




# CCAS for Supervisors


## DoD Civilian Acquisition Workforce Personnel Demonstration Project




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

DoD Civilian Acquisition Workforce Personnel  
Demonstration Project (AcqDemo)

Presented by the AcqDemo Program Office



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Demonstration Project (AcqDemo)

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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 managing and assessing employee contributions in the Demonstration Project.





## Chapter 1 — Introduction



### Administration, Expectations, and Parking Lot

- Administration
  - Sign in
  - Course timing
  - Introductions
  - Expectations
  - Parking Lot
- Ground Rules and Logistics
  - Mute computer and/or phone as needed
  - Do not place your phone on hold if receiving training via VTC
  - Breaks
- Questions and Parking Lot review

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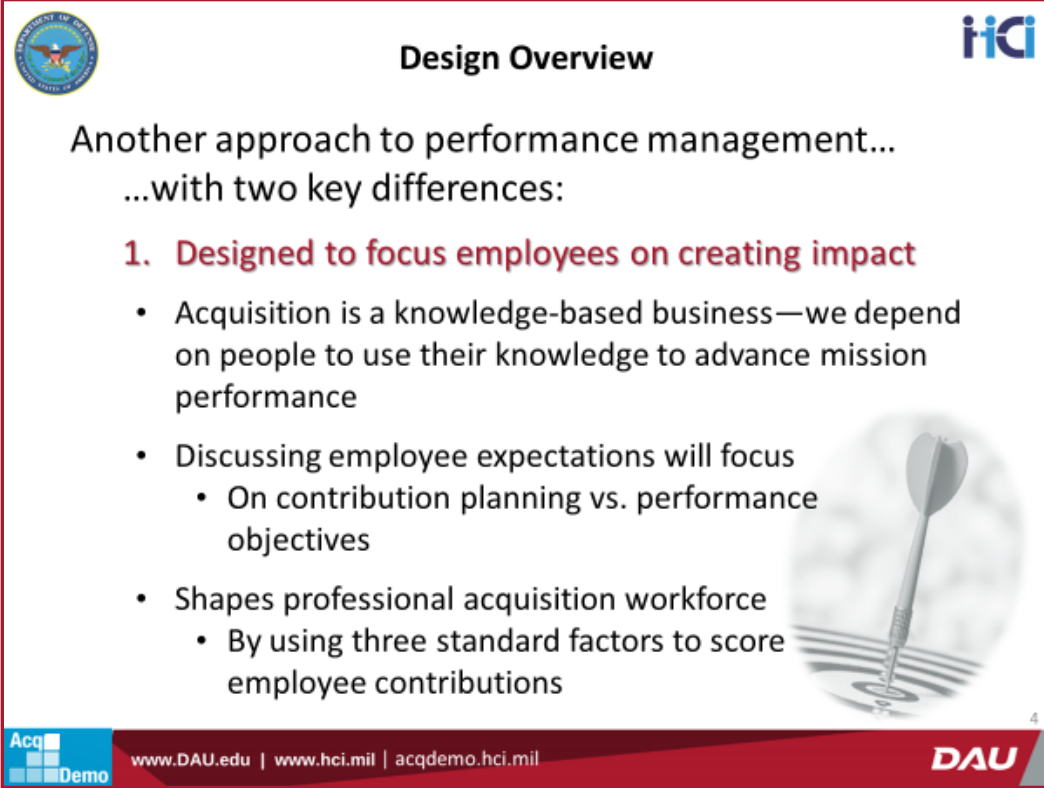
### Course Objectives

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

- Summarize the major elements of the CCAS process
- Write a Contribution Plan
- Write a summary of employee contributions for the Annual Appraisal
- Apply scoring techniques to assess employee contributions and Quality of Performance
- Describe how final scores and associated rewards are determined
- Communicate CCAS results to employees

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## Design Overview



The slide features a red border and contains the following elements: a Department of Defense seal in the top left, the 'hici' logo in the top right, and a central text area. The text area includes the title 'Design Overview', a subtitle 'Another approach to performance management... ..with two key differences:', and a numbered list. The first list item is '1. Designed to focus employees on creating impact', followed by three bullet points. To the right of the list is a graphic of a dart hitting a bullseye. At the bottom, there is a red banner with the 'AcqDemo' logo, website URLs, and the 'DAU' logo.

**Design Overview**


Another approach to performance management...  
...with two key differences:

- 1. Designed to focus employees on creating impact**
  - Acquisition is a knowledge-based business—we depend on people to use their knowledge to advance mission performance
  - Discussing employee expectations will focus
    - On contribution planning vs. performance objectives
  - Shapes professional acquisition workforce
    - By using three standard factors to score employee contributions


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This section introduces the appraisal and reward system of AcqDemo. It is called the Contribution-based Compensation and Appraisal System, or CCAS for short. We will highlight its key elements throughout this section.

AcqDemo is designed to focus employees on creating impact. Acquisition is a knowledge-based business; we depend on people to use their knowledge to advance mission performance.

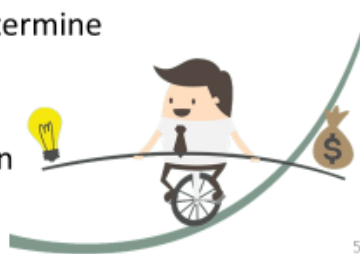


## Design Overview




Another approach to performance management  
...with two key differences:


2. **Designed to align compensation with level of contribution**
  - Basic pay level translates to expected contribution level
  - Assessed contribution level compared to the expected contribution level to determine compensation eligibility
  - AcqDemo software applications
    - Facilitate equitable distribution of pay pool funds



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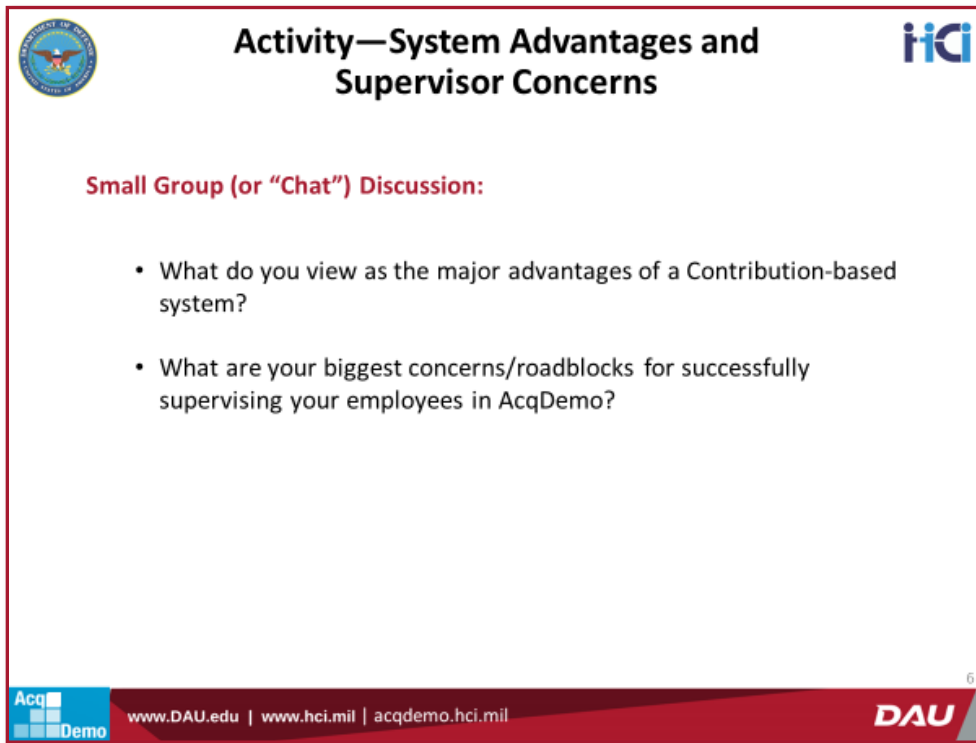
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It is also designed to align compensation with level of contribution.

We will explore how the CCAS process works to support these program goals throughout the course.

## Activity: System Advantages / Supervisor Concerns



The slide features a red border and contains the following elements:

- Top Left:** Department of Defense seal.
- Top Center:** Title "Activity—System Advantages and Supervisor Concerns".
- Top Right:** HCI logo.
- Center:** "Small Group (or 'Chat') Discussion:" followed by two bullet points:
  - What do you view as the major advantages of a Contribution-based system?
  - What are your biggest concerns/roadblocks for successfully supervising your employees in AcqDemo?
- Bottom Left:** "Acq Demo" logo.
- Bottom Center:** Website addresses: www.DAU.edu | www.hci.mil | acqdemo.hci.mil.
- Bottom Right:** "DAU" logo and a small number "6".

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 a Contribution-based system?

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

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## Chapter 2 — Compensation Strategy



The image shows a hand holding a white marker, drawing a diagram on a whiteboard. The diagram consists of three vertically stacked squares, each with a checkmark inside. The text "Compensation Strategy" is written in red across the middle square. In the top left corner of the whiteboard area is the Department of Defense seal. In the top right corner is the hci logo. In the bottom left corner is the AcqDemo logo. In the bottom center are the website addresses: www.DAU.edu | www.hci.mil | acqdemo.hci.mil. In the bottom right corner is the DAU logo and the number 7.



## Topics of Discussion

- Purpose of a Compensation Strategy
- Compensation Strategy Components

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This section will bring out the following points:

- The goal of an organization's compensation strategy is consistency, which, in turn, should produce equity, revolving around the core elements of the strategy
- This organization-wide attention to compensation elevates the conversation to higher management levels in the organization
- Ties compensation to strategic initiatives as opposed to an inflexible time-based system, a line item in a budget

These major points support the rest of the topics about compensation strategies.

## Purpose of Compensation Strategy



**What is the Purpose of a Compensation Strategy?**

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

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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, but 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 reach organizational goals most effectively and efficiently.

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. Consideration must be given to an employee's pay progression within their salary range.

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 may 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.






## Chapter 3 — CCAS Overview


The slide features a light gray background with a faint image of clouds on the right side. In the top left corner is the Department of Defense seal. In the top right corner is the hci logo. The main title is centered in a dark red, italicized font. At the bottom left is the Acq Demo logo, and at the bottom right is the DAU logo. A small number '11' is visible in the bottom right corner of the slide area.

