

PERFORMANCE MANAGEMENT: HRC and Manager Responsibilities for Performance Improvement Plans

Overview

- This job aid is intended for HRCs and managers to understand their roles in conducting a Performance Improvement Plan (PIP).
- For a manager to administer a PIP, the Performance Admin must first configure the PIP and run the annual eligibility batch process.
- If an employee is underperforming or engaging in misconduct, a manager must report the employee's actions to HR. The manager then meets with an HRC to determine procedure. If written documentation is necessary, a PIP is launched by the HRC.
- The document flow for the PIP is:
 1. Manager creates PIP.
 2. HRC reviews and approves [or returns to manager for edits].
 3. The manager has the performance discussion with the employee.
 4. The manager releases the PIP to the employee.
 5. The employee acknowledges the document. [or if employee refuses to acknowledge, the HRC can manually move the document forward]
 6. The manager finalizes the document.

Index

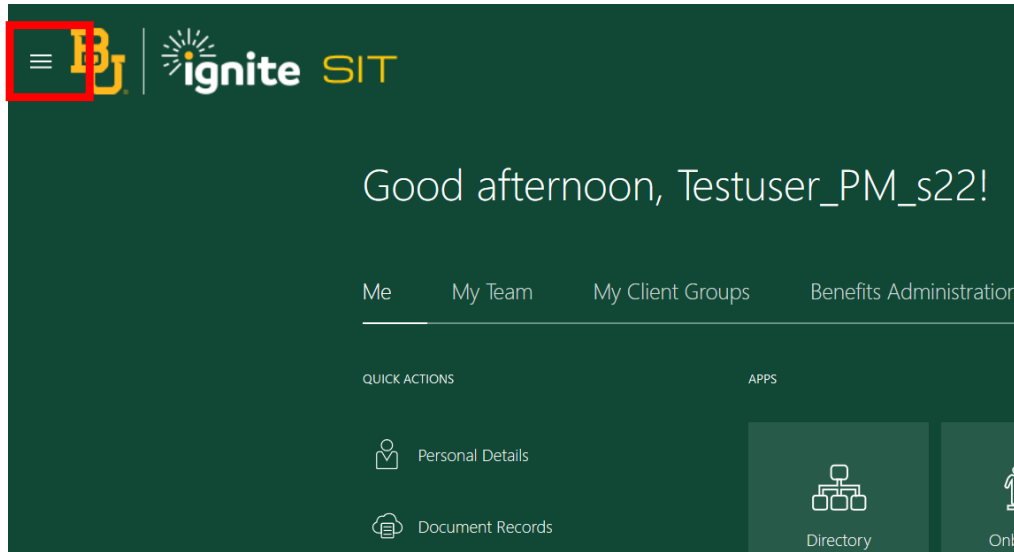
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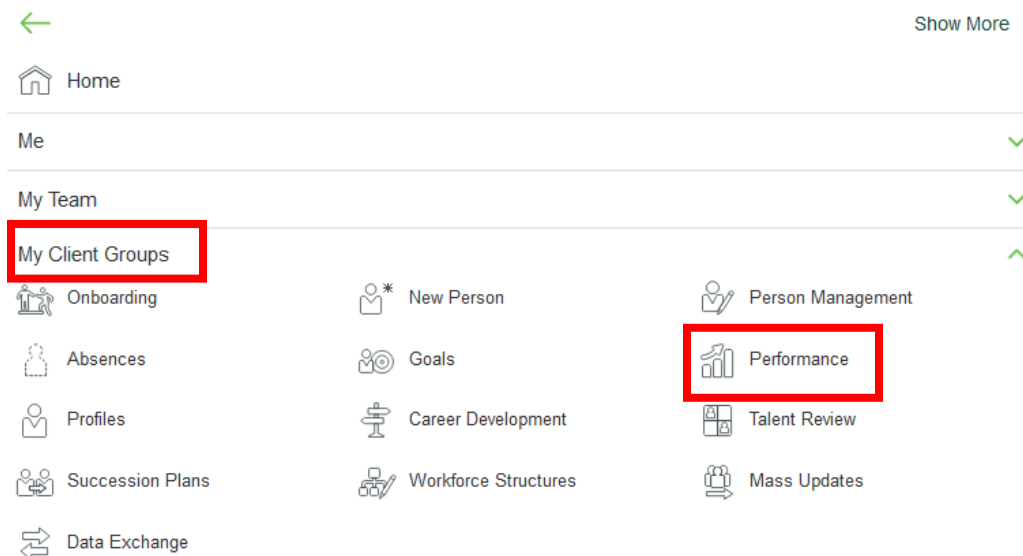
I. Navigating to the Performance Module (HRC)

I. You can access **Performance** in two ways:

- a. Click the Navigator icon in upper left-hand corner of the Ignite landing page.

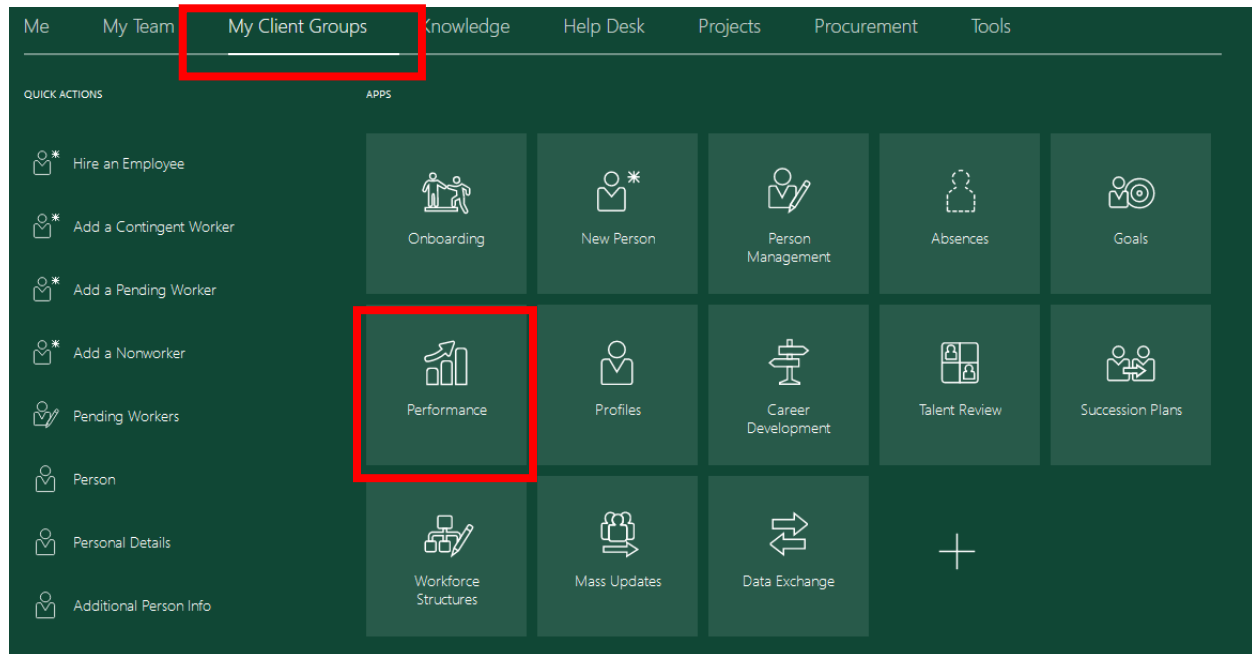


- b. Under the **My Client Groups** section, click the drop-down arrow, and select **Performance** from the options.



