

## PERFORMANCE MANAGEMENT PROCESS

### A. An Outline of the Performance Management Process

The City of Madison is committed to employing individuals who provide the highest quality service and who support a fair and orderly system of governance for all citizens and visitors. City supervisors are expected to enhance the delivery of quality service by effectively managing employee work performance. Managing employee performance requires supervisors to provide positive feedback, training, and address poor performance when necessary. Out of all the aspects of managing employee performance, the importance of talking with employees about work related issues, providing ongoing feedback, and training cannot be overstated.

In a highly functional municipality, supervisors and managers take the critical steps of determining Community, City, and Department needs, and ultimately translating those needs into jobs. These jobs or positions are then defined by their duties and responsibilities within a Position Description (PD), allowing each unit to accomplish its goals and meet the needs of the City. After defining the duties and responsibilities within a PD, the supervisor sets about finding the best qualified employees.

Once the employee is hired, the supervisor is tasked with training the employee to allow him/her to meet the specific expectations which are outlined in the PD and further defined by the supervisor. The supervisor is then charged with communicating the expectations he/she has developed. Communication of the key elements of the PD and the associated expectations is vital because it provides the employee with guidance in every day job performance.

When the employee is consistently meeting or exceeding the expectations established in the PD, that does not mean the job of the supervisor is complete. The supervisor must then ensure performance levels are maintained by providing ongoing feedback, additional training, coaching, and counseling. Successful employees may then take an extra step in career development by requesting an Individual Development Plan (IDP). Supervisors can provide invaluable assistance in the implementation and assessment of the employee's IDP.

A more difficult task is managing performance which does not meet the expectations of the position. Poor performance can be related to a lack of knowledge, skills and abilities, training, communication of expectations, negligence, or insubordination, just to name a few. When performance is not meeting the expectations outlined in the PD, the first questions that must be asked are, "What is the root cause of the problem?", and "Are the performance deficiencies related to misconduct (insubordination, negligence, etc), or is the employee not *capable* (lack of knowledge, skills, or abilities) of performing all required duties." Assuming the supervisor has already communicated the expectations of the position and provided adequate training, the supervisor can rule these out as a root cause.

An employee who is capable of adequate performance but is not adequately performing the duties and responsibilities outlined on their PD due to misconduct will be subject to progressive discipline. Progressive discipline will be applied after the supervisor

identifies the City or Department work rule violation involved, and then follows the guidelines established in the disciplinary section of this manual.

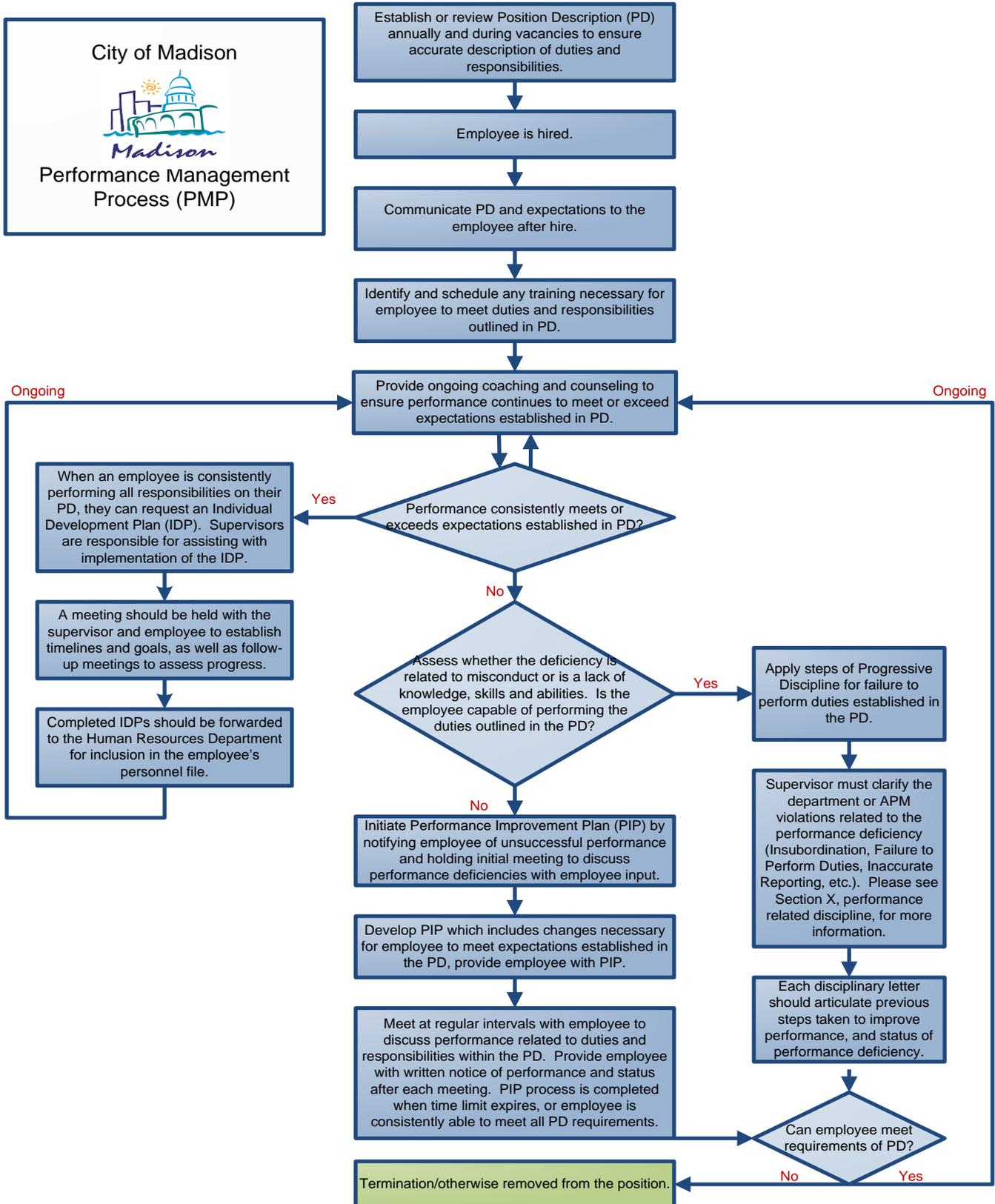
An employee who appears to not be capable of performing the tasks outlined in their PD in a satisfactory manner should be placed on a Performance Improvement Plan (PIP). PIPs are designed to provide an employee with a thorough understanding of their deficiencies, an opportunity to meet the expectations, and a timeline within which they must do so. PIPs are only implemented with the assistance of Human Resources and while the ideal result of a PIP is that the employee involved becomes capable of adequate performance, an unsuccessful PIP will result in the employee being removed from the position.

