

# Effective Performance Management Strategies

**Disciplinary Process** and **Performance Management** are crucial for maintaining accountability, fostering continuous improvement, and ensuring alignment with organizational goals and values, ultimately contributing to your organization's financial viability and success.

## Disciplinary Process

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### Progressive Discipline

Appropriate for addressing employee issues related to conduct:

- Element of culpability
  - Employee's **deliberate action or choice** causes the issue

<b>Progressive discipline is used for issues related but not limited to:</b>	<ul style="list-style-type: none"><li>• Misconduct that affects performance, including not meeting standards, missing deadlines, or not participating in group projects</li></ul>
	<ul style="list-style-type: none"><li>• Attendance, such as arriving late, leaving early, or missing days without following proper reporting procedures</li></ul>
	<ul style="list-style-type: none"><li>• Conduct, such as rude jokes or unprofessional attire or comments</li></ul>
	<ul style="list-style-type: none"><li>• Health and safety concerns, such as noncompliance with policies, unsafe practices, or not using appropriate personal safety equipment</li></ul>
	<ul style="list-style-type: none"><li>• Other breaking or bending of company policies, practices, or procedures, including the Code of Ethics and others outlined in this Handbook</li></ul>

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## Most Common Issues

- Attendance
- Punctuality
- Inappropriate use of language

## Progressive Disciplinary Process

The formal steps are:

1. Verbal warning
2. Written warning
3. Final written warning with suspension
4. Termination of employment

## Building Your Program

What you need:

- A Policy
- FAQ - Employee Information Sheet
- An Employee Log for each employee (word doc or an HR system if you have one)
- Conversation Model
- Templates for each step of the Progressive Disciplinary Process

## The Policy

A **Disciplinary Process Policy** is essential for ensuring fair and consistent treatment of employees, maintaining a productive work environment, upholding organizational values and standards, mitigating legal risks, and promoting accountability and professionalism throughout the organization.

## Employee Information Sheet

An FAQ document explains how the policy works. For example:

- 3 instances of punctuality: Day-to-day management
- 2 more instances of punctuality: Verbal warning
- 2 more instances of punctuality: First written warning
- 2 more instances of punctuality: The final written warning
- 2 more instances of punctuality: Termination

## Employee Log

The Employee Log is where you should document the incident/misconduct, which ensures you have a record of the date of the incident, as well as any action taken as a result.

Date	Description of Event <i>What you observed/were advised of. Focus on one issue at a time</i>	Met with Employee (Yes or No) <i>If yes, provide date</i>	Step and Email Recap to Employee (Yes or No) <i>If yes, provide date</i>

## The BIO Model

Deliver clear, effective and caring communication with your employee using the BIO Model:

<b>Behaviour</b>	<ul style="list-style-type: none"> <li>The first step is to state the behaviour that you have observed</li> </ul>
<b>Impact</b>	<ul style="list-style-type: none"> <li>How their behaviour is impacting them, the team, you and/or the business</li> </ul>
<b>Options</b>	<ul style="list-style-type: none"> <li>Discuss options that enable the person to develop and move past this behaviour</li> </ul>

## Day-to-Day Management

- All misconducts are documented in the Employee Log
- The supervisor/manager has an open conversation with the employee about setting expectations
  - The conversation needs to be kind, caring and clear
  - Apply the BIO Model

# Progressive Disciplinary Process

<p><b>Step 1: Verbal Warning</b></p>	<ul style="list-style-type: none"> <li>• Behavior is noted in the employee log</li> <li>• Prepare for the conversation with the employee - BIO Model</li> <li>• Prepare the verbal warning acknowledgment</li> <li>• Book the meeting</li> <li>• People attending the meeting: Employee, supervisor, and HR</li> </ul>
<p><b>Step 2: First Written Warning</b></p>	<ul style="list-style-type: none"> <li>• Behavior is noted in the employee log</li> <li>• Prepare for the conversation with the employee - BIO Model</li> <li>• Prepare the written warning acknowledgment</li> <li>• Book the meeting</li> <li>• People attending the meeting: Employee, supervisor, and HR</li> </ul>
<p><b>Step 3: Final Written Warning</b></p>	<ul style="list-style-type: none"> <li>• Behavior is noted in the employee log</li> <li>• Prepare for the conversation with the employee - BIO Model</li> <li>• Prepare the final written warning acknowledgment</li> <li>• Book the meeting</li> <li>• People attending the meeting: Employee, supervisor, and HR</li> </ul>
<p><b>Step 4: Termination</b></p>	<p>If the employee does not correct their conduct and meet the expectations of the workplace, it will be time to implement the last step of the progressive discipline process: termination of employment.</p> <ul style="list-style-type: none"> <li>• Behavior is noted in the employee log</li> <li>• Prepare for the termination conversation</li> <li>• Work with HR or management representative to create the termination letter</li> <li>• Book the meeting</li> </ul>

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## Exiting the Progressive Disciplinary Process

If an employee in the Progressive Discipline Process shows sustained improvement and the unwanted behaviour ceases for a period of time (generally, at least 2 months), the employee may exit the Progressive Disciplinary Process.

<p><b>Exiting the Progressive Disciplinary Process</b></p>	<ul style="list-style-type: none"><li>• Employee log remains unchanged</li><li>• Prepare for the conclusion conversation</li><li>• Prepare the the conclusion acknowledgment</li><li>• Book the meeting</li><li>• People attending the meeting: Employee, supervisor, and HR</li></ul>
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## Performance Management

Appropriate for addressing an employee who does not perform at the expected level for their position. The goal is to provide:

- Constructive feedback
- Support
- Resources to encourage improvement in performance and to meet organizational standards

### Performance Management Program

- Team Management
- One-on-One Meeting
- Annual Review Process
- Performance Improvement Plan (PIP)

### Team Management

- 20-30 minute meeting weekly meeting with the team members you supervise directly
- Discuss:
  - Ongoing projects and work
  - Challenges
  - Priorities
  - Feedback and communication

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## One-on-One Meeting

- Each individual should have one-on-one with the manager at least once every 2 weeks
- Discuss:
  - Ongoing projects and work
  - Challenges
  - Priorities
  - Feedback and communication
- Take note of the employee's performance and feedback

## Annual Review Process

- Conduct a review for all employees
- Once a year, usually around year-end to coordinate with the salary review
- Typically 2-parts:
  - The employee self-review
  - The manager review
- Annual Review should encourage reflection and discussion on:
  - Performance (strengths and areas for development)
  - Career
  - Learning and Development
  - Team Work
- The Annual Review is a NO SURPRISE zone

## Performance Improvement Plan (PIP)

When an employee is not performing despite the feedback and the help, you can create a performance improvement plan for them.

- It is a structured process designed to help employees address performance issues and meet specific goals within a set timeframe
  - Usually between 6 weeks and 3 months
    - The plan has a firm start and end date
  - Formal documentation that explicitly outlines:
    - The area of improvement
    - The tasks
    - How performance is measured
    - Desired outcome
  - Set regular and scheduled checkpoints for progress evaluation

There are two possible outcomes for a PIP:

- The employee improves
- The employee does not improve and will need to be terminated

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## Presentation Notes: