Department of Defense
Civilian Acquisition Workforce
Personnel Demonstration Project

Contribution-Based Actions and
Contribution Improvement Plan Training

References:
Section III.E.2, AcqDemo Federal Register, dated January 8, 1999
Chapter 7, DoD / Army Operating Procedures, dated November 2003
### 1. Contribution-Based Actions

- Specific Actions
- Authority
- Timing in Cycle

### 2. The Informal CIP

- CCAS Cycle
- Informal CIP Triggers
- Document Format
- Content
- Follow-Up

### 3. The Formal CIP

- CCAS Cycle
- Formal CIP Triggers
- Rail Position Factor Score
- Document Format
- Content

### 4. Completion of a CIP

- Definition of Improvement
- Successful Completion
- Unsuccessful Completion
- Post CIP Regression

### 5. Documentation Samples

- Documentation

Contact POC
Contribution-Based Actions: Introduction

What are contribution-based actions?

Contribution-based actions are actions taken as the result of inadequate contribution.
Contribution-Based Actions: Specific

What are the contribution-based actions that may be taken?

✓ Change in assignment
✓ Change in broadband level and/or career path
✓ Reduction in pay
✓ Removal from Federal Service
What is the authority for contribution-based actions and appeals of these actions?

**Actions:** Section III.E.2, AcqDemo Federal Register, dated January 8, 1999

**Appeals:** 5 U.S.C. 4303(e) provides statutory authority. Contribution-based actions shall be sustained if the decision is supported by substantial evidence and the Merit Systems Protection Board shall not have mitigation authority with respect to such actions.
Contribution-Based Actions: Timing

Is there a specific window of time in which inadequate contribution can be identified?

- Inadequate contribution can be identified by the supervisor at any time during the CCAS cycle. This can result in an **INFORMAL CIP**.

- Inadequate contribution can be identified by the pay pool panel at the end of the cycle. This can result in a **FORMAL CIP**.
The Informal Contribution Improvement Plan
Informal CIP: The CCAS Cycle

Initial Meeting
Contribution Objective
Plan Within 30 days

New Cycle Begins
October 1

Cycle Ends
September 29

Consistent feedback is encouraged throughout CCAS cycle

Mid-Point Feedback
Army Policy

Table of Contents

Next Page
An Informal CIP is documentation of inadequate contribution during the CCAS rating cycle such as:

- Failure to meet midpoint contribution objective goals
- Inadequate internal or external customer service
- Frequent missed deadlines

Counseling alone does not constitute an Informal CIP. The CIP must be in writing.
To identify inadequate contribution at anytime during the rating period, supervisor must document this counseling using either the

- CCAS Contribution Planning and Review Form

or a

- Memorandum of Record
**CCAS Contribution Planning and Review Form**

<table>
<thead>
<tr>
<th>EMPLOYEES NAME (LAST NAME OR FIRST NAME)</th>
<th>EMPLOYEE IDENTIFICATION</th>
<th>DATE OF ISSUE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>EMPLOYEE POSITION TITLE</th>
<th>CLASS</th>
<th>LOCATION</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**PROBLEM SOLVING.**

- Contribution goals for the rating period:
  - Results per employee:
  - Results per supervisor:

**TEAMWORK/COOPERATION.**

- Contribution goals for the rating period:
  - Results per employee:
  - Results per supervisor:

**CUSTOMER RELATIONS.**

- Contribution goals for the rating period:
  - Results per employee:
  - Results per supervisor:

**LEADERSHIP/SUPERVISION.**

- Contribution goals for the rating period:
  - Results per employee:
  - Results per supervisor:

**COMMUNICATION.**

- Contribution goals for the rating period:
  - Results per employee:
  - Results per supervisor:

**RESOURCE MANAGEMENT.**

- Contribution goals for the rating period:
  - Results per employee:
  - Results per supervisor:

Use the same content in the Remarks section.

---

**Table of Contents**

- 1. Introduction
- 2. Contribution Planning
  - 2.1 Contribution Goals
  - 2.2 Problem Solving
  - 2.3 Teamwork/Cooperation
  - 2.4 Customer Relations
  - 2.5 Leadership/Supervision
  - 2.6 Communication
  - 2.7 Resource Management
- 3. Review Form
- 4. Conclusion

---

Next Page
Informal CIP: Documentation Format II

Memorandum of Record

[The content of the memorandum is not visible in the image provided.]
The first paragraphs should include:

• Notice to employee that the written document constitutes the initiation of an Informal CIP.

• That the employee
  – may receive an OCS less than the Expected OCS
  – may receive an OCS in the A-Region Above-the-Rail if level of contribution does not improve to acceptable level.

• That the rating official will afford the employee a reasonable opportunity (a minimum of 60 days) to demonstrate adequate contribution.
Subsequent paragraphs should include:

- Specific areas in which the employee is inadequately contributing
- Required improvements
- Specific actions required by the employee to achieve these improvements
- Standards by adequate contribution is measured (i.e. PRD, Factors)
- Time in which the improvements must be achieved (i.e. 60 days)
- Any assistance the agency plans to offer to facilitate improvement
Informal CIP: Content

Consequences to the employee if he/she fails to improve must be included:

- Reduced or no General Pay Increase (GPI) and/or
- Minimal or no Contribution Rating Increase (CRI) and/or
- Minimal or no Contribution Award (CA) and/or
- Initiation of a formal CIP

Note: Samples of both Informal and Formal CIPs are included at the end of this presentation
What follow-up should be taken?