On the next page is a convenient Performance Management Flowchart, followed by detailed descriptions of communication of expectations and the coaching/counseling process, identification and implementation of training including the IDP process, how to assess poor performance, details on performance based discipline, and information on implementation of a PIP. References to the relevant portions of the flowchart will be made throughout this section.

It is important to remember that prior to following any of these steps it is critical to develop the PD, as it is the PD which will be the foundation on which solid performance is developed. Everything needed for development of this document is found in Section 11.



Establish or review Position Description (PD) annually and during vacancies to ensure accurate description of duties and responsibilities.



## B. Communicating Expectations of the Position Description

Once the PD has been thoroughly vetted and the ideal candidate has been hired pursuant to the established qualifications, it is time to communicate the expectations the supervisor developed based on the tasks outlined in the PD.

### 1. Hold a meeting with the employee.

Communicate PD and expectations to the employee after hire.

- a. Each new employee should have a meeting with their supervisor shortly after being hired where expectations are outlined. These expectations should be developed based on the PD and should identify the quality and quantity of the work, as well as general expectations of the position which have not been defined explicitly in the PD. As an example:
  - The class specification of an Administrative Clerk in the Human Resources Department might contain the phrase, "Prepare and/or coordinate department payroll and personnel records."
  - The PD for an Administrative Clerk in the Human Resources Department might contain the phrase, "Process all payroll for the Human Resources Department including verification of timesheets."
  - When clarifying expectations the supervisor will explain, "You are responsible for processing all payroll for the Human Resources Department including verification of timesheets for approximately 23 permanent employees by Monday following each pay period. You are expected to be familiarized with all aspects of payroll to ensure 100% accuracy of these documents."
- b. Current employees should have expectations reviewed with them as performance issues arise, when the PD changes significantly, or when expectations have changed due to changes in the direction of the Department.
- c. Ensure that the employee receives a copy of the most recent PD and the contents of the meeting are documented.
- d. The employee should be informed that any questions about expectations should be forwarded to the supervisor, and that the PD establishes the foundation for assessment of their performance.

### 2. Provide the employee with ongoing feedback.

- a. Giving and receiving feedback while communicating expectations allows employees to more fully understand the position.
- b. Allowing a healthy flow of feedback can assist a supervisor in determining additional training necessary to allow the employee to meet the expectations the supervisor has of the employee.

## C. Identification and Implementation of Training

The City of Madison is committed to helping all of its employees achieve professional and personal excellence, as our employees are the key to providing superior services to residents and visitors. Supervisors are responsible for working with employees to identify specific training and development needs and for developing specific objectives

and outcomes for training. A breakdown of training identifies two distinct categories, *required job training* and *elective career development*.

For more information on specific training and career development offered by the City, please see our Training and Organizational Development website located at [www.cityofmadison.com/employeenet/training/TrainingHome.html](http://www.cityofmadison.com/employeenet/training/TrainingHome.html).

1. **Required Job Training:** A training plan should be established for each employee founded on the expectations developed from the PD.

Identify and schedule any training necessary for employee to meet duties and responsibilities outlined in PD.

