

Performance Management, Incentive Awards, Training and Development

Performance Improvement Plan

Summary of Changes. This regulation replaces the earlier version dated 15 October 2007. It reflects the changes in performance levels due to the conversion to a five-tier appraisal system. Paragraph 4 in the Sample Performance Warning Memorandum and Sample Performance Improvement Plan are updated.

Applicability. California National Guard Full-time Personnel Regulation (CNGFPR) applies to all California Army and Air National Guard technicians plus commanders, managers, and supervisors (military or civilian) with authority over technician personnel management.

Proponent and Exception Authority. The proponent of this regulation is the Joint Force Headquarters, J-1, Directorate for Human Resources. The proponent has authority to approve exceptions to this regulation when they are consistent with controlling laws and regulation.

Supplementation. Supplementation of this regulation is prohibited.

Suggested Improvements. Users of this regulation are invited to send comments and suggestions to Joint Force Headquarters, Directorate for Human Resources, 9800 Goethe Road (Box 37), Sacramento, CA 95826-9101.

Distribution. Distribution of the regulation is Army - A and Air Force – F.

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1. Purpose.

This regulation establishes procedures for a Performance Improvement Plan (PIP) for California National Guard technicians and contains guidance to be used by managers and supervisors.

2. Objective.

The objective of the California National Guard PIP is to provide a meaningful and efficient method for correction of individual technician performance.

3. Responsibilities.

a. Directorate for Human Resources.

- (1) Keeping supervisors and managers informed of performance regulations, policies, and procedures.
- (2) Advising supervisors and managers in managing and measuring performance standards; of their responsibilities, initiatives, and obligations to assist technicians in improving performance; and in determining appropriate action to be taken in individual cases.
- (3) Reviewing and certifying that adverse actions conform to applicable law, rule, and regulation.
- (4) Advising technicians involved in adverse actions of their rights and procedures.
- (5) Maintaining the official adverse action case file.

b. Commanders and Directors.

(1) Insure that all technicians in their organizational units are informed of applicable laws, rules, and regulations governing acceptable performance.

(2) Official for any 30-day written notice of reduction-in grade, removal, or reassignment based on job performance proposed at a lower level within their organization or directorate.

c. Supervisors and Managers.

(1) Must insure that provisions of this regulation and their respective Collective Bargaining Agreement (CBA) are followed prior to initiating any adverse action.

(2) Must receive certification of regulatory compliance from the Directorate for Human Resources, Labor Relations, prior to issuing any PIP or 30-day notice of reduction-in-grade, removal, or reassignment based on job performance.

(3) Responsible for insuring expectations and performance are effectively communicated to technicians and that counseling of performance deficiencies is conducted, as appropriate.

(4) Insure that performance issues are addressed as they surface then initiate training, guidance, and assistance in a timely manner to encourage productivity.

(5) Responsible for providing required documentation to process an action.

d. Technicians.

(1) Must perform the duties of their position, as specifically outlined in their performance plan.

(2) Continually perform self-assessment of performance and in areas needing improvement.

(3) Must request assistance, guidance, and training plus inform supervisor when areas of improvement are needed during self-assessment.

(4) Understand their responsibilities in maintaining personal performance levels and take initiative when deficiencies are identified, making every effort to improve work to an acceptable level.

4. Performance Improvement.

Technicians will be periodically reminded of the critical job elements and performance indicators for their positions and will be informed when their performance is level 2 (Marginal). The Performance Warning Memorandum (PWM) requires prior coordination with HRO-ER. A written PWM should be used to formally inform technicians when their performance is below level 2 (Marginal). However, if technician performances in any critical element continue to be below level 2 (Marginal) despite efforts by supervisors to improve performance, a written PIP will be drafted to include increased supervisory assistance and additional training. If improvement occurs, a memorandum of successful performance will be issued. If improvement does not occur, an unacceptable appraisal should be rendered at the end of the PIP period.