The supervisor should follow up within 30 days of the Informal CIP. The follow up should also be documented.
The Formal Contribution Improvement Plan
Formal CIP: The CCAS Cycle

CCAS Results/Grievance Period Begins

Pay Pool Panel

Supervisor’s Assessment

Employee Self-Assessment

Table of Contents
The following may trigger a Formal CIP:

1. Rail Position
2. Low Factor Score
Rail Position: “B” Region

Below the Rails = Compensation Below Contribution

Normally No CIP
Rail Position: “C” Region

Normally No CIP

Approximately
- 4 to + 4

C Region

Overall Contribution Score

C-Region = Compensation Consistent with Contribution
May Require CIP

A-Region = Compensation Above Contribution
Rail Position: Initiate Formal CIP?

Compensation Exceeds Contribution

Take formal action?

Yes

Inform employee in writing-
Initiate Formal CIP

No

Document decision in a memo for record

This documentation protects an employee whose score plots above the upper rail due to mitigating circumstances (such as retained pay)
Automatic CIP Trigger: Low Factor Score

Any factor score at or less than numerical midpoint of next lower level triggers an automatic Formal CIP

<table>
<thead>
<tr>
<th>FACTORS</th>
<th>Problem Solving</th>
<th>Teamwork/Cooperation</th>
<th>Customer Relations</th>
<th>Leadership/Supervision</th>
<th>Commun.</th>
<th>Resource Mgt</th>
</tr>
</thead>
<tbody>
<tr>
<td>IV Very High</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>High</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Med</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Low</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>III High</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X 79</td>
<td>X 67</td>
</tr>
<tr>
<td>Med</td>
<td></td>
<td>X 73</td>
<td></td>
<td></td>
<td>X 68</td>
<td>X 67</td>
</tr>
<tr>
<td>Low</td>
<td></td>
<td>X 64</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>II High</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>M-H</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Med</td>
<td></td>
<td>X 41</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>M-L</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Low</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>I High</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Med</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Low</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Numerical Midpoint is 44
## Numerical Mid-point for Each Career Path and Broadband Level

<table>
<thead>
<tr>
<th>LEVELS</th>
<th>BUSINESS AND TECHNICAL PROFESSIONAL</th>
<th>TECHNICAL SUPPORT</th>
<th>ADMINISTRATIVE SUPPORT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Point Range</td>
<td>Point Range</td>
<td>Point Range</td>
</tr>
<tr>
<td>IV</td>
<td>V e r y H i g h</td>
<td>1 1 5</td>
<td>9 5</td>
</tr>
<tr>
<td></td>
<td>H i g h</td>
<td>9 6 - 1 0 0</td>
<td>7 9 - 8 3</td>
</tr>
<tr>
<td></td>
<td>M e d</td>
<td>8 4 - 9 5</td>
<td>6 7 - 7 8</td>
</tr>
<tr>
<td></td>
<td>L o w</td>
<td>7 9 - 8 3</td>
<td>6 1 - 6 6</td>
</tr>
<tr>
<td>III</td>
<td>H i g h</td>
<td>7 9 - 8 3</td>
<td>6 2 - 6 6</td>
</tr>
<tr>
<td></td>
<td>M e d</td>
<td>6 7 - 7 8</td>
<td>5 2 - 6 1</td>
</tr>
<tr>
<td></td>
<td>L o w</td>
<td>6 1 - 6 6</td>
<td>4 3 - 5 1</td>
</tr>
<tr>
<td>II</td>
<td>H i g h</td>
<td>6 2 - 6 6</td>
<td>4 7 - 5 1</td>
</tr>
<tr>
<td></td>
<td>M - H</td>
<td>5 1 - 6 1</td>
<td>4 1 - 4 6</td>
</tr>
<tr>
<td></td>
<td>M e d</td>
<td>4 1 - 5 0</td>
<td>3 6 - 4 0</td>
</tr>
<tr>
<td></td>
<td>M - L</td>
<td>3 0 - 4 0</td>
<td>3 0 - 3 5</td>
</tr>
<tr>
<td></td>
<td>L o w</td>
<td>2 2 - 2 9</td>
<td>2 2 - 2 9</td>
</tr>
<tr>
<td>I</td>
<td>H i g h</td>
<td>2 4 - 2 9</td>
<td>2 4 - 2 9</td>
</tr>
<tr>
<td></td>
<td>M e d</td>
<td>6 - 2 3</td>
<td>6 - 2 3</td>
</tr>
<tr>
<td></td>
<td>L o w</td>
<td>0 - 5</td>
<td>0 - 5</td>
</tr>
</tbody>
</table>

Table 4. Point Ranges
Low Factor Score: Initiate Formal CIP?

Contribution ≤ Midpoint of Next Lower Broadband

Take formal action?

Yes

Inform employee in writing-
Initiate Formal CIP

No
A Formal CIP Must be Documented as a Memorandum of Record

Sample Notice of Inadequate Contribution and Contribution Improvement Plan (CIP)

MEMORANDUM FOR: (employee)

From: (supervisor)

Subj: Notice of Inadequate Contribution and Contribution Improvement Plan (CIP)

Date: (a) Federal Register, Vol. 64, No. 5, January 8, 1999

1. Under the provisions of reference (a), when an employee’s contribution in any factor is at or less than the midpoint of the next lower broad band level (adjust for employee posting above the upper rail) the employee is considered to be contributing inadequately. Inadequate contribution in any one factor at any time during the appraisal period is considered grounds for initiation of reduction in pay or removal from Federal service. The factors on which you were rated were communicated to you on (insert date) and are outlined in the attached Position Requirements Document (PRD).