- a. Initial training includes any formal or informal training that defines achievement expectations and related timelines. Initial training may include such things as formal certification training, City sponsored training, or on the job training, among others. This should be established for each employee to ensure we are providing them with the necessary tools to fulfill all tasks outlined on their PD.
- b. Throughout employment, if an employee needs to strengthen her/his job skills in a particular area of her/his position, the supervisor and employee should discuss how this would occur.
- c. As PDs change, supervisors should ensure that all employees have received the necessary training to allow them to perform each of the tasks outlined on the PD. Discipline is never appropriate for performance issues due solely to a lack of training.
- d. Failure to complete required job training or failure to meet expectations provided by the supervisor after required job training has been completed are grounds for discipline or performance improvement as discussed in the next three sections.

2. **Elective Career Development:** Employees who are consistently meeting all expectations of their position may desire additional challenge or development. As part of our overall policy for training (*APM 2-10; Policies and Procedures for Internal and External Training*),

When an employee is consistently performing all responsibilities on their PD, they can request an Individual Development Plan (IDP). Supervisors are responsible for assisting with implementation of the IDP.

the Individual Development Plan (IDP) is the best tool for addressing on-going training and development goals for highly successful employees, and can be done in conjunction with required training. Supervisors are essential for assisting in the development of an employee's IDP. While supervisors are tasked with assisting in the IDP Development, please be aware that the Office of Training and Development will assist whenever needed. Please contact that office with any training questions or needs.

- a. IDPs are elective and are typically initiated by the employee. If an employee is not meeting all expectations, supervisors should ensure that they follow the procedures described in Sections B, D, E, and F, rather than assisting the employee with implementation of the IDP.
- b. In addition to City sponsored training programs found at the link above, employees are encouraged to take advantage of other development opportunities like external training programs, conferences, and seminars appropriate for professional and personal growth. Along with required

training, employees may wish to explore opportunities like obtaining or retaining professional certifications and licenses; attending trade association or professional meetings; or participating on work teams or committees.

- c. Completion of an IDP does not guarantee the employee placement into another position, as normal employment/civil service rules will be followed. However, new skills and experiences may make the employee a better candidate for future job openings.
- d. Failure to complete all of the goals outlined in an IDP will not subject the employee to discipline or implementation of a performance improvement plan, as the IDP is elective and only instituted when an employee is meeting all expectations.

3. A Few Notes on the IDP Process:

- a. While the employee should initiate the IDP, the supervisor approves and aids in the development of the IDP. The purpose of having an IDP approved by a supervisor is both to provide input, as described below, and also to ensure IDPs are being created only when an employee is meeting all expectations.
- b. Supervisors are responsible for working with employees to identify specific training and development needs and for developing objectives and outcomes for the training. This information is listed on the IDP form. Along with support in defining needs and objectives, supervisors are also charged with maximizing efficient use of City resources when selecting training and development opportunities.
- c. If implementation of an IDP causes performance to falter, or otherwise impedes the ability of the Department to carry out its mission, the supervisor should put the IDP on hold or insist on modification of the IDP.

4. The IDP Process: As previously stated, IDPs are implemented with cooperation of both the employee and the supervisor.

- a. The first step toward establishing an IDP is initiated by the employee who makes the request.
- b. Next, the supervisor is charged with meeting with the employee to assist in developing the IDP and establishing timelines, before approving or disapproving the IDP.
- c. The supervisor should establish periodic meetings to discuss progress and to ensure implementation has not negatively impacted the employee's performance or the goals and mission of the Department.
- d. A copy of the completed IDP should be forwarded to Human Resources for inclusion in the employee's personnel file. For more information on IDPs, please contact the City's Organizational Development and Training office.

A copy of an IDP form is included on page 63.

**D. Coaching and Counseling**

Provide the employee with ongoing feedback, positive, negative, and neutral, based on their ability to meet the expectations of their position.

Provide ongoing coaching and counseling to ensure performance continues to meet or exceed expectations established in PD.

1. Be sure to praise good performance; this is the most effective means of ensuring performance consistency.
2. When discussing poor performance be aware and in control of your own feelings and emotional response. Supervisors should be conscious to “take the high road” and not letting anger or frustration cloud the specific feedback being offered.
3. If employees are not meeting expectations, describe how expectations are not being met and specific examples of where performance is not meeting expectations of the PD.
4. Describe the effect of failure to meet the expectations, and how this has impacted the department.
5. State clearly what you require as acceptable performance (job expectations/results changes desired). Make sure to highlight specific ways employee performance must change in order to meet the expectations of outlined on the PD.
6. State the consequences if change does not occur.
7. Document the conversation.
8. Offer EAP assistance if necessary. Forms are available on employeenet.

**E. Assessing Performance Deficiencies**

By communicating the expectations outlined in the PD, by following up with each employee through a thorough review of expectations, and by providing ongoing feedback, supervisors create a means for assessing employee performance which is not meeting the expectations established by the supervisor.