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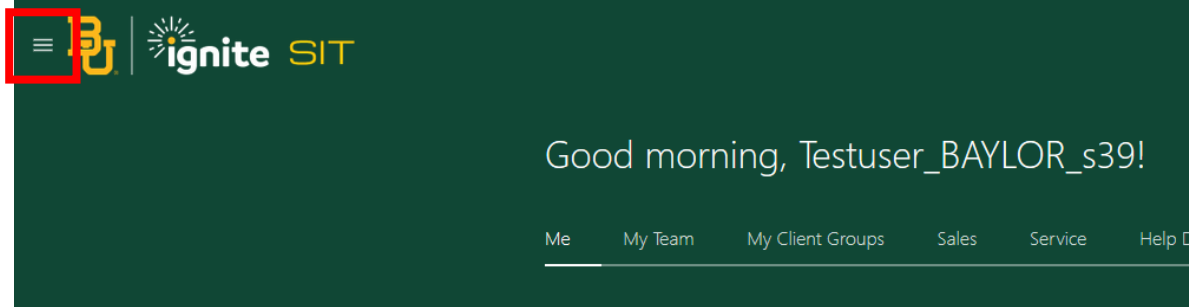
- c. (Option 2) Under the **My Client Groups** heading on the home page, you can click on the **Performance** tile on the Ignite main page.



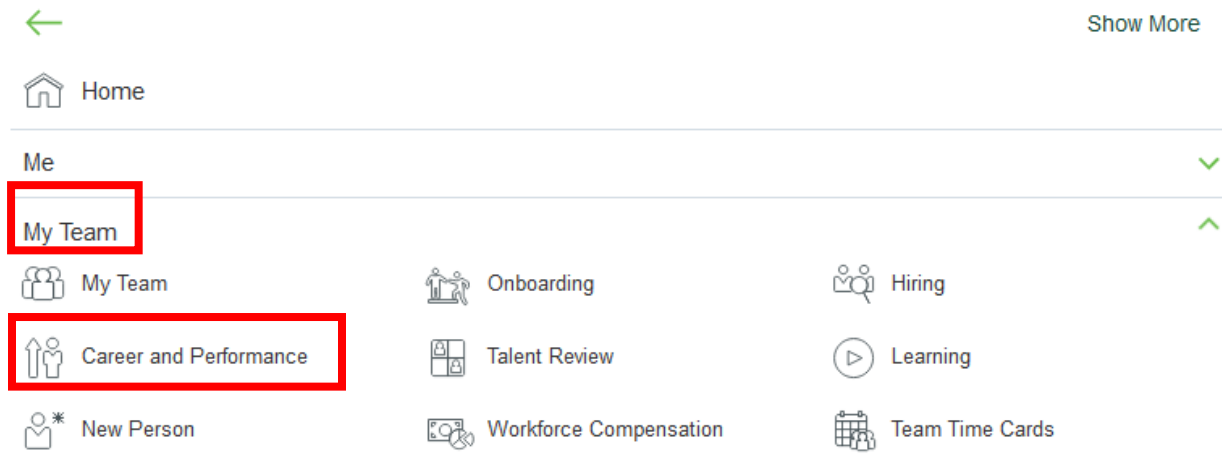
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II. Navigating to the Performance Module (managers)

- I. You can access **Performance** in two ways:
 - a. Click the Navigator icon in upper left-hand corner of the Ignite landing page.

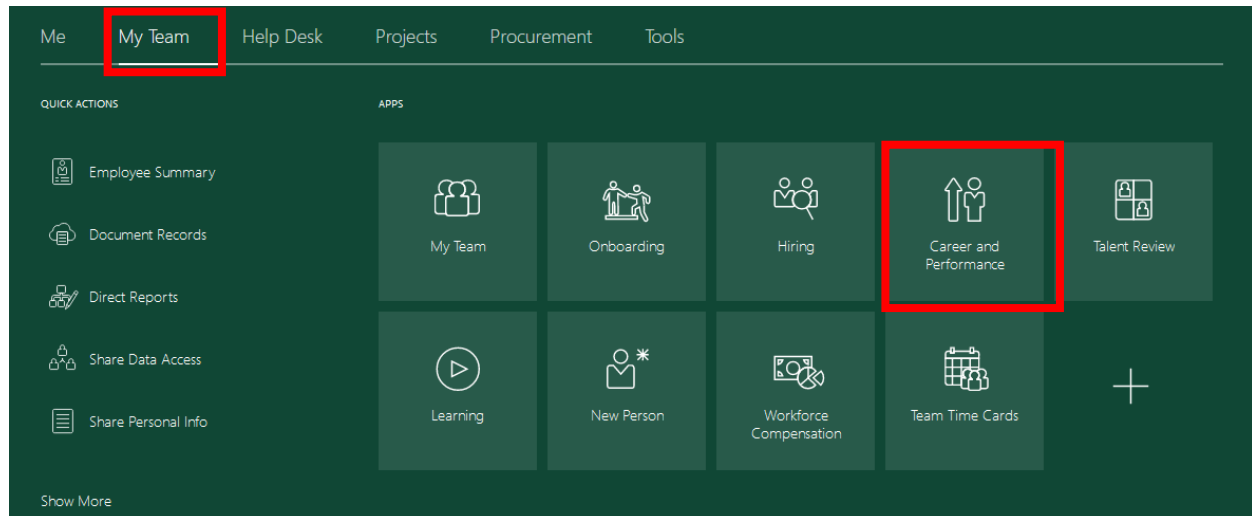


- b. Under the **My Team** section, click **My Team**, and select **Career and Performance** from options.



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- c. (Option 2) Under the **My Team** heading on the home page, you can click on the **Career and Performance** tile on the Ignite main page.



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III. Administering a PIP to an employee (managers)

1. Under **Goals and Performance Overview**, select the name of the employee.

The screenshot shows a 'My Team' interface with a search bar and a list of team members. The list includes the following information for each member:

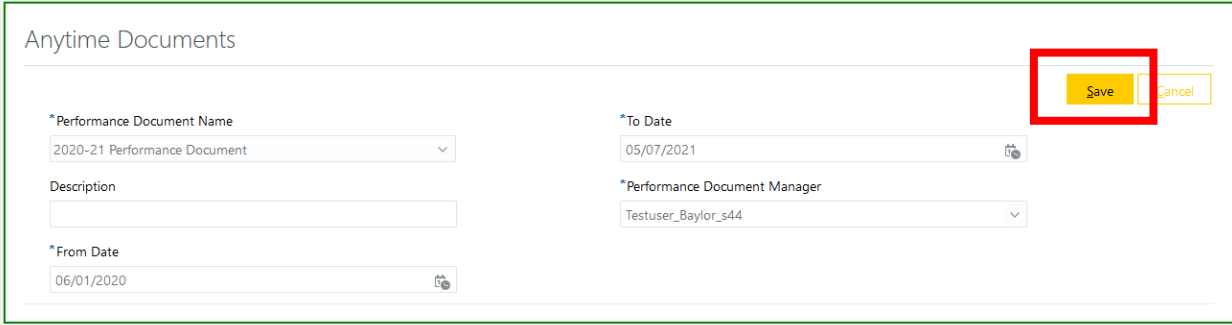
Actions	Name	Role	Last Updated Performance Rating	Completed Goals
<input type="checkbox"/>	Mr. Reese Gardell	Manager, Compliance		0/0
<input type="checkbox"/>	Mr. Reginald Miller	Manager, Compliance		0/0
<input type="checkbox"/>	Mr. Daniel Ogden	Director-CPD		0/0
<input type="checkbox"/>	Mr. Testuser_BAYLOR_s38	Safety Officer		5 Directs, 5 Total

2. Under **Anytime Documents**, click the **+ Add** button.

The screenshot shows the 'Anytime Documents' interface. It includes a search bar, a dropdown menu set to 'Current', and a '+ Add' button highlighted with a red box.