2. This is to notify you that as a (insert title, career path, broad band level) employee your contribution in critical factor (list factors) is rated less than the midpoint of the next lower broad band level. Consequently, your contribution to this organization is considered inadequate and you are being placed on a Contribution Improvement Plan (CIP). Although you received an overall contribution score of (insert score), which is below the rail, you received a score of (insert score in the mid-point of the next lower broad band level) in the critical factor (insert factor). This CIP gives you (60) calendar days or more) to increase your contribution to a score above the midpoint of the next lower broad band level and sustain it at that level. The CIP period will commence the day after you receive this letter. The following outlines specific areas in which you are inadequately contributing, including standards for adequate contribution, actions required of you and the time they must be accomplished.

3. The attached PRD outlines the specific descriptors, discriminators and expected performance/ contribution criteria for the factor (insert critical factor).

4. The reason for your score was below the adequate level are as follows:

   (Describe specific examples in which the employee is inadequately contributing (e.g., assignment/ task/project, include dates assigned or dates due, result, Why or how was it inadequate?)

5. In order to increase your contribution to the adequate level you must accomplish the following:

   (Provide specific expected tasks/accomplishments as well as outcomes, include completion dates or due date or what needs to be done? What do you expect as an end product? When is it due?)

6. To assist you in achieving an adequate level of contribution:

   (Describe what the agency will do to assist the employee (e.g., send to training, meet with the employee on a weekly basis for status and provide input as needed, Q/QT)

7. We will meet (weekly or bi-weekly) to discuss your progress. I will notify you in advance of the time and date for these meetings and will take into account your personal needs. Should you have any questions or encounter difficulties at any time see me immediately so that I may assist you. (Supervisor must document these sessions, status of progress of assignments, outcomes, make a copy of the product, if necessary)

8. I have no reason to believe your contribution deficiencies are related to any personal or Medical problems. However, if you have a medical condition you wish to be considered, you may provide medical documentation of this condition. The costs of any medical evaluation would be your responsibility. Medical documentation may not be simply conclusive in nature but must fully explain the nature of the medical condition, the evidence on which the diagnosis is based and clearly indicate how the condition impacted your ability to contribute adequately. Additionally, if you are experiencing any personal problems which may impact your ability to contribute adequately, you may contact Employee Assistance for guidance and assistance. You can contact them directly at telephone (insert number) or I can set up an appointment for you.

9. It is my desire for you to succeed in your position. I believe this situation can be eliminated by positive action on your part, providing you understand the seriousness of your failure to contribute at an acceptable level and providing you have the desire to make improvements. If your contribution remains at an inadequate level following this CIP period you may be reduced in pay (which may include a change to a lower broad band level and/or reassessment) or removed from Federal service.

10. This is to notify you of inadequacies in your contribution and that you have an opportunity to improve and meet the requirements of your position. My goal is to assist you to improve to an acceptable level within the next (period given).

Supervisor's Signature

Receipt acknowledgement:

Employee Signature Date
A **Formal CIP** should contain the same information as the Informal CIP.

However, the consequences of failing to improve are more serious and may include:

- Change in assignment
- Change in broadband level and/or career path
- **Reduction in pay**
- **Removal from Federal Service**
The Completion of a CIP
Definition of Improvement / Adequate Contribution

- Adequate improvement under a CIP is defined as:
  - within the Normal Pay Range (between the upper and lower rails) and / or
  - at the level above the numerical midpoint of the employee’s next lower broadband level.

### FACTORS

<table>
<thead>
<tr>
<th>Level</th>
<th>Problem Solving</th>
<th>Teamwork/Cooperation</th>
<th>Customer Relations</th>
<th>Leadership/Supervision</th>
<th>Commun.</th>
<th>Resource Mgt</th>
</tr>
</thead>
<tbody>
<tr>
<td>IV</td>
<td>Very High</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>High</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Med</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Low</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>III</td>
<td>High</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Med</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Low</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>II</td>
<td>High</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>M-H</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Med</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>M-L</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Low</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>I</td>
<td>High</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Med</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Low</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Example: Factor score for customer relations improves to 45**

**Numerical Midpoint is 44**

Table of Contents

Next Page
Success / Extension of a CIP

• If the employee demonstrated significant progress towards achieving the standard, the CIP may be extended.

Or

• If the employee achieved the standards stated in the CIP, the employee is considered to have successfully completed the CIP.
Documentation Requirements:
Successful Completion of a CIP

Employee who was formerly on a CIP has raised contribution to adequate standards. No action was taken.

Maintain all documentation within two years.

After two years, any entry or any other notice of proposed action shall be removed from all records pertaining to the employee. This includes references in CCAS Planning and Evaluation Form. Part I should be maintained.