**Contribution-based Compensation and Appraisal System (CCAS) Overview**


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## Topics of Discussion



- The CCAS Cycle
- Key Terms and Definitions
- Compensation Regions
- Roles of Supervisor, Employees, and Pay Pool Panel

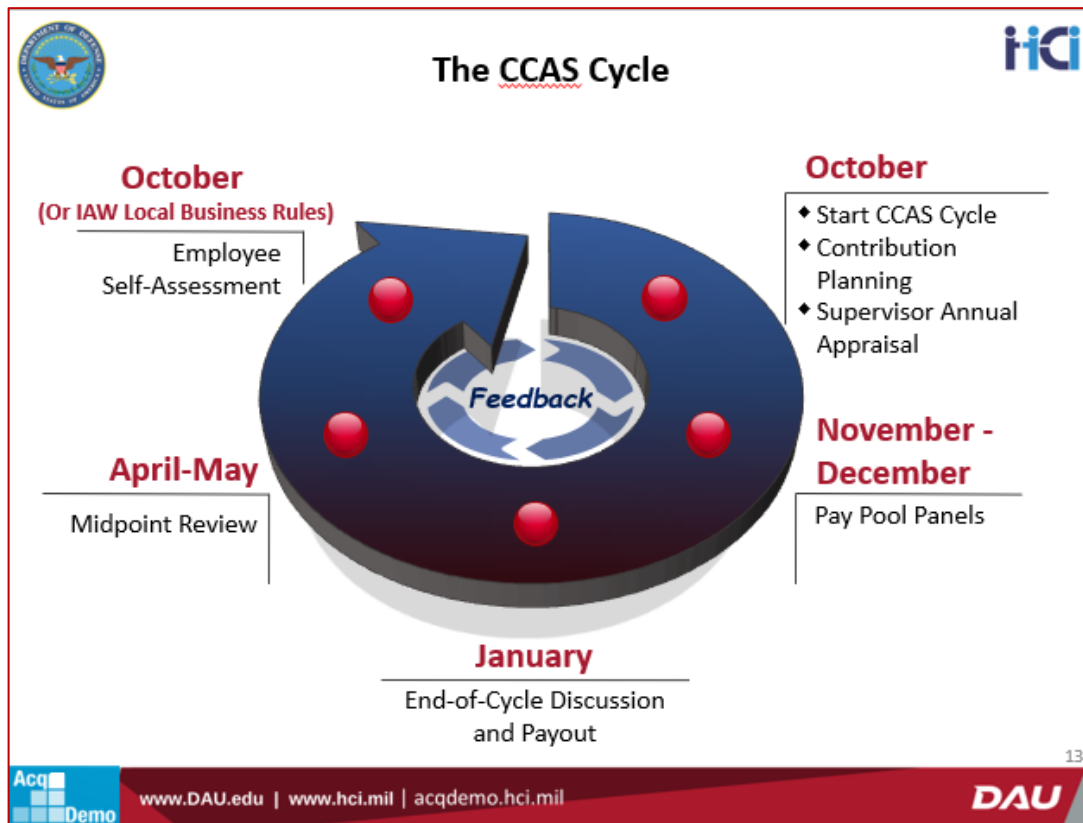


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In Chapter 3, we will review some of the CCAS structural information presented during the AcqDemo Workforce Overview briefing. We will also preview the CCAS process, and the roles supervisors play in this process that will be discussed in detail in the following chapters.

## The CCAS Cycle



As long as an employee is under AcqDemo for at least 90 consecutive calendar days immediately preceding 30 September, they will receive an appraisal and be eligible to be considered for pay pool payouts. 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 AcqDemo appraisal cycle corresponds with the DoD fiscal year (October 1-September 30). Expected contributions are documented in individual contribution plans each October, with a midpoint review around March, and contribution assessments completed the following October at the close of the appraisal cycle.

The three-month pay pool process occurs from October-December with a payout in January of each year.

Depending on the time of transition into AcqDemo, the first CCAS appraisal cycle may be prorated.

## Key Terms and Definitions

**Key Terms and Definitions**

**AcqDemo**

- Personnel Policy Board (PPB)
- Expected Overall Contribution Score (EOCS)
- Expected Contribution Range (ECR)
- Overall Contribution Score (OCS)
- Performance Appraisal Quality Level (PAQL)
- Contribution Rating Increase (CRI)
- Contribution Award (CA)
- General Pay Increase (GPI)
- Locality Pay
- CAS2Net

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Our most important terminology differences in this module...we will look at the AcqDemo features closely in a minute.

First and foremost, what is the difference between performance-based designs and contribution-based designs?

### **Performance**

- Focus is on how *well* objectives are performed
- Ideal for well-defined, more stable production environments
- Without proper controls, compensation is granted each year and inappropriate salary creep can result...we saw that happen with NSPS and it contributed to its repeal.


### **Contribution**

- Focus is on impact or benefit of results
- Better suited for environments where roles are less defined and more fluid knowledge work oriented environments
- Numeric and graphic depiction of employee placement within broadband helps to better guide compensation decisions

Instead of 5 rating levels, AcqDemo uses a range of scores to better distinguish level of contribution.

The funding elements are similar in what they represent but are applied differently in how they are paid out.

## Personnel Policy Board




### Personnel Policy Board

- Each Participating Organization will create a Personnel Policy Board, or modify the charter of an existing group, that will:
  - Approve and publish all changes to organization's AcqDemo Business Rules
  - Oversee the civilian pay budget
  - Address issues associated with separate pay systems
  - Determine the composition of the pay pool(s)
  - Review pay pool operations
  - Provide guidance to pay pool and sub-pay pool managers
  - Administer funds to pay pool(s)
  - Review new hire and promotion pay
  - Monitor award pool distributions
  - Carry out other AcqDemo-related management requirements, as necessary
  - Establish guidance for a compensation management strategy/AcqDemo Business Rules
  - Review results of performance process for fairness and consistency


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It is expected under AcqDemo that each Participating Organization will create a Personnel Policy Board, or modify the charter of an existing group, to oversee the transition into AcqDemo and focus on managing local personnel management policies and CCAS results under AcqDemo. The PPB's typical list of responsibilities are listed here.... As you see, most of these responsibilities revolve around CCAS.

## Responsibilities of the Pay Pool Panel




### Responsibilities of the Pay Pool Panel





- Review recommended OCSs for consistency and equity
- Reconcile recommended OCSs that are poorly documented or otherwise outside business rules
- Approve ratings of record and payout results
- Adjudicate challenges to OCSs, ratings of record, and/or Supervisory Appraisals


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Under AcqDemo, you are a member of a pay pool. A pay pool is a group of employees who are evaluated together under the AcqDemo performance management system, the Contribution-Based Compensation and Appraisal System, or CCAS. Their purpose is to share a common view of the organization's mission, goals, and objectives in reviewing the contributions and performance of employees by subordinate supervisors and bring a common perspective to how employees are evaluated, and therefore, compensated, and appraised.

Pay pools are established within each participating organization to evaluate how the contributions of each individual employee in the pay pool have led to the accomplishment of the overall goals/objectives of the organization in support of its mission. Pay pools are typically based either on organizational structure (for example, all employees in a division or a directorate would be in the same pay pool), by functional area, or by geographic location. A pay pool should consist of between 35 and 300 employees. Pay pools may further be broken down to sub pay pools if desired by the Personnel Policy Board.

Each pay pool is led by a pay pool manager, a person within the pay pool who is responsible for managing the CCAS process within their authority. As such, the pay pool manager has annual pay adjustment authority though determinations made by the pay pool manager are subject to higher management review.

The pay pool panel is a group of people who normally report directly to the pay pool manager. Together, along with the pay pool manager, they determine employees' final Overall Contribution Scores, pay adjustments, and contribution awards.

The use of pay pool panels ensures that individual supervisor's recommended scores are reviewed by their peers, again, typically other supervisors in the same pay pool. A pay pool panel member shall not recommend or set his/her own rating or pay.

## Responsibilities of Supervisors



**Responsibilities of Supervisors**

- Review organizational goals and priorities at start of appraisal cycle
- Conduct annual contribution planning and explain Expected Contribution Range (ECR)
- Monitor and provide contribution and performance feedback
- Appraise contribution and performance to include a closeout assessment when required.
- Address contribution and/or performance issues immediately upon identification
- Provide mentoring for career development
- Conduct a formal Midpoint Review
- Request Annual Appraisal Self-Assessment
- Complete an end-of-cycle Annual Appraisal
- Use factor descriptors to determine recommended categorical scores and Expected Contribution Criteria to assess Performance Appraisal Quality Levels
  - Some pay pools may require supervisors to also recommend numeric scores
- 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 expected contributions with the employee for the appraisal period. This includes discussion of career path, broadband level, factors, and mission goals. The supervisor will review with each employee the Expected Contribution Range (ECR) corresponding to the employee's current basic 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 progress under CCAS and make a notation of this in the Midpoint Review discussion.

At the conclusion of the appraisal period, the supervisor requests employees to provide input describing their own contributions throughout the year for each factor. The supervisor considers inputs from the employee, if available, personal observations, and other sources as appropriate, to assess the level of the employee's contribution for each factor. The supervisor then determines the preliminary categorical score for each factor, along with the recommended Performance Appraisal Quality Level (PAQL) ratings and numerical scores, if required by local business rules, 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, Quality of Performance ratings, and pay adjustments, if applicable, to each employee. Potential opportunities for increasing contribution for the upcoming appraisal period are also discussed. The supervisor and employee digitally sign the Salary Appraisal Form in CAS2Net. The employee and supervisor may print the form from CAS2Net.



## Responsibilities of Employees



### Responsibilities of Employees



- Understand and meet the contribution expectations identified during Contribution Planning
- Seek feedback and guidance as needed throughout the appraisal cycle
- Prepare a Midpoint 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 his or her responsibility to bring the issue(s) to the attention of the immediate supervisor.



An employee may complete a Midpoint Review Self-Assessment and an Annual Appraisal Self-Assessment, in accordance with local policy. It is highly recommended employees do this so they may have their own voice heard directly with the pay pool panel.



## Chapter 4 — Understanding the Factors and Descriptors



 

*Understanding the Factors and Descriptors*

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## Topics of Discussion



- Origin of AcqDemo Factor Descriptors
- The 3 Factors
- Broadband-Specific Descriptors
- Relating Factors to Current Workload

<https://acqdemo.hci.mil/tools/Classification%20Level%20and%20Appraisal%20Descriptors.pdf>

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This chapter covers the 3 factors used to appraise employee contributions during the CCAS appraisal cycle, as well as their associated descriptors and discriminators.