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- The only thing you need to select is the Performance Document Name. The rest should autofill. Then click **Save**. After you save, the window will close. You will then need to open the document to complete it (see next step).



The screenshot shows a web form titled "Anytime Documents". It contains several input fields: "Performance Document Name" (a dropdown menu with "2020-21 Performance Document" selected), "To Date" (a date field with "05/07/2021"), "From Date" (a date field with "06/01/2020"), and "Performance Document Manager" (a dropdown menu with "Testuser_Baylor_s44" selected). There is also a "Description" text field which is currently empty. In the top right corner, there are two buttons: "Save" and "Cancel". The "Save" button is highlighted with a red rectangular box.

- *Performance Document Name: select the current performance period (it should be the only choice in the drop down)
- Description: Leave this field blank.
- *From Date: should autofill with the first day of the performance period. You do not need to change it.
- *To Date: should autofill with the last day of the performance period. You do not need to change it.
- *Performance Document Manager: should autofill with the name of the employee's manager

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IV. Filling out a PIP (managers)

1. Under **Anytime Documents**, click on the name of **anytime document** to be filled out.

Anytime Documents + Add ^

Current ▼

2020-21 Performance Document	By Testuser_Baylor_s44	...
Current Task Manager's Performance Concern	Task Completion 0 / 5	▼

2. It is possible to edit the fields in **Document Details**, but there should be no need. Leave as is.

TE Manager's Performance Concern: 2020-21 Performance Document Print Submit

Testuser_Baylor_s47

Review and evaluate the contents of each section of the evaluation. Click submit when you're done.

Document Details Edit ^

Performance Document Name 2020-21 Performance Document	From Date 06/01/2020
Evaluated By Testuser_Baylor_s44	To Date 05/07/2021
Review Period 2020-21 Annual Review Period	

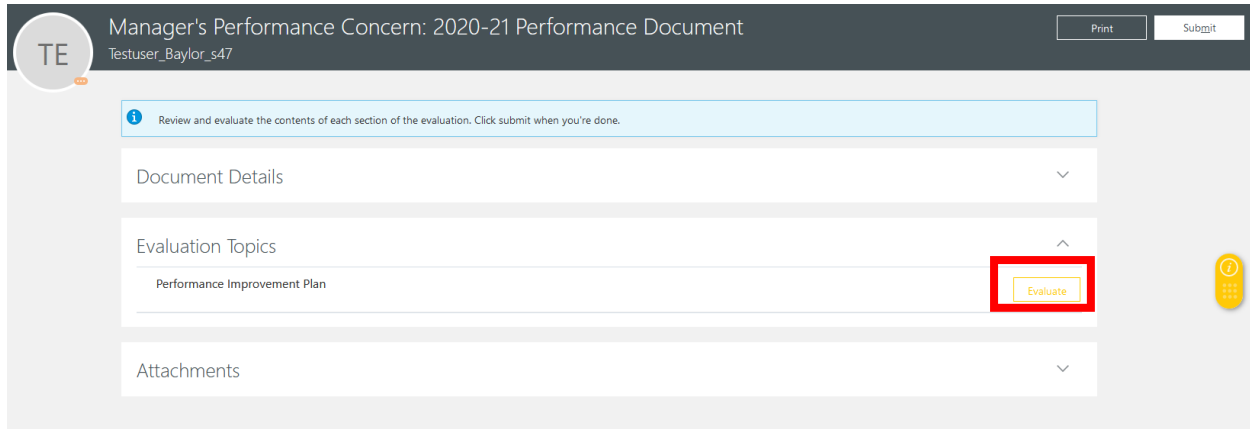
Evaluation Topics ^

Performance Improvement Plan Evaluate

Attachments ▼

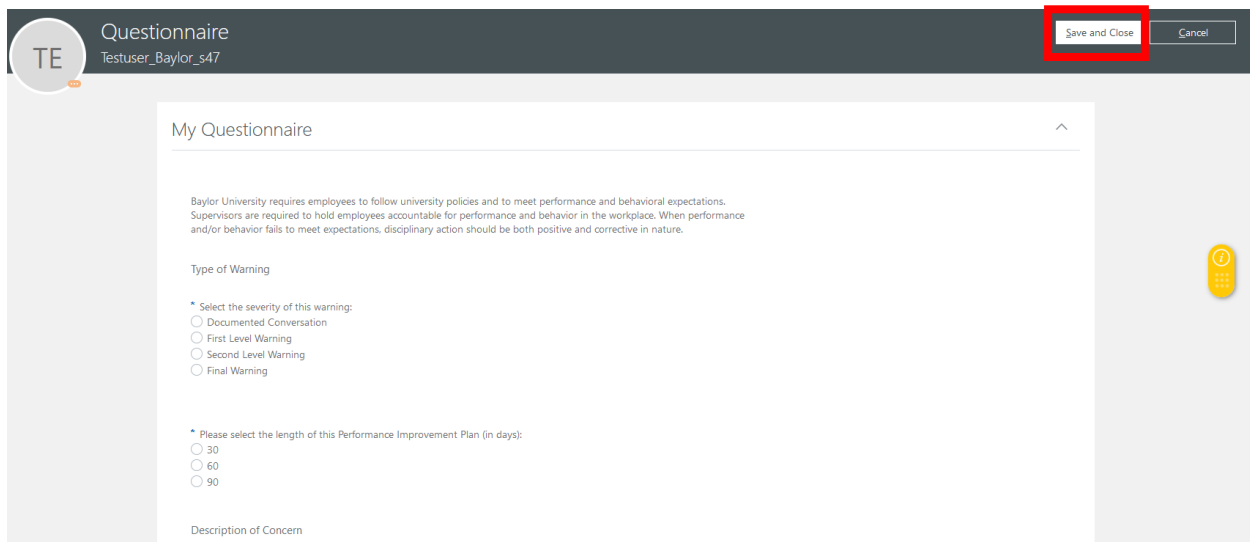
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3. Review and evaluate the contents of each topic included in the evaluation.
 - a. Select **Evaluate**.



The screenshot shows a web interface for a 'Manager's Performance Concern: 2020-21 Performance Document'. The user is identified as 'Testuser_Baylor_s47'. The interface includes a 'Print' button and a 'Submit' button. A blue information bar at the top states: 'Review and evaluate the contents of each section of the evaluation. Click submit when you're done.' Below this, there are three expandable sections: 'Document Details', 'Evaluation Topics', and 'Attachments'. The 'Evaluation Topics' section is expanded, showing a table with one row: 'Performance Improvement Plan'. A red box highlights the 'Evaluate' button in the right column of this row. A yellow help icon is visible on the right side of the interface.

- b. Answer all required questions on the questionnaire. When done, click **Save and Close**. NOTE: this is a partial screen shot and there are more questions than shown here.



The screenshot shows a web interface for a 'Questionnaire'. The user is identified as 'Testuser_Baylor_s47'. The interface includes a 'Save and Close' button and a 'Cancel' button. The main content area is titled 'My Questionnaire' and contains the following text: 'Baylor University requires employees to follow university policies and to meet performance and behavioral expectations. Supervisors are required to hold employees accountable for performance and behavior in the workplace. When performance and/or behavior fails to meet expectations, disciplinary action should be both positive and corrective in nature.' Below this text, there are two sections: 'Type of Warning' and 'Please select the length of this Performance Improvement Plan (in days):'. The 'Type of Warning' section has a radio button for 'Documented Conversation', 'First Level Warning', 'Second Level Warning', and 'Final Warning'. The 'Please select the length of this Performance Improvement Plan (in days):' section has radio buttons for '30', '60', and '90'. A 'Description of Concern' field is visible at the bottom. A yellow help icon is visible on the right side of the interface.