Table of Contents
Unsuccessful Completion of a CIP: Reduction in Pay or Removal: Requirements

A Decision to **Remove or Reduce Pay** for Inadequate Contribution

The employee shall be issued a written notice

- shall be based only on those instances of inadequate contribution

**AND**

- shall be based on instances of inadequate contribution that occurred **during the two-year period** ending on the date of issuance of the notice of proposed action

- at or before the time the action will be effective

**AND**

- the notice must specify the instances of inadequate contribution by the employee and must inform the employee of any applicable appeal or grievance rights
Unsuccessful Completion of a CIP: Reduction in Pay or Removal

If Removal or Reduction in Pay is Proposed by Supervisor

Review by Pay Pool Panel (Required)

Employee is entitled to 30 days advance notice of the proposed action

Employee is afforded 15 calendar days to answer notice in writing

Supervisors should consult with their Human Resources office when considering any Contribution-Base Action

Employees in bargaining units may have a different notice period

Table of Contents
Unsuccessful Completion of a CIP: Reassignment or Modification of Duties

If Reassignment or Modification is Proposed by Supervisor

Employee is notified in writing

Employees in bargaining units may have different requirements

Supervisors are NOT required in the Federal Register to seek pay pool panel review, provide advance notice, or afford the employee the opportunity to respond for reassignment or modification of duties.
Unsuccessful Completion of a CIP: Documentation Requirements

Documents:
- A copy of the notice of proposed action
- The employee’s written answer (or notes of oral answer)
- A written notice of the decision
- Supporting material and documentation
- Opportunity afforded the employee to improve.
- CCAS Part I, II, III and IV and CIP

If Removal or Reduction in Pay is Proposed by Supervisor

FR Requirement: all relevant documentation must be available for the employee to review

If Reassignment or Modification is Proposed by Supervisor

There is no FR Requirement for documentation but it is highly recommended

Table of Contents

Memo (CIP)
CCAS Forms
Part I
CIP Follow-Up
Employee’s Answer

Next Page
Inadequate Contribution Upon Successful Completion of the CIP

Employee who was formerly on a CIP is once again determined to be inadequately contributing

Actions may be initiated to effect reduction in pay or removal with no additional opportunity to improve

Within two years

Two year marker

After two years

A new CIP will be issued and employee has a new window of opportunity in which to improve
Documentation Samples
1. Under the provisions of reference (a), when an employee’s contribution in any factor is at or less than the midpoint of the next lower broadband level or plots above the upper rail or in any factor is less than the expected OCS the employee is considered to be contributing inadequately. Inadequate contribution at any time during the appraisal period is considered grounds for initiation of reduction in pay or removal from Federal service. The factors on which you were rated were communicated to you on (insert date) and are outlined in the attached Position Requirements Document (PRD).

2. This is to notify you that as a (insert title, career path, broadband level) employee your contribution in critical factor (list factors) is rated less than the midpoint of the next lower broadband level. Consequently, your contribution to this organization is considered inadequate and you are being placed on a Contribution Improvement Plan (CIP). Although you received an overall contribution score of (insert score), which is between the rails, you received a score of (insert score) in the critical factor (insert factor). This CIP gives you (60) calendar days or more to increase your contribution to a score above the midpoint of the next lower broadband level and sustain it at that level. The CIP period will commence the day after you receive this letter. The following outlines specific areas in which you are inadequately contributing, including standards for adequate contribution, actions required of you and the time they must be accomplished.

3. The attached PRD outlines the specific descriptors, discriminators and expected performance/contribution criteria for the factor (insert critical factor).

4. The reasons your score was below the adequate level are as follows:
(Describe specific examples in which the employee is inadequately contributing (e.g., assignment/task/project, include dates assigned or dates due, result. Why or how was it inadequate?)

5. In order to increase your contribution to the adequate level you must accomplish the following:
(Provide specific expected tasks/accomplishments as well as outcomes; include completion dates for each (i.e. what needs to be done? What do you expect as an end product? When is it due?)

6. To assist you in achieving an adequate level of contribution:

Receipt acknowledgement:

Employee Signature Date
Sample Memorandum of Record P2:
Both Formal and Informal CIP

2. This is to notify you that as a (insert title, career path, broad band level) employee your contribution in critical factor (list factor(s)) is rated less than the midpoint of the next lower broad band level. Consequently, your contribution to this organization is considered inadequate and you are being placed on a Contribution Improvement Plan (CIP). Although you received an overall contribution score of (insert score), which is between the rails, you received a score of (insert score in the mid-point of the next lower broad band level) in the critical factor (insert factor). This (insert informal or formal) CIP gives you (insert 60 calendar days or more) to increase your contribution to a score above the midpoint of the next lower broadband level and sustain it at that level. The CIP period will commence the day after you receive this notification. The following outlines specific areas in which you are inadequately contributing, including standards for adequate contribution, actions required of you and the time they must be accomplished.

3. The attached PPD outlines the specific descriptors, discriminators and contribution criteria for the factor (insert critical factor).

4. The reasons your score was below the adequate level are as follows:

   (Describe specific examples in which the employee is inadequately contributing to task/project, include dates assigned or dates due, result. Why or how were they inadequate?

5. In order to increase your contribution to the adequate level you must accomplish the following:

   (Provide specific expected tasks/accomplishments as well as outcomes, dates, and step-by-step for each (i.e. what needs to be done? What do you expect as an end product?))
Sample Memorandum of Record P3: Both Formal and Informal CIP

DEPARTMENT OF THE ARMY

Sample Notice of Inadequate Contribution and Contribution Improvement Plan (CIP)

MEMORANDUM FOR: (employee)

From: (supervisor)

Subj: Notice of Inadequate Contribution and Contribution Improvement Plan (CIP)

Ref: (a) Federal Register, Vol. 64, No. 5, January 9, 1999

1. Under the provisions of reference (a), when an employee’s contribution in any factor is at or less than the midpoint of the next lower broadband level [adjust for employee position above the upper rail] the employee is considered to be contributing inadequately. Inadequate contribution in any one factor at any time during the appraisal period is considered grounds for evaluation of reduction in pay or removal from Federal service. The factors on which you were rated were communicated to you on (insert date) and are outlined in the attached Position Requirements Document (PRD).

