



# *Supervisor End-of-Cycle Notice*

CCAS Cycle 2018

## End-of- Cycle Discussion

Conversation with your employees at the end of the appraisal process is mandatory. It is also a good time to look at past contributions/performance and to discuss how to go forward to build on acknowledged successes, how to strengthen areas that may need improvement, and to consider new opportunities that may lead to greater contributions and performance. Beyond the stated reasons for the end-of-cycle discussion, it also serves as the formal acknowledgement that the entire appraisal process is completed. It should occur in January following the conclusion of the pay pool process, and before the AcqDemo CCAS payout. Pay adjustments become effective the first full pay period in January which begins on 6 January 2019 for the CCAS cycle 2018 payout.

### **The end of cycle discussion should include:**

- **Final Annual Appraisal: Factor scores and the Overall Contribution Score (OCS), and new this year are the Performance Appraisal Quality Level scores for the Performance Rating of Record**
- **Contribution Rating Increase (CRI)**
- **Contribution Award (CA)**
- **New year Expected OCS Range and Expected OCS**
- **Areas of success and opportunities for increased contribution**
- **Areas for improvement**

## Frequently Asked Questions (FAQs)

### **1. What documents will supervisors provide employees at the end-of-year discussion?**

The CCAS Annual Appraisal Form contains the appraisal results that supervisors will share with employees. Supervisors can print Part I (factor scores, OCS, PAQL, rating of record, compensation, and signatures), and Part II (Supervisor Assessment, Employee Self-Assessment and Contribution Plan) from either the Reports module or eDocuments module in CAS2Net upon notification by your Pay Pool Administrator. The supervisor will review the results with the employee, and then both the supervisor and the employee will sign the Part I. The supervisor may inform the employee that signing the form does not indicate that they agree with appraisal results; it simply documents that they have reviewed and received the document with the supervisor. CAS2Net has been enhanced with the addition of the eDocuments module. This module facilitates electronic signatures for the Part I and serves as a document repository. Check with your Pay Pool Administrator for procedures for signing the Part I, and for record keeping policies that apply at your location. The complete annual appraisal is both the Part I and Part II.

**2. How should supervisors prepare for the conversation?**

A supervisor will want to appear confident in the message given so it is important for him or her to prepare for the discussion. Planning how to give feedback is a key to effective delivery, especially if the final approved OCS is below the expected OCS or a performance appraisal quality level is less than a Level 3 Fully Successful. In any case, the supervisor should prepare to explain the rationale behind the pay pool panel’s decision for the individual factor scores which resulted in the OCS and performance rating and should never blame the pay pool panel for lowering a recommended score. If the supervisor is not sure on the rationale for the final scores, check with the representative on the pay pool panel. If the supervisor recognizes there may be some disagreement with an item, then he or she should begin the meeting with an easier item and then move toward the more challenging item. Consideration should be given to the questions employees may ask. Supervisors minimize the possibility of distractions and interruptions by selecting a location and time convenient to themselves as well as the employee – this sets the stage for a productive discussion.

The Performance Appraisal Quality Level (PAQL) ratings will be based on the employee’s performance against the Expected Contribution Criteria. These are the same for all career paths (NH, NJ, and NK) and all broadband levels (1, 2, 3, and 4).

<b>Expected Contribution Criteria</b>
<b>Job Achievement and/or Innovation</b>
<p>Produces desired results, in the needed timeframe, with the appropriate level of supervision through the use of appropriate knowledge, skills, abilities and understanding of the technical requirements of the job. Achieves, demonstrates and maintains the appropriate qualifications necessary to assume and execute key acquisition and/or support requirements. Demonstrates skilled critical thinking in identifying, analyzing and solving complex issues, as appropriate. Takes and displays personal accountability in leading, overseeing, guiding, and/or managing programs and projects within assigned areas of responsibility.</p> <p>Work is timely, efficient and of acceptable quality. Completed work meets project/program objectives. Leadership and/or supervision effectively promotes commitment to organization goals. Flexibility, adaptability, and decisiveness are exercised appropriately.</p> <p>For Supervisors (as appropriate): Recruits, develops, motivates, and retains quality team members in accordance with EEO/AA and Merit System Principles. Takes timely/appropriate personnel actions, communicates mission and organizational goals; by example, creates a positive, safe, and challenging work environment; distributes work and empowers team members.</p>
<b>Communication and/or Teamwork</b>
<p>Effectively communicates, verbally and in writing, as needed to coordinate work and keep chain-of-command, coworkers and customers informed of work-related issues, developments and statuses. Actively seeks and promotes diverse ideas and inputs. Works well with and in groups, and with others to accomplish mission requirements.</p> <p>Work is timely, efficient, and of acceptable quality. Communications are clear, concise, and at the appropriate level. Personal and organizational interactions exhibit and foster teamwork. Flexibility, adaptability, and decisiveness are exercised appropriately.</p>
<b>Mission Support</b>
<p>Possesses an operational understanding of organizational goals and priorities and fully complies with administrative policies, regulations and procedures when performing job operations. Works with customers to develop a mutual understanding of their requirements. Probes for detail, as appropriate, and pays attention to crucial details of needs or requests. Monitors and influences cost parameters of work, tasks and projects, ensuring an optimum balance between cost and value. Establishes priorities that reflect mission and organizational needs.</p> <p>Work is timely, efficient, and of acceptable quality. Completed work meets project/program objectives. Personal and organizational interactions enhance customer relations and actively promote rapport with customers. Resources are utilized effectively to accomplish mission. Flexibility, adaptability, and decisiveness are exercised appropriately.</p>

Below is the breakout of PAQL Criteria and Rating of Record Criteria.