## Origin of AcqDemo Factor 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

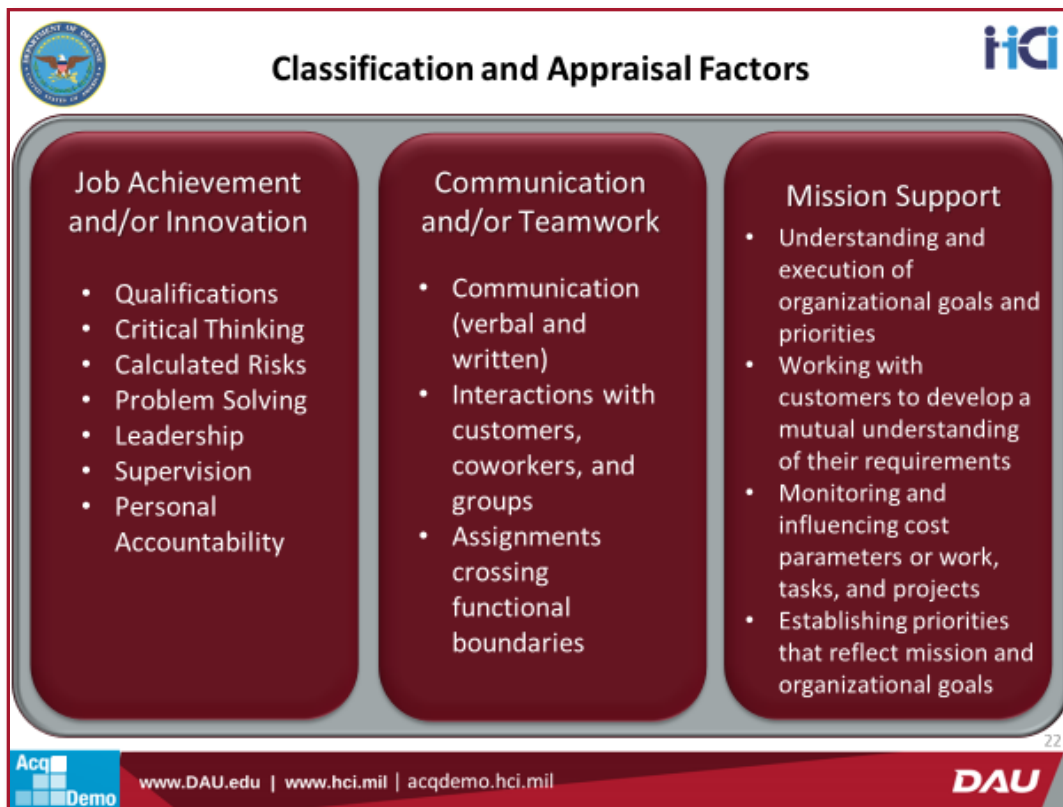
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Contribution-based recognition and reward human resource management systems are intentionally designed to be more flexible in evaluating the accomplishments of employees because they seek to encourage people to step outside of their job and contribute 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 that reflect the behaviors exhibited to effectively accomplish the work.

## The 3 Factors



Under AcqDemo, there are three standard factors that are used in both classifying a position and assessing employee contribution. These 3 factors (along with the duties and responsibilities expected of the position) are the only criteria used to classify an AcqDemo position and assess employee contribution. The three factors are:

**Job Achievement and/or Innovation** –includes qualifications, critical thinking, calculated risks, problem solving, leadership, supervision, and personal accountability

**Communication and/or Teamwork** – focus is on communication, both verbal and written; interactions with customers, coworkers, and groups; and assignments crossing functional boundaries

**Mission Support** – the understanding and execution of organizational goals and priorities; working with customers to develop a mutual understanding of their requirements; monitoring and influencing cost parameters or work, tasks, and projects; and establishing priorities that reflect mission and organizational goals.

Each Factor has a set of Descriptors and Discriminators that help with classifying duties and responsibilities and assessing employee contributions.

These Factors, along with their Descriptors and Discriminators, constitute the grading criteria used for determining a position's appropriate broadband level.

For contribution scoring purposes, the 3 factor scores are averaged to determine employee's Overall Contribution Score (OCS).

As mentioned, these same three factors will be used later to set expectations within the contribution plan and to assess employee contribution at the end of the cycle. We will discuss that further in the CCAS chapter.

## Broadband-Specific Descriptors

LEVEL DESCRIPTORS		DISCRIMINATORS
<b>LEVEL III</b>		
<ul style="list-style-type: none"> <li>Anticipates problems, develops sound solutions and action plans to ensure program/mission accomplishment.</li> <li>Establishes customer alliances, anticipates and fulfills customer needs, and translates customer needs to programs/projects.</li> <li>Identifies and optimizes resources to accomplish multiple projects'/programs' goals.</li> <li>Effectively accomplishes multiple projects'/programs' goals within established guidelines.</li> </ul>	Independence Customer Needs Planning/Budgeting Execution/Efficiency	
<b>LEVEL IV</b>		
<ul style="list-style-type: none"> <li>Defines, integrates, and implements strategic direction for vital programs with longterm impact on large numbers of people. Initiates actions to resolve major organizational issues. Promulgates innovative solutions and methodologies.</li> <li>Assess and promulgate, fiscal, and other factors affecting customer and program/project needs. Works with customer at management levels to resolve problems affecting programs/projects (e.g., problems that involve determining priorities and resolving conflicts among customers' requirements).</li> <li>Formulates organizational strategies, tactics, and budget/action plan to acquire and allocate resources.</li> <li>Optimizes, controls, and manages all resources across projects/programs. Develops and integrates innovative approaches to attain goals and minimize expenditures.</li> </ul>	Independence Customer Needs Planning/Budgeting Execution/Efficiency	



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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 group consensus through the pay pool 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, accountability, mentoring/employee development, complexity/difficulty, contribution to team, planning/budgeting, etc.

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



## Chapter 5 — Contribution Statement Writing Throughout the CCAS Cycle

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# SUCCESS


*Contribution Statement Writing  
Throughout the CCAS Cycle*

MISSION TARGET


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## Topics of Discussion



- What is Contribution?
- Purpose and Use of Contribution Statements
- Contribution Line of Sight
- Contribution Statement Structure
- Writing Contribution Statements for...
  - Contribution Planning
  - Midpoint Review
  - Self-Assessment
  - Supervisor Annual Appraisal Assessment
  - Activity – Writing an Annual Appraisal Assessment



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Chapter 5 explores writing contribution statements for contributions plans, midpoint reviews, and self- and supervisory annual appraisal assessments. Topics include: The purpose and use of contribution statements, their foundational elements and structure, and their application supporting contribution level expectations and assessing progress toward their achievement. To help cement effective contribution writing concepts, we will end this chapter with a writing activity.




## The Foundation of Contribution Statements


### What is Contribution?

- A specific, tangible, and/or discernable action that significantly or meaningfully contributes to the success of the organization
- Contribution statements describe...
  - The specific task, project, or initiative performed, led, or executed
  - The results achieved
  - The impact to the organization



*Contribution is the **result** and **impact** from “performing” an activity.  
Performance is **how well** the activity was executed.*



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### When are Contribution Statements Used?

- For **Contribution Plans**
  - Describes the planned contributions, results, and impacts for the upcoming CCAS cycle
- For **Midpoint Reviews**
  - Assesses progress made toward achieving goals outlined in the Contribution Plan
  - Provides opportunity to stay on course or revise contribution statements if needed
- For **Annual Appraisal Self- and Supervisory Assessments**
  - Highlights significant contributions achieved during the CCAS cycle that moved the organization’s strategic goals forward



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Where do contribution statements fit into the grand scheme of the DoD Acquisition Workforce Personnel Demonstration Project (AcqDemo) purpose and design?

Here is a graphic representation of the interdependent relationship between organizational mission and goals and the ultimate Overall Contribution Score rendered at the end of each appraisal cycle.

From the organization's mission and strategic goals, the work required to achieve that mission and those goals is distributed among the available positions allocated. Skills and knowledge are identified for each those positions and position descriptions, Position Requirements Documents in AcqDemo, and described to facilitate recruiting, placing, and compensating the qualified personnel needed to achieve the mission and goals.


Contribution Plans are written collaboratively by work unit supervisors and their individual employees to identify anticipated results from performing the work described by the PRD. The plans address anticipated outcomes, or contributions, for each of the three Factors – Job Achievement and/or Innovation, Communication and/or Teamwork, and Mission Support. Contribution Plans are compensation appropriate: that is, they describe anticipated results for the current salary. They are a work contract or agreement.

At the midpoint of the appraisal cycle (April-May), supervisors will conduct a Midpoint Review. This is the time to take stock of progress made so far in fulfilling the contribution plan developed at the beginning of the cycle. It is an opportunity to generate contribution statements that can be used as the foundation for annual appraisal self- and supervisory assessments and to assess the contribution plan's current viability.


At the end of the appraisal cycle, supervisors will ask employees to prepare and submit an Annual Appraisal Self-Assessment describing their actual accomplishments and impactful results achieved during the year. This is the employee's opportunity to make sure the supervisor and the pay pool members fully understand the nature and impact of the contributions made in support of the organization's mission and strategic goals.

The Annual Appraisal Self-Assessment and the Supervisor's Annual Appraisal are crucial to the Pay Pool Process where employee contributions are assessed in terms of relative impact and value. Ultimately, an Overall Contribution Score, or OCS, will be rendered and based on that score and the employee's current basic pay, a determination will be made regarding the appropriateness of the employee's current level of compensation for the level of contribution demonstrated. Adjustments may be made as needed considering relative value, the organization's compensation strategy and the organization's position management structure (internal equity).

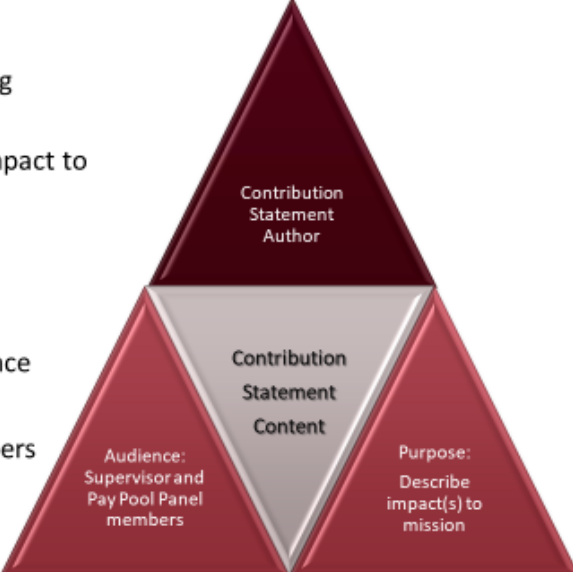
So, you see, effectively writing contribution statements is not only essential but critical to the CCAS process itself.





## The Writing Triangle



- Contribution statement writing challenges:
  - Clearly communicating impact to mission
    - For all three factors
  - Space limitations
  - Writing your contribution statement for your audience
    - Supervisor and/or Pay Pool Panel members




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When preparing contribution statements, it is important to consider the challenges associated with their use. It takes discipline and conscious effort to clearly communicate impact to mission for all three factors. It is the result and impact of contributions that determine their overall value. It is also possible one contribution can be associated with more than one factor.

It is important to be concise and succinct when writing contribution statements because there are space limitations in CAS2Net, the automated system for recording and sharing contribution plans, midpoint reviews, and annual appraisal self- and supervisory assessments.