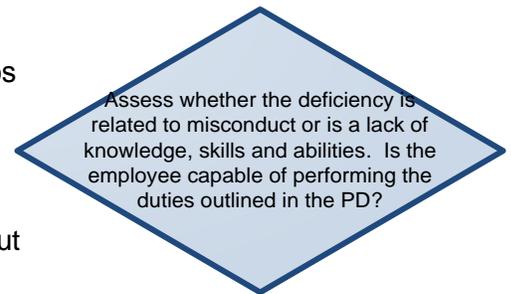
Employees who are not meeting expectations at this point should continue on in the Performance Management Process. Prior to defining any employee performance issue, supervisors should first consider the following questions:

- a. Have the initial steps of the Performance Management Process been completed (e.g. updating the position description, establishing expectations and standards)?
- b. Has the supervisor met with the employee to review expectations and then provided ongoing feedback?

- c. Has the employee received timely and adequate training or information needed to do the job?

If the answer to any of these questions is, “no” or “not sufficiently,” the supervisor should ensure these steps are taken and have been documented prior to defining the issue.

Employees may not be able to meet expectations in a variety of situations. The supervisor must now set about completing all of the following:



1. **Defining How the Performance is Not Meeting Expectations:** The supervisor must first review the PD and highlight any areas where the employee is not meeting expectations. Within these highlighted areas, the supervisor must then determine which aspects of expectations are not being met, including the quantity of their work, the quality of their work, their dependability, or their development of interpersonal relationships.
  - a. When describing how the quantity of work is not meeting expectations, supervisors should consider some of the following questions:
    - How timely and efficient is performance expected to be?
    - During peak periods, how much work is the employee expected to produce?
    - Is the employee expected to seek out additional work when work is completed?
  - b. When describing how the quality of work is not meeting expectations, supervisors should consider some of the following questions:
    - At what level is the employee expected to utilize, adhere to, and explain, policies and procedures?
    - What level of independent judgment is expected of an employee in this position?
    - Is the employee expected to take initiative, create new procedures, or implement new programs?
    - Is the employee receiving too frequent customer complaints?
  - c. When describing how the employee is not meeting expectations related to their dependability, supervisors should consider some of the following questions:
    - Is the employee expected to develop or fulfill specific work timelines?
    - What level of independence must the employee demonstrate on assignments?
    - Is the employee having issues of timeliness or absenteeism unrelated to approved medical leave?
  - d. When describing how the employee is not meeting expectations related to their interpersonal skills, supervisors should consider:
    - How important are communication skills and information sharing to the position?
    - Should the employee recognize different communication styles and modify their approach accordingly?

- Is it important for the employee to get along well with others and be seen as a positive team player?

It is essential that these standards be independent of the individual employee, and that expectations do not change to meet employee abilities, but rather the employee's abilities rise to meet the supervisor's expectations.

Utilizing the Human Resources Administrative Clerk again as an example, a description of his/her performance issues might indicate, *"Performing basic payroll functions including verification of timesheets, however payroll is not completed in required timeline and performance is not meeting accuracy expectations as timesheets contain frequent errors."*

The supervisor has now defined how the employee is not meeting expectations. It is now appropriate to answer the question of when.

2. Defining **When** the Performance is Not Meeting Expectations: Defining "When" is not only a matter of defining how consistently performance has failed to meet expectations, but the effects felt when this has occurred.
  - a. Examples should be gathered of the when the performance has failed to meet expectations. Unless this is a serious infraction, this should be more than one solitary occurrence and should instead establish a pattern of deficiency.
  - b. Supervisors should articulate the associated effects of each example of the employee not meeting expectations. When assessing these effects, supervisors should consider: increased customer complaints, impacts on coworkers, economic impacts, and impacts on processes.

In the example of the Administrative Clerk with payroll duties, the statement of the problem may now include, *"Performing basic payroll functions including verification of timesheets, however payroll is not completed in required timeline and performance is not meeting accuracy expectations as timesheets contain frequent errors. The Administrative Clerk has submitted payroll more than one day late three times in the past two months, and each payroll has had errors on a minimum of four timesheets. As a result of the inability to meet expectations, employees have not received paychecks in a timely manner and this has burdened coworkers with the additional work of correcting mistakes."*

3. The Critical Question of **Why** Performance is Not Meeting Expectations:

After the supervisor has determined the "how" and "when" related to employees who are not meeting expectations, it is time to ask a critical question to determine your next step(s):

***Is the employee capable of performing at an acceptable level?***

- a. If the answer is "yes," proceed to Progressive Discipline. Supervisors who respond **affirmatively** to this question have employees who are not meeting expectations intentionally or out of negligence. Because the employee is capable of performing in a manner which meets

expectations, but is not due to either of these reasons, the employee is guilty of misconduct and is consequently best dealt with through progressive discipline. Answering this critical question can occasionally be difficult. Indicators that the employee is capable include:

- The employee appears to exert little to no effort.
- There is a history of the employee being capable of meeting expectations.
- There is a verbal refusal to meet expectations.
- The employee engages in excessive personal business while on duty.
- There are violations of other work rules (attendance not related to approved medical leave, etc), which cause the employee to fail to meet expectations.

