



## **CCAS for Supervisors**

# **DoD Civilian Acquisition Workforce Personnel Demonstration Project**



### **DoD Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo)**

**Contribution-based Compensation and  
Appraisal System (CCAS) for  
Supervisors**

**Presented by AcqDemo Program Office  
FY2014**



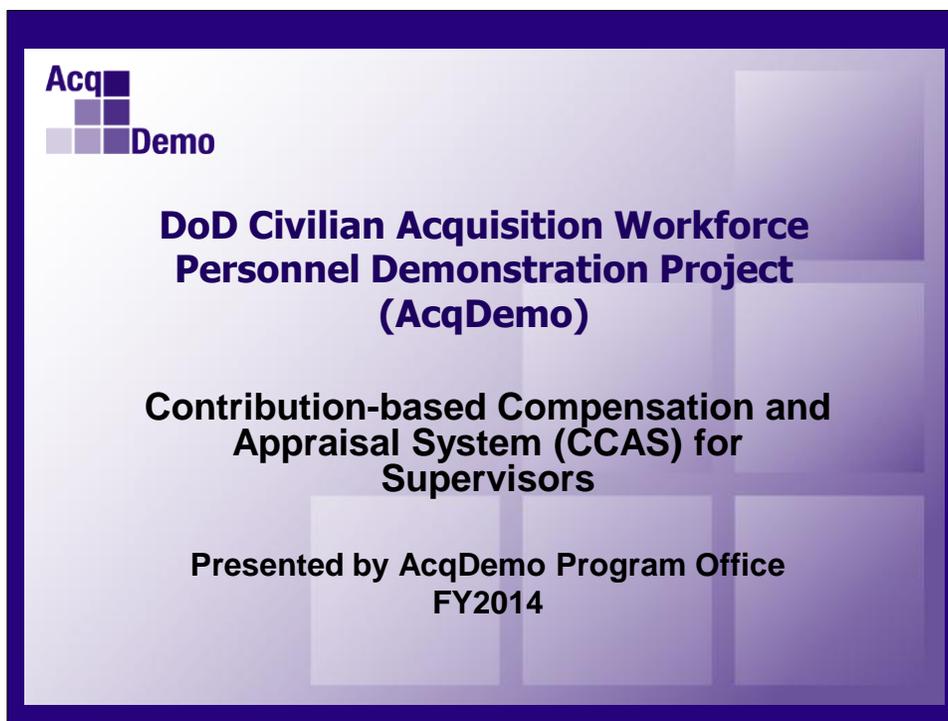
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Welcome to the Contribution-based Compensation and Appraisal System (CCAS) for Supervisors one-day class.

The purpose of the Department of Defense Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo) is to demonstrate that the effectiveness of DoD acquisition can be enhanced by allowing greater managerial control over personnel processes and functions and, at the same time, expand the opportunities available to employees through a more responsive and flexible personnel system.

The performance management element of AcqDemo, which is CCAS, is designed to recognize and reward employees for their contributions made throughout each appraisal cycle.

This training session is designed for supervisors to get an in-depth understanding of the theories and mechanics of assessing employee contributions in the Demonstration Project.

## Chapter 1: Introduction



### I. INTRODUCTION Outline

- Housekeeping, Expectations and Parking Lot
- Course Objectives
- Course Topics and Activities
- Activity: System Advantages / Supervisor Concerns



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This chapter introduces the (1) Housekeeping, Expectations and Parking Lot (for questions that require follow-up), (2) Course Objectives, (3) Course Topics and Activities, and (4) an activity to understand the advantages of a broadbanding system, as well as the main concerns and roadblocks for effectively supervising employees in AcqDemo.

## Course Objectives



### INTRODUCTION Course Objectives

At the completion of this course, participants will be able to:

- Summarize the major elements of the CCAS process
- Understand the supervisor's role in implementing the organization's compensation strategy
- Write a summary of employee contributions for the Annual Appraisal
- Apply scoring techniques to assess employee contributions
- Describe how final scores and associated rewards are determined
- Communicate CCAS results to employees

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The objectives of this course are all related to providing supervisors with the knowledge and tools to understand their roles and effectively manage employees within AcqDemo. The slide above shows the specific goals of this one-day class.

## Course Topics and Activities



### INTRODUCTION Course Topics and Activities

#### Topics

- Compensation Strategies
- 11-Step CCAS Process
- Responsibilities of Key Stakeholders
- CCAS Tools
- Writing Effective Impact Statements
- Rating Process Mechanics and Philosophies
- Productive Communication Tips

#### Activities

- System Advantages / Supervisor Concerns
- Writing an Annual Appraisal
- Assessing Employee Contributions
- Communicating Appraisal Results
- CCAS Plan of Action

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This is an interactive class. The slide above shows a list of the most important topics presented in this course, as well as the activities included in the class.

This course contains the following chapters:

- **Introduction** - a review of the course objectives, topics and activities
- **Compensation Strategies** – a brief explanation of the theories behind a compensation strategy, as well as a discussion on your organization’s strategy
- **CCAS Overview** – a review of the CCAS cycle, and an introduction to the 11-steps in the pay pool process
- **Factors and Descriptors** – a look at the 6 factors, their corresponding descriptors and discriminators, as well as the rationale of how they were created
- **Writing an Annual Appraisal** – tips on how to write an effective Annual Appraisal, along with a suggested model for writing one
- **Assessing Employee Contributions** – the steps taken to assess an employee’s contributions and an activity aimed at creating a shared understanding of scoring in AcqDemo
- **Rewarding Employee Contributions** – an explanation of how the pay pool determines the distribution of pay pool funds
- **Feedback on Contributions and Expectations** – productive communication tips and an activity to practice providing meaningful feedback during the End-of-Cycle discussion
- **CAS2Net** – instructions for electronically capturing CCAS-related data using CAS2Net
- **The Way Forward** – a look at what steps come next in the appraisal cycle

### Activity: System Advantages / Supervisor Concerns



#### INTRODUCTION

#### Activity: System Advantages / Supervisor Concerns

#### Small Group Discussion:

- What do you view as the major advantages of remaining in a broadbanding system?
- What are your biggest concerns / roadblocks for successfully supervising your employees in AcqDemo?

**Each team shares highlights with the class.**

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Break into small groups of approximately 5 people and discuss the questions posed above. Elect one member of your group to capture the main comments/ideas of the group. You have 10 minutes to capture your results. Finally present your highlights with the rest of the class.

1. What do you view as the major advantages of remaining in a broadbanding system?

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2. What are your the biggest concerns / roadblocks to successfully supervising your employees in AcqDemo?

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## Chapter 2: Compensation Strategies



### II. COMPENSATION STRATEGIES

- What is a Compensation Strategy?
- Compensation Strategy Components
- Your Role in Implementing a Compensation Strategy



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This chapter provides a look into the theory behind compensation strategies. We will also discuss your organization's specific compensation strategy, if available, and the role you play in implementing that strategy.

We start here with compensation strategies, even though you may or may not be involved in actually setting this strategy or corresponding policies, as it is the foundation of any broadbanding system. It should help to produce consistent, equitable pay related decisions, from the on-set of pay setting and throughout the pay progression stages.

## What is a Compensation Strategy?



### COMPENSATION STRATEGIES What is a Compensation Strategy?

- Reflects your organization's strategic objectives
  - Maintain mission excellence
  - Attract new talent
  - Retain and motivate existing employees
- Sets the general policies and procedures for compensation and benefits within an organization
  - Consistent with pay budgets
  - Used to derive rules for rewarding contributions
- Seeks to provide the right rewards for the right employee contributions
  - Internal pay equity for like contributions
  - Link rewards to contributions / impact

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The **Compensation Strategy** is one of the most important strategies in an organization since it influences the costs of the organization and can significantly impact mission achievement. Poor decisions can lead to serious budgetary issues for the organization.

The main objective of a compensation strategy is to give the right rewards for the right employee contributions. Achievement of the desired contributions is of course important in order to enhance your organization's effectiveness. Compensation is a key motivator when it rewards achievement of desired organizational results. The compensation strategy must also support fulfillment of the organization's budgetary constraints.

The compensation strategy not only sets the general rules for compensation within the organization, it is also a significant component in determining organizational goals. An organization could, for example, wish to set pay at the lowest possible levels. However, the organization has to respect the reality of the job market and by doing so may need to rethink its compensation strategy in order to most effectively and efficiently reach organizational goals.

The compensation strategy can also help to reinforce the organizational culture that you desire. There is an enabling organizational culture under which pay is linked to performance and contribution. For example, the role of bonuses can be primarily in rewarding actual contributions or the retention of the employees. Either way the organization decides, supervisors and pay pools must enforce the decisions.



## Your Role in Implementing a Compensation Strategy



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### COMPENSATION STRATEGIES

#### Your Role in Implementing a Compensation Strategy

- Understand your organization's compensation strategy
- Relate the compensation strategy to your work unit
- Set realistic expectations with employees
- Share concerns with higher level management for review with Personnel Policy Board
- Apply organization strategy in assessing employee contributions

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The Federal Government, along with many private sector companies, modified their compensation plans during the recent economic recession in an effort to reduce costs. For example, the General Pay Increase was frozen for two years.

It is said "that money is a powerful source of motivation." But it is also said that a pay increase can only motivate until the next pay increase is due.

**What are the main components identified in your organization's compensation strategy that will help you maintain a positive broadbanding culture in an extremely constrained budgetary environment?**

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## Chapter 3: CCAS Overview



### III. CCAS OVERVIEW

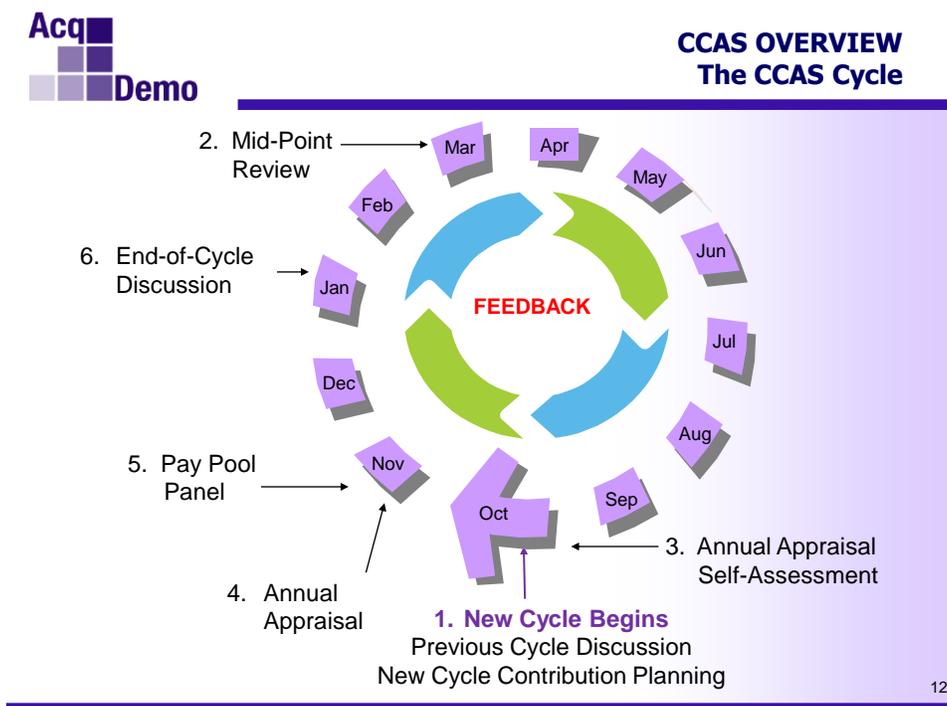
- The CCAS Cycle
- Roles of Supervisor, Employees, and Pay Pool Panel
- 11-Step CCAS Process



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In Chapter 3, we will review some of the CCAS structural information presented during the AcqDemo Employee Orientation Briefing. We will also preview the 11-Step CCAS process and the roles supervisors play in this process that will be discussed in detail in the following chapters.

## The CCAS Cycle



As long as an employee is under AcqDemo for at least 90 consecutive calendar days and in AcqDemo on 30 September, they will receive an appraisal and be eligible to be considered for pay pool awards. To receive the pay pool payout, the employee must be in AcqDemo on the effective date of the payout (i.e., first full pay period in January).

The CCAS appraisal period begins on 1 October and ends on 30 September of the following year. The full CCAS cycle includes this appraisal period plus the three months immediately following the appraisal period for the pay pool panel process.

## Responsibilities of the Personnel Policy Board

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### CCAS OVERVIEW

#### Responsibilities of the Personnel Policy Board

- **Personnel Policy Board**
  - Oversee civilian pay budget
  - Address issues associated with more than one pay system
  - Determine composition of pay pools
  - Review pay pool operations
  - Provide guidance to pay pool managers
  - Administer funds to CCAS pay pool managers
  - Review hiring and promotion salaries
  - Monitor award pool distributions by organization and DAWIA vs. non-DAWIA
  - Assess need for changes to demonstration procedures and policies

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Each participating DoD activity is required to establish a **Personnel Policy Board** for the demonstration project, or modify the charter of an existing group. This Board will consist of the senior civilian in each major office and directorate within the activity and be chaired by the Commander/Director. The Board's areas of responsibility are listed above.

## Responsibilities of the Pay Pool Panel



### CCAS OVERVIEW Responsibilities of the Pay Pool Panel

- **Pay Pool Panel**
  - Review preliminary ratings for consistency and equity
  - Reconcile preliminary ratings that are poorly documented or otherwise outside business rules
  - Approve ratings of record and payout results
  - Adjudicate challenges to ratings of record

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The **pay pool panel**, which includes the pay pool manager and supervisors who normally report directly to the pay pool manager, approves the final employee overall contribution scores and determines the distribution of the pool funds.

The **pay pool manager** is the individual within the organization who is responsible for managing the CCAS process. As such, the pay pool manager has annual pay adjustment authority. Determinations made by the pay pool manager may be subject to higher management review.

The pay pool process provides an opportunity to evaluate how the contributions of each individual in the pay pool have led to the accomplishment of the overall goals/objectives of the organization in support of the mission. The use of pay pool panels ensures that individual supervisors' preliminary scores are reviewed by their peers (i.e., by other supervisors in the same pay pool) and by the supervisor of all raters in that pool.

In addition, employee contributions are rank-ordered by the entire pay pool panel. The intent here is not so much to require ranking per se, as to ensure that inflation or deflation by any supervisor will be identified and corrected via the normal operation of the panel process.

A pay pool panel member shall not recommend or set his/her own rating or pay. The pay pool manager shall not recommend or set his/her own rating or pay.

## Responsibilities of Supervisors



### CCAS OVERVIEW Responsibilities of Supervisors

- **Supervisor**
  - Review organizational goals and priorities at start of appraisal cycle
  - Conduct annual contribution planning and explain Expected Contribution Range (ECR)
  - Monitor and document employee progress and provide coaching/feedback throughout appraisal cycle
  - Address contribution issues immediately upon identification
  - Provide mentoring for career development
  - Conduct a formal Mid-Point Review
  - Request Annual Appraisal Self-Assessment
  - Complete an end-of-cycle Annual Appraisal
  - Uses factor descriptors to determine preliminary categorical scores for pay pool
  - Participate in pay pool process as required
  - Conduct Annual Appraisal conversation

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At the beginning of the appraisal period, or shortly after a new employee or supervisor reports for duty, the supervisor discusses with the employee the expected contributions for the appraisal period. This includes discussion of career path, broadband level, factors, and weights (if applicable). The supervisor is encouraged to review with each employee the expected contribution range (ECR) corresponding to current pay.

During the appraisal cycle, informal and frequent communication between supervisor and employee is essential. This must include discussion of any inadequate contribution in one or more of the factors. Approximately midway through each appraisal cycle, the supervisor will meet with the employee to discuss their progress under CCAS and make a notation of that Mid-Point Review discussion.

At the conclusion of the appraisal period, the supervisor requests that employees provide input describing their own contributions throughout the year for each factor. However, depending on local policy an employee *may* elect not to provide such information. The supervisor considers inputs from the employee, personal observations, and may consider other sources as appropriate, to assess the level of the employee's contribution for each factor. The supervisor then determines the preliminary categorical score, and if applicable also the preliminary numerical score, for each factor and submits them to the pay pool for further deliberation.