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- c. To add attachments, click the **down arrow** to open the section and then click **Edit**.

The screenshot shows a web interface for a 'Manager's Performance Concern: 2020-21 Performance Document'. At the top right, there are 'Print' and 'Submit' buttons. Below the header, there is an information bar with a blue 'i' icon and the text: 'Review and evaluate the contents of each section of the evaluation. Click submit when you're done.' The main content area has three sections: 'Document Details' with a downward arrow, 'Evaluation Topics' with an upward arrow and a sub-section 'Performance Improvement Plan' containing an 'Evaluate' button, and 'Attachments' with an 'Edit' button and an upward arrow. The 'Edit' button in the 'Attachments' section is highlighted with a red rectangular box.

- d. Finally, click **Submit** and the document will be sent to the HRC for review.

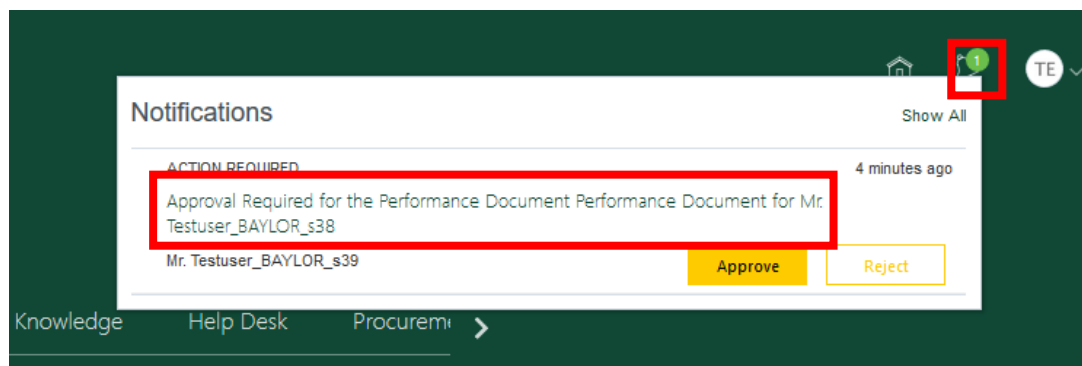
This screenshot is identical to the previous one, showing the same web interface. However, in this version, the 'Submit' button at the top right is highlighted with a red rectangular box, indicating the final step in the process.

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V. Approving a PIP (HRC)

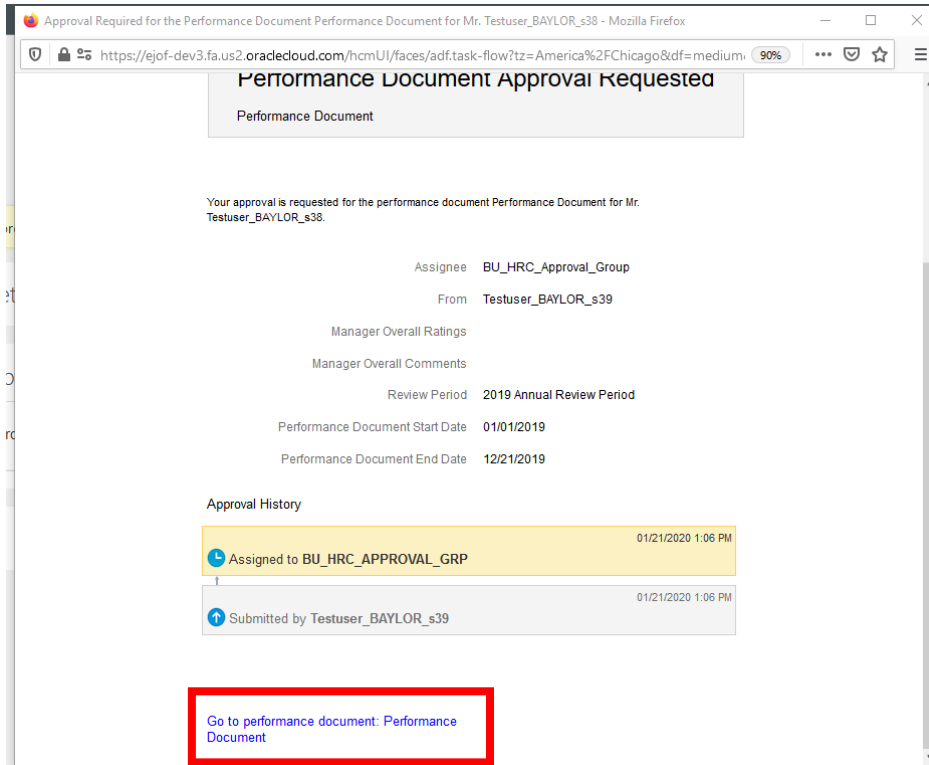
After the manager fills out the PIP, they will submit it and send it for HRC approval.

- I. Open the PIP by clicking on the notification bell on the top right-hand side, then select the approval request.



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2. Review the plan, then approve or reject it.
 - a. To review the plan, scroll down in the pop-up window and select **Go to performance document: Performance Document**. Make sure you keep this pop-up window open.

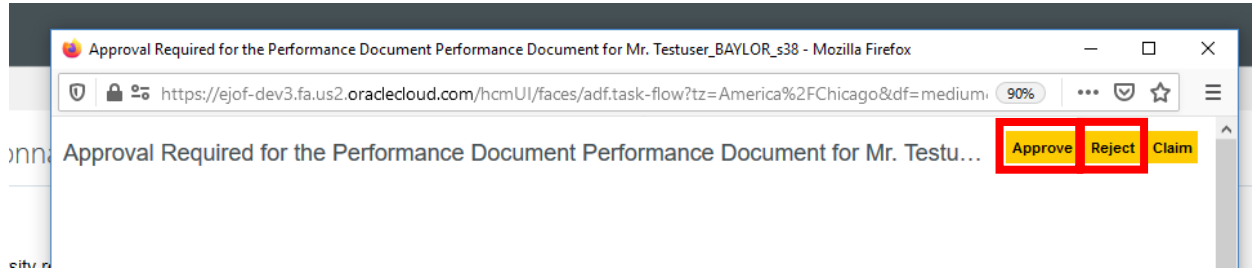


- b. Select **View** to view the PIP.

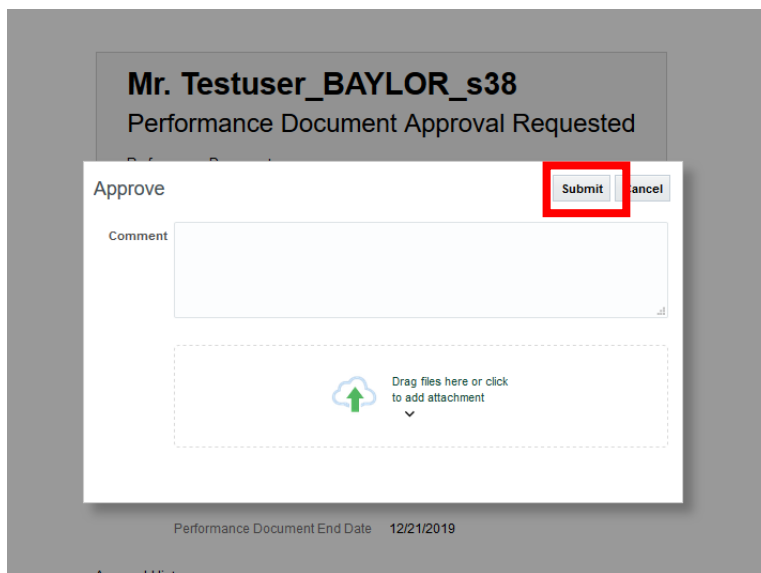


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- c. After viewing the filled-out PIP, go back to the pop-up window and select **Approve** or **Reject**.