Finally, who will be reviewing the contribution statements and using them for decision-making purposes is a critical consideration. It is important immediate supervisors and pay pool panel members clearly understand the impact of individual contributions on the mission and/or strategic goals of the organization. Employees will need to consider both audiences when preparing contribution statements while supervisors must be focused on clear communication to the pay pool panel members.

**Contribution Statement Structure**

**Employee Self-Assessment**

- For each factor —
  - Give examples of contributions using CRI format
  - Use factor **descriptor** language
  - Describe results achieved
  - Focus on impact

**Supervisor Assessment**

- For each factor —
  - Use mandatory opening concurrence statement if required
  - Supplement employee self-assessment with additional results, scope, scale, impact
  - Use factor **discriminator** language
  - Add missing contributions using CRI format
  - Address Quality of Performance

**So what?**

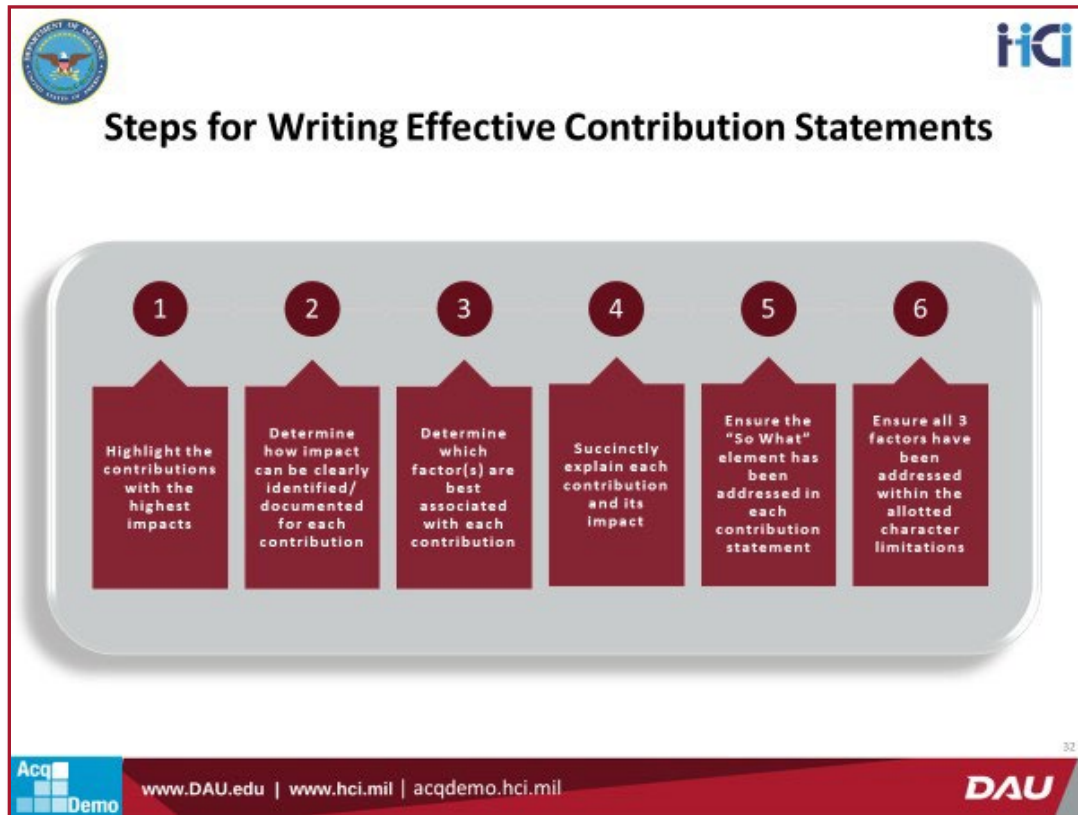
*"I implemented a new study for my organization."*

*Modify thinking to include results and impact*

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Contribution statements written by employees address primarily factor descriptors and the language contained therein to describe their contributions and results achieved. The focus of these contribution statements should be on the impact of the results of the contributions made.

Supervisor statements use the employee statements as a basis and expand on them where necessary to ensure the full scope, scale, and impact of employee contribution results are completely and clearly communicated. Factor discriminators are used to help define the relative value of employee contributions. Supervisory contribution statements may also include the addition of any missing contributions and agreement or disagreement with the employee's contribution statements. In addition, supervisors must also address employee performance by assessing the performance appraisal quality level against the expected contribution criteria included for each factor.



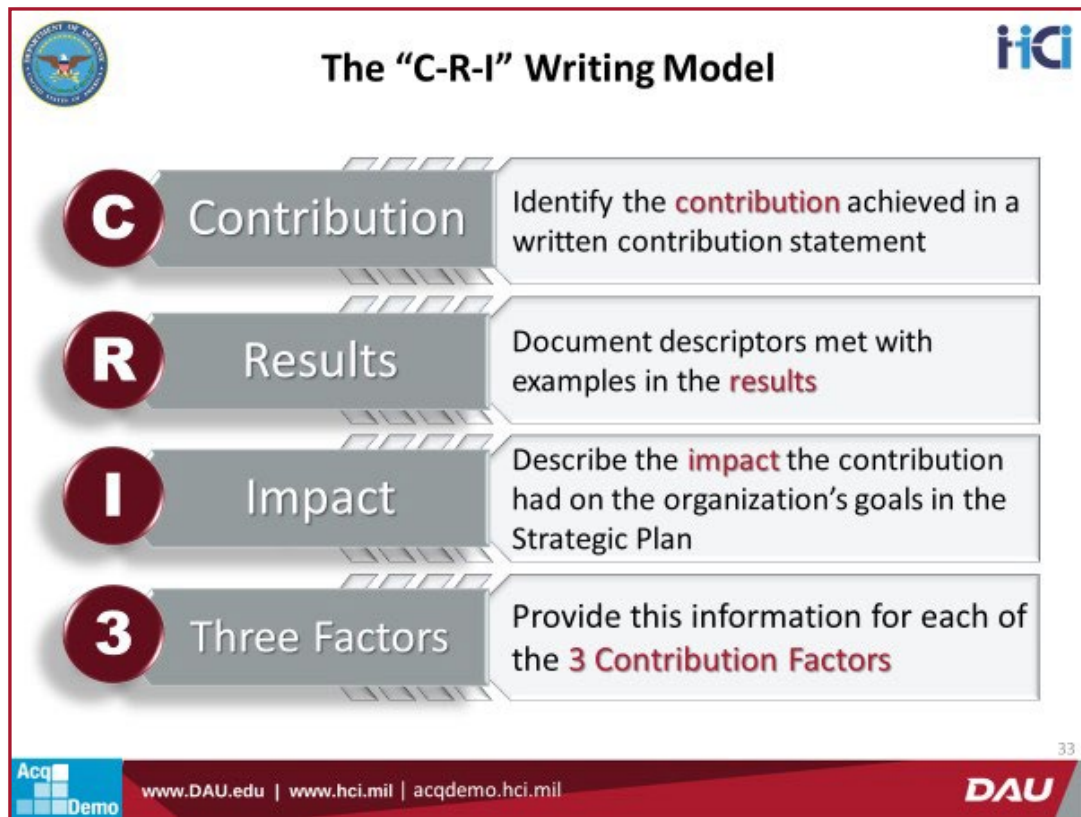
A verbose or disorganized contribution plan/assessment serves only to make the process unnecessarily difficult. Contribution plans and self- and supervisory assessments should not document every possible contribution. Rather, the purpose is to highlight those contributions that will have or have had the largest impact on accomplishing the goals of the organization.

Review the factors for the broadband level of the position, as well as for the levels immediately above and below, before beginning to write contribution statements.

Seldom will contributions perfectly match all 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, write statements that describe how the contribution(s) relate to the mission.





A recommended format used to prepare contributions statements is called the "C-R-I Writing Model."

**C** is **Contribution**. Identify the contribution being addressed in the written contribution statement.

**R** is **Results**. Document all descriptors met and include examples in the results.

**I** is **Impact**. Describe the impact the contributions had on the mission.

The number **3** is to remember to provide this information for each of the 3 Contribution Factors.


## Contribution Plans




### Contribution Plan Knowledge Essentials




- Understand role in achieving organization mission/goals
- Determine work assignments in support of mission
- Define expectations of results, benefits, and/or impacts
- Understand relationship between expectations and factor descriptors



- Understand relationship between current basic pay and expected contribution range
- Apply component-specific guidance for documentation



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Let us take a closer look at the role of Contribution Plans in the CCAS process:

Contribution Planning is designed to equate an employee's level of contribution to the mission of the organization. As a supervisor, you and your employees plan how they will contribute to the mission during the appraisal year. Depending on the needs of the organization, you will determine and direct specific work assignments.

It is important to define expectations of work assignment results. What does success look like? In what way will your employees' contributions benefit your organization? What impacts will they have towards mission success. And how will they meet them?

There is a relationship between supervisory expectations and the factor descriptors. The descriptors identify the highest levels of contribution that may be expected of your employees in their position. Employees may not be expected to contribute to the highest descriptor levels, however, but to what level do you truly expect them to contribute? Are they expected to contribute minimally (low), partially (medium), or fully (high) as described in the Factor Level Descriptors for their assigned broadband level? If you do not know, this is the time to discuss it.

There is also a distinct relationship between current pay and the Expected Contribution Range (ECR). These levels relate to the expected categorical and numerical score ranges, also known as ECR, for the employee's current salary. What is the employee's Expected Contribution Range? Is there an opportunity to exceed it? What happens if they fall below it?







## Contribution Plan Writing Goals





- Ensures everyone in the organization knows what the intended results are
- Prioritizes efforts to execute the mission
- Establishes a mutual understanding

- Increases communication
- Fosters improvement and growth opportunities


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Once contribution planning has been completed, employees should have a clear understanding of what needs to be done to effectively contribute to the organizational mission. The plan identifies the intended results including the projects to be accomplished, targeted milestones, and the anticipated impact to be realized by the achievement of project completion.

Employees should also understand how the factors, descriptors, and discriminators will be used to measure those contributions and the education, training, and experience needed to enhance their ability to contribute (i.e., elements of an Individual Development Plan).

Contribution Plans help organizations ensure that their employees' talent and best efforts are prioritized to execute the mission. It helps us to build mutual understanding and avoid communication breakdown. Increased communication helps to build rapport, create openness and trust, generate new ideas, improve listening skills, overcome obstacles, and improve presentation and interpersonal skills.

Most employees have a desire to learn and gain greater skills to become more effective and efficient in their work and enhance their promotion potential. Improvement and growth require constant expansion of skills and skillsets through learning and increased knowledge. This enhances employee engagement, retention and helps create a talented workforce. Discussing development opportunities is essential for both employees and the organization.

## Available Writing Tools



There are several tools and resources available to aide in the Contribution Writing Process.

