

## PERFORMANCE IMPROVEMENT PLAN (PIP) GUIDE

The Performance Improvement Plan (PIP) is a specialized documentation tool available to supervisors for the purpose of improving the performance of a technician and addressing performance discrepancies identified in the performance appraisal process. Cooperation and continuing communication between the technician and supervisor is essential to the success of the PIP.

Supervisors implementing the PIP must identify each performance discrepancy that is in need of improvement. Each discrepancy should be supported by appropriate documentation using specific examples to identify areas of improvement. Supervisors must define the task, skills and/or behaviors where improvement is needed and establish priorities in the areas requiring improvement. Supervisors must also identify the standards upon which performance will be measured for each area requiring improvement and insure they are reasonable and attainable.

Once the areas of improvement have been identified, supervisors must develop an action plan specifying how the standards will be met. This should include specific training and any other special support that will assist the technician in meeting the standards. The supervisor will establish short and long-range goals and timetables for accomplishing change in performance. The PIP is then put in writing and includes the signature of both the technician and supervisor.

The supervisor should periodically review the technician's progress. At the end of the PIP time period, a final evaluation is conducted to determine if the PIP was successful. If the PIP was unsuccessful, the supervisor may continue the plan, amend or extend parts of the PIP, or take action as required, such as, reassignment, change to lower grade, or removal.

The technician has appeal rights. Supervisors may be asked the following questions by a arbitrator, hearing officer, or judge:

1. Was the employee put on notice that his/her performance was unacceptable?
2. Did the notice clearly identify specific examples of poor performance?
3. Was the employee specifically informed what he/she must do in order to meet the standards of the position?
4. Was the employee offered any assistance such as training, counseling, or extra help from his/her supervisor in order to overcome deficiencies?
5. Was the employee clearly warned of the consequences of failure to improve performance?
6. Was the employee given a fair opportunity to bring his/her job performance up to an acceptable level?

**The PIP is not intended for use in disciplinary or adverse action. The procedures contained in Technician Personnel Regulation (TPR) 752 must be followed when taking a disciplinary or adverse action.**

STATE OF WEST VIRGINIA  
ADJUTANT GENERAL'S DEPARTMENT  
1703 COONSKIN DRIVE  
CHARLESTON, WV 25311-1085

OFFICE SYMBOL

Date: XXXXXX

MEMORANDUM FOR XXXXXX

SUBJECT: Decision to Remove/Change to Lower Grade (Unacceptable Performance)

***State the specific action being taken, i.e., removal, or change to lower grade. Include series and grade of position incumbent occupies and show full unit name and mailing address to which the technician is assigned. For example:***

1. This memorandum will serve as your formal notice of (removal/change to lower grade) not earlier than thirty (30) calendar days from the date of your receipt for this notice. The reasons for this action are:

***(Refer to 5 CFR Part 430 and TPR 1940.) Give the reason for action. Use all available information in sufficient detail so the technician will understand why the action is being taken).***

a. On 1 Oct 20XX, you and I established written critical elements and performance standards for your position. At the time, you acknowledged our discussion of these critical elements and performance standards.

b. On 2 March 20XX, I informed you orally and in writing that your performance regarding critical element number \_\_\_ pertaining to \_\_\_ was below the Level 2 rating because you had failed to (list specific instances of unacceptable performance on which this action is based). On 16 March 20XX, I provided you with specific written instructions on how to improve your performance on this critical element.

c. Despite counseling and on-the-job training, your performance of this critical element continues to be below the Level 2 rating. Therefore, I have initiated this process to change you to a lower grade. You were provided a performance improvement period.

2. Copies of the performance assessment materials relied upon to support this proposal are attached. You may reply to this notification, either orally or in writing, or you may appeal the unacceptable performance appraisal to the State Review and Appeals Board. You may submit affidavits in support of your response. Your response will be considered an appeal unless you specify otherwise. To be considered your response must arrive within fifteen (15) calendar days of receipt of this notice. Consideration will be given to extend this period if you submit a request stating your reasons for requiring additional time. You will be given a final determination as soon as practicable after the Board has made its recommendations to The Adjutant General.

OFFICE SYMBOL

SUBJECT: Notice of Opportunity to Improve Performance

3. You may contact the Employee Relations Specialist in the Human Resource Office for procedural guidance at DSN: xxx-xxx or Commercial (xxx) xxx-xxx.

SUPERVISOR NAME

CPT, AG, WVNG

Title

CF: HRO (w/encl)

\_\_\_\_\_  
Technician Signature

\_\_\_\_\_  
Date

Please initial next to one of the options below concerning your unacceptable rating:

\_\_\_\_\_ I wish to waive my appeal rights.

\_\_\_\_\_ I wish to respond but not file an appeal.