- d. Whether approving or rejecting, the HRC should add comments or attachments if necessary, then select **Submit**. NOTE: the comments are difficult for the recipient to find. If you are recommending changes, please communicate the changes a different way (e.g., phone, email, in person, etc.)



- e. If rejected, the plan will be routed back to the manager for edits. Once edits are made, the document is routed back to the HRC for review and approval.

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VI. Manager has the performance discussion with their employee

1. Once approved by the HRC, the manager can **print** the document to share with their employee. Go to My Team >> Career and Performance >> select the employee's name >> open the Anytime Document.
2. After the discussion, **share and release** the document so the employee will have an electronic copy.

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VII. Employee acknowledges the document

- I. To acknowledge receipt of the document, the employee goes in to **Career and Performance >> Performance >>** select current **Anytime Document**.
- II. Here, the employee can **View** the document and **Print** the document.
- III. The employee then clicks **Yes** to acknowledge the document, even if they don't have feedback comments.

Employee Acknowledges Performance Document: 2020-21 Performance Document
Testuser_Baylor_s49

Information
Provide any final feedback comments on your evaluation

Document Details

Evaluation Topics
Performance Improvement Plan

Final Feedback
Employee Comments

Attachments

- IV. The employee can make any final comments if they choose. Selecting **Save and Close** will save their comments in case they want to come back and add or edit later. Once finished with comments, the employee clicks **Submit** to acknowledge the document.

Employee Acknowledges Performance Document
Testuser_Baylor_s49

Comments

Employee Comments

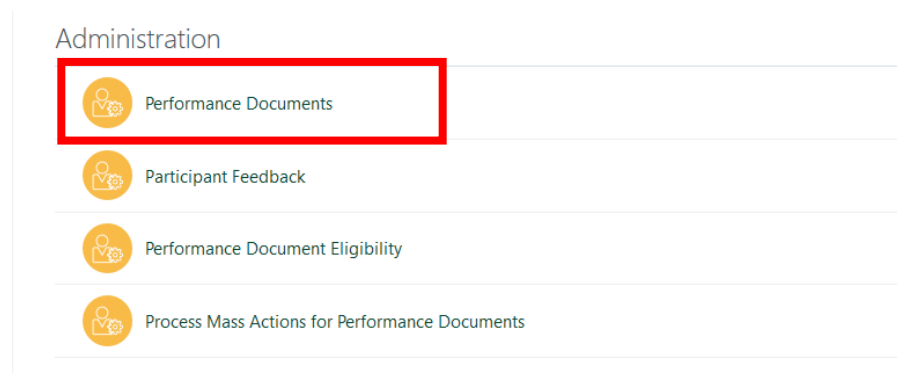
Font | 12 | B I U | [Icons]

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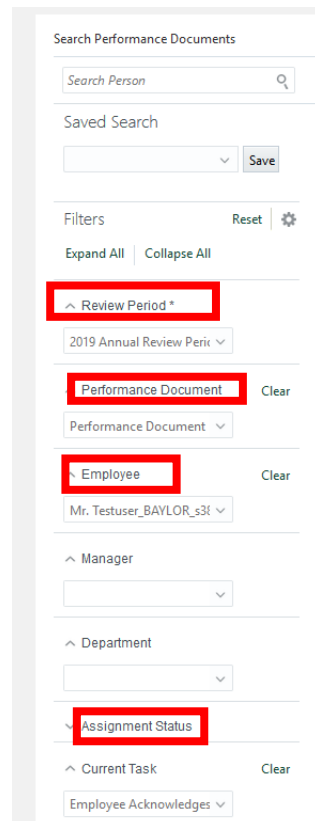
VIII. HRC forces document to manager finalization [if necessary]

If an employee does not acknowledge the PIP once the manager releases it or resigns before the process can be completed, the HRC will then manually force the document forward to the manager acknowledgement step.

1. Under **Administration**, click on **Performance Documents**.



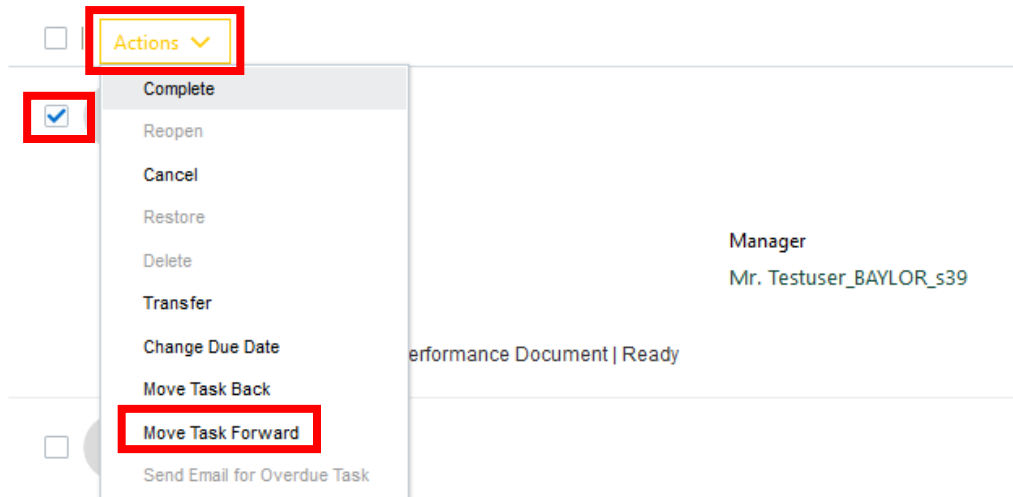
2. Under **Filters**, input the following information:

A screenshot of the 'Search Performance Documents' filter interface. The interface includes a search bar, a 'Saved Search' section, and a 'Filters' section. The 'Filters' section has 'Expand All' and 'Collapse All' options. Several filter fields are highlighted with red boxes: 'Review Period *' (set to '2019 Annual Review Perio'), 'Performance Document' (set to 'Performance Document'), 'Employee' (set to 'Mr. Testuser_BAYLOR_s3'), 'Assignment Status' (set to 'Employee Acknowledges Performance Document'), and 'Current Task' (set to 'Employee Acknowledges').

- a. Review Period*: select the appropriate review period
- b. Performance Document: select Performance Document
- c. Employee: type in the name of the employee
- d. Current Task: select Employee Acknowledges Performance Document