After the pay pool manager has approved the results, the supervisor communicates the final Overall Contribution Score (OCS), factor scores and pay adjustments, if applicable, to each employee. Potential opportunities for increasing contribution for the upcoming appraisal period are also discussed. The supervisors and employee sign the original of the Part I CCAS Appraisal Form. The employee receives the original form, while a copy is kept by the supervisor.

## Responsibilities of Employees



### CCAS OVERVIEW Responsibilities of Employees

- **Employee**
  - Understand and meet the contribution expectations identified during Contribution Planning
  - Seek feedback and guidance as needed throughout the appraisal cycle
  - Prepare a Mid-Point Review and Annual Appraisal Self-Assessment in accordance with local policy

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The employee is responsible for meeting all assignments identified during contribution planning with their supervisor. If an employee feels there are any roadblocks that could potentially impact their success it is their responsibility to bring the issue(s) to the attention of their immediate supervisor.

An Employee may complete a Mid-Point Review Self-Assessment and an Annual Appraisal Self-Assessment, in accordance with local policy.

## 11-Step CCAS Process



### CCAS OVERVIEW 11-Step CCAS Process

#### Eleven Steps

- **Step 1** -- Employee (optionally) completes Annual Appraisal Self-Assessment at the end of the rating period in accordance with local policy.
- **Step 2** – Supervisor assesses employee contributions against six factors and assigns preliminary categorical scores.
- **Step 3** – First pay pool / sub pay pool meeting - review for equity, consistency, and grouping; adjustments as necessary. Pay pool manager resolves problems.
- **Step 4** – Pay pool panel converts matrix placement into numerical contribution scores.
- **Step 5** – Second meeting of pay pool - identifies inconsistencies, makes adjustments as appropriate.
- **Step 6** – Pay pool manager approves results, which become employee's rating of record.

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### CCAS OVERVIEW 11-Step CCAS Process Con't.

#### Eleven Steps Con't.

- **Step 7** – Plotted Pay vs. OCS data compares employee contribution to compensation, placing each employee in compensation region A, B or C.
- **Step 8** – Pay pool manager and panel implement payout plan, using software tool to determine potential pay adjustment and contribution award for each employee.
- **Step 9** – Pay pool panel reviews for consistency and fairness. Where no consensus can be reached, pay pool manager makes final decision.
- **Step 10** – Pay pool manager officially approves payout. Scores and pay adjustments are recorded on CCAS Appraisal Form Part I.
- **Step 11** – Supervisor communicates results to each employee. Supervisor and employee sign CCAS Appraisal Form. Pay adjustments are effective first pay period in January.

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In accordance with the AcqDemo Operating Procedures, the following describes the steps of the contribution appraisal process:

**STEP 1.** At the conclusion of the appraisal period, the supervisor requests that employees provide input describing their own contributions made throughout the year for each factor. However, depending on local policy an employee may elect not to provide such information.

**STEP 2.** The supervisor considers inputs from the employee, personal observations, and may consider other sources as appropriate, to assess the level of the employee's contribution for each factor. The supervisor assigns a preliminary categorical rating for each factor for each employee. Note that categorical (and later numerical) scores should not be discussed with employees until final scores are officially approved by the pay pool manager.

**STEP 3.** The pay pool panel (pay pool manager and the supervisors in the pay pool who report directly to him/her) meets for the first time to determine and document appraisal decisions using the CCAS spreadsheet. The pay pool may be broken down into sub pay pools. If so, the sub pay pools will meet first, agreement on categorical score placements are reached and the results are forwarded to the pay pool.

- In the first meeting, each supervisor in the pay pool, in turn, enters into the contribution matrix the name of an individual (starting with those who fit the descriptors best). The "Very High" category is reserved for those individuals who score well above the descriptors in any one of the six factors.

- This process continues until all employees are placed in the contribution matrix. Supervisors are not included in the matrix.

- The pay pool panel reviews each cell of the matrix for equity and consistency. Are the right people grouped together? For example, are the individuals who communicate at the same level grouped together? Are individuals who are making exceptional contributions in a factor or factors at the top broadband level of their career path rated in the "Very High" category?

- Adjustments are made until consistency and equity are reached. If disagreements persist, the pay pool panel meets until issues are resolved. If agreement cannot be reached, the pay pool manager decides.

**STEP 4.** Before adjourning the first meeting, the pay pool panel converts the matrix placement of each employee from Step 3 into a numerical contribution score for each factor. The overall contribution scores (OCSs) are then calculated.

- Following the first meeting, the pay pool manager lists all employees in order by OCS and name; several persons may be at the same level. The list is distributed to the pay pool panel officials for their review prior to the second meeting. Any categorical or numerical score change must be communicated to the appropriate subordinate supervisor(s).

**STEP 5.** In this step, the pay pool panel meets for the second time to identify any perceived inconsistencies in the employees' OCS consolidated listing. If inconsistencies in the OCS list are

identified, the supervisors revisit the contribution matrix, reconsider the placement of the employees, and make adjustments, if appropriate. Any categorical or numerical score change must be communicated to the appropriate subordinate supervisor(s).

**STEP 6.** The pay pool panel turns over the OCS list to the pay pool manager for official approval, after which this approved OCS becomes the employee's rating of record.

**STEP 7.** After the pay pool manager approves the OCS, the current pay vs. OCS is plotted for all employees. This plot relates contribution to compensation, and identifies the placement of each employee into one of three regions:

A Region (above the rails): inappropriately compensated - overcompensated

C Region (on or within the rails): appropriately compensated

B Region (below the rails): inappropriately compensated - undercompensated

Note: "The Rails" will be defined and explained in more detail in Chapter 7: Rewarding Employee Contributions.

**STEP 8.** The pay pool manager, in consultation with the pay pool panel, determines the potential pay adjustment and contribution award for each employee.

- All employees are entitled to the full locality pay.
- The appropriately compensated – C employee (employee whose contribution versus pay falls on or within the rails) must receive the full general pay increase, may receive a contribution rating increase of up to 6%, and may receive a contribution award. The contribution rating increase is included as a permanent increase in base pay, but the contribution award is a lump- sum payment that does not affect base pay.
- The overcompensated – A employee could be denied part or all of the general pay increase and will receive no contribution rating increase or contribution award. The intent of the demonstration project is to allow managers to retain the ability to determine how much, if any, of the general pay increase an overcompensated - A employee shall receive, on a case-by-case basis.
- The undercompensated - B employee must receive the full general pay increase, may receive up to a 20% permanent increase in pay, and also may receive a contribution award.

**STEP 9.** The pay pool panel reviews the compensation adjustments for fairness and consistency with the contribution scores. If consensus cannot be reached, the pay pool manager decides.

**STEP 10.** Following the review, the pay pool manager officially approves the contribution scores and pay adjustments. Once the scores and pay adjustments have been approved, they are documented on the CCAS Appraisal Form, Part I. This form, generated by the CCAS spreadsheet, serves as the basis for individual discussions with the employees. Supervisors should ensure that their Annual Appraisal reflects the approved appraisal results (i.e., scores and narrative).

**STEP 11.** The supervisor may seek additional clarification from the pay pool panel, if needed, before meeting with the employee. The supervisor communicates the final OCS, factor scores and pay adjustments to each employee. Potential opportunities for increasing contribution for the upcoming appraisal period are also discussed. The supervisors and employee sign the original of the CCAS Appraisal Form, Part I. The employee receives the original form, while a copy is kept by the supervisor.

The pay adjustments become effective the first full pay period in January.

## Chapter 4: Understanding Factors and Descriptors

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### IV. UNDERSTANDING FACTORS AND DESCRIPTORS

- Typical Acquisition Functions / Behaviors
- The 6 Factors
- Broadband-specific Descriptors
- Relating Contributions to the Descriptors



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This chapter covers the 6 factors used to appraise employee contributions during the CCAS appraisal cycle, as well as their associated descriptors and discriminators.

## Origin of AcqDemo Factor Descriptors



### UNDERSTANDING FACTORS AND DESCRIPTORS Origin of AcqDemo Factor Descriptors

- Origin of AcqDemo factor descriptors
  - Acquisition is a somewhat unique business environment within DoD
  - Fluid changing requirements
  - Roles not always rigidly defined
  - Dependent on ability to solve problems, team with others, understand customer needs, lead, communicate, and manage resources
  - Contributions of employees beyond job expectations lead to highly effective acquisition organizations
  - Behaviors become the common denominator for evaluation

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Contribution designs are intentionally more flexible in evaluating the accomplishments of employees because they want to encourage people to step outside of their job and contribute beyond expectations. For that reason, AcqDemo focuses on evaluating behaviors in getting objectives/plans/goals accomplished and permits more opportunity to contribute to the overall mission.

The AcqDemo design team reviewed typical work performed in Acquisition business environments and developed factors and descriptors to reflect the behaviors exhibited in effectively accomplishing it.

## The 6 Factors



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### UNDERSTANDING FACTORS AND DESCRIPTORS The 6 Factors

- **Problem Solving** - personal and organizational problem solving results
- **Teamwork/Cooperation** - individual and organizational teamwork and cooperation
- **Customer Relations** - effectiveness of personal and organizational interactions with customers
- **Leadership/Supervision** - individual and organizational leadership and/or supervisory contributions
- **Communication** - the effectiveness of oral / written communications
- **Resource Management** - personal and organizational utilization of resources to accomplish the mission

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An employee's performance is a component of contribution that influences the ultimate overall contribution score (OCS). Contribution is measured by using a set of factors, descriptors, and discriminators, each of which is relevant to the success of a DoD acquisition organization. Taken together, these factors, descriptors, and discriminators capture the critical content of jobs in each career path. They may not be modified or supplemented and are the same as those used to classify a position at the appropriate broadband level.

All six factors apply to all career paths (NH, NJ, and NK):

- **Problem Solving** – describes personal and organizational problem solving results
- **Teamwork/Cooperation** – describes individual and organizational teamwork and cooperation for both formal and informal teams
- **Customer Relations** – describes the effectiveness of personal and organizational interactions with customers, both internal and external
- **Leadership/Supervision** – describes individual and organizational leadership and/or supervisory contributions
- **Communications** – describes the effectiveness of oral/written communications
- **Resource Management** – describes personal and organizational use of resources to accomplish the mission. Resources include, but are not limited to, personal time, equipment and facilities, human resources, and funds

See the Factors tab of this book for a list of all factors, descriptors and discriminators by career path.

## Broadband-specific Descriptors



### UNDERSTANDING FACTORS AND DESCRIPTORS Broadband-specific Descriptors

**Factor: Communication**  
**NH – Business Management & Technical Management Professional**

LEVEL DESCRIPTORS	DISCRIMINATORS
<b>LEVEL III</b>	
<ul style="list-style-type: none"> <li>Communicates project or program results to all levels, internally and externally.</li> <li>Reviews and approves, or is a major contributor to/ lead author of, management reports or contractual documents for external distribution. Provides inputs to policies.</li> <li>Presents briefings to obtain consensus/approval.</li> </ul>	Level of Interaction (Audience) Written  Oral
<b>LEVEL IV</b>	
<ul style="list-style-type: none"> <li>Determines and communicates organizational positions on major projects or policies to senior level.</li> <li>Prepares, reviews, and approves major reports or policies of organization for internal and external distribution. Resolves diverse viewpoints/controversial issues.</li> <li>Presents organizational briefings to convey strategic vision or organizational policies.</li> </ul>	Level of Interaction (Audience) Written  Oral

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#### Descriptors

Every factor contains descriptors for each respective broadband level within the relevant career path. The descriptors state what is important to the mission of the organization and describe employees’ contributions at different broadband levels. They were developed at the highest GS grade encompassed in the broadband level to foster employee growth within the broadband level.

Descriptors define increasing levels of contribution for each broadband level. Work performed by individuals in a particular career path is evaluated against the same descriptors, and contribution is determined by a group consensus through the pay pool panel process.

Descriptors are to be taken as a whole and evaluated together, not individually.

#### Discriminators

Discriminators refine the factors. They are the same for all levels of contribution. Discriminators include: leadership role, breadth of influence, mentoring/employee development, complexity/difficulty, level of interaction, planning/budgeting, etc.

It is recommended that the pay pool panels meet at the beginning of each appraisal cycle to discuss and reach a common understanding of the factors, discriminators, and descriptors.



## Chapter 5: Writing an Annual Appraisal



### V. WRITING AN ANNUAL APPRAISAL

- Tools
- Annual Appraisal Self-Assessment
- Writing Effective Contribution Statements
- Activity: Writing an Annual Appraisal



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Chapter 5 covers tips for writing an annual appraisal. Topics include: (1) Tool to use, (2) Annual Appraisal Self-Assessment, (3) Writing Effective Contribution Statements, and (4) an activity to practice writing an annual appraisal.



## Keeping Records of Contributions



### WRITING AN ANNUAL APPRAISAL Keeping Records of Contributions

- Written notes from employee meetings during the appraisal cycle
- Notes to yourself when employee deadlines are met / missed
- Written formal feedback provided to employee
- Notes to yourself about informal or verbal feedback provided
- Written or verbal feedback from colleagues / customers
- Other contribution documentation

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One of the biggest challenges you may face in writing an annual appraisal is where to find the necessary material. By keeping a few simple records throughout the appraisal cycle, you will have the information and data that you need to write an effective appraisal.

It is imperative that records of employee contributions be kept throughout the year. Information to keep:

- Written feedback you provide or receive on employee contributions. Be sure to document all formal conversations held with an employee.
- Verbal feedback received from co-workers and customers, being sure to note the exact feedback, who provided the feedback and the date/time
- Notes to yourself with data relating to contributions (and objectives if applicable) such as results of meeting deadlines or achieving milestones
- Any other documentation related to employee contributions and impact

Many supervisors find it easiest to keep a “tickler file” where they can store any of the above pieces of documentation for easy retrieval later on. One suggestion is to keep that file right in CAS2Net. That way all you have to do is summarize the results you’ve already captured come appraisal time.

Be certain to immediately address and document all instances of inadequate contribution as soon as you become aware of them.

## Annual Appraisal Self-Assessment



### WRITING AN ANNUAL APPRAISAL Annual Appraisal Self-Assessment

- Optional but highly encouraged, subject to local policy
- Typically completed before you complete your Annual Appraisal
- May need more than one draft to best highlight the employee's contributions
  - Should highlight the contributions with the most impact made throughout the appraisal cycle
  - Should describe contributions in concise statements
  - Should use language that can be understood by all pay pool panel members

Step 1

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An Annual Appraisal Self-Assessment is optional under CCAS but highly encouraged, subject to local policy. It is meant to document an employee's measurable results, portray a complete, concise picture of their contributions, and communicate the impact made to the organization's strategic goals.

The Supervisor can provide added value to this step by helping ensure that the employee's opinion of their contributions is clearly and concisely articulated in their self-assessment. You may, for example, point out which of their contributions had, in your opinion, the most impact. You might also be able to point to areas where their impact statements could be more clearly articulated so that the full value of the impact is better understood by the pay pool panel. In no way are you trying to change the employee's opinion, nor can you require that they make any changes. Instead your role is as coach and advisor to help the employee's contributions be clearly understood by the pay pool panel.

Be sure to set firm deadlines for completion of the Annual Appraisal Self-Assessments. Be sure to save time for re-working based on your collaboration. The self-assessments are typically completed before you write your annual appraisal.

## Annual Appraisal Writing Steps

Acq



Demo

### WRITING AN ANNUAL APPRAISAL Annual Appraisal Writing Steps

- Review employee contribution planning documentation
- Review Annual Appraisal Self-Assessment
- Review Mid-Point Review / Additional Feedback documentation
- By factor, assess contributions against factor descriptors / discriminators
- Prepare succinct contribution impact statements for each factor

**Step 2**

Note: A contribution may warrant mention under more than one factor.

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A verbose or disorganized assessment serves only to make the annual appraisal process unnecessarily difficult. Your annual appraisal should not document every one of your employee's contributions. Rather, the purpose is to highlight those contributions that had the largest impact on accomplishing the goals of your organization.