2. This is to notify you that as a (insert title, career path, broadband level) employee your contribution in critical factor (list factor(s)) is rated less than the midpoint of the next lower broadband level. Consequently, your contribution to this organization is considered inadequate and you are being placed on a Contribution Improvement Plan (CIP). Although you received an overall contribution score of (insert score), which is between the rails, you received a score of (insert score in the midpoint of the next lower broadband level) in the critical factor (insert factor). This CIP gives you (60 calendar days or more) to increase your contribution to a score above the midpoint of the next lower broadband level and sustain it at that level. The CIP period will commence the day after you receive this letter. The following outlines specific areas in which you are inadequately contributing, including standards for adequate contribution, actions required of you, and the time they must be accomplished.

3. The attached PRD outlines the specific descriptors, discriminators and expected performance / contribution criteria for the factor (insert critical factor).

4. The reasons your score was below the adequate level are as follows:

   (Describe specific examples in which the employee is inadequately contributing (e.g., assignment, task/project, include dates assigned or dates due, result. Why or how was it inadequate?)

5. In order to increase your contribution to the adequate level you must accomplish the following:

   (Provide specific expected tasks/ accomplishments as well as outcomes; include completion dates for each (i.e. what needs to be done? What do you expect as an end product? When is it due?))

6. To assist you in achieving an adequate level of contribution:

   (Describe what the agency will do to assist the employee (e.g. send to training, meet with the employee on a weekly basis for status and provide input as needed, OJT))

7. We will meet (weekly or bi-weekly) to discuss your progress. I will notify you in advance of the time and date for these meetings and will take into account your personal needs. Should you have any questions or encounter difficulties at any time, see me immediately so that I may assist you. (Supervisor must document these sessions, status of progress of assignments, outcomes, make a copy of the product, if necessary)

8. I have no reason to believe your contribution deficiencies are related to any personal or Medical problems. However, if you have a medical condition you wish to be considered, you may provide medical documentation of this condition. The costs of any medical evaluation would be your responsibility. Medical documentation may not be simply conclusivist in nature but must fully explain the nature of the medical condition, the evidence on which the diagnosis is based and clearly indicate how the condition impacted your ability to contribute adequately. Additionally, if you are experiencing any personal problems which may impact your ability to contribute adequately, you may contact Employee Assistance for guidance and assistance. You can contact them directly at telephone (insert number) or I can set up an appointment for you.

9. It is my desire for you to succeed in your position. I believe this situation can be eliminated by positive action on your part, providing you understand the seriousness of your failure to contribute at an acceptable level and providing you have the desire to make improvements. If your contribution remains at an inadequate level following this CIP period you may be reduced in pay (which may include a change to a lower broadband level and/or reassignment) or removed from

3. The attached PRD outlines the specific descriptors, discriminators and expected performance / contribution criteria for the factor (insert critical factor).

Receipt acknowledgement:

Employee Signature: __________________________ Date: __________________________

Next Page
Sample Memorandum of Record P4: Both Formal and Informal CIP

DEPARTMENT OF THE ARMY
PROGRAM REVIEW OFFICE
WHITE HOUSE, WASHINGTON, D.C.

Sample Notice of Inadequate Contribution and Contribution Improvement Plan (CIP)

MEMORANDUM FOR: (employee)

From: (supervisor)

Subject: Notice of Inadequate Contribution and Contribution Improvement Plan (CIP)

Ref: (a) Federal Register, Vol. 64, No. 6, January 9, 1999

1. Under the provisions of reference (a), when an employee's contribution in any factor is at or less than the midpoint of the next lower broadband level (adjust for employee position above the upper rail) the employee is considered to be contributing inadequately. Inadequate contribution in any one factor at any time during the appraisal period is considered grounds for continued reduction in pay or removal from Federal service. The factors on which you were rated were communicated to you on (insert date) and are outlined in the attached Position Requirements Document (PRD).

2. This is to notify you that as a (insert title, career path, bandwidth level) employee your contribution in critical factor (list factors) is rated less than the midpoint of the next lower bandwidth level. Consequently, your contribution to this organization is considered inadequate and you are being placed on a Contribution Improvement Plan (CIP). Although you received an overall contribution score of (insert score), which is between the rails, you received a score of (insert score) in the midpoint of the next lower bandwidth level in the critical factor (insert factor). This CIP gives you (60) calendar days or more to increase your contribution to a score above the midpoint of the next lower bandwidth level and sustain it at that level. The CIP period will commence the day after you receive this letter. The following outlines specific areas in which you are inadequately contributing, including standards for adequate contribution, actions required of you and the time they must be accomplished.

3. The attached PRD outlines the specific descriptors, discriminators and expected performance contribution criteria for the factor (insert critical factor).

4. The reasons your score was below the adequate level are as follows:

   (Describe specific examples in which the employee is inadequately contributing (e.g., assignment/task/project, include dates assigned or dates due, result. Why or how was it inadequate?)

5. In order to increase your contribution to the adequate level you must accomplish the following:

   (Provide specific expected tasks/accomplishments as well as outcomes, include completion dates for each (i.e. what needs to be done? What do you expect as an end product? When is it due?)