\_\_\_\_\_ I wish to appeal and understand that I must submit the following information to the Employee Relations Specialist listed above NLT the timeframe specified in the memorandum:

- a. Name of Technician
- b. Organization
- c. The appraisal being appealed
- d. Why the appraisal should be changed
- e. Performance level requested
- f. Date notice Received

\*When any of the necessary information is not available, the technician should submit what is available, and state why the other information is not available.

STATE OF WEST VIRGINIA  
ADJUTANT GENERAL'S DEPARTMENT  
1703 COONSKIN DRIVE  
CHARLESTON, WV 25311-1085

OFFICE SYMBOL

Date: XXXXXX

MEMORANDUM FOR XXXXXX

SUBJECT: Notice of Opportunity to Improve Performance

1. This memorandum is official notice that your current performance in your position of Personnel Officer, GS-0201-11, is unacceptable. I discussed with you your current critical element on XX Nov XXXX, and you signed your performance plan on XX Nov XXXX. You were assigned a Level 1 rating of unacceptable which was closed on XX Apr XXXX. The assessment is attached for your review.

2. Specifically, your performance is unacceptable in that you have not met the performance standards for Critical Element 1. The performance deficiencies and the required improvements are listed below:

a. **Critical Element 1:** Provides supervision for approximately seven employees on effective personnel and performance management. Ensures positive EEO and human relations concepts are applied in personnel activities. Ensures responsible recruitment in consultation with the squadron commander. Supports the EEO Program through positive personal involvement, e.g. complaint resolution, participation in special emphasis programs, community action, interaction with EEO officials, and identification and correction of institutional barriers to equality and opportunity.

b. **Performance Deficiencies:** A State Equal Opportunity Office Unit Staff Assistance Visit rated the human relations climate in the section as unsatisfactory. The Civilian Personnel branch was specifically mentioned as one of the problem areas. In my XX Mar XXXX feedback session I charged you to find ways to improve your area and told you some specific improvements you could make. You have not discussed with me any ideas for improvement nor have I seen any change in this area. Several months ago, you received from a Services Squadron employee a grievance which contained allegations of discrimination and racism. You have taken no action to process this grievance or refer the employee to the EEO Counselor. You did not inform me of this grievance.

c. **Improvement Required:** Take steps to improve the human relations climate in your organization. Discuss with me how you plan to improve this climate. Process the grievance immediately or refer to EEO Counselor as appropriate.

d. **Improvement Required:** Establish professional, effective working relationships with all your customers. Prepare a written plan on how you are to improve the labor management climate.

OFFICE SYMBOL

SUBJECT: Notice of Opportunity to Improve Performance

3. I have outlined the critical elements of your performance plan for which your performance is now considered unacceptable. I will allow you 90 calendar days from the date of this memorandum to improve your performance to an acceptable level (Level 2 or higher). I will periodically discuss with you your progress in attaining acceptable performance during this improvement period. I will be available whenever you need assistance and will furnish any appropriate guidance or training you need in order for you to meet your performance standards.
4. At the end of 90 calendar days, I will again evaluate your performance. This evaluation will include all aspects of your performance as outlined in your performance plan. Additionally, your performance must be at least a Level 2 for all critical elements in the performance plan.
5. My intention is to provide you the opportunity to improve your performance. If you believe your current unacceptable performance is the result of a condition of which I am unaware, please discuss this matter with me immediately and provide any necessary documentation and requests for accommodation for my consideration. If there are other personal problems which you believe are affecting your performance, I strongly recommend you consult with the HRO, Employee Assistance Program (EAP) Coordinator. Participation in the EAP program is voluntary.
6. If at the end of the performance improvement period, your performance is considered fully acceptable, or Level 3 rating, no further action will be required. A Level 2 rating will end this PIP but a new PIP may be generated to bring your performance to the Level 3 standard. If, however, your performance continues to be below the Level 2 rating, I will take appropriate administrative action. Such action could include reassignment, demotion, or removal from the federal service based on unacceptable performance. Be advised, such action may be affected for up to one year following the beginning of the performance improvement period should your performance again fall below the Level 2 rating.

SUPERVISOR NAME  
COL, AG, WVARNG  
Title

CF: HRO (w/encl)

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Technician Signature (Receipt Acknowledged)

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Date

STATE OF WEST VIRGINIA  
ADJUTANT GENERAL'S DEPARTMENT  
1703 COONSKIN DRIVE  
CHARLESTON, WV 25311-1085

OFFICE SYMBOL

Date: XXXXXX

MEMORANDUM FOR XXXXXX

SUBJECT: Notice of Opportunity to Improve Performance

1. This memorandum is official notice that your current performance in your position of Personnel Records Clerk, GS-0201-06, is unacceptable. I discussed with you your current critical element on 15 October 2010, and you signed your performance plan on 20 October 2010. You were assigned a Level 1 rating of unacceptable which was closed on 30 September 2011. The assessment is attached for your review.