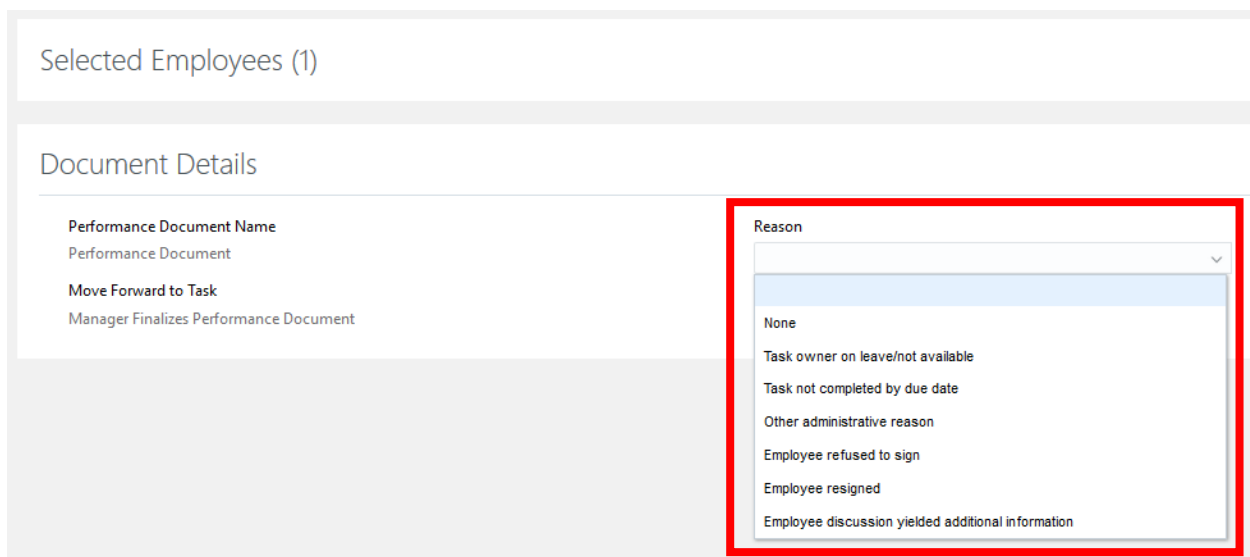
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- To move the task forward, click the empty box next to the performance document so that there is now a check mark, then select the **Actions** drop-down menu.

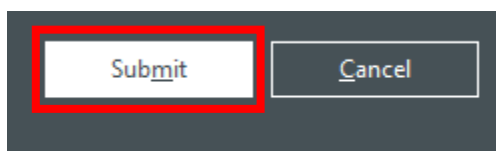


Then, select **Move Task Forward**.

- On this page, select the **Reason** drop-down, and select the appropriate reason.



- After selecting the appropriate reason, press **Submit**.



The PIP is now available for the manager to acknowledge.

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IX. Share and release PIP to employee (managers)

Before you release the PIP, you should have had a performance improvement meeting with your direct report.

1. Under **Performance Overview**, select the name of the employee.

The screenshot shows a 'My Team' interface with a search bar and a list of team members. The list includes:

Actions	Name	Title	Last Updated Performance Rating	Completed Goals
<input type="checkbox"/>	Mr. Reese Gardell	Manager, Compliance		0/0
<input type="checkbox"/>	Mr. Reginald Miller	Manager, Compliance		0/0
<input type="checkbox"/>	Mr. Daniel Ogden	Director-CPD		0/0
<input type="checkbox"/>	Mr. Testuser_BAYLOR_s38	Safety Officer		5 Directs, 5 Total 0/1

2. Under **Anytime Documents**, under the performance document, notice that the task completion bar fills up after every step completed. By clicking on the downward-pointing arrow to the right of the task completion bar, you can see the steps for this performance document, including what is completed and what step you are currently on.

The screenshot shows a 'Performance Document' interface. It displays the document title 'Performance Document' and the author 'By Mr. Testuser_BAYLOR_s39'. Below this, there is a 'Current Task' section with the task 'Manager Shares Performance Document'. A task completion bar shows '2 / 5' completion. A downward-pointing arrow is highlighted with a red box.

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Current Task

Manager Shares Performance Document

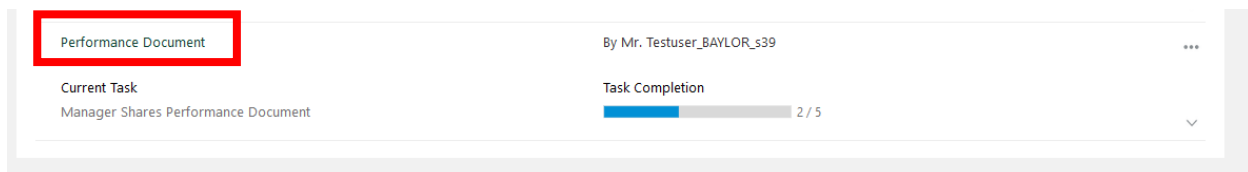
Task Completion



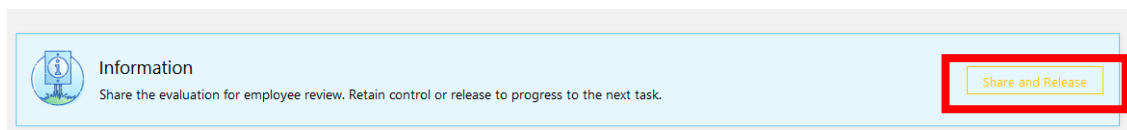
All Tasks

- Manager's Performance Concern
- HRC Review of Performance Document
- Manager Shares Performance Document
- Employee Acknowledges Performance Document
- Manager Finalizes Performance Document

Select the **performance document**.

A screenshot of a performance document card. The card has a white background and a red border. At the top left, the text "Performance Document" is highlighted with a red box. To the right, it says "By Mr. Testuser_BAYLOR_s39" followed by three dots. Below this, there is a section for "Current Task" with the text "Manager Shares Performance Document" and a "Task Completion" progress bar showing "2 / 5".

3. On this page, select **Share and Release** to share the evaluation with the employee. You may add comments if necessary.

A screenshot of an information bar with a light blue background. On the left, there is an information icon and the text "Information" followed by "Share the evaluation for employee review. Retain control or release to progress to the next task." On the right side of the bar, there is a yellow button with the text "Share and Release" highlighted by a red box.

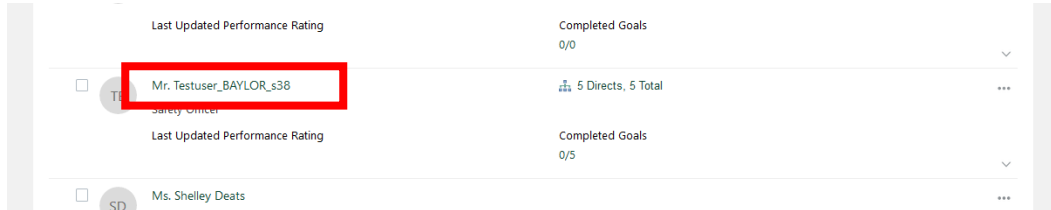
4. The performance document is now shared with the employee. It is now the employee's responsibility to acknowledge the PIP. If they do, you will then acknowledge the employee's response. If they do not, the HRC will forward the document to you so you can acknowledge the document.

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X. Manager finalizes performance document

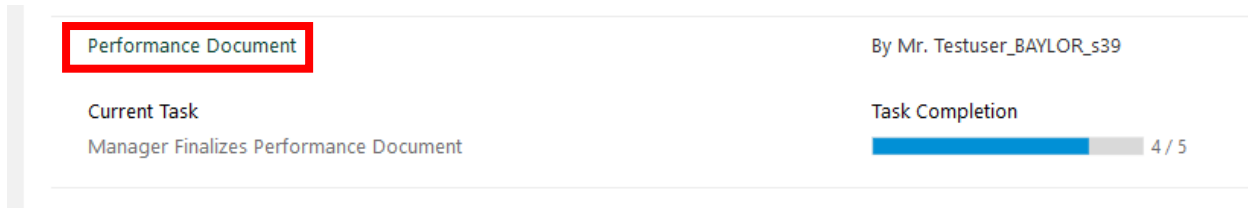
Before you release the PIP, you should have had a performance improvement meeting with your direct report.