The employee's Position Requirements Document, also known as a PRD. The PRD for each employee provides job-specific information, broadband level descriptors, and other information pertinent to the job, including staffing requirements and contribution expectations. This document replaced the agency-developed position description.

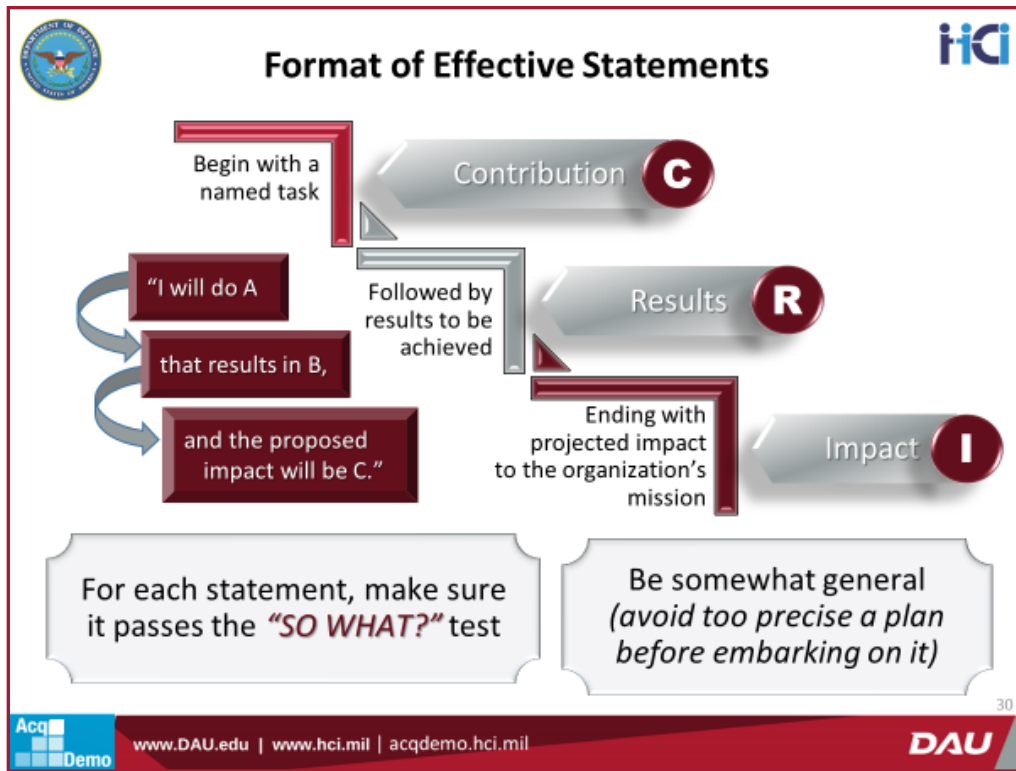
The Mission Statement describes the reason the organization exists – its purpose. The organization's core purpose and focus normally remains unchanged over time. Examples include:

Organizations, commands, regions, divisions, departments, sub-departments, field activities, or units can have specific goals and objectives with a strategic plan that may be updated each fiscal year. It is important to be aware of these goals and objectives to ensure that contributions will have a positive impact to their achievement.

Also, sharing your contribution plan, major projects, or daily activities/repetitive duties with your employees can help them write their contribution plans.

All these tools can help create written contribution expectations, also known as Contribution Plans.

## Effective Writing Format



A recommended format used to prepare a Contribution Plan is called the "C-R-I" writing model.

**C** stands for **Contribution**. Identify the contribution to be addressed in a written contribution expectation statement.

**R** stands for **Results**. Document the descriptors to be met, with examples, in the expected results.

**I** stands for **Impact**. Describe the expected impact the contribution will have on the mission.

Provide information for each of the 3 Contribution Factors.

The contribution plan is not a laundry list of skills an employee possesses; nor is it an assessment of potential. Rather, it is a set of statements reflecting what the employee will do and how those contributions will further the mission of the organization.

Contributions will not always be fully within the control of the employee. Sometimes the results and impact are made through an employee's influence. The ability of an employee to influence decision-making and processes is many times how they are expected to impact an organization's mission.

When writing a contribution plan under CCAS, think not only "WHAT" (the activity) and "HOW" (the level of performance) but also "WHY" (the benefit that helps meet the mission).

Be specific when writing contribution statements. Do not leave it to others to presume contribution. For example, stating, "I will publish three technical journal articles during this appraisal period," implies a contribution but does not state one. What is the intended impact of publishing those articles? Will 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, I will publish three

technical journal articles on <technical subject> which will result in <some desired advancement in the technology> in direct support of our mission to <specify goal> by <specific impact>.”

It is important to remember that a singular work activity may result in contributions that apply to more than one contribution factor.

The screenshot shows the 'Contribution Plan for PÉREGRINE FALCON' interface. The left sidebar contains a navigation menu with 'Supervisor' selected, showing options like 'Contribution Plans', 'Midpoint Assessments', 'Annual Assessments', 'Additional Feedback', 'Closeout Assessments', 'Grievances', 'ACDP Assessments', 'Archived Appraisals', and 'Reports'. The main content area is titled 'Contribution Plan for PÉREGRINE FALCON' and includes sections for 'General Information', 'Contribution Planning', and 'Job Achievement and/or Innovation'. The 'General Information' section shows fields for Supervisor Level 1 (WOODRICKER, SEVEN), Supervisor Level 2, Sub-Panel Manager, Pay Pool Manager (MANAGER, PAY POOL), Broadband Level, Occupational Series (884 - COMPUTER ENGINEERING), Career Path (NA - Business Management and Technical Management Professional), and Expected OCL and Range (75 - 79 - 83). The 'Contribution Planning' section has an 'Effective Date' field set to 10-01-2021. The 'Job Achievement and/or Innovation' section has buttons for 'Communication and/or Training', 'Mission Support', and 'Supervisor's Approval'. Below this is a 'Factor Description' section with a large text area for 'Individual Objectives' containing a list of bullet points. The bottom of the screen features the AcqDemo logo, website URLs (www.DAU.edu | www.hci.mil | acqdemo.hci.mil), and the DAU logo.

When an employee selects contribution plan, it brings up the employee contribution planning module. The employee has a 6,000-character box to enter their contribution plan. While they are working on their plan, they may save it by clicking the “save” button and come back to work on it later. When they are ready to submit it to their supervisor, they should click the “submit” button. A window will pop up asking if they are sure they wish to submit the plan to the supervisor. Click the “yes” button. Now their plan is submitted, and they are locked out from making any changes. As their supervisor you will be sent an e-mail notification that they have submitted their contribution plan.

*Note: You may not submit a plan that has no characters used. You would first need to enter at least one character.*

When you select contribution planning from the supervisor sub menu you will be taken to the supervisor contribution planning module.

Here you will see a list of your employees along with the status of their contribution plans. The status may be **Draft** (employee has input some information but has not yet submitted it), **Submitted** (employee has input their plan and submitted it to the supervisor), or **Released** (employee contribution plan has been approved and released back to the employee). If it says **Not Started**, that means no work has been done by either the supervisor or the employee for their contribution plan.

You can sort your employees by either their name or plan status

To select an employee, double-click on that employee and you will be taken into the supervisor contribution plan screen for that employee.

On the Supervisory screen for the employee’s Contribution Plans, you will be able to see what the employee has entered for their contribution plan and make modifications. If you are in the process of modifying the plan but are not ready to submit it to the employee, you may save any progress you have made by clicking the “save” button.


You can also choose to send it back to the employee for modifications if they need to make any corrections after they submitted it. To do this click the “Return to Employee” button. They can then make changes and resubmit their contribution plan.

After you have reviewed the plan and made any modifications you have deemed necessary, you should review the plan with the employee. This is done to insure both you and the employee have an equal understanding of the objectives in the plan. Choose the method of communication you used to review this with the employee and enter the date it was communicated then click the “submit” button.


The contribution plan will then be considered approved and released to the employee.


*Note: Some organization may require an approval from a higher-level supervisor before approval and release.*

## Activity: Writing a Contribution Statement




### Activity—Writing a Contribution Statement






1. Write a contribution statement for an organizational goal.
2. As a group, review each written contribution statements.
3. Present one contribution statement from your group's results to the rest of the class.



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For the following activity, individually write a contribution statement for one of your organization's strategic goals for either yourself or one of your employees. You can choose one of the goals that were identified earlier or any other goal your organization may have.

Then, in small groups review each other's contribution statements. Make sure the contribution statements are answering the "So What" of the contribution.

From your group choose one contribution statement to share with the rest of the class.

### Keep in mind...

It is not necessary, nor even advisable, to provide long, narrative descriptions of the contributions to be made during the appraisal period. It is recommended the contribution plan be written using concise bullet statements describing what will be done, the anticipated results, and how those results will impact the mission and goals of the organization.


**Be factual** - 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** – Will the contribution be made while assigned as a team *leader* or as a team *member*?



## Writing Contribution Assessment Statements



### Writing Contribution Assessment Statements



- Employee and supervisor assessments of contributions are crucial
  - For assessing progress at the Midpoint Review
  - For the pay pool panel members to make sound rating determinations
- Assessments should address each contribution, indicate the results achieved, and clearly document how the contributions fared against the factors, descriptors, and expected contribution criteria
- Rating recommendations reviewed by the pay pool panel must contain sufficient information to justify the rating before a final rating is approved

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Large organizations may not have direct knowledge of each pay pool member's contributions. Pay pool panel members reviewing supervisors' annual appraisal assessments need clear and concise descriptions of employee contributions that justify the recommended scores.



## How to Get Started



- Start with the “C”
  - Create a list of major tasks
  - Write a C-R-I statement for each “C”

**OR**

- Start with the “I”
  - Review the organization’s Strategic Plan (or other annual goal-supporting document)
  - Determine which goals have been impacted
  - Write a C-R-I statement for all work which had an impact on organizational goal(s)

*Both methods are equally effective – choose the method most comfortable for you.*

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## “The Results”



- Determine which factor(s) was(were) impacted by the contribution
- Pull up the list of factor descriptors at the appropriate broadband level for the factor
- Determine which of the descriptors were met with this contribution
- Write the key descriptor words in the “R” portion in the C-R-I statement, along with one example of how each descriptor was met

*Do NOT list all the steps it took to achieve the results. There is limited space available, and that level of detail is not needed by the Pay Pool Panel.*

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## Midpoint Review



The slide features a circular image of a woman in a business suit talking to another person. The text is centered and includes a bulleted list. Logos for the Department of Defense and HCI are in the top corners. The footer contains the AcqDemo logo, website URLs, and the DAU logo.

**Midpoint Review**

- An update to the Contribution Plan written in the same C-R-I format
- Opportunity for employees to present narrative descriptions of significant contributions made up to this point of the appraisal period
- Opportunity for supervisors to ensure assignments are on track for completion by the end of appraisal period, or to adjust if necessary

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### AcqDemo Ops Guide...