2. Specifically, your performance is unacceptable in that you have not met the performance standards for Critical Element 1. The performance deficiencies and the required improvements are listed below:

**a. Critical Element 1: Records Maintenance.** Fully acceptable performance in this element requires filing records in organizational personnel folders in accordance with governing directives and standard office operating procedures. Records are filed within five workdays of receipt, or sooner if accumulation of un-filed records exceeds 100. Reviews of organizational personnel folders are conducted annually to remove duplicate and/or obsolete records.

Your performance of duties under this performance critical element has been less than marginal in meeting the standard. Specific instances of unacceptable performance in this critical element are as follows:

- On 20 January 2011, I counseled you concerning excessive record accumulation. I advised you to stop involving yourself in office activities that do not concern you and devote your time to accomplishing your work. (See attached counseling note.)
- On 25 January 2011, I counseled you regarding erroneous filing of records. I suggested methods of improvement in your filing procedure. (See attached counseling note.)

**b. Performance Deficiencies: Request for Record Information.** Fully acceptable performance in this element requires response dispatched within three workdays of receipt of request, provide only that information allowed by the Privacy Act and/or Freedom of Information Act, and receive no more than two servicing complaints per month. Performance verified through spot checks of work.

OFFICE SYMBOL

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Your performance of duties under this performance element has been less than marginal in meeting the standard. Specific instances of unacceptable performance in this critical element are as follows:

- On 18 August 2011, I informed you that your response time to information requests was exceeding three workdays, and that I had received several complaints. (See attached letters.) I recommended to you how you could improve your suspense file procedure in order to meet response time requirements. (See attached counseling note.)
- On 8 September 2011, you released the home address of Jack Smith to the Presshard Insurance Co. The employee complained his privacy had been violated. (See copy of attached letter from Mr. Smith and my memo to you.)

**c. Improvement Required: Typing.** Fully acceptable performance in this element requires complete typed draft of correspondence received from supervisor within two days of receipt. Correspondence is prepared in final form, and not more than five per month are returned for correction.

Your performance of duties under this performance element has been less than marginal in meeting the standard. Specific instances of unacceptable performance in this critical element are as follows:

- On 9 February 2011, I returned to you ten pieces of correspondence in need of corrections. I advised you to pay closer attention to proof-reading the finished product. (See attached copies of erroneous correspondence and counseling note.)
- On 3 March 2011, I informed you that several pieces of draft correspondence submitted to you for typing had not been completed. I reminded you that draft correspondence is to be completed and returned within two days of receipt. (See attached counseling note.)

3. In order to meet the expectations of the agency, you must take the following steps to correct deficiencies in record maintenance, requests for record information, and typing:

- a. Alphabetize your records before filing in individual record folders.
- b. Expand your suspense file to include calendar days.
- c. Take time to proof read your typing before submitting.
- d. Utilize your dictionary to assist you in spelling correctly.
- e. Check with the Privacy Act Officer if unsure about information to be released.

OFFICE SYMBOL

SUBJECT: Notice of Opportunity to Improve Performance

4. I will make arrangements to have you visit with other agency personnel clerks for the purpose of learning file techniques and suspense controls. In addition, I will make available OPM and career development courses to help you improve your office skills. If you need further assistance or counseling in meeting the job standards enumerated above, please do not hesitate to contact me.

5. I have outlined the critical elements of your performance plan for which your performance is now considered unacceptable. I will allow you 90 calendar days from the date of this memorandum to improve your performance to an acceptable level (Level 2 or higher). I will periodically discuss with you your progress in attaining acceptable performance during this improvement period. I will be available whenever you need assistance and will furnish any appropriate guidance or training you need in order for you to meet your performance standards.

6. At the end of 90 calendar days, I will again evaluate your performance. This evaluation will include all aspects of your performance as outlined in your performance plan. Additionally, your performance must be at least a Level 2 for all critical elements in the performance plan.

7. My intention is to provide you the opportunity to improve your performance. If you believe your current unacceptable performance is the result of a condition of which I am unaware, please discuss this matter with me immediately and provide any necessary documentation and requests for accommodation for my consideration. If there are other personal problems which you believe are affecting your performance, I strongly recommend you consult with the HRO, Employee Assistance Program (EAP) Coordinator. Participation in the EAP program is voluntary.

8. If at the end of the performance improvement period, your performance is considered fully acceptable, or Level 3 rating, no further action will be required. A Level 2 rating will end this PIP but a new PIP may be generated to bring your performance to the Level 3 standard. If, however, your performance continues to be below the Level 2 rating, I will take appropriate administrative action. Such action could include reassignment, demotion, or removal from the federal service based on unacceptable performance. Be advised, such action may be affected for up to one year following the beginning of the performance improvement period should your performance again fall below the Level 2 rating.

SUPERVISOR NAME  
COL, AG, WVARNG  
Title

CF: HRO (w/encl)

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Technician Signature (Receipt Acknowledged)

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Date