5. Performance Improvement Plan (PIP)

a. A PIP is a specialized documentation tool available to supervisors for the purpose of improving technician performance. It addresses performance discrepancies identified in the performance appraisal process. Cooperation and continuing communication between technicians and supervisors is essential for success of the PIP.

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

c. Once 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 technicians in meeting the standards. Supervisors will establish short and long-range goals and timetables for accomplishing performance changes.

d. The PIP requires prior coordination with HRO-ER. Once approved, the PIP will be put in writing and include signatures of both technicians and supervisors.

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

f. Technicians have appeal rights. Supervisors may be asked the following questions by an arbitrator, hearing officer, or judge:

(1) Were employees put on notice that their performances were unacceptable?

(2) Did notices clearly identify specific examples of poor performance?

(3) Were employees specifically informed what they must do to meet the position standards?

- (4) Were employees offered any assistance such as training, counseling, or extra help from their supervisors to overcome deficiencies?
- (5) Were employees clearly warned of the consequences of failure to improve performance?
- (6) Were employees given fair opportunity to bring their job performances up to acceptable levels?

6. Actions Based on Unacceptable Performance.

Technicians whose job performances do not meet standards after establishment and unsuccessful completion of a PIP may be reassigned, reduced in grade, or removed from employment (see CNGFPR 432 for procedures).

FOR THE GOVERNOR:

WILLIAM H. WADE II
Major General
The Adjutant General

OFFICIAL:



STUART D. EWING
Major, CA ANG
Human Resources Officer

SAMPLE PERFORMANCE WARNING MEMORANDUM

(Unit Symbol)

(Date)

SUBJECT: Performance Warning

MEMORANDUM FOR

1. The purpose of this Performance Warning is to notify you of deficiencies in performance of your duties as a Personnel Records Clerk. Improvement is necessary in a number of areas. The areas of unacceptable performance that are in need of improvement are as follows:

a. **Critical Element 1 - Records Maintenance.** Level 2 (Marginal) 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 (5) 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.

b. **Critical Element 2 - Request for Record Information.** Level 2 (Marginal) performance in this element requires response dispatched within three (3) workdays of receipt of request; providing only information allowed by the Privacy Act and/or Freedom of Information Act; and receiving no more than two servicing complaints per month. Performance verified through spot checks of work.

c. **Critical Element 3 - Typing.** Level 2 (Marginal) 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 (5) per month are returned for correction.

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

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

3. If you need further assistance or counseling in meeting the job standards enumerated above, please do not hesitate to contact me.

4. Work related problems may be the result of personal situations. It is imperative that you consider all factors which may be contributing to your problems at work, and take appropriate actions to deal with them. The Employee Assistance Program (EAP) is available if you wish to seek no cost, short-term, professional, confidential assessment counseling services. You may contact EAP counseling services at 1-800-222-0364, 24 hours-a-day/7 days-a-week. Helpful resources and wellness information may be accessed at the Federal Occupational Health (FOH) website at www.foh4you.com. If you choose to take part in the EAP during the duty day, you must obtain proper leave approval.

5. If you are unsuccessful in making the necessary improvements in your work performance as outlined in this Performance Warning, we will meet and create a formalized Performance Improvement Plan (PIP).

(SUPERVISOR SIGNATURE BLOCK)

Encl.
(List)

cc: HRO/ EMPLOYEE RELATIONS

Receipt acknowledged. _____ Date _____
Employee Signature

NOTE:

The Performance Warning Memorandum may be used prior to establishing a PIP.

COORDINATE WITH HRO EMPLOYEE RELATIONS BEFORE ISSUING THE PERFORMANCE WARNING MEMORANDUM

SAMPLE PERFORMANCE IMPROVEMENT PLAN

(Unit Symbol)

(Date)

SUBJECT: Performance Improvement Plan Notification

MEMORANDUM FOR

1. The purpose of this Performance Improvement Plan (PIP) is to notify you of serious deficiencies in your performance of duties as a Personnel Records Clerk. Significant improvement is necessary in a number of areas. Specific areas of unacceptable performance that are in need of improvement are as follows:

a. **Critical Element 1 - Records Maintenance.** Level 2 (Marginal) 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.