Supervisors should obtain a copy of the factors for the broadband level to which the employee is assigned, as well as the levels immediately above and below, before beginning to write an appraisal.

Seldom will an employee perfectly match all of the descriptors in the set for a particular level, and it is not necessary to write something to match every descriptor. Using the factor descriptors and discriminators, supervisors can write statements that describe how and what the employee has contributed that relates to the mission.

## Contribution Statements



### WRITING AN ANNUAL APPRAISAL Contribution Statements

- Begin with a named task, followed by results achieved, and ending with impact to the mission of the organization
- Be specific (use dollar figures, program names, time saved, percentages, etc.)
- For each statement, make sure it passes the **“SO WHAT”** test

***“Employee X did A that resulted in B,  
and the impact of that contribution was C.”***

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The annual appraisal is not a laundry list of skills an employee possesses; nor is it an assessment of potential. Rather, it is a set of statements that reflect what the employee did and how those contributions helped further the mission of the organization.

When supervisors are assessing employees under CCAS, think not only “WHAT” (the activity) and “HOW” (the level of performance) but also “WHY” (the benefit that helps meet the mission).

Supervisors must be specific when writing contribution statements. Do not leave it to others to presume contribution. For example, stating, *“Employee X published three technical journal articles during this appraisal period,”* implies a contribution but does not state one. What impact did the publishing of those articles have? Did they capture the objectives of the team or organization?

Even if the activity accurately implies contribution, a lack of amplification and detail can make the statement ineffective. A more complete statement of contribution might be, *“This year, Employee X published three technical journal articles on <technical subject> which resulted in <some desired advancement in the technology> in direct support of our mission to <specify goal> by <specific impact>.”*

Always think in terms of cause and effect, or “So What?,” when writing contribution statements:

***“The employee did A that resulted in B which is related to the mission...”***

It is important to remember that a singular work activity may result in contributions that apply to several contribution factors.

## Ineffective Contribution Statements



### WRITING AN ANNUAL APPRAISAL Ineffective Contribution Statements

- Provided training logistical support for base activities.
- Served as key government representative on program change review board.
- Served as Acting Director of XYZ Program.
- Provided weekly status report to the PM on activities of the office.
- Reviewed and provided comments and recommendations on applying new or revised procurement regulations. Coordinated with our headquarters regarding these requirements and objectives.

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The following are some examples of appraisal statements that **do not** fully address contributions and supervisors should **not** describe accomplishments in this manner. It is clear that none of these statements can answer the question: *“Does this activity Employee X is submitting have an impact on achieving our mission? If so, what is the specific impact?”*

**Ineffective examples -- Problem Solving**

- Modified and added new filters to the <program> tracking system.
- Provided instructors and training logistical support for off base activities.
- Reviewed and provided comments and recommendations on applying new or revised procurement regulations. Coordinated with our headquarters regarding these requirements and objectives.

**Ineffective examples -- Teamwork/Cooperation**

- Served as key government representative on program change review board at contractor's facility.
- Established configuration manager network between <customer> and <our organization>.
- Mentored staff on management of complex and critical tasks.

**Ineffective examples -- Customer Relations**

- Established myself as the liaison between the National Training Center and the PM.
- Served as technical director and advisor to PM on technical issues.
- Fully responsive to requests for support from the Steering Committee, staff and PMs.

**Ineffective examples -- Leadership/Supervision**

- Served as Acting Director of XYZ Program.
- Assign off base training support.
- Approve all class schedules and curriculum.

**Ineffective examples -- Communication**

- Provided weekly status report to the PM on activities of the office.
- Attend all Executive Council meetings.
- Assist in preparation and presentation of command position to OSD and Congressional levels, in addition to the PM presentation.

**Ineffective examples -- Resource Management**

- Maximize use of minimal resources.
- Develop/manage the PM XYZ Staff and system.
- Have brought on an individual with contract management as prime responsibility.

## Effective Contribution Statements



### WRITING AN ANNUAL APPRAISAL Effective Contribution Statements

- Developed a computer program to track material storage and delivery of weapon system parts from the Supply Department to the Operating Forces. This tracking system cut reorder costs by 20% and improved delivery time on average by 20 days.  
(Problem Solving)
- Coordinated with a number of organization elements and contractors to resolve a classified e-mail problem that resulted in the enhancement of operational security for all parties involved. This solution was adopted DoD-wide.  
(Teamwork / Cooperation)

**SEE PARTICIPANT GUIDE FOR MORE EXAMPLES**

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While supervisors are free to do so, it is not necessary, nor necessarily even advisable, to provide long, narrative descriptions of the contributions made during the appraisal period. It is in fact recommended that you write the appraisal in concise bullets, stating what was done, the results achieved, and how those results related to the mission and goals of the organization.

**Be factual** - and emphasize how the task/action supports the mission.

**Be specific** - use dollar figures, program names, number of people supervised, time saved, percentages, dollars controlled, etc., when and where appropriate.

**Be accurate** - Was the employee's contribution made while assigned as the team leader or as a team member?

Following are some examples of effective contribution statements for each of the six factors:

### Effective Examples -- Problem Solving

- Participated in the <XYZ> In-Process-Review, identified and negotiated additional requirements and an acquisition strategy resulting in completion of the stalled effort. This allowed a drastically improved product to be delivered to <customer> prior to a major operation.
- Developed a computer program to track material storage and delivery of weapon system parts from the Supply Department to the Operating Forces. This tracking system cut reorder costs by 20% and improved delivery time on average by 20 days.
- Implemented an automated process for tracking an average of 600 work requests per month. This new process saved \$7K in overtime for the admin staff, saved time by having information readily available on-line and saved time and space by not having to file paperwork. It made the work requests much easier to read by maintenance personnel. Received letter of appreciation from Assistant Chief of Staff.

### Effective Examples --Teamwork/Cooperation

- Coordinated with a number of command elements and contractors to resolve a classified E-mail problem; this resulted in the enhancement of operational security for all parties involved. This solution was adopted DoD-wide.
- Served as team leader for the Integrated Baseline Review by interfacing with each contract work breakdown element to assure work was properly baselined. The end result verified the contractor's baseline in accordance with DOD 5000M and it expedited the milestone decision.
- Volunteered to work as a team member during the Open House by assisting guests with directions, assisting in the set up of project briefs, and designing handouts for the guests. Received many commendatory e-mail messages from project officers and senior personnel. This assistance saved project officers' time, gave a favorable impression of our command to the guests, and saved costs by doing the brochures in-house.

### Effective Examples -- Customer Relations

- Forged strong working relationships with Base Payroll, DFAS, and RSC to resolve inaccurate pay for the workforce and reduce delays in payroll changes. New agreements and processes resulted in the timely processing of payroll actions and improved processes for prompt and accurate pay for the workforce.
- Visited the staff of the Regional Service Center (RSC) to discuss issues and share ideas to improve relations and customer service. These visits served to keep the Command apprised of changes resulting from regionalization, and have fostered a more efficient and effective working relationship.
- As the Help Desk Assistant, assisted over 300 Operating Forces customers monthly by providing accurate and timely responses to all questions and requests for assistance. This has resulted in improved relations between the help desk and the Operating Forces, favorable commendations to the Command, and improved communications between our projects and the Operating Forces.

**Effective Examples -- Leadership/Supervision**

- Led a team of civilians, military, and contractors in testing a radar improvement initiative for the F-14 weapons system. The enhancement was developed on time and within budget, and passed interoperability testing with very minimal discrepancies. This team taught <customer> members and other services to use the new system during the testing efforts, saving TAD and training costs for over 60 personnel.
- Volunteered to take the lead in teaching six Microsoft Office 2000 classes and various administrative correspondence courses to other Office Automation Assistants and division personnel. This saved approximately \$15K in TAD and vendor training costs, which was then allocated to other priority projects.
- Served as Acting Branch Head during supervisor's extended absence in addition to their regular duties, ensuring problems were solved which resulted in a continuation of service to customers.

**Effective Examples -- Communication**

- Established contact with matrix activities, HQ, and other services and agencies to provide/maintain accurate information on the <XYZ> program. This resulted in improved interoperability and assured uniform understanding of the mission.
- Developed quality training materials in PowerPoint. Gave classroom instruction for six Microsoft Office 2000 classes and various administrative correspondence courses to other Office Automation Assistants and division personnel, resulting in \$15K savings in TAD and vendor training and increased knowledge for the workforce resulting in more efficient results in day-to-day tasks.
- Developed written guidance on a variety of issues and posted it on the DAWIA web site. This provided advice and assistance to all levels of the workforce, resulting in favorable comments from the customers, increased participation in DAWIA classes, and a more informed and educated workforce.

**Effective Examples -- Resource Management**

- Provided improved budget procedures and guidance. Oversaw year-end closeout with all accounts meeting or exceeding HQ execution goals for the FY. The improved procedures saved \$72K in funding due to timely reallocation of funding and resolution of errors.
- Created a more efficient process for government credit card ordering, automated file maintenance, and reconciliation of records. This has resulted in supplies being acquired more quickly and records being readily available when needed for budget coordination and audits.
- Designed and implemented a new procedure for handling TAD orders via the Internet. This new procedure is less time consuming for the TAD office and eliminates the need for paper copies or faxes.

## Activity: Writing an Annual Appraisal



### WRITING AN ANNUAL APPRAISAL Activity: Writing an Annual Appraisal

1. In small groups, review the background scenario provided
2. As a group, collectively write an Annual Appraisal for one of the factors
3. Present your group's results to the rest of the class



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#### Instructions

Read the following scenario that describes James Southworth's contributions for the past year.

The instructor will place you in a small group and ask you to collectively **write the annual appraisal for the Resource Management factor**.

Use the chart paper your instructor has provided to write James' appraisal for your assigned factor. You will have approximately 25 minutes to complete this part of the activity.

When finished, prepare to brief out to the rest of the class.

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**Case Study – James Southworth**

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**JAMES SOUTHWORTH, LOGISTICS MANAGEMENT SPECIALIST, NH-III**

James has worked in his current position for about eight years. His performance over time has always at least met expectations, and sometimes exceeded them. His work includes overseeing the process of disseminating uniforms and other non-combat gear to new recruits, maintaining inventory, as well as contracting with outside vendors to provide additional supplies and equipment. He is also the team lead of the warehouse inventory group.

In the contribution planning process upon entering AcqDemo James and his supervisor agreed on carrying over the following objectives from NSPS:

**Objective 1**

New recruits issued uniforms and non-combat gear upon arrival at base. Recruits issued the correct uniforms, insignia and non-combat gear/equipment within 24 hours of arrival on the base. Inventory of all uniforms, etc. will be maintained at a level that matches current year recruiting goals. Demonstrate a 10% reduction in purchasing expenditures from the previous year.

**Objective 2**

Full operation of new Inviz Inventory Software System completed. Inviz installation must be completed with no more than 5-10% downtime on warehouse network. Fully Operational by 15 January.

**Objective 3**

Outside supplier/vendor negotiations conducted/completed. Identify needs for next FY. Completed contracts will result in a savings of 15% over previous FY.

**Results**

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**Employee's Perspective** – I feel I had a very good year and that I contributed significantly to my organization's mission and goals. I've had a positive, ongoing flow of communication with my supervisor, and she's been supportive whenever I've run into roadblocks.

Issuing uniforms was a bit of a challenge due to some manufacturing defects which were fortunately caught prior to being issued to the new recruits. Only 1% of the recruits needed to wait over 24 hours to be fully outfitted, and they were all outfitted within 48 hours. We had no problems with having enough inventory on hand because I kept a close eye on recruiting reports online and then managed orders appropriately.

The installation, testing and implementation of Inviz went much better than anyone anticipated. Downtime in the warehouse during the install was maybe 3%. We were able to have the system tested and fully operational by 30 November – 45 days ahead of schedule.

The outside supplier/vendor negotiations went off without a hitch this year and right on schedule. A new vendor was identified who could supply us with charcoal boot insoles at one half the cost of our previous supplier. Our old supplier was pretty upset when we cut them, but it's my job to save taxpayer dollars wherever I can. Overall, I was able to reduce our expenditures to vendors by 15%.

**Supervisor’s Perspective** – There were some real issues with the quality of uniforms this year, but James took initiative when the problems arose and got them resolved in a timely manner and without extra cost to our command. In fact, he even found some new vendors who could deliver uniforms of equal, if not better, quality and at a lower cost. The organization was able to save more than 14% over last year’s purchasing budget in part because James negotiated with the vendors who supplied the defective uniforms to cover the costs of the re-shipping themselves.

The new software system was implemented with very few glitches. The implementation plan James created was followed to the letter. Granted there weren’t a lot of recruits to equip around the holidays, but still getting the system up and running so fast made all of our lives easier and we were all able to get trained on it a lot faster AND take advantage of some extra time off.

The outside supplier/vendor negotiations were completed on time. Overall, we will be able to reduce our expenditures to vendors by 15%.

**Appraisal:**

In the form below, write the appraisal for the factor assigned to your group:

<b>Factor: Resource Management</b>
<p><b>Annual Appraisal Self-Assessment:</b></p> <p>Issuing of uniforms met and exceeded all goals, except when one vendor supplied an entire shipment of defective uniforms. I negotiated deals with that vendor to cover all of the shipping costs for the replacement uniforms.</p> <p>The contracts with our vendors were put out for bid and awarded in time so that there were no interruptions of services. Most of the vendors received renewed contracts. I identified one new vendor who could supply us with charcoal boot insoles at one half the cost of our previous supplier. Our old supplier was pretty upset when we cut them.</p> <p>Overall, I was able to reduce our expenditures to vendors by 15%.</p>
<p><b>Annual Appraisal:</b></p>

## Chapter 6: Assessing Employee Contributions



### VI. ASSESSING EMPLOYEE CONTRIBUTIONS

- Scoring Overview
- Determining Categorical Scores
- Determining Numerical Scores
- Activity: Assessing Employee Contributions
- Special Situations



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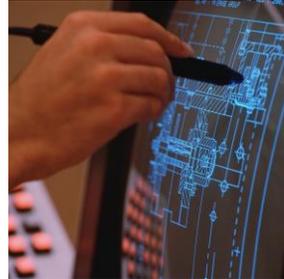
This chapter provides details on the scoring process of CCAS, as well as an activity to reinforce the information presented.

## Sample Employee



### ASSESSING EMPLOYEE CONTRIBUTIONS Sample Employee

- Joe Contributor
- NH-0801-III, General Engineer
- Base Pay - \$67,958



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To best illustrate CCAS, we will follow a sample employee through the entire 11-step process for the next several chapters. The employee is Joe Contributor, who is a General Engineer. He is classified as an NH-0801-III, and has a base pay of \$67,958.00

## Expected Contribution Range Calculator



### ASSESSING EMPLOYEE CONTRIBUTIONS Expected Contribution Range Calculator

**2014 Expected Contribution Range Calculator**

Enter Base Pay/Retained Pay	Career Path	Broad-band	Max Pay	Retained Pay?	Expected Contribution Range =	Expected Contribution Range		
						Upper Rail	Standard Pay Line	Lower Rail
\$67,958	NH	3	\$94,108	No	64	67	71	

Pay Used in Calculation: \$67,958

Click on Boxes for Dropdown List to Select

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Employees may reference their Expected Overall Contribution Score (EOCS) and Expected Contribution Range (ECR) at any time by using the online OCS calculator. The OCS calculator provides the expected score in the Standard Pay Line (SPL) column and the upper and lower ranges for that score.

The website calculator is located on-line at: <http://acqdemo.hci.mil/tools.html>

The Expected OCS is important to the appraisal process because it helps pinpoint the expected contributions for the appraisal period, allowing employees and supervisors to plan assignments geared towards meeting contribution goals.

Joe’s Expected OCS is 67, and is ECR is 64-71. As long as Joe’s final OCS is within that range, CCAS will consider him “appropriately compensated.”

The SPL, Upper Rail, and Lower Rail will be discussed in subsequent pages.