#### 6.16.6 Midpoint Review

Approximately midway through each appraisal cycle, employees are highly encouraged to complete the midpoint self-assessments and supervisors will complete a midpoint narrative assessment. The supervisor will not assign any scores to the midpoint review. Local business rules will include guidance on completion of the employee midpoint self-assessments. The supervisor will meet with the employee to discuss progress of the contribution plan, areas needing improvement, assistance available, and expectations for the remainder of the cycle. The supervisor must document the midpoint review discussion by entering the date communicated and method of communication in CAS2Net. A supervisory midpoint review assessment and feedback is not grievable. There is only one midpoint in an appraisal cycle.

### The Midpoint Review in CAS2Net – Employee

Hot Link to Factor Descriptors

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### The Midpoint Review in CAS2Net – Supervisor

Hot Link to Factor Descriptors

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When you select Midpoint Assessments from the supervisor sub menu you will be taken to the supervisor Midpoint Assessment module.

Here you will see a list of your employees along with the status of their Midpoint Assessments. As with Contribution Plans, the status may be **Draft** (employee has input some information but has not yet submitted it), **Submitted** (employee has input their plan and submitted it to the supervisor), or **Released** (employee Midpoint Assessment has been completed and released back to the employee). If it says **Not Started**, that means no work has been done by either the supervisor or the employee for their Midpoint Assessment.

You can sort your employees by either their name or assessment status

To select an employee, double-click on that employee and you will be taken into the supervisor Midpoint Assessment screen for that employee.

On the supervisor's Midpoint Assessment screen for an employee, the supervisor will see the employee's current contribution plan and their Midpoint Self-Assessment. You will also have an option to view any older contribution plans or additional feedback you have given the employee. For each of the factors there is a hot link to bring up the factor descriptors. You will also have a 4,000-character box to enter your Supervisory Midpoint Assessment for each factor.

While working on the Midpoint Assessment you may save it by clicking the "save" button and come back to work on it later. When you are finished, you will need to communicate your assessment to the employee to insure you both have an equal understanding of the midpoint assessment. Once you have had this conversation, select the method of communication used and the date it was conducted, then click the "submit" button. A window will pop up asking if you are sure you wish to submit your Midpoint Assessment and release it to your employee. Click the "yes" button. Now the Midpoint Assessment is released for employee viewing.

*Note: Some organizations may elect to just use an overall Midpoint Assessment and not separate it by the factors. In this case they will just have one 4,000-character box to enter their Midpoint Self-Assessment.*

## Annual Appraisal Writing Tools



There are several tools and resources available to aid in the annual appraisal writing process. These include:

- A copy of your organization's strategic plan.
- Position Requirements Documents, or PRDs, containing the three factors and level descriptors for the position's appropriate broadband level and career path. These will be used to measure employee contribution. The sub-panel and the pay pool panel will use the contribution plan, employee self-assessment and the supervisor annual appraisal to rate level of contribution to the mission for each of the three factors. Each factor is considered critical to the success of the organization's mission.


A review of the factor level descriptors and discriminators will give you an idea of the types of contributions considered typical for a position operating at the top of the broadband level. Descriptors and discriminators are available in the PRD, the AcqDemo website, and within CAS2Net. Click on the link within each factor to pull up the appropriate factor level descriptors and discriminators.

- The Midpoint Review and any modifications made to the Contribution Plan after the Midpoint Review.
- The results and impact of your employees' contributions to your organization, command, region, division, department, sub-department, field activities, or unit.
- Major projects or applicable daily activities or repetitive duties.
- You may have also rendered additional feedback periodically throughout the year and a mid-point review for which you should have prepared a written assessment.







## Keeping Records of Contributions




### 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 and performance 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 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. One suggestion is to keep that file right in CAS2Net. That way all you need to do is to summarize the results you have already captured come appraisal time.


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






## Annual Appraisal Self- and Supervisory Assessments

- An update to the Midpoint Review written in the same C-R-I format
- Provide an opportunity for employees to present narrative descriptions of **significant** contributions made during the appraisal period...
  - To their supervisor
    - ... Paint a complete picture of significant contributions to the organization's mission/strategic goals
  - To the Pay Pool Panel
    - ... Show how contributions achieved impacted the mission/strategic goals



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An Annual Appraisal Self-Assessment provides the employee an opportunity to present a narrative description of his or her significant contributions made during the appraisal period to both the supervisor and the pay pool panel.


It also provides an opportunity to:

- Provide the supervisor with a complete picture of significant contributions achieved
- Demonstrate to the Pay Pool how the contributions impacted the mission and/or strategic goals


## Annual Appraisal Self-Assessment





### Annual Appraisal Self-Assessment



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


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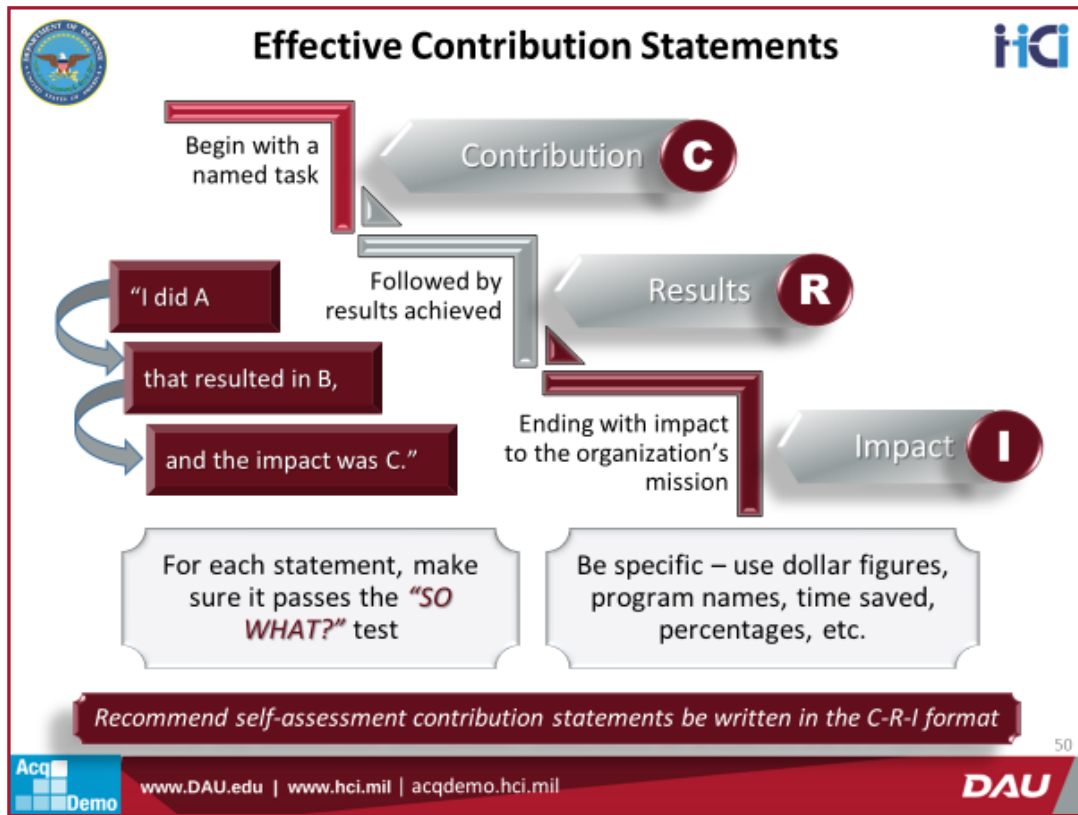
An Employee Self-Assessment is optional under CCAS but highly encouraged, subject to local policy. It is meant to document an employee's measurable results, portray a complete, concise picture of their contributions, and communicate the impact made to the organization's strategic goals.

Be sure to set firm deadlines for completion of the Midpoint and Annual Appraisal Self-Assessments and allow ample time for the employee to edit and modify them based on your collaboration. The self-assessments are typically completed before you write your annual appraisal.

The Supervisor can provide added value to this step by helping ensure 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 ensure the employee's contributions will be clearly understood by the pay pool panel.

A quality employee self-assessment can help the supervisor write the annual appraisal. Let us first look at an employee self-assessment, to help you coach them to produce a quality self-assessment.

## Effective Contribution Statements



The Annual Appraisal Self-Assessment is a set of statements that reflect what the employee accomplished and how those contributions advanced the mission of the organization.

Contributions may not have been within the employee's control. Sometimes the results and impact were made through an employee's influence. The ability of an employee to influence decision-making and processes is many times how they impacted an organization's mission.

When employees under CCAS are writing their self-assessments, they should think not only "WHAT" (the activity) and "HOW" (the level of performance) but also "WHY" (the benefit that helps meet the mission).

Be specific when writing contribution statements. Do not leave it to others to presume contribution. For example, stating, "I published three technical journal articles during this appraisal period," implies a contribution but does not state one. What was the impact of publishing those articles? Did they capture the objectives of the team or organization?

Think, also, of the factor descriptors and how contributions achieved relate back to the expectations described in the factor descriptors. How does an NH-III employee writing to Job Achievement and/or Innovation, be *considered a functional/technical expert*? Or how does one *develop, integrate, and implement solutions to diverse, highly complex problems*? Give examples of how the achievement of a contribution met the factor descriptors and to what extent it impacted the mission/goals of the organization.



Even if the activity accurately implies contribution, a lack of amplification and detail can make the statement vague and ineffective. A more complete statement of contribution might be, "This year, I published three technical

journal articles on <technical subject> which resulted in <some advancement in the technology> in direct support of our mission to <specify goal> by <specific impact>.”

Employees should always think in terms of cause and effect, or “So What?” when writing self-assessment contribution statements:

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


It is also important to remember that a singular work activity may result in contributions that apply to more than one contribution factor. How the contribution is described for each factor will differ as it relates to the factor descriptors for each factor.

## Supervisor Annual Appraisal Writing Steps

1. Review annual organization mission/goals
2. Review employee's Annual Appraisal Self-Assessment
3. Review results and impact since Midpoint Review and any Additional Feedback documentation
4. By factor, assess contributions against factor descriptors/discriminators
5. Prepare succinct contribution impact statements for each factor

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



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Now that we have examined what should be in a quality employee self-assessment, let us look at writing a supervisory assessment.


When preparing to write your supervisory assessment, it is important to review any information you collected about the employee's contributions throughout the cycle. These could include their contribution plan, the employee's self-assessment, the Midpoint Review, Additional Feedback, and any notes you may have collected about the employee's contributions during the cycle.

Supervisors should also review 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 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.