1. Under **Performance**, select the name of the employee.



	Last Updated Performance Rating	Completed Goals
<input type="checkbox"/>	Mr. Testuser_BAYLOR_s38 Safety Officer	0/0 5 Directs, 5 Total
<input type="checkbox"/>	Ms. Shelley Deats	0/5

2. Under **Anytime Documents**, select the **performance document**.

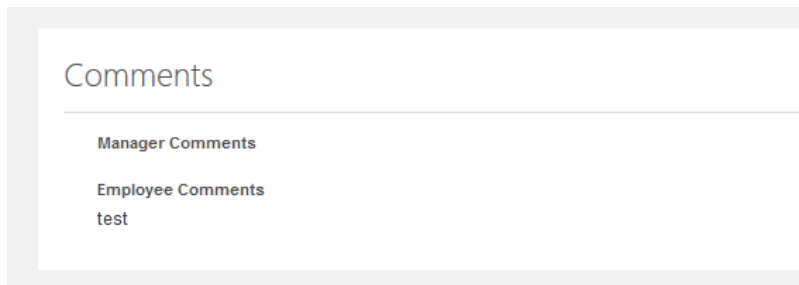


Performance Document By Mr. Testuser_BAYLOR_s39

Current Task: Manager Finalizes Performance Document

Task Completion: 4 / 5

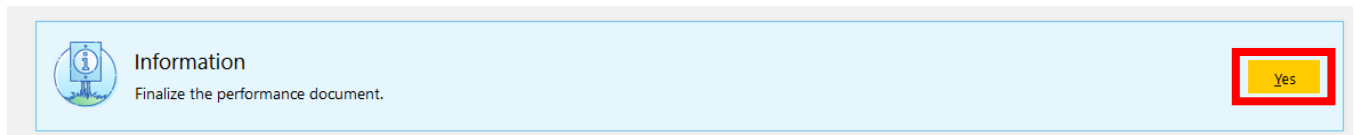
3. On the page entitled **Manager Finalizes Performance Document**, read the employee's comments on the page, if any, then select **Yes** to finalizing the performance document.



Comments

Manager Comments

Employee Comments
test



Information
Finalize the performance document.

Yes

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4. Add final comments if necessary, then select **Submit**.

Manager Finalizes Performance Document
Mr. Testuser_BAYLOR_s38

Save and Close **Submit** Cancel

Comments

Manager Comments

Tahoma 2 B I U [Rich Text Editor Icons]

test_manager

Employee Comments

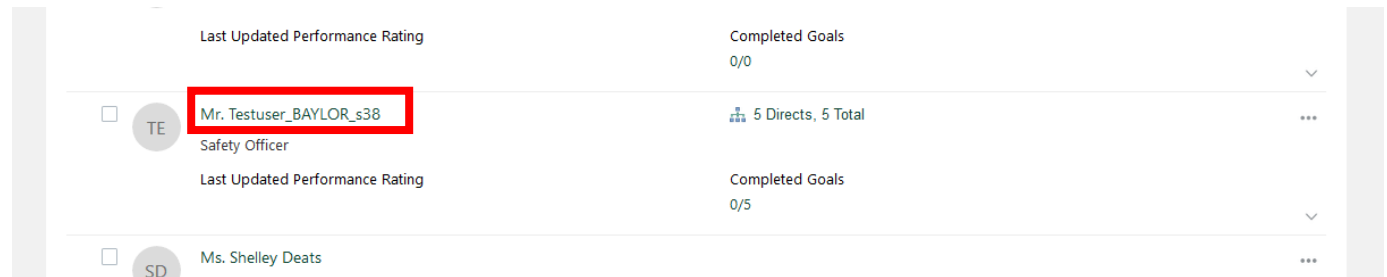
test

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XI. Manager creates PIP check-in

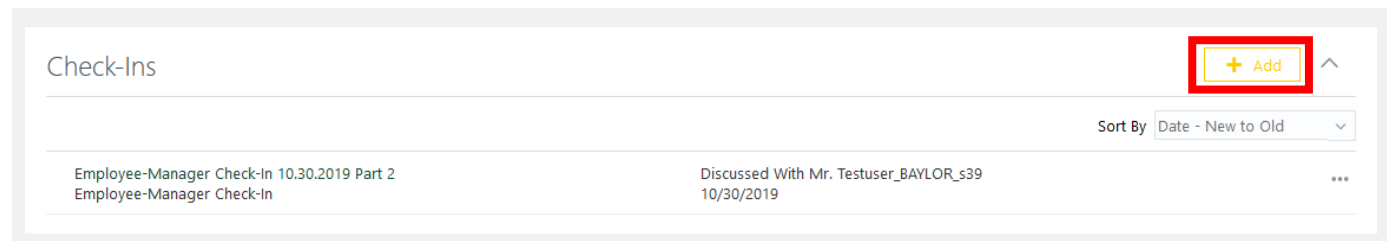
After the PIP is finalized, the process is not yet complete. The next step is creating a Performance Improvement check-in form.

1. Under **Performance Overview**, select the name of the employee.



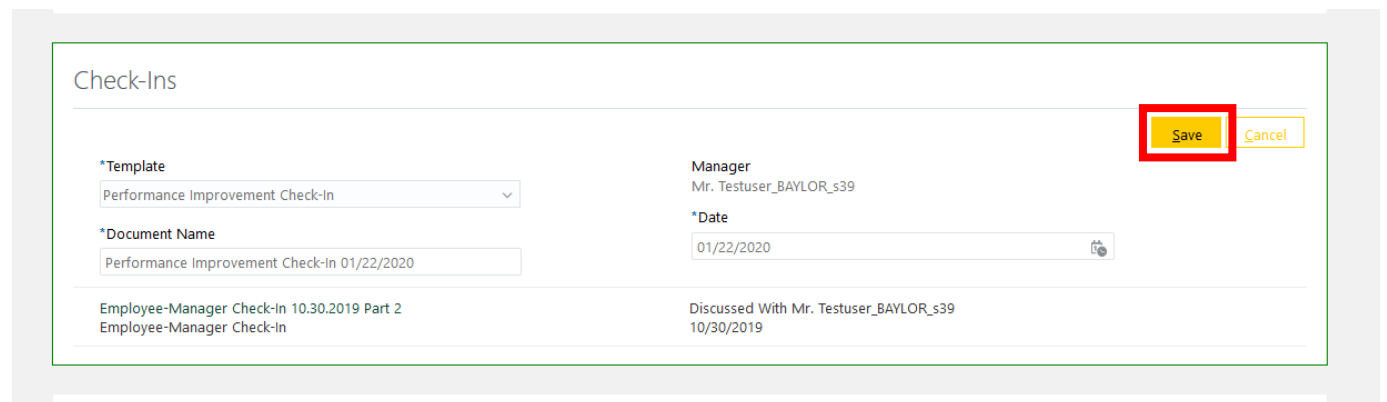
The screenshot shows a list of employees under the 'Performance Overview' section. The first employee, 'Mr. Testuser_BAYLOR_s38', is highlighted with a red box. Below the name, it says 'Safety Officer'. To the right, it shows '5 Directs, 5 Total'. The 'Last Updated Performance Rating' is '0/0' and 'Completed Goals' is '0/0'. The second employee, 'Ms. Shelley Deats', has a 'Last Updated Performance Rating' of '0/5' and 'Completed Goals' of '0/5'.

2. Under **Check-Ins**, click **+ Add** to add a check-in.



The screenshot shows the 'Check-Ins' section. At the top right, there is a '+ Add' button highlighted with a red box. Below it, there is a 'Sort By' dropdown menu set to 'Date - New to Old'. The main content area shows a list of check-ins, with the first one being 'Employee-Manager Check-In 10.30.2019 Part 2' and 'Discussed With Mr. Testuser_BAYLOR_s39' on '10/30/2019'.

3. Fill out the appropriate details of the check-in and **Save**.



The screenshot shows the 'Check-Ins' form. At the top right, there is a 'Save' button highlighted with a red box. The form has the following fields:

- *Template: Performance Improvement Check-In
- *Document Name: Performance Improvement Check-In 01/22/2020
- *Date: 01/22/2020
- Manager: Mr. Testuser_BAYLOR_s39

At the bottom, there is a list of existing check-ins, including 'Employee-Manager Check-In 10.30.2019 Part 2' and 'Discussed With Mr. Testuser_BAYLOR_s39' on '10/30/2019'.