6. To assist you in achieving an adequate level of contribution:

   (Describe what the agency will do to assist the employee (e.g., send to training, meet with the employee on a weekly basis for status and provide input as needed, OJT)

7. We will meet (weekly or bi-weekly) to discuss your progress. I will notify you in advance of the time and date for these meetings and will take into account your personal needs. Should you have any questions or encounter difficulties at any time, see me immediately so that I may assist you. (Supervisor must document these sessions, status of progress of assignments, outcomes, make a copy of the product, if necessary)

8. I have no reason to believe your contribution deficiencies are related to any personal or Medical problems. However, if you have a medical condition you wish to be considered, you may provide medical documentation of this condition. The costs of any medical evaluation would be your responsibility. Medical documentation may not be simply conclusively in nature but must fully explain the nature of the medical condition, the evidence on which the diagnosis is based and clearly indicate how the condition impacted your ability to contribute adequately. Additionally, if you are experiencing any personal problems which may impact your ability to contribute adequately, you may contact Employee Assistance for guidance and assistance. You can contact them directly at telephone (insert number) or I can set up an appointment for you.

4. The reasons your score was below the adequate level are as follows:

   (Describe specific examples in which the employee is inadequately contributing (e.g., assignment/task/project, include dates assigned or dates due, result. Why or how was it inadequate?)
Sample Memorandum of Record P5: Both Formal and Informal CIP

5. In order to increase your contribution to the adequate level you must accomplish the following:

(Provide specific expected tasks/accomplishments as well as outcomes; include completion dates for each; i.e. what needs to be done? What do you expect as an end product? When is it due?)

6. To assist you in achieving an adequate level of contribution:

(Describe what the agency will do to assist the employee (e.g. send to training, meet with the employee on a weekly basis for status and provide input as needed, OJT)

7. We will meet (weekly or bi-weekly) to discuss your progress. I will notify you in advance of the time and date for these meetings and will take into account your personal needs. Should you have any questions or encounter difficulties at any time, please let me know so that I may assist you. (Superior must document these occasions, status or progress of assignments, outcomes, make a copy of the product, if necessary)

8. I have no reason to believe your contribution deficiencies are related to any personal or medical problems. However, if you have a medical condition you wish to be considered, you may provide medical documentation of this condition. The costs of any medical evaluation would be your responsibility. Medical documentation may not be simply conclusively in nature but must fully explain the nature of the medical condition, the evidence on which the diagnosis is based and clearly indicate how the condition impairs your ability to contribute adequately. Additionally, if
6. To assist you in achieving an adequate level of contribution:

(Describe what the agency will do to assist the employee (e.g. send to training, meet with the employee on a weekly basis for status and provide input as needed, OJT))

7. We will meet (weekly or bi-weekly) to discuss your progress. I will notify you in advance of the time and date for these meetings and will take into account your personal needs. Should you have any questions or encounter difficulties at any time, see me immediately so that I may assist you. (Supervisor must document these sessions, status or progress of assignments, outcomes, make a copy of the product, if necessary)

8. If I have no reason to believe your contribution deficiencies are related to any personal or medical problems. However, if you have a medical condition that I wish to be considered, you may provide medical documentation of this condition. The costs of any medical evaluation would be your responsibility. Medical documentation may not be purely conclusive in nature but must fully explain the nature of the medical condition, the evidence of which the diagnosis is based and clearly indicate how the condition impacted your ability to contribute adequately. Additionally, if you are experiencing any personal problems which may impact your ability to contribute adequately, you may contact Employee Assistance for guidance and assistance. You can contact them directly at telephone (insert number) or I can set up an appointment for you.

9. It is my desire for you to succeed in your position. I believe this situation can be eliminated by positive action on your part, providing you understand the seriousness of your failure to contribute at an acceptable level and providing you have the desire to make improvements. If your contribution remains at an inadequate level following this CIP period you may be reduced in pay (which may include a change to a lower broadband level and/or reassignment) or removed from Federal service.

10. This is to notify you of inadequacies in your contribution and that you have an opportunity to improve and meet the requirements of your position. My goal is to assist you to improve to an acceptable level within the next (period given).

---

**Table of Contents**

6. To assist you in achieving an adequate level of contribution:

(Describe what the agency will do to assist the employee (e.g. send to training, meet with the employee on a weekly basis for status and provide input as needed, OJT))

7. We will meet (weekly or bi-weekly) to discuss your progress. I will notify you in advance of the time and date for these meetings and will take into account your personal needs. Should you have any questions or encounter difficulties at any time, see me immediately so that I may assist you. (Supervisor must document these sessions, status or progress of assignments, outcomes, make a copy of the product, if necessary)

8. If I have no reason to believe your contribution deficiencies are related to any personal or medical problems. However, if you have a medical condition that I wish to be considered, you may provide medical documentation of this condition. The costs of any medical evaluation would be your responsibility. Medical documentation may not be purely conclusive in nature but must fully explain the nature of the medical condition, the evidence of which the diagnosis is based and clearly indicate how the condition impacted your ability to contribute adequately. Additionally, if you are experiencing any personal problems which may impact your ability to contribute adequately, you may contact Employee Assistance for guidance and assistance. You can contact them directly at telephone (insert number) or I can set up an appointment for you.

9. It is my desire for you to succeed in your position. I believe this situation can be eliminated by positive action on your part, providing you understand the seriousness of your failure to contribute at an acceptable level and providing you have the desire to make improvements. If your contribution remains at an inadequate level following this CIP period you may be reduced in pay (which may include a change to a lower broadband level and/or reassignment) or removed from Federal service.