b. If the answer is “no,” proceed to implementation of a Performance Improvement Plan (PIP). Supervisors who respond to this question in the **negative** have employees who are unintentionally failing to meet expectations. Such employees are best dealt with through implementation of a Performance Improvement Plan (PIP), as this will give the employee the opportunity to develop their knowledge, skills, and abilities in a specified timeline. Indicators that the employee is not capable of meeting expectations include:

- The employee exerts adequate effort and still fails to meet expectations.
- The employee has rarely been capable of meeting expectations.
- The employee is trained on new duties and responsibilities and still fails to meet expectations.
- The employee has difficulty with similar tasks.
- The employee is unable to grasp or adapt to workplace innovations or change.
- Discipline would be counterproductive to improvement.

Looking again at the example of the employee who is not meeting the payroll expectations of an Administrative Clerk in Human Resources, the supervisor would want to consider whether this was a new duty, whether the employee had performed this task acceptably in the past, and whether other similarly situated employees were able to meet expectations.

## F. Performance Related Progressive Discipline

Progressive discipline follows general guidelines established in the collective bargaining agreements with the City’s various unions. All employees are subject to just cause disciplinary procedures, and consequently discipline should generally be progressive in nature. Sections 5 through 9 of the Supervisor Manual clarify the disciplinary process. Progressive discipline follows all of the same guidelines for performance related misconduct as it does for other types of misconduct, however, there are a few issues supervisors must keep in mind when issuing discipline for failure to meet performance expectations.

Apply steps of Progressive Discipline for failure to perform duties established in the PD.

1. Notice is provided in the PD and follow-up expectation meetings. One of the commonly accepted elements of just cause discipline is that the employee is provided notice of reasonable rules. For performance related discipline, supervisors have already taken the steps of providing notice by meeting with the employee to set up expectations, having those expectations outlined on the PD, and by providing ongoing and well documented feedback.
2. There should be clear delineation between when training has ended and when the employee must meet all expectations. A letter of instruction can serve this purpose, as it is a particularly effective way of putting an employee on notice that continued failure to meet expectations may result in disciplinary action.
3. It is essential to identify the work rule violated. When considering the appropriate level of discipline for a performance related work rule violation, first determine the appropriate work rule involved (see APM 2-33, *Rules of Conduct*). Examples include:
  - a. Insubordination including disobedience, disrespect, failure to perform work assignments or duties, or failure to accept direction from authorized personnel.
  - b. Negligence in the performance of assigned duties, loafing, loitering, or engaging in unauthorized personal business during work hours.
  - c. Any other conduct that would inhibit the ability of the individual, fellow employees, or management to adequately carry out duties and functions.

If willful or serious misconduct is involved, some of the steps of progressive discipline may be skipped. Consult with Labor Relations if this is the case. If the performance related work rule is more negligent than willful, progressive discipline will apply. After identifying the work rule, supervisors should refer to Section 5(C) which explains implementation of progressive discipline.

#### **G. Performance Improvement Plans (PIPs)**

A PIP is used when supervisors have identified a performance problem and recognize the problem is the result of an *inability* to meet expectations rather than the result of misconduct. A PIP is implemented only after the position has been adequately defined, expectations have been clarified, and necessary training, coaching, and counseling have been ineffective. PIPs **should not** be implemented without assistance and approval from the Human Resources Department.

#### **PIP Implementation:**

1. Notice of Unsatisfactory Performance: The employee must first receive a written notice (see Sample Letter 1 on page 64) indicating that his/her performance is unsatisfactory, including:

Initiate Performance Improvement Plan (PIP) by notifying employee of unsuccessful performance and holding initial meeting to discuss performance deficiencies with employee input.

- a. A Statement of the Problem: The supervisor has already established the expectations using the PD, identified a deficiency, and defined the problem. This should then be clearly articulated in the letter to the notice

to the employee. The example of the Administrative Clerk included: *“Performing basic payroll functions including verification of timesheets, however payroll is not completed in required timeline and performance is not meeting accuracy expectations as timesheets contain frequent errors. The Administrative Clerk has submitted payroll more than one day late three times in the past two months, and each payroll has had errors on a minimum of four timesheets. As a result of the inability to meet expectations, employees have not received paychecks in a timely manner and this has burdened coworkers with the additional work of correcting mistakes.”* The statement of the problem should then include all of this information.

