this PIP and wish to make the following comments (*Need more room, attach a separate page*): |
| Employee signature | Date |  |

**Part C – PIP Checklists *(continued…)***

|  |  |
| --- | --- |
| ***First-level supervisor checklist:***[ ]  I am aware of my obligations as a supervisor under Section A3 (Mutual Responsibilities) of the DECA.[ ]  Areas of poor performance have been discussed and improvement strategies identified and recorded.[ ]  Specific, measurable tasks have been discussed and recorded.[ ]  The employee’s leave plans and attendance patterns have been discussed and recorded.[ ]  Scheduled review dates are identified and recorded. | ***Second-level supervisor checklist:***[ ]  I have read and approve this PIP.[ ]  I am aware of my obligations as a supervisor under Section A3 (Mutual Responsibilities) of the DECA.[ ]  Where applicable, funds are available for activities relating to strategies to improve performance, including travel as required.[ ]  Where applicable, this employee will be released for activities relating to strategies to improve performance. |
| First-Level Supervisor Signature | Date | Second-Level Supervisor Signature | Date |

**Part D – Performance Assessment *(Completed at the end of the PIP period)***

|  |  |
| --- | --- |
| Employee self-assessment of agreed tasks*(Met, partially met, not met)* | First-level supervisor assessment of agreed tasks(*Assessment Comments and feedback)* |
|  |  |
| Employee self-assessment of strategies for improvement*(Met, partially met, not met)* | First-level supervisor assessment of strategies for improvement(*Assessment comments and feedback)* |
|  |  |
| **Recommended Performance rating:** | [ ]  | Outstanding | [ ]  | Superior | [ ]  | Fully Effective | [ ]  | Partially Effective | [ ]  | Not Effective |
| **Action:** | [ ]  | Develop new performance agreement | [ ]  | Develop new performance agreement | [ ]  | Develop new performance agreement | [ ]  | Commence another PIP | [ ]  | Refer for PEP*(subject to performance delegate’s agreement)* |
| **Note:** Where performance progression is deferred at the end-cycle performance exchange, a follow-up decision must be made in February to conclude the performance cycle. That progression decision must be recorded on PMKeyS Self Service (PSS), or where the supervisor does not have access to PSS, the Form AD-752 is to be used. Refer to DECA paragraph D6.7 for more information. |
| First-level supervisor signature | Date |

**Part E – Employee Comments**

|  |
| --- |
| [ ]  I have read and agree with this performance assessment; or[ ]  I have read and disagree with some/all of this performance assessment, and wish to make the following comments: |
| Employee signature | Date |

**Part F – Second-Level Supervisor Approval**

|  |
| --- |
| [ ]  I have read the recommendations for the performance assessment and approve the following rating and action: |
| **Recommended Performance rating:** | [ ]  | Outstanding | [ ]  | Superior | [ ]  | Fully Effective | [ ]  | Partially Effective | [ ]  | Not Effective |
| **Action:** | [ ]  | Develop new performance agreement | [ ]  | Develop new performance agreement | [ ]  | Develop new performance agreement | [ ]  | Commence another PIP | [ ]  | Refer for PEP*(subject to performance delegate’s agreement)* |
| Second-level supervisor comments: |
| Second-level supervisor signature | Date |

**Part G – Performance Delegate Approval** *(only required for a rating of Not Effective)*

|  |
| --- |
| I have read this Performance Improvement Plan and I:[ ]  support the recommended rating (Not Effective) and will commence the Performance Evaluation Process; or[ ]  do not support the recommended rating (Not Effective) and refer the matter back to the workplace for further PIP action.  |
| Performance Delegate Comments: |
| Performance delegate signature | Name | Employee ID | Date |

**Record Keeping and Privacy Notice**

|  |
| --- |
| The purpose of collecting the information on the PIP is to enable a first-level supervisor and employee to identify strategies to improve the employee’s work performance, including learning and development activities.Collection of this information is consistent with the responsibilities of first and second-level supervisors under the *Defence Enterprise Collective Agreement 2009 (DECA) or its replacement* to manage poor performance and with the legal requirement under the *Public Service Commissioner’s Directions 1999* for Defence to have a performance management scheme in place.Information recorded on the PIP is only available to the first and second-level supervisor and the employee unless also required for the purposes of a Performance Evaluation Process or for other normal administrative purposes to manage the employee in accordance with Defence policies.Supervisors and performance delegates must provide the employee with copies of all documentation relevant to their performance management (eg a record of conversation or evidence of poor performance).For further information on ownership, access and retention of the PIP refer to the Defence Workplace Relations Manual Chapter 12.Aggregated data relating to performance ratings and performance progression decisions are available to HR areas for reporting purposes. |