## Broadband Level Point Ranges



### ASSESSING EMPLOYEE CONTRIBUTIONS Broadband Level Point Ranges

Levels	Categorical	NH Point Range	NJ Point Range	NK Point Range
IV	Very High	115	95	70
	High	96 – 100	79 – 83	--
	Med	84 – 95	67 – 78	--
	Low	79 – 83	61 – 66	--
III	High	79 – 83	62 – 66	57 – 61
	Med	67 – 78	52 – 61	47 – 56
	Low	61 – 66	43 – 51	38 – 46
II	High	62 – 66	47 – 51	42 – 46
	Med High	51 – 61	41 – 46	--
	Med	41 – 50	36 – 40	30 – 41
	Med Low	30 – 40	30 – 35	--
	Low	22 – 29	22 – 29	22 – 29
I	High	24 – 29	24 – 29	24 – 29
	Med	06 – 23	06 – 23	06 – 23
	Low	00 – 05	00 – 05	00 – 05

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At the beginning of each CCAS cycle, employees are informed of their Expected OCS, which is based solely on their base pay.

The broadband point level chart above is based on a pay table (see next page) that calculates the expected OCS for pay ranges in each broadband. GS 1 Step 1 equates to an OCS of 0 and a base pay of \$17,981.

Notice how the higher levels in the broadband have higher pay potential, as higher pay levels have higher contribution expectations. Employees eligible to be placed in the “Very High” point range will be those individuals at the top broadband level of their career path.

Joe’s ECR of 64-71 corresponds with the NH-III Low and Medium categories.

Determinations of categorical and numerical scores are discussed in more detail on the following pages.

**Normal Pay Range and Standard Pay Line for 2014**  
(Based on 1% Increase)

	OCS	SPL	*0.92 Lower Rail	*1.08 Upper Rail		OCS	SPL	*0.92 Lower Rail	*1.08 Upper Rail
GS01/1	0	17981	16543	19419					
	1	18341	16874	19809		51	49470	45513	53428
	2	18709	17212	20206		52	50462	46425	54499
	3	19084	17557	20611		53	51473	47355	55591
	4	19466	17909	21024		54	52505	48305	56705
	5	19857	18268	21445		55	53557	49273	57842
	6	20255	18634	21875		56	54631	50260	59001
	7	20661	19008	22313		57	55726	51268	60184
	8	21075	19389	22761		58	56843	52295	61390
	9	21497	19777	23217		59	57982	53343	62620
	10	21928	20174	23682		60	59144	54412	63875
	11	22367	20578	24157		61	60329	55503	65156
	12	22816	20990	24641		62	61538	56615	66462
	13	23273	21411	25135		63	62772	57750	67794
	14	23739	21840	25639		64	64030	58908	69152
	15	24215	22278	26152		65	65313	60088	70538
	16	24701	22724	26677		66	66622	61292	71952
	17	25196	23180	27211		67	67958	62521	73394
	18	25701	23645	27757		68	69320	63774	74865
	19	26216	24118	28313		69	70709	65052	76366
	20	26741	24602	28880		70	72126	66356	77896
	21	27277	25095	29459		71	73572	67686	79457
	22	27824	25598	30050		72	75046	69043	81050
	23	28381	26111	30652		73	76550	70426	82674
	24	28950	26634	31266		74	78085	71838	84331
	25	29530	27168	31893		75	79650	73278	86022
	26	30122	27713	32532		76	81246	74746	87746
	27	30726	28268	33184		77	82874	76244	89504
	28	31342	28835	33849		78	84535	77773	91298
	29	31970	29412	34528		79	86230	79331	93128
	30	32611	30002	35220		80	87958	80921	94995
	31	33264	30603	35926		81	89721	82543	96899
	32	33931	31217	36646		82	91519	84198	98841
	33	34611	31842	37380		83	93353	85885	100822
	34	35305	32481	38129		84	95224	87606	102842
	35	36012	33131	38893		85	97133	89362	104904
	36	36734	33796	39673		86	99080	91153	107006
	37	37471	34473	40468		87	101066	92980	109151
	38	38222	35164	41279		88	103091	94844	111338
	39	38988	35869	42107		89	105157	96745	113570
	40	39769	36587	42951		90	107265	98684	115846
	41	40566	37321	43811		91	109415	100662	118168
	42	41379	38069	44689		92	111608	102679	120536
	43	42208	38832	45585		93	113845	104737	122952
	44	43054	39610	46499		94	116126	106836	125417
	45	43917	40404	47431		95	118454	108978	127930
	46	44798	41214	48381		96	120828	111162	130494
	47	45695	42040	49351		97	123250	113390	133110
	48	46611	42882	50340		98	125720	115662	135777
	49	47545	43742	51349		99	128240	117980	138499
	50	48498	44619	52378	GS15/10	100	130810	120345	141275

## Determining Categorical Scores



### ASSESSING EMPLOYEE CONTRIBUTIONS Determining Categorical Scores – Part 1

- **Part 1:** Know the employee’s assigned broadband level.
  - Review the Factors, Descriptors and Discriminators of that level, as well as the next higher and lower broadband levels
  - Determine which broadband level (I, II, III or IV) best describes the employee’s contributions for the rating cycle

Factor – Leadership / Supervision NH		Very High	115
LEVEL IV - LEADERSHIP/SUPERVISION *Establishes and/or leads teams to carry out complex projects or programs. Resolves conflicts. Creates climate where empowerment and creativity thrive. Recognized as a technical/functional authority on specific issues. *Leads, defines, manages, and integrates efforts of several groups or teams. Ensures organizational mission and program success. *Fosters the development of other team members by providing guidance or sharing expertise. Directs assignments to encourage employee development and cross-functional growth to meet organizational needs. Pursues personal/professional development.	IV	High	96-100
		Medium	84-95
		Low	79-83
LEVEL III - LEADERSHIP/SUPERVISION *Provides guidance to individuals/teams; resolves conflicts. Considered a functional/technical expert by others in the organization; is regularly sought out by others for advice and assistance. *Defines, organizes, and assigns activities to accomplish projects/programs goals. Guides, motivates, and oversees the activities of individuals and teams with focus on projects/programs issues. *Fosters individual/team development by mentoring. Pursues or creates training/development programs for self and others.	III	High	79-83
		Medium	67-78
		Low	61-66
LEVEL II - LEADERSHIP/SUPERVISION *Actively contributes as a team member/leader; provides insight and recommends changes or solutions to problems. *Proactively guides, coordinates, and consults with others to accomplish projects. *Identifies and pursues individual/team development opportunities.	II	High	62-66
		Medium-High	51-61
		Medium	41-50
		Medium-Low	30-40
LEVEL I - LEADERSHIP/SUPERVISION *Takes initiative in accomplishing assigned tasks. *Provides inputs to others in own technical/functional area. *Seeks and takes advantage of developmental opportunities.	I	High	24-29
		Medium	6-23
		Low	0-5

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After preparing the annual appraisal, supervisors begin the scoring process.

The set of descriptors for a particular factor and broadband level are to be taken as a group to decide at what categorical level a factor should be scored.

To better appreciate what the contribution range is for the assigned broadband, supervisors must consider what contributions might fall in the levels below and above the current level.



## ASSESSING EMPLOYEE CONTRIBUTIONS Determining Categorical Scores – Part 2

- **Part 2:** Use the factor descriptors / discriminators to determine a categorical score
  - Remember that factor descriptors are written at the top of the broadband, so the logic is that you would:
    - Choose **High** if the employee consistently meets all of the factor descriptors during the appraisal cycle
    - Choose **Medium** if the employee consistently meets most of the factor descriptors during the appraisal cycle with minimal guidance
    - Choose **Low** if the employee consistently meets portions of the factor descriptors during the appraisal cycle, or needs greater than expected assistance in meeting them

*Note: This is NOT criteria for rating!...it is logic for application to your thought process and judgment in determining assessments*

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Use the information above to better understand the distinctions made between categorical levels as a step in helping you determine which categorical score to choose.



### ASSESSING EMPLOYEE CONTRIBUTIONS Categorical Scoring

NH Contribution Matrix		Factors					
		Problem Solving	Teamwork/ Cooperation	Customer Satisfaction	Leadership/ Supervision	Communi -cation	Resource Management
Level IV	Very High						
	High						
	Med						
	Low						
Level III	High	X					X
	Med		X	X	X	X	
	Low						
Level II	High						
	M/H						
	Med						
	M/L						
Level I	Low						
	High						
	Med						
	Low						

Step 2

The supervisor compares employee contributions to the expectations listed in the appropriate factor descriptors and discriminators and then assigns a preliminary categorical score in CAS2NET. This rating is called the **categorical score**.

Joe’s supervisor has assessed his level of contributions as four 3 Medium and two 3 High categorical scores for the 6 factors.

Based on local guidance, supervisors may also be asked to provide preliminary numerical scores as well. This will be discussed further on the next page.

Depending on the organization’s pay pool structure, supervisors may sit on a sub pay pool panel and continue on to the next CCAS process step. If, however, a supervisor is not a member of a pay pool or sub pay pool panel, their participation in the scoring process is completed after recommending preliminary categorical scores (and possibly preliminary numerical scores), unless called upon by the sub pay pool or pay pool panel for further clarification.

If at any time the pay pool feels the need to change a supervisor’s preliminary scores, the pay pool will contact the supervisor to discuss their proposed changes. Therefore, the supervisor should remain available throughout the pay pool process to assist as needed.

## Determining Numerical Scores



### ASSESSING EMPLOYEE CONTRIBUTIONS Determining Numerical Scores

- Use discriminators and knowledge of the employee’s contributions to rank order the results
- Use rank order and knowledge of the employee’s contributions to determine numerical scores

#### Steps 3-4

#### NH Career Path Teamwork /Cooperation Factor

<b>3 Medium (3M)</b>	<b>67-78</b>
Cora	75
Joe	72
Bruce, Rick	69
Rose	67

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At the sub pay pool panel level, or the pay pool panel level if no sub pay pool panels exist, the categorical scores are further refined and rank ordered. Adjustments are made until consistency and equity are reached. The contribution matrix is then completed and the categorical scores set.

Based on the range of scores available for that particular cell in the matrix, this refined preliminary categorical score is assigned a **numerical score**.

This two-step process for obtaining a recommended score for each factor is a way to ensure consistent use of the standards.



### ASSESSING EMPLOYEE CONTRIBUTIONS Joe's Numerical Scores

NH Contribution Matrix		Factors					
		Problem Solving	Teamwork/ Cooperation	Customer Satisfaction	Leadership/ Supervision	Communi- cation	Resource Management
Level IV	Very High						
	High						
	Med						
	Low						
Level III	High (79 – 83)	3H (79)					3H (79)
	Med (67 – 78)		3M (72)	3M (72)	3M (69)	3M (70)	
	Low (61 – 66)						
Level II	High						
	M/H						
	Med						
	M/L						
Level I	High						
	Med						
	Low						

**Step 5**

As a final sanity check, you may want to compare these preliminary numerical scores with the employee's Expected OCS to confirm that your assessed scores are consistent with the employee's original expected level of contribution at the beginning of the appraisal cycle.

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Step 5 is envisioned as the second meeting of the pay pool panel, but could be a continuation of the first meeting.

If after the first pay pool panel meeting there are questions for individual supervisors, those conversations take place between the two pay pool meetings.

It is also a chance for each pay pool panel member to reflect on the panel's preliminary decisions before final scores are set.

Before scores are approved, the pay pool may consider performing one last sanity check against employee Expected Overall Contribution Scores to ensure that the numerical scores selected are in-line with employee contributions.

## Recommended Overall Contribution Score



### ASSESSING EMPLOYEE CONTRIBUTIONS Recommended Overall Contribution Score

#### Numerical Score of Each Factor:

**Problem Solving – 79**  
**Teamwork/Cooperation – 72**  
**Customer Relations – 72**  
**Leadership/Supervision – 69**  
**Communication – 70**  
**Resource Management – 79**  
**441**

**Step 6**

$$441 / 6 = 74$$

**Overall Contribution Score**

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After numerical scores have been assigned to each of the factors, the scores are averaged to produce a preliminary Overall Contribution Score (OCS).

This score is forwarded to the pay pool as the **preliminary OCS**, along with the individual categorical and numerical factor scores, since it has not yet been validated by the pay pool. The pay pool panel then considers the preliminary score in the context of the contribution of other members of the pool for consistency. After considering each recommended OCS for equity and consistency, the pay pool manger approves a final OCS for each employee.

For our example, the pay pool manager has approved the numerical scores shown on the slide shown above for Joe, resulting in an OCS of 74.

## Activity: Assessing Employee Contributions



### ASSESSING EMPLOYEE CONTRIBUTIONS Activity: Assessing Employee Contributions

1. In small groups, review the background information on the following pages
2. As a group, collectively determine the preliminary categorical scores for each of the employees for one factor
3. Next, determine the preliminary numerical scores
4. Present your group's results to the rest of the class



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Read the following scenario that describes the employee's contributions for the past year.

#### **Instructions**

Drawing upon the scenario, determine the categorical and numerical scores for each employee for the **Problem Solving** factor.

You will have approximately 30 minutes to complete this part of the activity. When finished, prepare to brief out your decisions and the rationale for them to the rest of the class.

You supervise the following employees who all hold NH-III positions: Joe, Rose, Rick, Cora, Bruce.

Below is a summary of their contributions as presented in their appraisals relating to the Problem Solving factor:

Employee	Summary of Contributions
<b>Joe</b>	Joe led a series of high level projects this year. Chief among them was a new computer system that tracked our warehouse inventory in a much more automated way than our old system. The team Joe put together had to overcome several unexpected obstacles, yet still finished the project ahead of schedule by 2 months and under budget by 10%. This resulted in an efficient end-of-year audit with our best results in years. And because Joe’s projects finished early, he was able to take on a couple of additional projects that we did not anticipate being able to get to this fiscal year.
<b>Rose</b>	Rose really struggled this year in this capacity. In fact, I even had to replace her as the lead on two projects. Despite weekly progress meetings, and other coaching sessions I held with Rose, her projects were constantly behind schedule. Her project plan did not contain the proper risk management analysis and thus several times when an obstacle was put in front of her projects she had no pre-planned solution for getting around them. While she did complete some assignments, overall her contributions did not match expectations of her classification and pay.
<b>Rick</b>	Rick was the lead programmer for a new system that tracks material storage and delivery of weapon system parts from the Supply Department to the Operating Forces. Despite unexpected delays in requirements documents, Rick accelerated the coding to stay on schedule. This tracking system cut reorder costs by 5% and improved delivery time on average by 10 days.
<b>Cora</b>	Cora began the year completing the new HR database development project, well ahead of schedule and budget. She also had to step in to replace Rose on a couple of projects. While those projects where not specifically in Cora’s area of expertise, she jumped right in and quickly got up to speed. The course corrections made on those projects was astounding really. Received letter of appreciation from Assistant Chief of Staff.
<b>Bruce</b>	Using an off-the-shelf tool, Bruce implemented an automated process for tracking an average of 600 work requests per month. The project got slightly behind schedule but after discussions from his Mid-Point Review and subsequent coaching, Bruce was able to complete the project on-time. This new process saved \$7K in overtime for the admin staff, saved time by having information readily available on-line and saved time and space by not having to file paperwork. It also made the work requests much easier to read by maintenance personnel.

**Results**

As a supervisor, determine the categorical score for each employee for the **Problem Solving** factor.

Once the categorical scores are determined, as a sub pay pool panel rank order the preliminary categorical scores. Then, assign the preliminary numerical scores for each employee as well.