## Elements of a Supervisory Appraisal



- Statement of validity of factual elements identified in employee self-assessment  
*(concur, partially concur, do not concur)*
- Any important contributions the employee may have missed
- A summary of the value of the employee's contributions to the mission that supports your numerical score recommendation
- A statement of the quality of the employee's performance that supports your PAQL score recommendation

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When writing your supervisory appraisal there are four elements that should be included, if applicable.


The first of these is a general statement as to the validity of the employee's self-assessment. This could be *I concur with the employee's assessment*; *I disagree with the employee's assessment because...*; or *I concur with the employee's assessment except...*


The second element you should include is any important contribution you believe the employee may have missed in their self-assessment. You should encourage your employee to add these contributions in their own self-assessments, but in cases where they are not able to do this, you should add these in your appraisal to provide a complete narrative of the employee's contribution.

The third element is a summary of the employee's contributions and how they have impacted the organization's mission and goals. Here you should also think in terms of the discriminators for each factor and how they relate to the employee's impact on the mission/goals of the organization.

The last element is a statement of the employee's quality of performance as it relates to the expected contribution criteria. The statement should provide sufficient justification for the quality of performance rating recommended.


## The Supervisory “C-R-I” Writing Model






### The Supervisory “C-R-I” Writing Model

<b>C</b>	<b>Contribution</b>	Is the <b>contribution</b> addressed in the approved contribution plan or is it a new objective? If new, why?
<b>R</b>	<b>Results</b>	Assess the <b>results</b> achieved and add supervisory perspective where appropriate/necessary
<b>I</b>	<b>Impact</b>	Validate and/or add to the <b>impact</b> the contribution had on the organization’s mission, goals, or Strategic Plan
<b>3</b>	<b>Three Factors</b>	Complete supervisor assessment for each of the <b>3 Contribution Factors</b>



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The screenshot displays the 'Annual Assessment for BLU BRD' interface. It is divided into two side-by-side panels: 'Employee Annual Assessment' and 'Supervisor Annual Assessment'. Both panels show a header with user information (Name, Role, Supervisor) and a list of assessment factors. Each factor has a score box and a text area for comments. The 'Supervisor Annual Assessment' panel includes a 'submit' button at the bottom. The interface is branded with the Department of Defense logo and the hci logo. The footer contains the text 'Acq Demo www.DAU.edu | www.hci.mil | acqdemo.hci.mil DAU' and the number '54'.

On the supervisor's Annual Assessment screen for an employee, the supervisor will see the employee's current contribution plan and their Annual Self-Assessment. You will also have an option to view any older contribution plans, midpoint assessments, or any additional feedback you have given the employee. For each of the factors there is a hot link to bring up the factor descriptors. You will also have a 4,000-character box to enter your Supervisory Annual Appraisal Assessment for each factor.

While working on the Annual Assessment you may save it by clicking the "save" button and come back to work on it later.

For each of the factors you will also have to assign a Categorical Score, a Performance Score, and a numerical score if required by local business rules. You can do this by clicking on the box associated with those scores and you will be given a list of scores from which to choose. Select the appropriate score by clicking on it.



Once you have entered your supervisory assessment and assigned scores for each factor you may then submit the appraisal to the pay pool. To do this click the "submit" button. You will be prompted if you are sure you want to submit the annual appraisal and release it to the pay pool? Click "yes." Now the Annual Appraisal is complete and released to the pay pool.

*Note: Some pay pools may also require supervisors to assign numerical scores for each factor. In these instances, first choose a categorical score then click the box for numerical score and you will be given a list of numerical scores to choose from associated with the chosen categorical score. Click on the numerical score you have selected to choose it.*


*Note: You will not be able to submit your annual appraisal until all necessary information has been given. These include information in the supervisory assessment for each factor, categorical scores, performance scores, and, when applicable, numerical scores.*



## Activity: Writing an Annual Appraisal



### Activity – Writing an Annual Appraisal Assessment



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

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### Instructions

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

The instructor will ask you to **write the annual appraisal for a factor(s)**.

You may use chart paper or notebook paper to write Susan's appraisal for your factor(s). 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.

## Case Study – Susan Dacio

---

### ORGANIZATIONAL GOALS:

Org Goal 1: Seek efficiencies in contracting processes

Org Goal 2: Seek to find the best quality equipment, supplies, support, and/or services at the lowest cost

### SUSAN DACIO, 1102- CONTRACT ADMINISTRATOR, NH-II

Sue has worked in her current position for approximately 4 years. Her performance over time has always met expectations, and sometimes exceeded them.

Her responsibilities include:

- Monitoring contractor performance for compliance with applicable laws, delivery schedules, payment provisions, contract data reporting requirements, and other contractual requirements.
- Performs final closeout of assigned contracts, e.g., assures delivery, inspection, and acceptance on contractual end items and that all administrative and reporting actions have been resolved before recommending final closeout of the contract.
- Resolves delivery problems with contractor and buying activity and negotiates delivery schedule changes.
- Reviews contractor proposals and determines the extent of price or cost analysis and technical analysis required.
- Meets with the contractor and/or participates with the Administrative Contracting Officer in post-award conferences with government and contractor personnel to clarify issues or resolve contractual problems.

### SUSAN'S CONTRIBUTION PLAN

**Contribution:** Analyze contract, conduct contract receipt review, assign oversight based upon expertise to enable Organization to manage the contract effectively. Ensure the contract requirements can be accomplished and our work does not overshoot the limitations of the agreement. Work closely with industrial specialists to ensure the work is done to the terms and conditions of the contract. Work with cost & price analysts to monitor cost control systems and practices to ensure costs are contained within the bounds of the contract.

**Results:** Products and services meet the contractual requirements including quality, timeliness and within budget.

**Impact:** Ensure contractors are operating efficiently to ensure tax dollars are being effectively allocated. Keep our troops equipped and prepared on time and at cost, protecting our people in uniform and enabling them to accomplish their mission.

## SUPERVISORS SUMMARY

Sue was assigned to manage two contracts:

### **Contract #1 Engine Repair. Unit Cost > \$1Million.**

The Engine Repairs ranged from 5 to 20 repairs per month. The timeframe for repair depended entirely on the engine malfunction, damage, or wear. The contract is a 5-year contract and is in its 2<sup>nd</sup> year. In the last 5 months, the contractor keeps reporting delays and is not meeting their on-time delivery dates per the contract. The contractor claims that it is not their fault or in their control as parts (assets) delivery has not been as expedient as in the past. Contractor had several repair order contracts that had defined delivery dates in them and they were not getting the assets in time to fulfill the contract requirements. The repair inspection and analysis were being completed, then the specific repair parts (assets) were determined and ordered. The delivery timeframe of the assets was reasonable. But the actual delivery dates were too rigid and did not provide enough time for delivery of assets. On paper, it looked like the contractor was at fault. Sue notified me of the issue and worked with Global Logistics Support (GLS) to revise the contracts to align delivery dates to the repair turnaround time from the receipt of the assets.

1Q results showed 62 repairs completed with 60% not meeting on-time delivery with no re-work or increase in labor costs. 2Q year results showed 98 repairs with 59% not meeting on-time delivery. 3Q showed 100 repairs with 15% not meeting on-time delivery with 6 engines requiring re-work and 500 overtime hours. 4Q results showed 78 repairs completed with 10% not meeting on-time delivery with no re-work and increase in labor hours. This has led to a reduction of 80% of repair inquiries due to delays.

### **Contract #2 Bullet Proof Vests. Unit Cost < \$1 Million**

On Contract Bulletproof Vests, the contractor was not meeting the terms of contract for product delivery. The contractor stated that the supplier was providing subpar materials for the ballistic plate. The materials did not meet the specifications required by the contractor to meet the terms of the contract. The contractor was therefore not able to manufacture the vests to meet military-grade quality standards. In turn, this delayed production and delivery. It caused labor cost problems. Sue issued a Corrective Action Report to the supplier to document and notify them that there are problems with internal communication and production planning. Sue consulted with me and created an action team to address the issue. She invited internal industrial specialists and quality assurance specialists. She had them meet with the owner of the supplier company and the owner of the manufacturing company (contractor) and their associated members. They were able to identify the specific problems and made immediate changes. Sue continued to monitor the work.

The supplier made improvements with their on-time delivery from 66 percent to the mid-to-high 90s and within the quality and cost requirements. The Bulletproof vests were manufactured to perform as designed. I have also received some positive feedback of the improved quality of the BPV's since the issue was resolved.

**Job Achievement and/or Innovation****Employee Self-Assessment**

**Contribution 1:** Analyze, review, and provide oversight for engine repair contract.

**Results:** Contractor was not meeting their on-time delivery dates per contract requirements. Consulted with contractor which indicated outside of their control assets for the repairs were not being delivered in time to fulfill contract requirements. Worked with Global Logistics Support (GLS) to revise contracts to better align the repair turnaround time from the receipt of the assets.

**Impact:** This ensured suppliers monthly on-time delivery was not negatively impacted when assets were not received from the government.

**Contribution 2:** Analyze, review, and provide oversight for Bullet Proof Vests (BPV).

**Results:** Contractor was not meeting terms of their contract for production delivery. Working with contractor identified fault was with contractor supplier delivering non-conforming parts that had deficiencies and limitations. Had our staff, internal industry specialists, and quality assurance specialists work with supplier, identified problems, and made immediate changes.


**Impact:** Supplier made great improvement in on-time delivery from 66 percent to the mid to high 90's within the quality and cost requirements.


**Contribution 3:** level 2 DAWIA certification.

**Results:** I completed three DAWIA courses: Business decisions for contracting, Source Selection and Administration of Service Contracts, and Contract Administration and Negotiation Techniques in a Supply Environment. I am now 80% complete with my DAWIA certification and on track to be certified on-time.

**Impact:** I was able to adapt knowledge gained from the class scenarios to solve many of the contracting issues I faced this year. This will also make me more effective in future years management of contracts.


