

## 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.**

## SAMPLE PLAN

(Unit Symbol)

(Date)

SUBJECT: Performance Improvement Plan (PIP) Notification

MEMORANDUM FOR

1. The purpose of this Performance Improvement Plan is to notify you of serious deficiencies in the performance of your 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.** 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:

1) On 20 September 2006, 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.)

2) On 24 September 2006, 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.** 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.

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:

1) On 18 September 2006, 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.)

2) On 8 October 2006, 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. **Critical Element 3 – 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:

1) On 9 September 2006, 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.)

2) On 10 October 2006, 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. 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.

3. 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.

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 that you take appropriate action. The Employee Assistance Program (EAP) is available if you wish to seek confidential assistance at no cost. You may contact the EAP at 1-888-290-4EAP.

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 no other alternative but to recommend further action.

(SUPERVISOR)

Encl.  
(List)

cc: HRO

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 BEFORE ESTABLISHING PIP**