***Matrixed Scores***

<b>Employee</b>	<b>Categorical Scores</b>
<b>Joe</b>	
<b>Rose</b>	
<b>Rick</b>	
<b>Cora</b>	
<b>Bruce</b>	

<b>Employee</b>	<b>Numerical Scores</b>
<b>Joe</b>	
<b>Rose</b>	
<b>Rick</b>	
<b>Cora</b>	
<b>Bruce</b>	

## Special Situations

### Pay Retention



#### ASSESSING EMPLOYEE CONTRIBUTIONS Special Situations

### Pay Retention

- EOCS will be set at top of the broadband equivalent regardless of retained pay rate
- Retained rate employees are ineligible for Contribution Rating Increase (CRI) but, depending on rated OCS, may earn roll-over bonus or Contribution Award (CA) award in similar manner as employees at maximum pay of assigned broadband level

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## Away From Duty Station



### ASSESSING EMPLOYEE CONTRIBUTIONS Special Situations Con't.

#### Away From Duty Station

- When an employee cannot be evaluated due to circumstances which takes the individual away from their normal duties or duty station (e.g., long term, full time training, active military duty, extended sick leave, leave without pay, etc.), the supervisor has two scoring options:
  - Presume the employee is contributing consistently with their pay level; payout determined from Expected OCS
  - Re-certify the employee's last CCAS appraisal, if applicable; payout determined from last CCAS appraisal score
- Pay Pool Data Maintainers will reflect appropriate coding in the CCAS spreadsheet which will be reflected in the employee's approved Part I – CCAS Appraisal Form

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## New Hires



### ASSESSING EMPLOYEE CONTRIBUTIONS Special Situations Con't.

#### New Hires

- Employees with less than 90 consecutive calendar days as of 30 September under CCAS will be considered in parity with their current pay, and will not be rated that year but will receive the full amount of any General Pay Increase (GPI). Part I of the CCAS Appraisal Form will document that the employee is receiving a "Presumptive – Status 1" rating due to lack of time in CCAS.

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## Moved To Another Pay Pool Before 30 September



### ASSESSING EMPLOYEE CONTRIBUTIONS Special Situations Con't.

#### Moved To Another Pay Pool Before 30 September

- If an employee has served 90 consecutive calendar days under CCAS, but has moved to a new AcqDemo pay pool before 30 September, the new rating official must:
  - Consider any contribution assessment provided by the employee and his/her previous supervisor; and
  - Rate the employee based upon the contributions made in the new pay pool

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## Employee Departing But Staying Within AcqDemo



### ASSESSING EMPLOYEE CONTRIBUTIONS Special Situations Con't.

#### Employee Departing But Staying Within AcqDemo

If employee departs the organization to another AcqDemo pay pool after 1 Oct, but before the subsequent payout, the employee receives his/her approved Rating of Record from the losing organization.

- In addition, if the employee leaves after OCS/payout is approved but before the payout:
  - The Rating of Record is forwarded; payout result is discussed with gaining organization for timing of move and/or pay setting consideration
  - Contribution Award may be reconsidered for a Special Act Award prior to departure
  - Contribution Award may be subject to other local policy

*Note: Awards paid may be reportable as part of the OPM/DoD 1% award limitation*

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## Employee Departing AcqDemo



### ASSESSING EMPLOYEE CONTRIBUTIONS Special Situations Con't.

#### Employee Departing AcqDemo

- If employee moves from a pay pool to a position outside of AcqDemo, employee receives approved OCS and the GPI, and MAY receive an incentive award in lieu of a Contribution Award (CA), subject to local policy.
- If employee retires or separates after 1 Oct., they MAY receive an incentive award in lieu of a CA, subject to local policy.

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## Part-time Employees



### ASSESSING EMPLOYEE CONTRIBUTIONS Special Situations Con't.

#### Part-time Employees

- Are treated as full-time equivalents. Appraisals are based on full-time equivalent contributions.
- Pay adjustments are based on the full-time annual rate of basic pay. Pay pool managers may prorate CA amounts.

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## Post-Cycle Promotion



### ASSESSING EMPLOYEE CONTRIBUTIONS Special Situations Con't.

#### Post-Cycle Promotion

- If an employee is promoted to a higher broadband after the end of the appraisal period but before the payout...
  - Expected OCS on 30 September of the previous cycle continues to be used in determining the delta OCS
  - Contribution Rating Increase (CRI) is calculated
    - if the calculated CRI, plus the GPI, plus the previous base pay is higher than the promotion pay adjusted by GPI, then the employee will get the CCAS calculated pay as their new pay effective on payout date
    - if the adjusted promotion pay is higher than the CCAS calculated pay, then the adjusted promotion pay will remain

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## Chapter 7: Rewarding Employee Contributions



### VII. REWARDING EMPLOYEE CONTRIBUTIONS

- Pay Pool Funding
- Payout Calculations
- CCAS Reward Payout Criteria
- Selecting Target Pay



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This chapter provides details the steps taken to determine the distribution of pay pool funds at the conclusion of the appraisal cycle.

## Pay Pool Funding



### REWARDING EMPLOYEE CONTRIBUTIONS Pay Pool Funding

- Pay Pool Funding
  - **Contribution Rating Increase (CRI)**
    - Intended to be consistent with funds historically spent in GS on within-grade increases, quality-step increases and promotions between grades that are now banded
    - Minimum of 2% of activity's total pay budget
  - **General Pay Increase (GPI)**
    - Accounts for the cost of labor and percentage increase for the GS pay table
  - **Contribution Awards (CA)**
    - Intended to be consistent with funds historically spent in GS on performance awards
    - Minimum of 1% of activity's total pay budget
    - Will not exceed 90% of organization total awards budget

*Note: OPM/DoD memo limits cash award execution to 1% of adjusted pay for FY2014.*

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The amount of money available for CRI within a pay pool is determined by the money that would traditionally have been available for quality and within-grade step increases, and career promotions. Funds not distributed from the general pay increase may also be transferred to the CRI pool of money. Additionally, the CRI pools may be used to augment the CA pool. However, the awards money portion cannot be used for increments to base pay.

The CRI pool of money will be set at no less than 2% of the activity's total pay budget (base pay plus locality pay). These floors represent a budgetary minimum amount. Components may set higher amounts within their budgetary limits. No ceiling amount is directed by the Operating Procedures.

The CA pool includes what were formerly performance awards. This pool will be used for awards given under the CCAS process. The fund will be set at no less than 1.0 % of the activity's total pay budget. This fund will not exceed 90 % of the total awards budget, so as to allow for other awards not related to the CCAS process, e.g., on the spot awards and group awards.

The dollar amounts to be included in the pay pool will be computed based on the employees in the pay pool as of 30 September each year.

## Payout Calculations



### REWARDING EMPLOYEE CONTRIBUTIONS Payout Calculations

Determine who is in the pay pool as of the end of the rating period on 30 September.

Employee	Base Pay	Adjusted Pay
Contributor, Joe	\$67,958	\$77,581
Blaine, Rick	\$80,121	\$91,466
Munroe, Cora	\$70,010	\$79,923
Wayne, Bruce	\$65,453	\$74,721
Sayers, Rose	\$70,010	\$79,923
Totals	\$353,552	\$403,615

Total the Base Pay column for use in CRI calculations.

Total the Aggregate Pay column for use in CA calculations.

*Note: Aggregate Pay example above reflects current RUS locality rate; aggregate pay will vary by locality*

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### REWARDING EMPLOYEE CONTRIBUTIONS Payout Calculations Con't.

Calculate pay pool dollars allocated for pay increases (CRI) and awards (CA).

*The minimum funding level for CRI is 2.0% and CA is 1.0%.*

$$\begin{aligned} \text{Total Base Pay} * \text{CRI Funding Level} &= \text{CRI Pool} \\ \$353,552 * 2.0\% &= \$7,071 \end{aligned}$$



CRI = \$7,071

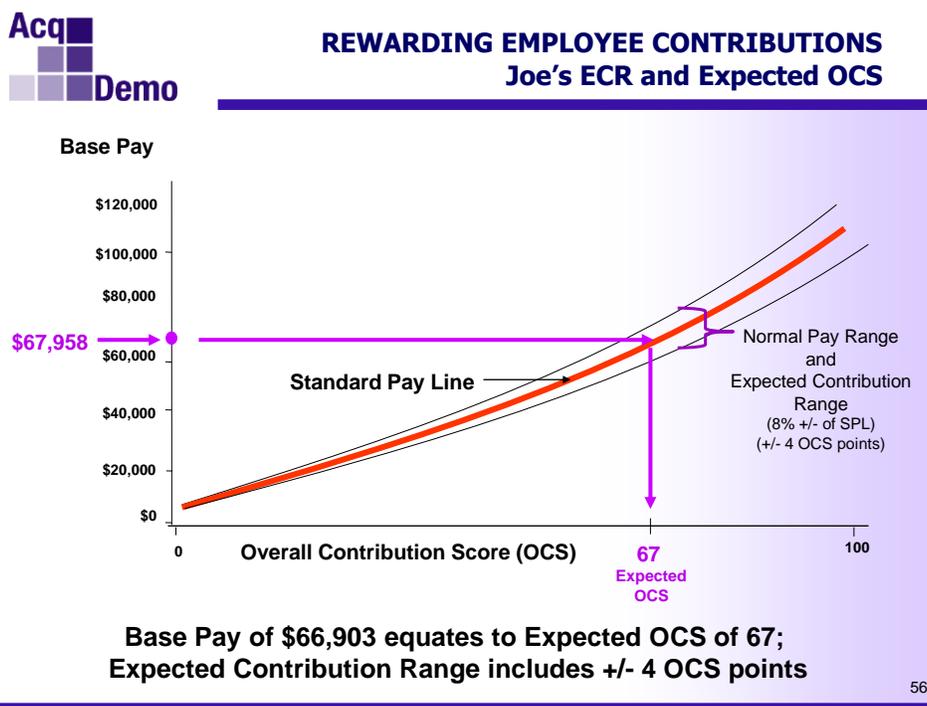
$$\begin{aligned} \text{Total Adjusted Pay} * \text{CA Funding Level} &= \text{CA Pool} \\ \$403,615 * 90\% \text{ of } 1.0\% &= \$3,633 \end{aligned}$$



CA = \$3,633

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## Joe's ECR and Expected OCS



This chart shows a direct link between increasing levels of contribution and increasing pay.

The Standard Pay Line (SPL) distributes the GS-1 to GS-15 pay range across the chart beginning at an OCS of 0 (GS-1, Step 1) and ending at OCS of 100 (GS-15, Step 10). The upper and lower rails encompass an area of approximately +/- 4.0 OCS points, and +/- 8.0 percent in terms of base pay from the SPL. This creates what we call the Normal Pay Range (NPR), and the Expected Contribution Range (ECR).

Employees whose OCS plotted against their base pay falls on or within the rails are considered “appropriately compensated - C.” Employees whose pay falls below the NPR for their assessed contribution score are considered “undercompensated - below the rails (B),” and those falling above the NPR are considered “overcompensated - above the rails (A).”

The goal of CCAS is to make pay consistent with employees’ contributions to the mission of the organization.

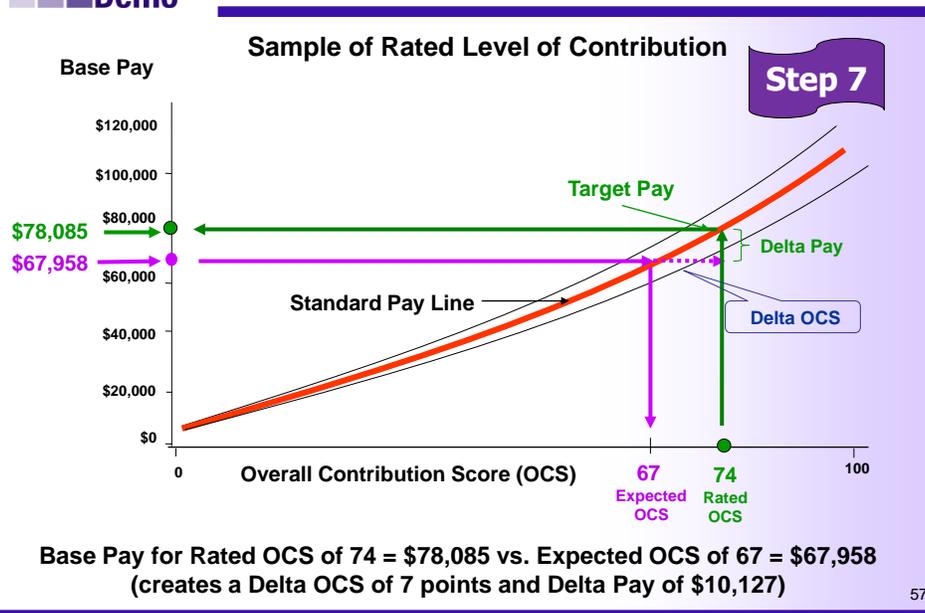
Joe’s base pay of \$67,958 plotted on this graph equates to an expected score of 67.

Joe’s ECR then, being approximately +/- 4 points from that score, is 64-71.

## Joe's Final OCS



### REWARDING EMPLOYEE CONTRIBUTIONS Joe's Final OCS



The pay pool manager has approved Joe's score of 74. Let's take a look at what the monetary impact of that decision is for Joe.

If we reverse the earlier process and start with the 74 score along the scoring axis, follow it up to the SPL and back over to the pay axis, we see that Joe has earned a target pay of \$78,085 which creates a delta OCS of 7 points and a delta pay of \$10,127.

The more delta OCS points to be compensated there are, the lower the percentage of payout will be for each employee. Due to limited funding in the pay pool, it is likely that each employee will only be awarded a percentage of the delta pay amount earned.

This slide illustrates the Standard Pay Line perspective. If the Lower Rail was used, fewer people would receive payouts, but those that did would receive larger payouts. If the Upper Rail was used, more people would receive payouts, but each payout would be smaller. The SPL allows for something in between the upper and lower rail options.

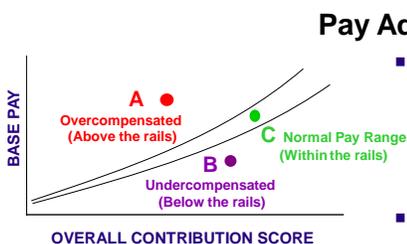
A different choice of rail can be made for both CRI and CA payout decisions. This is a Component decision. Check for your Component policy on which line/rail will be used for payout and be sure to explain the implications of this decision to your employees.

The following three pages demonstrate the effect of the rail choices.

## CCAS Reward Payout Criteria



### REWARDING EMPLOYEE CONTRIBUTIONS CCAS Reward Payout Criteria



#### Pay Adjustment Guidelines

- Three forms of compensation available depending on the category into which employee falls (see chart below)
- General Pay Increase may be reduced or denied
- Locality Pay is not at risk

#### Payout Eligibility

Compensation Category	General Pay Increase	Contribution Rating Increase	Contribution Award	Locality Pay
A	Can be given in full, reduced or denied	No	No	Yes
C	Yes	Yes – up to 6%	Yes	Yes
B	Yes	Yes – up to 20%	Yes	Yes

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Plotting an employee’s final OCS and current pay on a graph that includes the standard pay line, with upper and lower rails, locates his or her data point into one of three zones, A, B or C. Regions A and B contain data points showing employees who are inappropriately compensated, while Region C contains data points showing employees who are appropriately compensated.

Those employees’ whose scores plot above the rails (A) are contributing less than what would be expected for their pay.

Those whose scores plot below the rails (B) are contributing more than what is expected for their pay.

See the chart above for the possible increases given to employees in the A, B, and C areas.