10. This is to notify you of inadequacies in your contribution and that you have an opportunity to improve and meet the requirements of your position. My goal is to assist you to improve to an acceptable level within the next (period given).
7. We will meet **weekly or bi-weekly** to discuss your progress. I will notify you in advance of the time and date for these meetings and will take into account your personal needs. Should you have any questions or encounter difficulties at any time see me immediately so that I may assist you. **(Supervisor must document these sessions, status or progress of assignments, outcomes, make a copy of the product, if necessary)**

4. The reasons your score was below the adequate level are as follows:

   (Describe specific examples in which the employee is inadequately contributing (e.g. assignment/task/project, include dates assigned or dates due, result, Why or how was it inadequate?)

5. In order to increase your contribution to the adequate level you must accomplish the following:

   (Provide specific expected tasks/achievements as well as outcomes; include completion dates for each (i.e. what needs to be done? What do you expect as an end product? When is it due?))

6. To assist you in achieving an adequate level of contribution:

   (Describe what the agency will do to assist the employee (e.g. send to training, meet with the employee on a weekly basis for status and provide input as needed, OJT)

7. We will meet **weekly or bi-weekly** to discuss your progress. I will notify you in advance of the time and date for these meetings and will take into account your personal needs. Should you have any questions or encounter difficulties at any time see me immediately so that I may assist you. **(Supervisor must document these sessions, status or progress of assignments, outcomes, make a copy of the product, if necessary)**

8. I have no reason to believe your contribution deficiencies are related to any personal or Medical problems. However, if you have a medical condition you wish to be considered, you may provide medical documentation of this condition. The costs of any medical evaluation would be your responsibility. Medical documentation may not be simply conclusively in nature but must fully explain the nature of the medical condition, the evidence of which the diagnosis is based and clearly indicate how the condition impacted your ability to contribute adequately. Additionally, if you are experiencing any personal problems which may impact your ability to contribute adequately, you may contact Employee Assistance for guidance and assistance. You can contact them directly at telephone (insert number) or I can set up an appointment for you.

9. It is my desire for you to succeed in your position. I believe this situation can be eliminated by positive action on your part, providing you understand the seriousness of your failure to contribute at an acceptable level and providing you have the desire to make improvements. If your contribution remains at an inadequate level following this CIP period you may be reduced in pay (which may include a change to a lower broadband level and/or reassignment) or removed from Federal service.

10. This is to notify you of inadequacies in your contribution and that you have an opportunity to improve and meet the requirements of your position. My goal is to assist you to improve to an acceptable level within the next (period given).

Supervisor’s Signature

Receipt acknowledgement:

Employee Signature   Date
8. I have no reason to believe your contribution deficiencies are related to any personal or Medical problems. However, if you have a medical condition you wish to be considered, you may provide medical documentation of this condition. The costs of any medical evaluation would be your responsibility. Medical documentation may not be simply conclusive in nature but must fully explain the nature of the medical condition, the evidence on which the diagnosis is based and clearly indicate how the condition impacted your ability to contribute adequately. Additionally, if you are experiencing any personal problems which may impact your ability to contribute adequately, you may contact Employee Assistance for guidance and assistance. You can contact them directly at telephone (insert number) or I can set up an appointment for you.
9. It is my desire for you to succeed in your position. I believe this situation can be eliminated by positive action on your part, providing you understand the seriousness of your failure to contribute at an acceptable level and providing you have the desire to make improvements. If your contribution remains at an inadequate level following this Informal CIP period you may receive a reduced or no General Pay Increase, minimal or no Contribution Rating Increase, minimal or no Contribution Award, or a Formal CIP.

4. The reasons you were below the adequate level are as follows:

(Describe specific examples in which the employee is inadequately contributing (e.g., assignment/task/project, include dates assigned or dates due, result, why or how was it inadequate?))

5. In order to increase your contribution to the adequate level you must accomplish the following:

(Provide specific expected tasks/accomplishments as well as outcomes; include completion dates for each (i.e., what needs to be done? What do you expect as an end product? When is it due?))

6. To assist you in achieving an adequate level of contribution:

(Describe what the agency will do to assist the employee (e.g., send to training, meet with the employee on a weekly basis for status and provide input as needed, CIP))

7. We will meet weekly or bi-weekly to discuss your progress. I will notify you in advance of the time and date for these meetings and will take into account your personal needs. Should you have any questions or encounter difficulties at any time see me immediately so that I may assist you. (Supervisor must document these sessions, status or progress of assignments, outcomes, make a copy of the product, if necessary)

8. I have no reason to believe your contribution deficiencies are related to any personal or medical problems. However, if you have a medical condition you wish to be considered, you may provide medical documentation of this condition. The costs of any medical evaluation would be your responsibility. Medical documentation may not be used conclusively in nature but must fully explain the nature of the medical condition, the evidence at which the diagnosis is based and clearly indicate how the condition impacted your ability to contribute adequately. Additionally, if you are experiencing any personal problems which may impact your ability to contribute adequately, you may contact Employee Assistance for guidance and assistance. You can contact them directly at telephone (insert number) or I can set up an appointment for you.

9. It is my desire for you to succeeds in your position. I believe this situation can be eliminated by positive action on your part, providing you understand the seriousness of your failure to contribute at an acceptable level and providing you have the desire to make improvements. If your contribution remains at an inadequate level following this CIP period you may be reduced or no pay (which may include a change to a lower broadband level and/or assignment) or removed from federal service.

10. This is to notify you of inadequacies in your contribution and that you have an opportunity to improve and meet the requirements of your position. My goal is to assist you to improve at an acceptable level within the next (period given).