Performance Appraisal Level	Performance Appraisal Quality Level Criteria
<b>Level 5 – Outstanding</b>	An employee’s quality of performance exhibited in achieving his/her contribution results substantially and consistently surpasses the factor-specific expected contribution criteria and the employee’s contribution plan goals and objectives.
<b>Level 3 – Fully Successful</b>	An employee’s performance consistently achieves, and sometimes exceeds, the factor-specific expected contribution criteria and his/her contribution plan goals and objectives.
<b>Level 1 – Unacceptable</b>	An employee’s performance fails to meet the expected contribution criteria and the required results for the goals and objectives set forth in his/her contribution plan for the appraisal cycle.

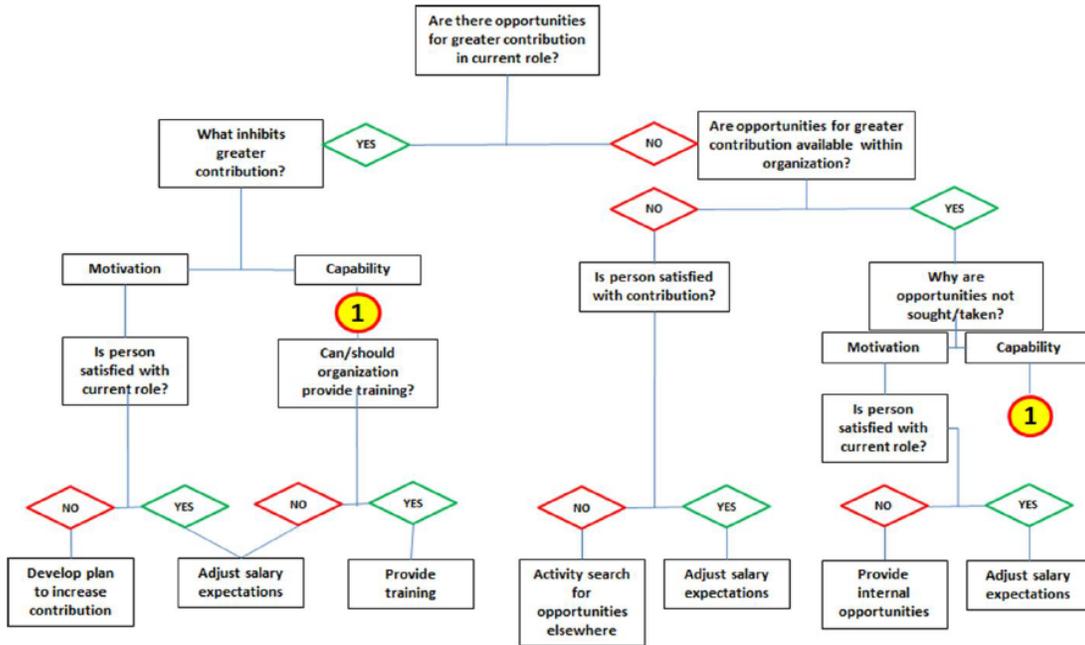
Rating Criteria	
Rating of Record	Rating Criteria
Level 5 - Outstanding	The average score of the three appraisal levels is 4.3 or greater, with no contribution factor being rated a “1” (Unacceptable), resulting in a rating of record that is a “5”.
Level 3 – Fully Successful	The average score of the three appraisal levels is less than 4.3, with no contribution factor being rated a “1” (Unacceptable), resulting in a rating of record that is a “3”.
Level 1 - Unacceptable	Any contribution factor rated as “1”.

Also available online at <http://acqdemo.hci.mil/training.html> is the video "Understanding the Pay Pool Process". At the 33:52 minute mark of the video it speaks to the annual review process.

**3. How does a supervisor structure the conversation for increasing an employee’s contributions?**

The supervisor should discuss opportunities for increased contribution with the employee as results are being reviewed at the end of the cycle. This is critical not only for those employees who may not be contributing at a level consistent with their pay, but also for employees who are excellent contributors and are searching for additional opportunities to excel. The flow chart below is taken from Chapter 6, Figure 5, of the DOD CIVILIAN ACQUISITION WORKFORCE PERSONNEL DEMONSTRATION PROJECT (AcqDemo) Operating Guide, November 09, 2017 and may be used by supervisors to guide the discussion on opportunities for increased contribution.

**OPPORTUNITIES FOR INCREASED CONTRIBUTION**



**4. What may an employee grieve and what is the process?**

An employee may grieve their OCS and performance Rating of Record. If an employee is covered under 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 the employee is not covered by a bargaining unit, then they should follow these or other Component/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 render the final decision on the grievance.

Check with your Component for specific grievance timeline details.

**5. What are the supervisor’s responsibilities relative to addressing inadequate contribution?**

At the end of the rating period and at any time during the year that an employee’s contributions and/or performance degrade to one of the following conditions, the supervisor must determine the appropriate course of action to take.

	Inadequate Contribution Based on:	
	Rail Position (Overall Rating)	Low Factor Score (Single Score)
<b>Description</b>	An employee’s OCS falls above the upper rail in the “over compensated” region	An employee’s contribution in any factor is less than the employee’s Expected OCS Range and/or a PAQL Level 1 - Unacceptable
<b>Decision</b>	1) Take no action but document this decision, or 2) Place the employee on a Contribution Improvement Plan (CIP)	CIP is mandatory unless Memorandum for Record is on file outlining the rationale for no CIP action
<b>Elements of a CIP</b>	Specific areas of inadequate contribution, standards for adequate contribution, actions required by the employee, timeline for improvement, assistance from the service or agency, and consequences for failure to improve	
<b>Assistance</b>	Supervisors are advised to contact their HR Specialist	