Aside from the guidelines above, there are other considerations for assigning Contribution Rate Increases (CRI) and Contribution Awards (CA). Those considerations include:

- Pay increase decisions are based in part on available funding
- Basic pay plus locality pay may not exceed Executive Level IV basic pay
- CRI increases may not exceed maximum pay for current broadband level
- CRI increases over 20% requires local commander’s (or equivalent) approval
- Pay pool manager can approve CA’s up to \$10,000; amounts exceeding \$10,000 require local commander’s (or equivalent) approval
- Program intent is to have all people be appropriately compensated

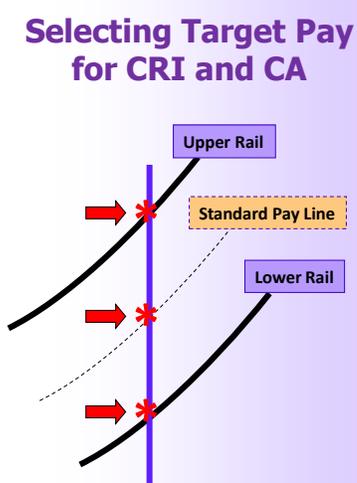
*Note: For those in the “B” area, it may take more than one performance period to elevate an employee’s pay into the normal pay range.*

### Selecting Target Pay



#### REWARDING EMPLOYEE CONTRIBUTIONS Selecting Target Pay

OCS	*0.92 Lower Rail	SPL	*1.08 Upper Rail
60	53874	58559	63244
61	54954	59733	64511
62	56056	60930	65804
63	57179	62151	67123
64	58325	63397	68469
65	59494	64668	69841
66	60687	65964	71241
67	61903	67286	72669
68	63144	68634	74125
69	64409	70010	75611
70	65700	71413	77126
71	67017	72844	78672
72	68360	74304	80249
73	69730	75794	81857
74	71128	77313	83498
75	72553	78862	85171



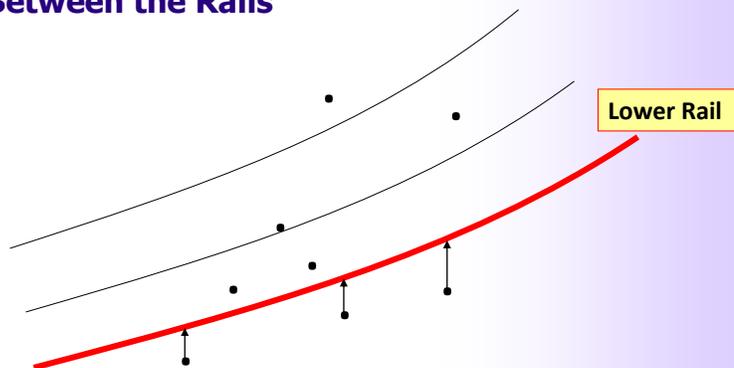
59

### Using The Lower Rail



#### REWARDING EMPLOYEE CONTRIBUTIONS Using The Lower Rail

Only **three** employees receive CRI pay adjustment  
- None Between the Rails



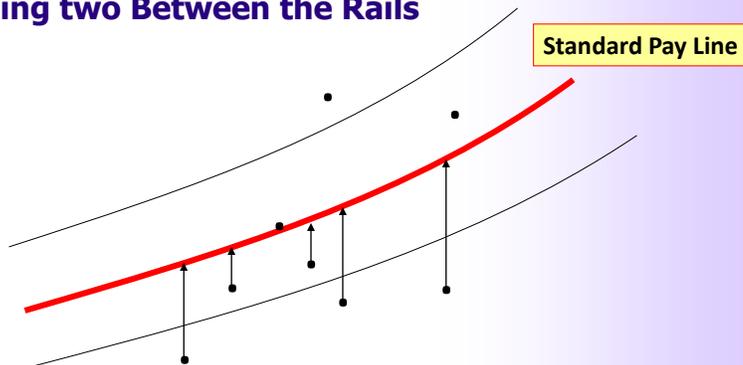
60

Using The Standard Pay Line



REWARDING EMPLOYEE CONTRIBUTIONS  
Using The Standard Pay Line

Now **five** receive CRI pay adjustment  
- Including two Between the Rails



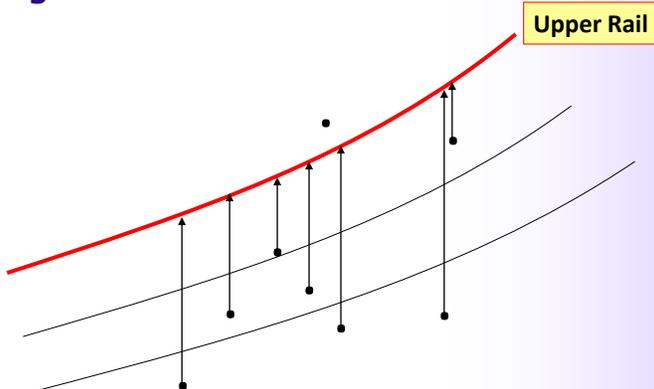
61

Using The Upper Rail



REWARDING EMPLOYEE CONTRIBUTIONS  
Using The Upper Rail

Now **seven** receive CRI pay adjustment  
- Including all four in Between the Rails



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## Payout Calculations



### REWARDING EMPLOYEE CONTRIBUTIONS Payout Calculations

Enter approved OCS and Target Salaries.

	Expected OCS	Approved OCS	Base Pay	Target Pay
Contributor, Joe	67	74	\$67,958	\$78,085
Blaine, Rick	76	71	\$80,121	\$73,572
Munroe, Cora	69	71	\$70,010	\$73,572
Wayne, Bruce	66	70	\$65,453	\$72,126
Sayers, Rose	69	68	\$70,010	\$69,320

Determine the Delta OCS and Delta Salaries.

	Expected OCS	Approved OCS	Delta OCS	Base Pay	Target Pay	Delta Pay
Contributor, Joe	67	74	7	\$67,958	\$78,805	\$10,127
Blaine, Rick	76	71	-5	\$80,121	\$73,572	<del>-\$6,249</del>
Munroe, Cora	69	71	2	\$70,010	\$73,572	\$3,562
Wayne, Bruce	66	70	4	\$65,543	\$72,126	\$6,583
Sayers, Rose	69	68	-1	\$70,010	\$69,320	<del>-\$300</del>

Total Positive Delta Pay = \$20,272

Calculate total *positive* Delta Pay.

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### REWARDING EMPLOYEE CONTRIBUTIONS Payout Calculations Con't.

Calculate percent of Delta Pay to be given.

Available Dollars for CRI ÷ Total Positive Delta = Percent for CRI Payout



Total Positive Delta Pay of \$20,272

\$7,071 ÷ \$20,272 = 34.8806% of Positive Delta Pay for CRI

Available Dollars for CA ÷ Total Positive Delta = Percent for CA Payout



Total Positive Delta Pay of \$19,204

\$3,633 ÷ \$20,272 = 17.9213% of Positive Delta Pay for CA

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Joe's Payout Calculations



**REWARDING EMPLOYEE CONTRIBUTIONS**  
**Joe's Payout Calculations**

Calculate approved CRI and CA.

	Expected OCS	Approved OCS	Delta OCS	Base Pay	Target Pay	Delta Pay
Contributor, Joe	67	74	7	\$67,958	\$78,085	\$10,127

Delta Pay \* Percent of Delta Pay for CRI = Contribution Rating Increase

$$\$10,127 \times 34.8806\% = \$3,532$$

Delta Pay \* Percent of Delta Pay for CA = Contribution Award

$$\$10,127 \times 17.9213\% = \$1,815$$

Overall Compensation from the Pay Pool



**REWARDING EMPLOYEE CONTRIBUTIONS**  
Overall Compensation from the Pay Pool

	Expected OCS	Approved OCS	Delta OCS	Base Pay	Target Pay	Delta Pay	Computed CRI	Computed CA	
Contributor, Joe	67	74	7	\$67,958	\$78,085	\$10,127	\$3,532	\$1,815	
Blaine, Rick	76	71	-5	\$80,121	\$73,572	-\$6,549	\$0	\$0	
Munroe, Cora	69	71	2	\$70,010	\$73,572	\$3,562	\$1,242	\$638	
Wayne, Bruce	66	70	4	\$65,543	\$72,126	\$6,583	\$2,296	\$1,180	
Sayers, Rose	69	68	-1	\$70,010	\$69,320	-\$690	\$0	\$0	
Total Base Pay							\$20,272	34.8806%	17.9213%
							\$7,071	\$3,633	



**All the CRI and CA Pool dollars are distributed!!!**

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The pay pool panel assigns CRIs and CAs based on a percentage of the difference between the employee’s pay and the pay associated with an OCS. This percentage is based on the funds available and is distributed equitably among those employees whose pay and OCS ratings are plotted in the B and C ranges of the graph.

Once the scores and pay adjustments have been approved by the pay pool manager, they are documented on the CCAS Appraisal Form, Part I. Part I, which serves as the basis for individual End-of-Cycle discussions with the employees.

The pay pool panel will communicate results to supervisors. Supervisors should ensure that the Annual Appraisal reflects the approved appraisal results (i.e., scores and narrative).

The supervisor may seek additional clarification from the pay pool panel, if needed, before meeting with the employee.

## Chapter 8: Feedback on Expectations and Contributions



### VIII. FEEDBACK ON CONTRIBUTIONS

- End-of-Cycle Discussion
- CCAS Appraisal Form, Part 1
- Inadequate Contribution
- Grievance Process
- Activity: Communicating Appraisal Results



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This chapter provides effective communication tips for the End-of-Cycle discussion, including delivering the appraisal results at the end of the CCAS cycle.

## End-of-Cycle Discussion



### FEEDBACK ON CONTRIBUTIONS End-of-Cycle Discussion

End-of-Cycle discussion will include:

- Final Annual Appraisal, factor scores and Overall Contribution Score (OCS)
- Contribution Rating Increase (CRI)
- Contribution Award (CA)
- Areas of success and opportunities for greater contribution
- Areas for improvement

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The conversation that closes out the CCAS cycle is for the formal acknowledgement of the appraisal and OCS after the entire appraisal process has been completed. It should be a retrospective look at lessons learned and insights that can be carried forward into the current appraisal period to improve outcomes and organizational impact. It occurs in December or January, following the conclusion of the pay pool process.

#### CONVERSATION TIPS

- *Avoid surprises.* All concerned want the appraisal to be fair.
- *If the rating of record is below the Expected OCS, it is important to immediately discuss next steps.*
- *Do not criticize or blame the pay pool panel for lowering a recommended score.* Instead explain the rationale behind the pay pool's decision for the score achieved.



## FEEDBACK ON CONTRIBUTIONS End-of-Cycle Discussion Tips

- Be confident in message being delivered
  - Focus on evidence of contributions
  - Stress relationship between mission, contributions, and appraisal results
  - Understand value for contributions across the pay pool and how each employee's contributions compare to others
- Document the results of the discussion, highlighting the action plan for next steps to be taken

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Set the stage for a productive meeting with each employee. Showing your support and concern for them at this time of the year will help to create a more positive environment during the next appraisal cycle.

Prepare in your mind the questions each employee is likely to ask. Ensure that you are prepared with answers for each of those questions.

Be very clear on how/why the categorical and numerical scores were determined for each of the 6 Factors.

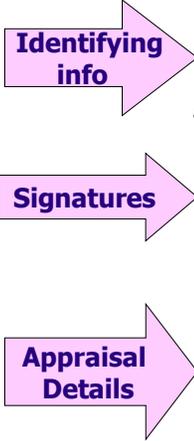
CCAS Results – Part 1 Form



FEEDBACK ON CONTRIBUTIONS  
CCAS Results – Part I Form

**Step 11**

Part I: CCAS Salary Appraisal Form



<b>Name:</b> Joe Contributor	<b>Series:</b> 801	<b>Appraisal Period:</b>
<b>CAS2Net ID:</b> 31	<b>Broadband Le:</b> III	From: 1-Oct-13
<b>Organizatio:</b> AMCLHBB	<b>Retained Pay:</b> No	To: 30-Sep-14
<b>Career Pat:</b> NH	<b>Presumptive:</b> None	

**Approved By:** Bob Arnold, Pay Pool Manager      **Effective Date of Appraisal:** January 1, 2015

Discuss evaluation with employee and obtain signature confirming discussion. Signature of employee does not constitute agreement with CCAS appraisal.

\_\_\_\_\_  
Date \_\_\_\_\_

**Supervisor Print / Sign**      \_\_\_\_\_  
Date \_\_\_\_\_

**Employee Print / Sign**      \_\_\_\_\_  
Date \_\_\_\_\_

2014 Appraisal Detail		Factor	Category	Score	Numeric Score
Overall Contribution Score	74	Problem Solving	3H		79
Expected Contribution Score	67	Teamwork	3M		72
Expected Contribution Range	64-71	Customer Relations	3M		72
Delta OCS	7	Leadership	3M		69
		Communications	3M		70
		Resource Manager	3H		79

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FEEDBACK ON CONTRIBUTIONS  
CCAS Results – Part I Form



<p><b>Compensation Detail</b></p> <table> <tr> <td>\$67,958</td> <td>Current Rate of Base Pay</td> <td></td> </tr> <tr> <td>+ \$ 680</td> <td>General Pay Increase</td> <td>1.0%</td> </tr> <tr> <td>+ \$ 3,532</td> <td>CRF (Salary Increase)</td> <td>5.20%</td> </tr> <tr> <td>= <b>\$72,170</b></td> <td><b>New Rate of Basic Pay</b></td> <td></td> </tr> <tr> <td>+ \$10,219</td> <td>Locality Pay @</td> <td>14.16%</td> </tr> <tr> <td>= <b>\$82,389</b></td> <td><b>New Total Salary</b></td> <td></td> </tr> <tr> <td>\$ 1,815</td> <td>Contribution Award</td> <td></td> </tr> </table>	\$67,958	Current Rate of Base Pay		+ \$ 680	General Pay Increase	1.0%	+ \$ 3,532	CRF (Salary Increase)	5.20%	= <b>\$72,170</b>	<b>New Rate of Basic Pay</b>		+ \$10,219	Locality Pay @	14.16%	= <b>\$82,389</b>	<b>New Total Salary</b>		\$ 1,815	Contribution Award		<p><b>Employee Compensation Region Chart</b></p> <p>Approved Compensation Region B</p> <p>The graph plots the employee's current base salary versus the final OCS relative to the rails and standard pay line (SPL); relating contribution to compensation. The top and bottom lines are the Upper and Lower Rails, respectively. The middle line is the SPL. Region A is above the Upper Rail. Region B is below the Lower Rail. Region C is on or within the rails. Compensation regions determine the availability of salary increases and awards. The point on the graph below is the employee's appraisal result.</p>
\$67,958	Current Rate of Base Pay																					
+ \$ 680	General Pay Increase	1.0%																				
+ \$ 3,532	CRF (Salary Increase)	5.20%																				
= <b>\$72,170</b>	<b>New Rate of Basic Pay</b>																					
+ \$10,219	Locality Pay @	14.16%																				
= <b>\$82,389</b>	<b>New Total Salary</b>																					
\$ 1,815	Contribution Award																					
<p><b>2014 Expected Contribution Level</b></p> <table> <tr> <td>Expected Overall Contribution Score</td> <td>70</td> </tr> <tr> <td>Expected Contribution Range</td> <td>67-74</td> </tr> </table> <p><small>Privacy Act Statement (502a of 5 U.S.C.) 1. AUTHORITY: Section III.D, Federal Register Notice dated January 8, 1999. 2. PURPOSE: This form summarizes the annual evaluation of an employee's contribution through CCAS assessment. 3. ROUTINE USE: This form is a computer-generated form that is produced for each employee and contains the overall contribution score and space for the signature of the PPM, the supervisor, and the employee. The original of this form will be maintained in accordance with agency procedures. 4. DISCLOSURE: Failure to verify the SSN may result in a delayed or erroneous processing of the individual's CCAS and applicable payouts. The information contained within this form is personal in nature and is restricted to those with appropriate permissions. Information collected on this form may be used for statistical and impact analysis.</small></p>	Expected Overall Contribution Score	70	Expected Contribution Range	67-74																		
Expected Overall Contribution Score	70																					
Expected Contribution Range	67-74																					
<p><b>Remarks</b></p>																						

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**FEEDBACK ON CONTRIBUTIONS  
CCAS Results – Part I Form**

**Individual factor scores:**

Part I: CCAS Salary Appraisal Form			Page 2
<b>Name:</b>	Joe Contributor	<b>Series:</b>	0801
<b>CAS2Net ID:</b>	12345	<b>Broadband Level:</b>	III
<b>Organization:</b>		<b>Retained Pay:</b>	No
<b>Career Path:</b>	NH	<b>Presumptive:</b>	None
		<b>Appraisal Period:</b>	From: 1-Oct-09 To: 30-Sep-10
<b>Factor</b>	<b>Category Score</b>	<b>Final Score</b>	
Problem Solving	3H	79	
Teamwork	3M	72	
Customer Relations	3M	72	
Leadership	3M	69	
Communications	3M	70	
Resource Management	3H	79	
OCS		74	

**Be prepared to discuss HOW each individual factor score was determined.**

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The supervisor communicates the final OCS, factor scores and pay adjustments to each employee.