- b. Previous Activities: Highlight steps previously taken to bring about improvement including any unsatisfactory assessment, coaching, training, conversations, letters of instruction, or other measures taken to bring about satisfactory performance. These activities should have supporting documentation which includes specific dates and times. The meeting the supervisor held outlining expectations established based on the position description should be included.
  - c. The Impact of Poor Performance: Supervisors should be able to describe the impact of the performance issue(s) on co-workers, other staff and /or City residents or processes. This information is crucial for substantiating the reasonableness of the expectations of the position.
  - d. Information on the Initial Meeting: Set up a meeting to discuss performance improvement and make sure to send it to the applicable Union representative.
  - e. Employee Assistance Program Information: Provide information about EAP using the EAP letter located on employeenet under Forms.
2. Hold an Initial Meeting: Supervisors should always ensure a second supervisory level employee is present during PIP meetings to document the conversations. If the employee is represented, he or she may also have a union representative present. If the employee is not represented, a coworker may be allowed to be present.
- a. Explain the Deficiency and Expectations: It is imperative that the supervisor articulates the performance concerns and engages in a two-way conversation to establish a means for improvement at the initial meeting. Supervisors should be sure to focus on the actual work product, and avoid making conversation personal.
  - b. Ask Clarifying Questions: The employee may be aware of the exact impediments to meeting the expectations founded in the position description. Asking questions about why the employee believes they are unsuccessful at meeting expectations can provide further ideas for improvement.
  - c. Develop Ideas for Improvement: Engage the employee in a discussion to allow input and suggestions before developing a reasonable timeline.
3. Create a PIP and Issue with a Follow-Up Letter: Supervisors should follow the PIP meeting with a letter documenting the conversation and the plan for improvement (see Sample Letter 2

Develop PIP which includes changes necessary for employee to meet expectations established in the PD, provide employee with PIP.

on page 65 and example on page 67). This letter should also include the following:

- a. Meeting Information: How often the follow-up meetings will occur and the purpose of the meetings. These meetings should typically be established at least every 2 weeks for approximately 6 months.
- b. Issues Identified: The PIP should establish specific expectations and performance goals, with associated deadlines for achievement of these goals. Some goals may be short term, while others span the lifetime of the plan. Supervisors should be cognizant of the need to create timelines which are reasonable and fall within expectations which are standard for the position.
- c. Previous Activities: Highlight steps previously taken to bring about improvement including any unsatisfactory assessment, coaching, training, conversations, letters of instruction, or other measures taken to bring about satisfactory performance.
- d. The Impact of Poor Performance: Supervisors should continue describe the impact of the performance issue(s) on co-workers, other staff and /or City residents or processes.
- e. Consequence of Failure to Improve: Notice needs to be provided to the employee of the consequences of failure to improve or failure to adhere to the PIP, including the possibility of disciplinary action up to and including discharge from employment. Failure to meet target deadlines does not provide a basis for disciplinary action.

3. Hold Follow Up Meetings: The supervisor should establish a reasonable time-line to follow-up with the employee and discuss the PIP. The supervisor should follow-up each meeting with a letter stating the employee's progress toward the expectations and standards previously identified (see Sample Letter 3 on page 66 and examples on pages 67 and 68). This provision does not limit the number of times a supervisor may observe the employee or engage in informal discussions regarding the employee's performance.

Meet at regular intervals with employee to discuss performance related to duties and responsibilities within the PD. Provide employee with written notice of performance and status after each meeting. PIP process is completed when time limit expires, or employee is consistently able to meet all PD requirements.

4. Conclusion of the PIP: The Performance Improvement Plan will conclude either when the employee reaches an acceptable level of performance, or the employee reaches the end of their PIP period.

- a. Satisfactory Performance: When the employee reaches an acceptable level of performance, the supervisor shall send the employee written notification stating that the employee is no longer on a PIP.
- b. Unsatisfactory Performance: If performance does not improve adequately during the established PIP period, the Human Resources Director may recommend the employee is terminated or otherwise removed from the position.

Termination/otherwise removed from the position.

**Sample Letter 1 / Initial Unsatisfactory Performance Notification:**

**CITY OF MADISON  
INTER-DEPARTMENTAL  
CORRESPONDENCE**

DATE: August 15, 2010

TO: John Doe, Human Resources Administrative Clerk 1  
FROM: Jane Plain, Supervisor  
SUBJECT: **Unsatisfactory Performance Notification**

Recent workplace observations, assessments and other relevant information have caused concern regarding your job performance. I've scheduled a meeting on (DATE) at (TIME) in the (LOCATION). This meeting will be held for the purpose of discussing your current job performance and identifying means for improvement.

Specific areas of concern include:

- *An unacceptable level errors on submitted timesheets. Your submitted timesheets have a minimum of four errors. Timesheets should be submitted with no more than incidental errors (one or two per year).*
- *Payroll has been submitted more than one day late three times out of the past two months. Payroll must be submitted on time at all times, in order to ensure paychecks are timely for employees.*
- *Not meeting call volume expectations. Your supervisor has reported an average of twenty dropped calls per week. Employees similarly situated have no more than 1-2 dropped calls per week.*
- *You have now failed your certification exams three times resulting in an inability to be certified. Certification is essential to proper job function.*

Your performance in these areas is especially concerning because of the impact your position has on the timeliness and accuracy of our payroll. As a result of your inability to meet the expectations of the position, employees have not received paychecks in a timely manner and this has burdened your coworkers with the additional work of submitting Payroll Adjustment Forms.