(1) 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:

(a) On 20 April 2007, 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.)

(b) On 24 April 2007, I counseled you regarding erroneous filing of records. I suggested methods of improvement in your filing procedure. (See attached counseling note.)

b. **Critical Element 2 - Request for Record Information.** Level 2 (Marginal) performance in this element requires response dispatched within three workdays of receipt of request; providing only information allowed by the Privacy Act and/or Freedom of Information Act; and receiving no more than two servicing complaints per month. Performance verified through spot checks of work.

(1) 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:

(a) On 18 April 2007, 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 how you could improve your suspense file procedure to meet response time requirements. (See attached counseling note.)

(b) On 8 May 2007, you released Jack Smith's home address 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. **Critical Element 3 - Typing.** Level 2 (Marginal) 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.

(1) 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:

(a) On 9 April 2007, I returned to you 10 pieces of correspondence needing corrections. I advised you to pay closer attention to proof-reading the finished product. (See attached copies of erroneous correspondence and counseling note.)

(b) On 10 May 2007, 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.)

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

- a. Alphabetize records before filing in individual record folders.
- b. Expand suspense file to include calendar days.
- c. Proof read typing before submitting.
- d. Utilize dictionary to assist in spelling correctly.

e. Check with the Privacy Act Officer if unsure about information to be released.

3. I will make arrangements to have you visit with other agency personnel clerks to learn filing techniques and suspense controls. In addition, I will make OPM and career development courses available 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.

4. Work related problems may be the result of personal situations. It is imperative that you consider all factors which may be contributing to your problems at work, and take appropriate actions to deal with them. The Employee Assistance Program (EAP) is available if you wish to seek no cost, short-term, professional, confidential assessment counseling services. You may contact EAP counseling services at 1-800-222-0364, 24 hours-a-day/7 days-a-week. Helpful resources and wellness information may be accessed at the Federal Occupational Health (FOH) website at www.foh4you.com. If you choose to take part in the EAP during the duty day, you must obtain proper leave approval.

5. If you are unsuccessful in making the necessary improvements in your work performance as outlined in this Performance Improvement Plan by (*date - minimum of 90 days and may be extended*), I will have to recommend further action.

(SUPERVISOR SIGNATURE BLOCK)

Encl.
(List)

cc: HRO/ EMPLOYEE RELATIONS

Receipt acknowledged. _____ Date _____
Employee Signature

NOTE:

The Performance Improvement Plan must be used when a supervisor's intention is to withhold or delay a within-grade increase.

You must clearly explain what the deficiencies are and relate them to a specific job element.

COORDINATE WITH HRO EMPLOYEE RELATIONS BEFORE ESTABLISHING A PIP

SAMPLE SUCCESSFUL PIP COMPLETION MEMORANDUM

(Unit Symbol)

(Date)

SUBJECT: Successful Completion of Performance Improvement Plan

MEMORANDUM FOR

1. The purpose of this memorandum is to inform you that you have successfully improved your performance regarding Level 2 (Marginal) and have completed requirements as outlined in the Performance Improvement Plan (PIP).
2. You are cautioned, however, that should your performance of element _____ (enter performance element number) again become unacceptable within 1 year of the PIP completion effective date, action may be taken to propose your removal, downgrade, or reassignment without your placement on another PIP.
3. If you have any questions regarding this matter, please feel free to contact me.

(SUPERVISOR SIGNATURE BLOCK)

Encl.
(List)

cc: HRO/EMPLOYEE RELATIONS

Receipt acknowledged. _____ Date _____

Employee Signature