The supervisors and employee sign the original of the Part I CCAS Appraisal form and the employee receives a original form, while the supervisor keeps a copy.

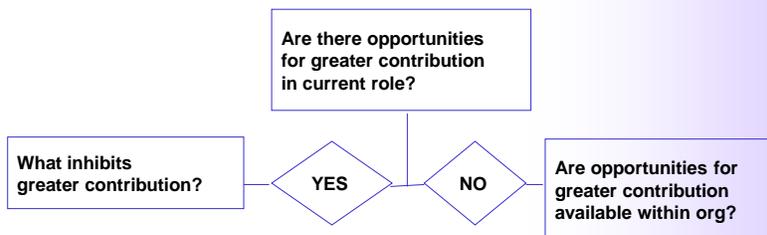
**Note that by the employee signing this document they are not agreeing with the appraisal, rather they are simply acknowledging receipt of the information.**

### Increased Contribution Opportunities



### FEEDBACK ON CONTRIBUTIONS Increased Contribution Opportunities

- Regardless of results, lead a discussion on how the employee can continue to increase their opportunities to contribute during the next cycle.

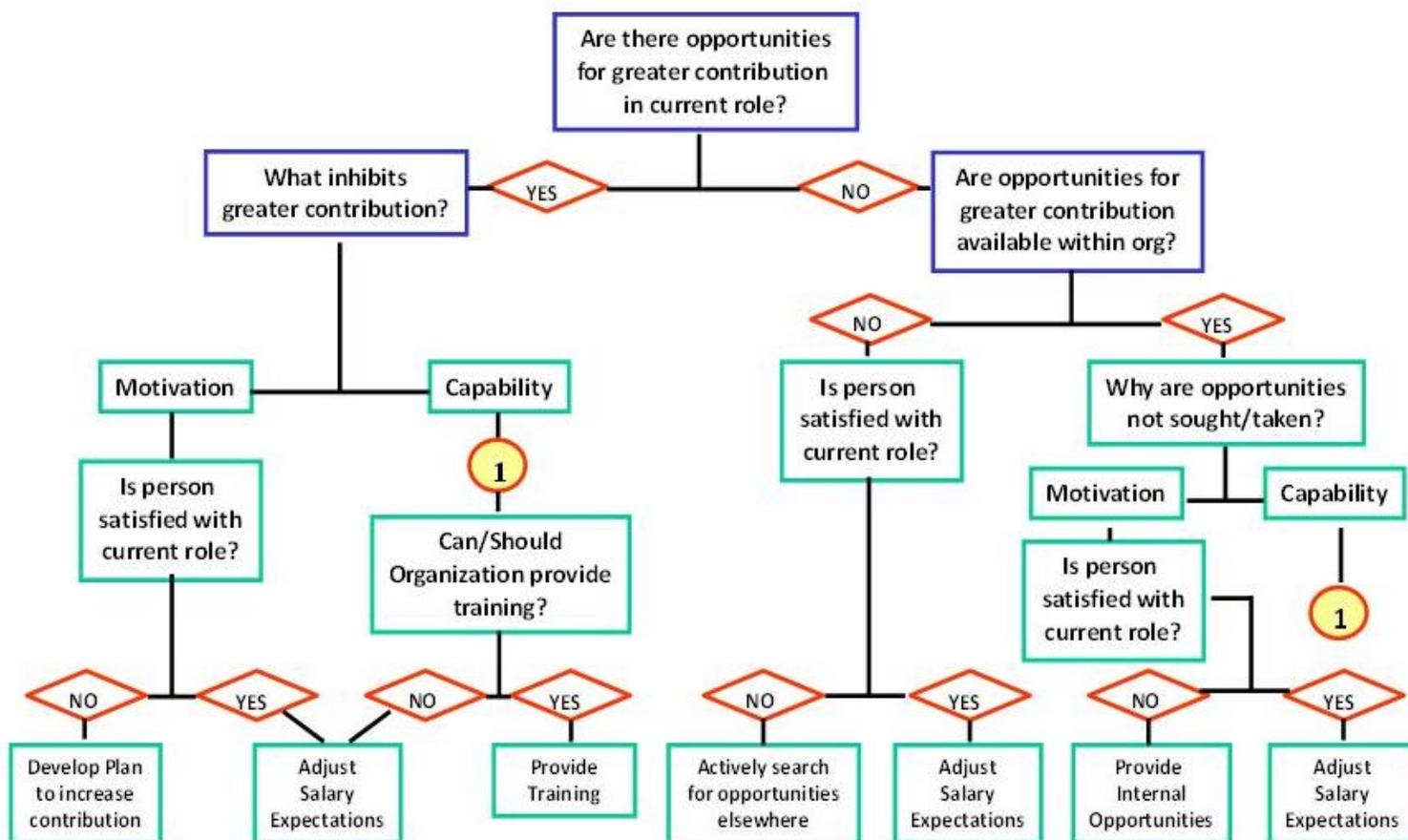


See Participant Guide for full chart

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Potential opportunities for increasing contributions for the upcoming appraisal period must also be discussed. The chart on the following page may be used by the supervisor to address ways in which an employee can increase their opportunities to contribute.

From AcqDemo Operating Procedures, Appendix E



## Inadequate Contribution



### FEEDBACK ON CONTRIBUTIONS Inadequate Contribution

- Goal of System: Appropriate compensation for contribution to mission effectiveness
- Inadequate contribution could result in:
  - Reassignment
  - Reduction in Pay
  - Removal from Federal Service
- Contribution Improvement Plans (CIP's) should be considered in the case of employees whose contributions to mission accomplishment are inadequate

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Employees whose pay and OCS are plotted in the "A" range may optionally be placed on a Contribution Improvement Plan (CIP). One reason why it is not REQUIRED and you may not want to issue a CIP is that an employee may plot in the "A" region for no fault of their own, such as an employee who is on retained pay.

A CIP is mandatory when the score on any ONE factor falls at or below the midpoint of the next lower broadband Level.



### FEEDBACK ON CONTRIBUTIONS Inadequate Contribution

- **Situation 1:** When an employee’s contribution *in any factor* is numerically at or less than the midpoint of the next lower broadband level (for broadband Level I employees, a score of 0 in any factor), a CIP must be issued.

Example: NH-III Employee with ratings at or below mid-point of NH-II BB Level

BB Lvl		FACTORS					
		Problem Solving	Teamwork/ Cooperation	Customer Relations	Leadership/ Supervision	Commun.	Resource Mgt
Midpoint 72	IV	Very High					
		High					
		Med					
		Low					
Midpoint 44	III	High		80			
		Med	72			75	
		Low			65		
Midpoint 15	II	High					
		M-H					
		Med				46	
		M-L					
Midpoint 15	I	High					
		Med					
		Low		29			

Table 3. Sample Contribution for Business Management and Technical Management Professionals

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### FEEDBACK ON CONTRIBUTIONS Inadequate Contribution

- **Situation 2:** When the overall contribution score places the employee in the “A” region, the **CIP is Optional**, therefore the rating official has a decision to make:
  - **The supervisor may decide not to issue a CIP**, documenting this decision in a memorandum for record, and a copy of the memo provided to the employee and to higher management; or
  - **The supervisor may decide to issue a CIP**, notifying the employee in writing that unless the contribution increases to—and is sustained at—a higher level, the employee may be reduced in pay, reassigned, changed to a lower broadband level, or removed from Federal Service

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## FEEDBACK ON CONTRIBUTIONS Inadequate Contribution

### Establishing a Contribution Improvement Plan:

- Supervisor prepares Contribution Improvement Plan
  - Supervisors are advised to contact their HR Specialist for assistance
- Supervisor notifies employee in writing
- CIP must contain:
  - Specific areas in which the employee is inadequately contributing
  - Standards for adequate contribution
  - Actions required of the employee
  - Time in which contribution improvement must be accomplished
  - Assistance from the service or agency
  - Consequences of failure to improve
- Employee must sustain adequate contribution for two years

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Seek the guidance of your HR team if a CIP is called for.

## CCAS Grievance Process

Acq



Demo

### FEEDBACK ON CONTRIBUTIONS CCAS Grievance Process

- Employees May Grieve:
  - OCS Rating
- Process:
  - Through a Collective Bargaining Agreement; or
  - Administrative Grievance Procedure (5 CFR 771) as supplemented by local procedures
    - Employee submits grievance to Supervisor
    - Supervisor provides recommendation to pay pool panel
    - Pay pool may accept recommendation or reach independent decision
    - Pay pool decision is final unless employee requires reconsideration by next higher official to pay pool manager
    - Next higher official renders final decision

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An employee may grieve their OCS (rating of record). If an employee is covered by a negotiated grievance procedure that includes grievances over appraisal scores, then the employee must resolve a grievance over an appraisal score under that procedure.

If an employee is not covered by a bargaining unit, then they should follow these, or other local, procedures:

- Employee will submit the grievance first to the supervisor, who will submit a recommendation to the pay pool panel.
- Pay pool panel may accept the supervisor's recommendation or reach an independent decision. In the event that the pay pool panel's decision is different from the supervisor's recommendation, appropriate justification will be provided.
- Pay pool panel's decision is final unless the employee requests reconsideration by the next higher official to the pay pool manager. That official would then render the final decision on the grievance.

Check with your Component for specific grievance process timeline details.

## Activity: Communicating Appraisal Results



### FEEDBACK ON CONTRIBUTIONS Activity: Communicating Appraisal Results

1. Review the background scenarios on the following page
2. Prepare the key talking points for the appraisal results meeting with the scenario employee assigned to you
3. Discuss your talking points with the class



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Working individually, follow the instructions on the slide above. You will have 15 minutes to develop your list of key talking points. Be prepared to discuss your results with the rest of the class.



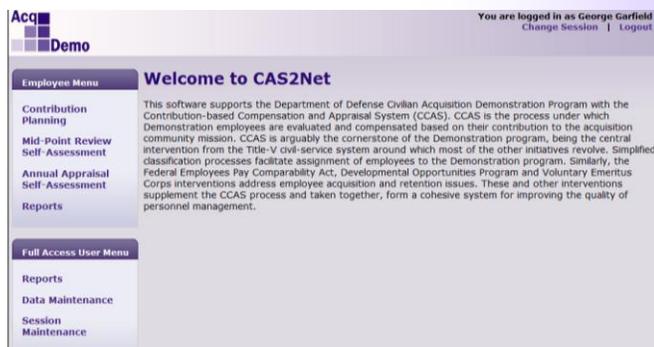


## Chapter 9: CAS2Net



### IX. CAS2Net

- CCAS Appraisal Form
- CAS2NET



80

Now that you have been introduced to all of the individual components of CCAS, this chapter discusses the mechanism for electronically capturing the CCAS-related data.

For the transition year, the option to capture much of the data via a paper form is also discussed.

## CAS2Net Overview



### CAS2Net CAS2Net Overview

- An Oracle software application that is accessed via the internet that replicates the manual CCAS process
- Master database used by data maintainers to maintain pay pool personnel data
- Modules for contribution planning, mid-point review, additional feedback, self-assessments, and annual appraisals
- Common Access Card (CAC) enabled
- Check local policy to determine your specific uses of CAS2Net

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The Contribution-based Compensation and Appraisal System Software for the Internet, or CAS2Net for short, is a DoD-sponsored application which is maintained by the DoD AcqDemo Program Office. It is the software tool that supervisors and pay pool managers use to capture CCAS related data necessary in the annual appraisal cycle process.

Employee data for pay pool members is initially downloaded from DCPDS to form the baseline data for CAS2Net, and then maintained locally from that point forward. At the end of the pay pool process, once the pay pool managers have approved the OCS, pay adjustments, and awards decisions, CAS2Net data will be uploaded to DCPDS to update official employee personnel records.

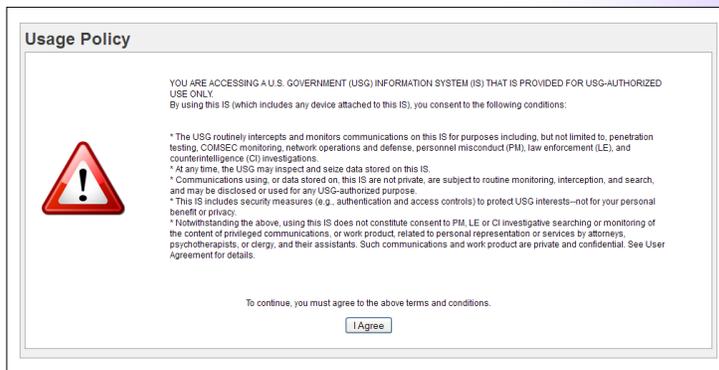
All pay pools use CAS2Net to record pay pool rating and payout decisions.

### Logging in to CAS2Net



### CAS2Net Logging in to CAS2Net

- Access the CAS2Net site by going to the following URL:  
<https://acqdemoii.army.mil>
- For initial login, CAS2Net redirects to the ALTESS sign-on site
- The Usage Policy screen is shown
- Click “I Agree” button to continue

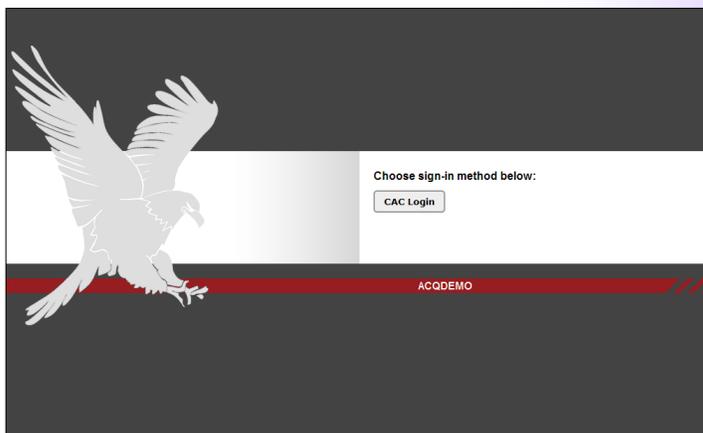


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### CAS2Net Logging in to CAS2Net Con't.

- Click the “CAC Login” button to sign-in

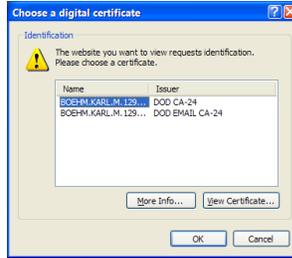


83

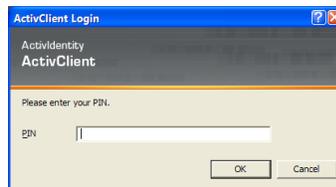


### CAS2Net Logging in to CAS2Net Con't.

- Select one of your installed CAC digital certificates and click the OK button



- If prompted, enter your CAC PIN

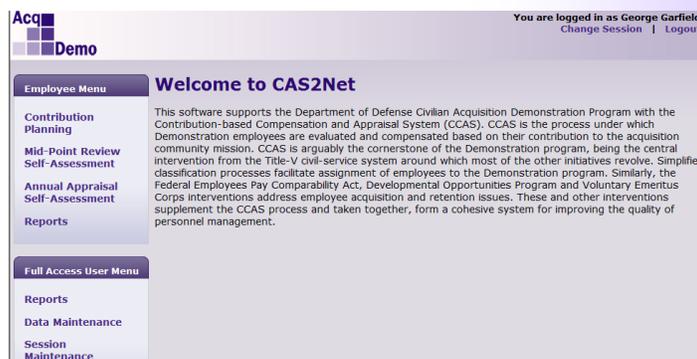


84



### CAS2Net Logging in to CAS2Net Con't.

- CAS2Net successfully logs the user in and displays the Welcome Screen
- The Navigation Bar is on the left and the modules listed depend on user role



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Entering Contribution Planning



CAS2Net  
Contribution Planning Screenshot 1

**Employee Menu**

- Contribution Planning
- Mid-Point Review Self-Assessment
- Annual Appraisal Self-Assessment
- Reports

**Supervisor I Menu**

- Contribution Planning
- Additional Feedback
- Mid-Point Review
- Annual Appraisal
- Reports

### Contribution Planning Status

Year: 2012

Employee	Employee Input	Contribution Planning Status
Amy Artis	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Danielle Hoang	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Timothy Tarman	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Uli Ulanov	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

**Key:**

- Contribution Planning Complete.
- Contribution Planning Incomplete.
- No Contribution Planning Provided.