We met with you on April 1, 2010, to review your position description and explain the necessary skills and abilities for your position. We also ensured you attended City Payroll 101 on May 6, 2010, and Time Management Skills on May 15, 2010.

You remain a valuable member of our department. Please see the attached information about our Employee Assistance Program, which is available if needed.

Also, please be aware that you are entitled to union representation if you so desire.

cc: Human Resources  
Department Head  
Union Steward

**Sample Letter 2 / Attached to Initial PIP:**

**CITY OF MADISON  
INTER-DEPARTMENTAL  
CORRESPONDENCE**

DATE: August 28, 2010

TO: John Doe, Human Resources Administrative Clerk 1

FROM: Jane Plain, Supervisor

SUBJECT: **Performance Improvement Plan**

A meeting was held on August 22, 2010, in the (LOCATION). You and I, (name of Union Representative) and (name of 2nd supervisor) were in attendance. This meeting was held for the purpose of discussing your current job performance and identifying means for improvement.

Specific areas of concern that were discussed included:

- *An unacceptable level errors on submitted timesheets. Your submitted timesheets have a minimum of four errors. Timesheets should be submitted with no more than incidental errors (1 or 2 per year).*
- *Payroll has been submitted more than one day late three times out of the past two months. Payroll must be submitted on time at all times, in order to ensure paychecks are timely for employees.*
- *Not meeting call volume expectations. Your supervisor has reported an average of twenty dropped calls per week. Employees similarly situated have no more than 1-2 dropped calls per week.*
- *You have now failed your certification exams three times resulting in an inability to be certified. Certification is essential to proper job function.*

Your performance in these areas is especially concerning because of the impact your position has on the timeliness and accuracy of our payroll. As a result of your inability to meet the expectations of the position, employees have not received paychecks in a timely manner and this has burdened your coworkers with the additional work of submitting Payroll Adjustment Forms.

Based on our conversation, the attached Performance Improvement Plan (PIP) was developed to help you address the performance issues over the next six months. We have arranged for additional Payroll Processing training on (DATE) at (TIME). We have also included targets to assist you in meeting expectations within the established timeframe.

Our next meeting is scheduled for (DATE) at (TIME). I will continue to monitor your performance and a follow up meeting has been set for (DATE) at (TIME) to assess your improvement, although we may meet sooner if necessary. We will continue to meet every two weeks until you are capable of meeting all expectations of the position, or until the six month PIP period has expired.

Please be advised that if you fail to follow this plan for improvement (including failure to adhere to directives or failure to meet expectations in the required timeframe) you will face discipline, up to and including discharge or removal from the position.

If you have any questions with regard to this letter and the directives listed above please ask, otherwise I will assume that you have understood and will comply with everything indicated in this letter. I am again attaching an EAP letter for your information.

cc: Human Resources  
Department Head  
Union Steward

**Sample Letter 3/Follow-up PIP Letters:**

**CITY OF MADISON  
INTER-DEPARTMENTAL  
CORRESPONDENCE**

DATE: October 7, 2010

TO: John Doe, Human Resources Administrative Clerk 1

FROM: Jane Plain, Supervisor

SUBJECT: **Performance Improvement Plan**

A meeting was held on August 22, 2010, in the (LOCATION). You and I, (name of Union Representative) and (name of 2nd supervisor) were in attendance. This meeting was held for the purpose of discussing your current job performance and identifying means for improvement. You received a copy of your Performance Improvement Plan (PIP) on August 28, 2009. We also met on September 10 and September 24, 2010, to discuss your progress.

Specific areas of concern that were discussed included:

- *An unacceptable level errors on submitted timesheets. Your submitted timesheets have a minimum of four errors. Timesheets should be submitted with no more than incidental errors (one or two per year).*
- *Payroll has been submitted more than one day late three times out of the past two months. Payroll must be submitted on time at all times, in order to ensure paychecks are timely for employees.*
- *Not meeting call volume expectations. Your supervisor has reported an average of twenty dropped calls per week. Employees similarly situated have no more than 1-2 dropped calls per week.*
- *You have now failed your certification exams three times resulting in an inability to be certified. Certification is essential to proper job function.*

Your performance in these areas is especially concerning because of the impact your position has on the timeliness and accuracy of our payroll. As a result of your inability to meet the expectations of the position, employees have not received paychecks in a timely manner and this has burdened your coworkers with the additional work of submitting Payroll Adjustment Forms.

Please see the updated PIP which indicates your progress in the PIP process. It should be noted that you attended Payroll Processing training on (DATE) at (TIME).

Our next meeting is scheduled for (DATE) at (TIME). I will continue to monitor your performance and a follow up meeting has been set for (DATE) at (TIME) to assess your improvement, although we may meet sooner if necessary. We will continue to meet every two weeks until you are capable of meeting all expectations of the position, or until the six month PIP period has expired.

Please be advised that if you fail to follow this plan for improvement (including failure to adhere to directives or failure to meet expectations in the required timeframe) you will face discipline, up to and including discharge or removal from the position.