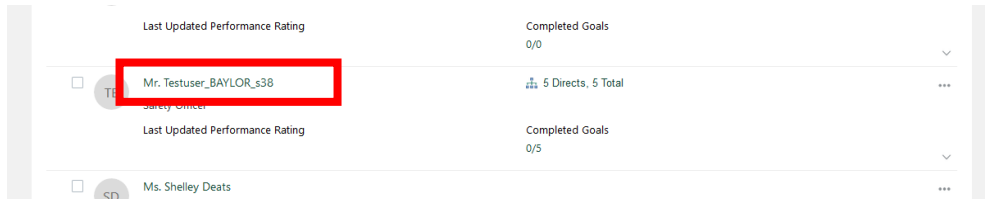
- a. ***Template:** Performance Improvement Check-In
 - b. ***Document Name:** this will auto-fill with the name of the template and the date
 - c. ***Date:** this will auto-fill with the current date
4. From here, you should hold weekly meetings performance meetings that keep the goals of the PIP in mind, entering a new check-in form for every weekly meeting.

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XII. Update check-in form with topics discussed

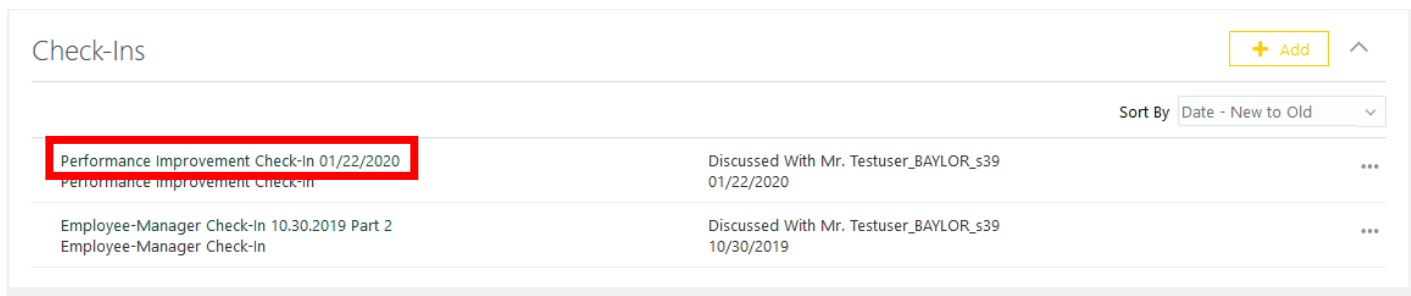
After each weekly meeting, you should be updating the check-in form answering the questions.

1. Under **Performance Overview**, select the name of the employee.



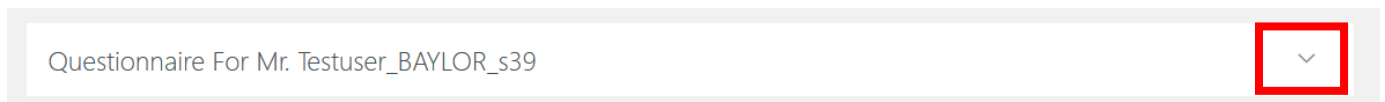
A screenshot of a table titled 'Performance Overview'. The table has columns for 'Last Updated Performance Rating', 'Completed Goals', and a dropdown menu. The first row is for 'Mr. Testuser_BAYLOR_s38' (Safety Officer) with 0/0 completed goals and 5 Directs, 5 Total. The second row is for 'Ms. Shelley Deats' with 0/5 completed goals. The name 'Mr. Testuser_BAYLOR_s38' is highlighted with a red box.

2. Under **Check-Ins**, select the check-in document.



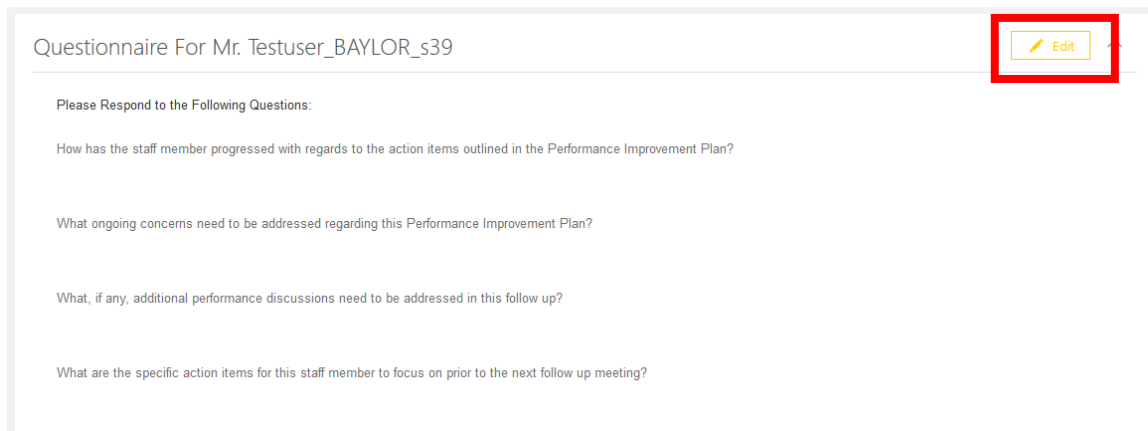
A screenshot of a table titled 'Check-Ins'. The table has columns for 'Check-In Document', 'Discussed With', and 'Date'. The first row is 'Performance Improvement Check-In 01/22/2020' discussed with 'Mr. Testuser_BAYLOR_s39' on '01/22/2020'. The second row is 'Employee-Manager Check-In 10.30.2019 Part 2' discussed with 'Mr. Testuser_BAYLOR_s39' on '10/30/2019'. The first row is highlighted with a red box. There is an '+ Add' button and a 'Sort By' dropdown set to 'Date - New to Old'.

3. Enter the manager questionnaire.
 - a. Click on the downward-facing arrow next to the manager questionnaire.



A screenshot of a dropdown menu showing 'Questionnaire For Mr. Testuser_BAYLOR_s39'. A downward-facing arrow is highlighted with a red box.

- b. Select **Edit**.



A screenshot of a form titled 'Questionnaire For Mr. Testuser_BAYLOR_s39'. The form contains the text 'Please Respond to the Following Questions:' followed by four questions. An 'Edit' button is highlighted with a red box.

Please Respond to the Following Questions:

How has the staff member progressed with regards to the action items outlined in the Performance Improvement Plan?

What ongoing concerns need to be addressed regarding this Performance Improvement Plan?

What, if any, additional performance discussions need to be addressed in this follow up?

What are the specific action items for this staff member to focus on prior to the next follow up meeting?

PERFORMANCE MANAGEMENT: HRC and Manager Responsibilities for Performance Improvement Plans

4. Answer the following questions, then click **Save**.

Questionnaire For Mr. Testuser_BAYLOR_s39



Please Respond to the Following Questions:

How has the staff member progressed with regards to the action items outlined in the Performance Improvement Plan?

test response

Save Cancel

5. After saving your responses, click the back arrow at the top left-hand corner.

  Performance Improvement Check-In 01/22/2020
Mr. Testuser_BAYLOR_s38

Overview

Review Period 2019 Annual Review Period	Date 01/22/2020
Name Performance Improvement Check-In 01/22/2020	Manager Mr. Testuser_BAYLOR_s39

This check-in form is now complete.

Repeat XI and XII after for each check-in meeting that occurs.