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CAS2Net  
Contribution Planning Screenshot 2

**Employee Menu**

- Contribution Planning
- Mid-Point Review Self-Assessment
- Annual Appraisal Self-Assessment
- Closeout Self-Assessment
- Reports

**Sub-Panel Manager Menu**

- Contribution Planning
- Additional Feedback
- Mid-Point Review
- Annual Appraisal
- Closeout Assessment
- Reports
- Appraisal Status

You are acting as Dan CURTIS  
[Revert](#) | [Change Session](#) | [Logout](#)

### Contribution Planning for Amy Artis

Year: 2015

First Level Supervisor: Dan CURTIS

Broadband Level: 11    Occupational Series: 318 - Secretary    Career Path: NK - Administrative Support    Expected OCS Range: TBD

Contribution Planning Effective Date: 10/01/2014

October 2014

Su	Mo	Tu	We	Th	Fr	Sa
28	29	30	1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	1
2	3	4	5	6	7	8

Contribution Planning Input: (Characters used: 0 of 6000)

**Method of Communication:**

Face to Face  
 TeleConference  
 Video Conference  
 Email  
 Other

**Date Conducted:**

May 2014

Su	Mo	Tu	We	Th	Fr	Sa
27	28	29	30	1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31
1	2	3	4	5	6	7

Session Active 05 MAY 2014 10:45:28

The information contained herein is covered by the Privacy Act of 1974.

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## Process:

1. Supervisor or the employee may initiate the form by clicking “Contribution Planning” in the navigation bar. Supervisor then chooses an employee name from the list provided. Note: The supervisor will see a list of employees assigned to him or her and select one before seeing the screen shown.
2. “Contribution Planning” input text box is pre-filled with the most recently saved content—if available.
3. Hot links provide read-only access to previously “submitted” Contribution Planning.
4. The supervisor or employee edits and saves Contribution Planning.
5. The supervisor meets with the employee to review the Contribution Planning.
6. The supervisor updates the date and method of communication and clicks “Submit”—indicating the Contribution Planning process is complete. Note: The submit button is disabled until the date is selected. Once the date is selected, the “Submit” button becomes active. On the employee form, the Method of Communication, Date Conducted, and Submit button is not visible.

NOTE: The Contribution Planning input block has a 6,000 character limit.

## Entering a Mid-Point Review Self-Assessment



### CAS2Net Mid-Point Self-Assessment Screenshot

**Mid-Point Review Self-Assessment for Chris Babbitt**  
Year: 2012

First Level Supervisor: Larry Koenig

Broadband Level:	Occupational Series:	Career Path:	Expected OCS:
III	803 - Safety Engineering	NH - Business Management And Technical Management LR < OCS > UR BR Professional	< 74 > 77

Contribution Planning:

Overall Employee Self-Assessment: (Character used: 0 of 4000)

Problem Solving / Teamwork / Cooperation / Customer Relations / Leadership / Supervision / Communication / Resource Management

Employee Self-Assessment: Problem Solving (Character used: 0 of 4000)

Release to Supervisor

Session Expires 31 July 2012 12:00:00  
The information contained herein is covered by the Privacy Act of 1974

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#### Process:

1. Employee navigates to the Mid-Point Review Self-Assessment web page by clicking “Mid-Point Review Self-Assessment” in the navigation bar.
2. “Contribution Planning” is automatically pre-filled with the latest “released” or “submitted” content.
3. Self-assessment input text boxes are pre-filled with the most recently saved content—if available.
4. Employee enters the self-assessment portions (overall or by factor) of the Mid-Point Review Self-Assessment.
5. The Employee may click “Save” to keep a draft copy of the Mid-Point Review Self-Assessment that is not yet visible to the supervisor.
6. Employee clicks “Submit” button to indicate the Mid-Point Review Self-Assessment is complete and ready for supervisor review.

NOTE: All input blocks, except for Contribution Planning, have a 4000 character limit.

Entering a Mid-Point Review



CAS2Net  
Mid-Point Review Screenshot 1

**Employee Menu**

- Contribution Planning
- Mid-Point Review Self-Assessment
- Annual Appraisal Self-Assessment
- Reports

**Supervisor I Menu**

- Contribution Planning
- Additional Feedback
- Mid-Point Review
- Annual Appraisal
- Reports

### Mid-Point Review Status

Year: 2012

Employee	Self-Assessment	Mid-Point Review Status
Amy Artis		
Danielle Hoang		
Timothy Tarman		
Uli Ulanov		

**Key:**

- Mid-Point Review Complete.
- Mid-Point Review Incomplete.
- No Mid-Point Review Provided.

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CAS2Net  
Mid-Point Review Screenshot 2

#### Mid-Point Review for Uli Ulanov

Year: 2012

Employee Level: 22 - Computer Section
Occupational Series: 04 - Business Management and Technical Management
Career Path: 04 - Business Management and Technical Management
Expected OCS: 44 - 44 - 23

Contribution Planning:

Additional Feedback as of 03/02/2012 15:34 (Continued 02/08/2012)

Overall Employee Self-Assessment:

Overall Supervisor Assessment:

**Problem Solving**

Employee Self-Assessment:

Supervisor Assessment:

**Teamwork/ Cooperation**

**Customer Relations**

**Leadership/ Supervision**

**Communication**

**Resource Management**

**Employee Absence Code**

All information contained herein is covered by the Privacy Act of 1974.

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## Process:

1. Supervisor navigates to the Mid-Point Review web page by clicking “Mid-Point Review” in the navigation bar and choosing an employee name from the list provided.
2. “Contribution Planning” is automatically pre-filled with the latest “submitted” content.
3. Mid-Point Review Self-Assessment content is automatically pre-filled with the latest “submitted” content—if available.
4. Supervisor assessment input text boxes are pre-filled with the most recently saved content—if available.
5. Hot links provide read-only access to previously “submitted” Additional Feedback instances.
6. Supervisor enters the supervisor assessment portions (overall or by factor) of the Mid-Point Review.
7. Supervisor clicks “Release to Employee” button to share the content with the employee. Employee and Supervisor can print the “released” Mid-Point Review. **Note:** The “Release to Employee” and “Submit” buttons are visible on the “Employee Review” tab.
8. The supervisor meets with the employee to review the Mid-Point Review.
9. The supervisor updates the date and method of communication and clicks “Submit”—indicating the Mid-Year Review process is complete and corresponding employee and supervisor forms are “locked”. **Note:** The “Submit” button is disabled until the date is selected. Once the date is selected, the “Submit” button becomes active and the “Release to Employee” button is disabled.

NOTE: All input blocks, other than Contribution Planning, have a 4,000 character limit.

Entering Additional Feedback



CAS2Net  
Additional Feedback Screenshot 1

**Employee Menu**

- Contribution Planning
- Mid-Point Review Self-Assessment
- Annual Appraisal Self-Assessment
- Reports

**Supervisor I Menu**

- Contribution Planning
- Additional Feedback
- Mid-Point Review
- Annual Appraisal
- Reports

### Additional Feedback Status

Year: 2012

Employee	Additional Feedback Status
Amy Artis	
Danielle Hoang	
Timothy Tarman	
Uli Ulanov	

**Key:**

- Additional Feedback Complete.
- Additional Feedback Incomplete.
- No Additional Feedback Provided.

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CAS2Net  
Additional Feedback Screenshot 2

### Additional Feedback for Amy Artis

As of 07/31/2012 13:39

DO NOT USE FOR MID-POINT REVIEW FEEDBACK

Broadband Level: II	Occupational Series: 318 - Secretary	Career Path: NH - Business Management And Technical Management Professional	Expected DCS: 44 - 48 - 52
---------------------	--------------------------------------	---	----------------------------

**Contribution Planning:**  
 Here is the employee input to start the plan.  
 Here is the supervisor's additional input.

**Overall Supervisor Feedback:**

Problem Solving

Teamwork / Cooperation

Customer Relations

Leadership / Supervision

Communication

Resource Management

Employee Review Date

**Supervisor Assessment:** Problem Solving

Release to Employee

The information contained herein is covered by the Privacy Act of 1974

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## Process:

1. Supervisor navigates to the Interim Feedback web page by clicking “Additional Feedback” in the navigation bar and choosing an employee name from the list provided.
2. “Contribution Planning” is automatically pre-filled with the latest “submitted” content.
3. Supervisor assessment input text boxes are pre-filled with the most recently saved content—if available.
4. Hot links provide read-only access to previously “submitted” Additional Feedback(s).
5. Supervisor enters the supervisor assessment portions (overall or by factor) of the Additional Feedback.
6. Supervisor clicks “Release to Employee” button to share the content with the employee. Employee and Supervisor can print the “released” Additional Feedback. **Note:** The “Release to Employee” and “Submit” buttons are visible on the “Employee Review” tab.
7. The supervisor meets with the employee to review the Additional Feedback.
8. The supervisor updates the date and method of communication and clicks “Submit” --indicating the Additional Feedback process is complete. **Note:** The “Submit” button is disabled until the date is selected. Once the date is selected, the “Submit” button becomes active and the “Release to Employee” button is disabled.

NOTE: All input blocks, other than Contribution Planning, have a 4,000 character limit.

## Entering an Annual Appraisal Self-Assessment



### CAS2Net Appraisal Self-Assessment Screenshot

The screenshot shows a web application interface for an annual appraisal self-assessment. At the top, it displays the title "Annual Appraisal Self-Assessment for Chris Babbitt" and "Year: 2012". Below this, it lists the "First Level Supervisor: Larry Koenig". The interface includes several fields for employee information: "Broadband Level: III", "Occupational Series: 803 - Safety Engineering", "Career Path: NH - Business Management And Technical Management Professional", and "Expected OCS: 69 - 74 - 77". A large text area labeled "Contribution Planning" is present. Below this are several tabs: "Problem Solving", "Teamwork / Cooperation", "Customer Relations", "Leadership / Supervision", "Communication", and "Resource Management". The "Problem Solving" tab is selected, showing a sub-section titled "Employee Self-Assessment:" with a character count "(Characters used: 0 of 4000)". At the bottom left, there is a checkbox labeled "Release to Supervisor", and at the bottom right, there are "Save" and "Exit" buttons. The page number "93" is visible in the bottom right corner.

#### Process:

1. Employee navigates to the Annual Appraisal Self-Assessment web page by clicking “Annual Appraisal Self-Assessment” in the navigation bar.
2. “Contribution Planning” is automatically pre-filled with the latest “released” or “submitted” content.
3. Self-assessment input text boxes are pre-filled with the most recently saved content—if available.
4. A hot link provides read-only access to the Mid-Point Review Self-Assessment—if available.
5. Employee enters his self-assessment input by factor.
6. The employee may click “Save” to keep a draft copy of the Annual Appraisal Self-Assessment that is not yet visible to the supervisor.
7. Employee clicks “Submit” button to indicate the Annual Appraisal Self-Assessment is complete and ready for supervisor review.

NOTE: All input blocks, other than Contribution Planning, have a 4,000 character limit.

Entering an Annual Appraisal



CAS2Net  
Annual Appraisal Screenshot 1

**Annual Appraisal Status**  
Year: 2012

Employee	Self-Assessment	Supervisor Assessment	Categorical Status	Numerical Status	Presumptive Status
Amy Artis	✓	✗	✓	✓	None
Danielle Hoang		✗	✗	✗	None
Timothy Tarman		✗	✗	✗	None
Uli Ulanov		✓	✗	✓	None

**Key:**  
 ✓ Annual Appraisal Complete.  
 ✗ Annual Appraisal Incomplete.  
 ✗ No Annual Appraisal Provided.

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CAS2Net  
Annual Appraisal Screenshot 2

**Annual Appraisal for Amy Artis**  
Year: 2012

Broadband Level: II  
Occupational Series: 318 - Secretary  
Career Path: NH - Business Management And Technical Management Professional  
Expected OCS: 44 - 48 - 52

**Contribution Planning:**  
 Here is the employee input to start the plan.  
 Here is the supervisor's additional input.

**Problem Solving**

**Employee Self-Assessment:**  
 I completed work on project xyz which resulted in...

**Supervisor Assessment:** Factor Weight: 1.0 Categorical: 25% Numeric: 54  
 Amy did...

CALCULATED OCS: 54

Supervisor Assessment Is Complete

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## Process:

1. Supervisor navigates to the Annual Appraisal web page by clicking “Annual Appraisal” in the navigation bar and choosing an employee name from the list provided.
2. “Contribution Planning” is automatically pre-filled with the latest “submitted” content.
3. Annual Appraisal Self-Assessment content is automatically pre-filled with the latest “submitted” content—if available.
4. Supervisor Assessment input text boxes are pre-filled with the most recently saved content—if available.
5. Hot links provide read-only access to previously “submitted” Additional Feedback and Mid-Point Review instances.
6. Supervisor enters ratings and comments in the supervisor assessment portion of the Annual Appraisal.
7. When the supervisor saves any factor rating, corresponding Contribution Planning and Annual Self-Assessment forms become “locked”. Removing the ratings and then re-saving the Annual Appraisal form unlocks them.
8. From this point, the Annual Appraisal flows through existing CAS2Net subpanel and pay pool panel review, approval, and forms generation processes.

NOTE: All input blocks, other than Contribution Planning, have a 4,000 character limit.

## CAS2Net Reports



### CAS2Net Employee Reports Screenshot

**Employee Menu**

- Contribution Planning
- Mid-Point Review Self-Assessment
- Annual Appraisal Self-Assessment
- Reports

**Reports**

**Employee Reports**

- Contribution Planning
- Additional Feedback
- Annual Appraisal Self-Assessment *(Not Provided)*
- Appraisal Form Parts II and III - Single Employee
- Mid-Point Self-Assessment *(Not Provided)*
- Mid-Point Review

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### CAS2Net Supervisors Reports Screenshot

**Employee Menu**

- Contribution Planning
- Mid-Point Review Self-Assessment
- Annual Appraisal Self-Assessment
- Reports

**Supervisor I Menu**

- Contribution Planning
- Additional Feedback
- Mid-Point Review

**Reports**

**Supervisor I Reports**

- Contribution Planning - Single Employee
- Contribution Planning - All Employees
- Additional Feedback - Single Employee
- Additional Feedback - All Employees
- Appraisal Form Parts II and III - Single Employee
- Appraisal Form Parts II and III - All Employees
- Mid-Point Review - Single Employee
- Mid-Point Review - All Employees
- Appraisal Form Part II By Employee
- Appraisal Form Part II By Supervisor

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## Chapter 10: The Way Forward



### X. THE WAY FORWARD

- Summary
- Next Steps
- Activity: CCAS Plan of Action



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This final chapter summarizes the topics discussed in this course and begins to help develop an action plan for moving forward.

## Course Summary



### THE WAY FORWARD Course Summary

- Understand your role in implementing your organization's compensation strategy
- Set clear expectations at the beginning of the appraisal cycle
- Monitor contributions throughout the appraisal cycle
- Write clear, concise impact statements in appraisals rather than long narratives
- Rate employees using factors descriptors and discriminators

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## Next Events



### THE WAY FORWARD Next Events

- Annual Appraisal Self-Assessment
- Annual Appraisal
- Categorical Scoring
- Numerical Scoring
- Pay Pool reviews of preliminary scores and compensation
- Results Meeting(s)
- Aggregate results shared with workforce per Component/local policy

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**Activity: CCAS Plan of Action**



**THE WAY FORWARD**  
**Activity: CCAS Plan of Action**

**Using the worksheet in your Participant Guide:**

List the open items identified in today’s class, along with your plan of action and anticipated milestone dates associated with each item.

Item	Plan of Action	Milestone Date(s)

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Item	Plan of Action	Milestone Date(s)