If you have any questions with regard to this letter and the directives listed above please ask, otherwise I will assume that you have understood and will comply with everything indicated in this letter. I am again attaching an EAP letter for your information.

cc: Human Resources  
Department Head  
Union Steward

**John Doe Performance Improvement Plan – Timeline/Goals – August 28**

DATE	Tasks	Status	Expectation/Progress	Deadline
Aug. 28, 2010	<b>Timesheets.</b>	<b>Inc.</b>	<b>Excessive errors on each timesheet.</b>	<b>2/28/11</b>
	<b>TARGET</b>		No more than 1 error per payroll.	9/10/10
Aug. 28, 2010	<b>Payroll.</b>	<b>Inc.</b>	<b>Payroll &gt;1 day late 75% over prev. 2 months, should be 1 day early.</b>	<b>2/28/11</b>
	<b>TARGET</b>		Payroll on time.	9/10/10
Aug. 28, 2010	<b>Call Duties.</b>	<b>Inc.</b>	<b>Avg. of 20 dropped calls per week.</b>	<b>2/28/11</b>
	<b>TARGET</b>		<b>Should be 1-2 dropped per week.</b> Avg. of 10 dropped calls per week.	9/10/10
Aug. 28, 2010	<b>PPC (Payroll Processor Certification)</b>	<b>Inc.</b>	<b>Have not received Payroll Processor Certification.</b>	<b>2/28/11</b>
	<b>TARGET</b>		Pass PPC Exam	9/10/10

**John Doe Performance Improvement Plan – Timeline/Goals – September 10**

DATE	Tasks	Status	Expectation/Progress	Deadline
Aug. 28, 2010	<b>Timesheets.</b>	<b>Inc.</b>	<b>Excessive errors on each timesheet.</b>	<b>2/28/11</b>
Sept. 10, 2010	<b>TARGET</b>		Had 6 errors in last payroll. No more than 1 error per payroll by target deadline.	9/24/10
Aug. 28, 2010	<b>Payroll.</b>	<b>Inc.</b>	<b>Payroll &gt;1 day late 75% over prev. 2 months, should be 1 day early.</b>	<b>2/28/11</b>
Sept. 10, 2010	<b>TARGET</b>		Payroll completed on time. Complete payroll 1 day early	9/24/10
Aug. 28, 2010	<b>Call Duties.</b>	<b>Inc.</b>	<b>Avg. of 20 dropped calls per week.</b>	<b>2/28/11</b>
Sept. 10, 2010	<b>TARGET</b>		<b>Should be 1-2 dropped per week.</b> Avg. of 14.5 dropped calls per week. Avg. of 10 dropped calls per week.	9/24/10
Aug. 28, 2010	<b>PPC (Payroll Processor Certification)</b>	<b>Inc.</b>	<b>Have not received Payroll Processor Certification.</b>	<b>2/28/11</b>
Sept. 10, 2010	<b>TARGET</b>		Failed PPC Exam Pass PPC Exam	9/24/10

**John Doe Performance Improvement Plan – Timeline/Goals – October 7**

DATE	Tasks	Status	Expectation/Progress	Deadline
Aug. 28, 2010 Sept. 10, 2010 Sept. 24, 2010 Oct. 7, 2010	<b>Timesheets.</b>    <b>TARGET</b>	<b>Inc.</b>	<b>Excessive errors on each timesheet. Should have no more 1-2 per year.</b> Had 6 errors in last payroll. Had 3 errors in last payroll. Had 2 errors in last payroll. No more than 1 error per payroll by target deadline.	<b>2/28/11</b>    10/21/10
Aug. 28, 2010 Sept. 10, 2010 Sept. 24, 2010 Oct. 7, 2010	<b>Payroll.</b>	<b>Comp.</b>	<b>Payroll &gt;1 day late 75% over prev. 2 months, should be 1 day early.</b> Payroll completed on time. Completed payroll 1 day early. Completed payroll 1 day early.	<b>2/28/11</b>
Aug. 28, 2010 Sept. 10, 2010 Sept. 24, 2010 Oct. 7, 2010	<b>Call Duties.</b>    <b>TARGET</b>	<b>Inc.</b>	<b>Avg. of 20 dropped calls per week. Should be 1-2 dropped per week.</b> Avg. of 14.5 dropped calls per week. Avg. of 10 dropped calls per week. Avg. of 9 dropped calls per week. Avg. of 2 dropped calls per week	<b>2/28/11</b>    10/21/10
Aug. 28, 2010 Sept. 10, 2010 Sept. 24, 2010 Oct. 7, 2010	<b>PPC (Payroll Processor Certification)</b>	<b>Comp.</b>	<b>Have not received Payroll Processor Certification.</b>  Failed PPC Exam Pass PPC Exam Obtained PPC Certification	<b>2/28/11</b>

\*Please note, more complicated and responsible positions will have more lengthy tasks, expectations, and progress information. This plan is meant to outline a very basic type of PIP.