Supervisor’s Signature

Receipt acknowledgement:

Employee Signature Date
9. It is my desire for you to succeed in your position. I believe this situation can be eliminated by positive action on your part, providing you understand the seriousness of your failure to contribute at an acceptable level and providing you have the desire to make improvements. The consequences of failure to improve under this Formal CIP may include reduction in pay (which may include a change to a lower broadband level and/or reassignment) or removal from Federal Service.
10. This is to notify you of inadequacies in your contribution and that you have an opportunity to improve and meet the requirements of your position. My goal is to assist you to improve to an acceptable level within the next (period given).

6. To assist you in achieving an adequate level of contribution:

(Describe what the agency will do to assist the employee (e.g., send to training, meet with the employee on a weekly basis for status and provide input as needed, OJT)

7. We will meet (weekly or bi-weekly) to discuss your progress. I will notify you in advance of the time and date for these meetings and will take into account your personal needs. Should you have any questions or encounter difficulties at any time, please see me immediately so I may assist you. (Supervisor must document these sessions, status or progress of assignments, outcomes, make a copy of the product if necessary)

8. I have no reason to believe your contribution deficiencies are related to any personal or Medical problems. However, if you have a medical condition you wish to be considered, you may provide medical documentation of this condition. The costs of any medical evaluation would be your responsibility. Medical documentation may not be employ conclusive in nature and must fully explain the nature of the medical condition, the evidence on which the diagnosis is based and clearly indicate how the condition impacted your ability to contribute adequately. Additionally, if you are experiencing any personal problems which may impact your ability to contribute adequately, you may contact Employee Assistance for guidance and assistance. You can contact them directly at telephone: (insert number) or I can set up an appointment for you.

9. It is my desire for you to succeed in your position. I believe this situation can be eliminated by positive action on your part, providing you understand the seriousness of your failure to contribute at an acceptable level and providing you have the desire to make improvements. If your contribution remains at an inadequate level following this CIP period you may be reduced in pay (which may include a change to a lower broad band level and/or management) or removed from Federal service.

10. This is to notify you of inadequacies in your contribution and that you have an opportunity to improve and meet the requirements of your position. My goal is to assist you to improve to an acceptable level within the next (period given).
Sample Memorandum of Record Signature Block: Both Formal and Informal CIP

Sample Notice of Inadequate Contribution and Contribution Improvement Plan (CIP)

MEMORANDUM FOR: (employee)

From: (supervisor)

Subj: Notice of Inadequate Contribution and Contribution Improvement Plan (CIP)

Det (a) Federal Register, Vol. 64, No. 6, January 9, 1999

1. Under the provisions of reference (a), when an employee's contribution in any factor is at or less than the midpoint of the next lower broad band level (adjudge for employee plotted above the upper rail) the employee is considered to be contributing inadequately. Inadequate contribution in any one factor at any time during the appraisal period is considered grounds for initiation of reduction in pay or removal from Federal service. The factors on which you were rated were communicating to you on (insert date) and are outlined in the attached Position Requirements Document (PRD).

2. This is to notify you that as a (insert title, career path, broad band level) employee your contribution in critical factor (list factors) is rated less than the midpoint of the next lower broad band level. Consequently, your contribution to this organization is considered inadequate and you are being placed on a Contribution Improvement Plan (CIP). Although you received an overall contributing score on recent review which is between the 25th and 75th percentile, you received a score of (for factor(s)).

(Signature Block: It is imperative that the Memorandum of Record, whether for a Formal or Informal CIP, be signed and dated by both parties. If the employee refuses to sign, this should be noted by the supervisor along with the date.)

6. To assist you in achieving an adequate level of contribution:

(Describe what the agency will do to assist the employee (e.g. send to training, meet with the employee on a weekly basis for status and provide input as needed, CIP).

7. We will meet weekly as bi-weekly) to discuss your progress. I will notify you in advance of the time and date for these meetings and will take into account your personal needs. Should you have any questions or encounter difficulties at any time see me immediately so that I may assist you. (Supervisor must document these sessions, status or progress of assignments, outcomes, make a copy of the product, if necessary).

8. I have no reason to believe your contribution deficiencies are related to any personal or Medical problems. However, if you have a medical condition you wish to be considered, you may provide medical documentation of this condition. The costs of any medical evaluation would be your responsibility. Medical documentation may not be used conclusively in nature but must fully explain the nature of the medical condition, the evidence on which the diagnosis is based and clearly indicate how the condition impacted your ability to contribute adequately. Additionally, if you are experiencing any personal problems which may impact your ability to contribute adequately, you may contact Employee Assistance for guidance and assistance. You can contact them directly at telephone (insert number) or I can set up an appointment for you.

9. It is my desire for you to succeed in your position. I believe this situation can be eliminated by positive action on your part. Providing you understand the seriousness of your failure to contribute at an acceptable level and providing you have the desire to make improvements. If your contribution remains at an inadequate level following this CIP period you may be reduced in pay (which may include a change to a lower broad band level and/or management) or removed from Federal service.

10. This is to notify you of inadequacies your contribution and that you have an opportunity to improve and meet the requirements of your position. My goal is to assist you to improve to an acceptable level within the next (period given).

Supervisor's Signature

Receipt acknowledgement:

Employee Signature Date
Questions?

Comments?

• Jerry Lee 703-805-5498 or DSN 655-5498
  – jerold.a.lee@us.army.mil

• Cathy Anderson 703-805-1332 or DSN 655-1332
  – catherine.e.anderson@us.army.mil