**Supervisor Appraisal**






## Writing Examples

- Two examples provided including...
  - Contribution Plan
  - Employee Self-Assessment
  - Supervisory Annual Appraisal Assessment
    - Building on the employee’s self-assessment
    - Examples of supervisor assessment do not require supervisor to use the W-R-I writing format
- Progression assumes employee self-assessments are required
  - Included in these examples to provide insight into the process of building upon contribution plan statements to develop self-assessment statements
  - May assist supervisors to coach their employees in proper self-assessment writing



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## Writing Example #1

### Contribution Plan Example

1102 - NH III – EOCS 81

**Supervisory Contract Specialist**

**Strategic Goal 3:** Ensure Agency funds are used in alignment with Department guidance and executed in a transparent manner

**Factor Descriptor:**

Job Achievement and/or Innovation

Strategic Goal 3

<p><b>OBJECTIVE 3.1</b> Achieve/sustain a positive audit opinion for the Agency by continuing to improve the audit process and remediate findings.</p> <p><b>OBJECTIVE 3.2</b> Ensure full fiscal and acquisition law compliance by improving processes and controls.</p>	<p><b>OBJECTIVE 3.3</b> Enhance relationships with allied partners and stakeholders by establishing innovative procedures, executing agreements in an auditable manner, and strengthening US partnerships abroad.</p> <p><b>OBJECTIVE 3.4</b> Enhance the DCMA Planning, Programming, Budgeting, and Execution (PPBE) process through a culture of discipline and accountability.</p>
---	---

**Job Achievement and/or Innovation** (note: Employee is writing to Descriptors: 1,4,6)

**C:** Provide pricing and cost analysis oversight for the contracting team and external customers.

**R:**

- Be considered a functional/technical expert at [Organization Name] and be regularly sought out by others for advice and assistance (J1).
- Develop, integrate, and implement solutions to diverse, highly complex problems with contract proposals (J4) ensuring that the team functions are conducted within established guidelines.
- Define, direct, and lead highly challenging projects/programs for the Cost & Pricing Center (J6). Pricing requests will be complete, on-time, and contain details for the customer to negotiate the contract.

**I:** Supports strategic goal (SG) #3: Ensure Agency funds are used in alignment with Department guidance and executed in a transparent accountable manner. SG 3.1: Achieve/sustain a positive audit opinion for the Agency by continuing to improve the audit process and remediate findings.

## Converting the Contribution Plan to a Self-Assessment

### NH-1102-III – EOCS 81

#### Supervisory Contract Specialist

**Strategic Goal 3:** Ensure Agency funds are used in alignment with Department guidance and executed in a transparent manner

#### Factor Descriptor:

Job Achievement and/or Innovation

**Job Achievement and/or Innovation** (note: Employee is writing to JAI Descriptors: 1, 4, 6)

**C:** Provided pricing and cost analysis oversight for the contracting team and external customers.

**R:**

- As technical expert for the Pricing team, was sought out for advice. E.g., I was sought out by several contract supervisors outside of my work group regarding pricing-related issues. Determined the problems (non-compliance for of a business unit) and provided recommendations for solutions. (J1)
- Implemented solutions to complex problems. Ex: Discovered deficiencies (inadequate information, contractor's accounting and estimating system, and unallowable costs on interim vouchers) of a \$42M proposal and articulated them to the buying command for negotiation of a highly visible contract. (J4)
- Directed highly challenging projects with 15 Price/Cost Analysts in reviewing 160 cases (\$2 Billion) with recommended savings of \$93 million with a 95% on time completion. (J6)

**I:** Total cost savings allowed customer to procure additional requirements and results in an effective and efficient execution of procurement budget IAW compliance to financial policies and regulations. Supported SG 3 and 3.1.

## Supervisor Annual Assessment Example

### NH-1102-III – EOCS 81

#### Supervisory Contract Specialist

**Strategic Goal 3:** Ensure Agency funds are used in alignment with Department guidance and executed in a transparent manner

#### Factor Descriptor:

Job Achievement and/or Innovation

**Job Achievement and/or Innovation** (note: Supervisor addressed Descriptors: 1, 2, 3, 4, 6)

I concur with the employee's self-assessment.

Her mentorship has led to an exceptionally high performing team with excellent morale, which is particularly impressive because 3 of her people sit in a different office 2 time zones away. She was directly responsible for how well they continued to perform even during the COVID-19 disruptions. (J2)

Scope: Jane and her team handle more workload than 2 of the 4 directorates combined and has achieved every reported metric in FY20.

She took on a strong leadership role in the multifunctional Past-FDD Working Group, which resulted in a total reduction of 284 contracts, from 1,255 to 971, within four months' time: this is the first time that this metric has improved in several years.

Jane is a top contributor who sets the standard for others to aspire to, as evidenced by her recognition as the Employee of the Year.

The quality and quantity of Jane's work substantially exceeds the contribution expectation with minimum room for improvement. And her application of technical knowledge and skills goes well beyond that expected for the position.

## Writing Example #2

### Contribution Plan Example

**NH-801-IV – EOCS 90**

**General Engineer**

**Strategic Goal 1:** Enhance lethality through on-time delivery of quality products

**Factor Descriptor:**

Job Achievement and/or Innovation

**Strategic Goal 1**

- OBJECTIVE 1.1**  
Improve delivery performance by influencing timely delivery of production outputs.
- OBJECTIVE 1.2**  
Improve product quality by influencing industrial base performance.
- OBJECTIVE 1.3**  
Improve customer support and force readiness by reducing process cycle times.
- OBJECTIVE 1.4**  
Enhance DoD's protection of Controlled Unclassified Information by ensuring contractors implement appropriate cyber requirements.

The graphic includes a background image of a helicopter in flight over a body of water, with a person in a red jacket pointing towards it.

*Job Achievement and/or Innovation (note: employee is writing to JAI Descriptors: 3, 4, 5, and 6)*

**C:** Manage and monitor plans to measure and improve contractor Open Technology Development (OTD)

**R:**

- Lead, define, manage, and integrate efforts of several groups or teams in establishing, tracking, and reporting OTD improvements.
- Assumes and assigns ownership of plans to identify root cause and resolve delinquent schedules (including delivery forecasts/customer request responses) (J3)
- Assesses and provides strategic direction to improve effectiveness of assessing prime control of sub-tier suppliers within the team (J4) and develop tools and processes to enable effective execution of the mission including Delegate Surveillance (J5)
- Define, establish, and direct organizational focus on challenging and highly complex projects/programs and emergent issues (J6)



I: Supports SG 1.0: Enhance Lethality through on-time delivery of quality products and SG 1.2 Improve product quality by influencing industrial base performance.

## Converting the Contribution Plan to a Self-Assessment

### NH-801-IV – EOCS 90

#### General Engineer

**Strategic Goal 1:** Enhance lethality through on-time delivery of quality products

#### Factor Descriptor:

Job Achievement and/or Innovation

*Job Achievement and/or Innovation (note: employee writes to JAI Descriptors: 3, 4, 5, and 6)*

**C:** Assessed and provided strategic direction for resolution of mission-critical problems, policies, and procedures. Ex: Conceptualized and developed a high-risk supplier analysis tool to improve decision making for Delegate Surveillance and to optimize resource allocation for assessment of prime contractor's control of sub-tier suppliers (J3, J4).

**R:** The analysis used a multitude of complex variables including On-Time Delivery performance, NCM history, SLODs, supplier transition, and quality performance to assign a hierarchal score/rating. (J6) Tool provided a data driven resource resulting in:

- Improved evaluation of contractor effectiveness by ranking sub-tier suppliers based on relevant defined parameters.
- Provided a new means to adjust multi-functional surveillance, focus mitigation strategies and reduce potential impacts to product deliveries and a standard for the entire organization (J5)

**I:** Data driven assessments reduced subjectivity and assisted leadership/teammates in making informed decisions for management of Delegate Surveillance activities and evaluating contractor's management of sub-tier suppliers. This effort directly supported strategic goal objective 2.5 since the risk analysis results were used to reduce the need to delegate surveillance. By employing this risk approach, we reduced LoDs by 18% (annual target 5%). It has also been useful in refocusing insight on suppliers who are at risk of not meeting delivery commitments (SP 1.0 and 1.2).

## Supervisor Annual Assessment Example

### 801 - NH IV – EOCS 90

#### General Engineer

**Strategic Goal 1:** Enhance lethality through on-time delivery of quality products

#### Factor Descriptor:

Job Achievement and/or Innovation

*Job Achievement and/or Innovation (note: Supervisor addresses Descriptors: 2, 3, 4, 5, 6)*

I concur with employee's assessment.

Employee also fostered the development of others by contributing to the new Leadership Development Program, mentored 3 participants with multiple training sessions. Directed assignments (briefs and roundtable) to encourage employee development (formal and brown bag training) and cross-functional growth to meet organizational needs Pursued professional self-development through continuing education (J2).

Employee continues to set the conditions and leadership standards that contributed to the organization supporting some of the highest sustained Contractor on time delivery results in years (90% as of August 2020). This was an especially tough challenge this year over the last two quarters as the Contractor had to deal with correcting some supply chain inefficiencies and recovering from recent delays in X-53 material used in the manufacturing of gearboxes. Despite these challenges, employee led the team and partnered with the Contractor to produce a net delinquent schedule reduction of -26.35% as of August 2020. Their leadership and technical actions helped influence



the contractor to provide needed product and systems which worked to improve USMC Fleet rotary and tilt-rotor readiness, a major concern for the service. Employee also greatly contributed to improving and/or remedying numerous cross-functional issues in the CMO.

Overall, employee performed admirably in delivering results that led to deliveries to the fleet and improving operational readiness.

### Using Contribution Statements for Multiple Factors

- Use NH-801-IV self-assessment narrative as an example.
- Can be used for both Job Achievement and/or Innovation, “J,” and Mission Support, “M,” with very little need for re-write.
  - As written, contribution statement aligns with three of the four factor descriptors for Mission Support at the NH-IV level

**C:** Assessed and provided strategic direction for resolution of mission-critical problems, policies and procedures. Ex: Conceptualized and developed a high-risk supplier analysis tool to improve decision making for Delegate Surveillance and to optimize resource allocation for assessment of prime contractor’s control of sub-tier suppliers. **(J3, J4 and M1, M2)**

Job Achievement and/or Innovation	Mission Support
J3: Leads, defines, manages, and integrates efforts of several groups or teams. Assumes and assigns ownership of processes and products, as appropriate.	M1: Defines, integrates, and implements strategic direction for vital programs with long-term impact on large numbers of people. Initiates actions to resolve major organization issues. Promulgates innovative solutions and methodologies
J4: Assesses and provides strategic direction for resolution of mission-critical problems, policies, and procedures	M2: Assess and promulgate fiscal and other factors affecting customer and program/project needs. Works with customer at management levels to resolve problems (e.g., problems that involve determining priorities and resolving conflicts among customers’ requirements.

**R:** The analysis used a multitude of complex variables including On-Time Delivery performance, NCM history, SLODs, supplier transition, and quality performance to assign a hierarchal score/rating. (J6) Tool provided a data driven resource resulting in:

- Improved evaluation of contractor effectiveness by ranking sub-tier suppliers based on relevant defined parameters.
- Provided a new means to adjust multi-functional surveillance, focus mitigation strategies and reduce potential impacts to product deliveries and a standard for the entire organization **(M4)**

Job Achievement and/or Innovation	Mission Support
J6: Defines, establishes, and directs organizational focus on challenging and highly complex projects/programs.	M4: Optimizes, controls, and manages all resources across projects/programs. Develops and integrates innovative approaches to attain goals and minimize expenditures.

**I:** Data driven assessments reduced subjectivity and assisted leadership/teammates in making informed decisions for management of Delegate Surveillance activities and evaluating contractor’s management of sub-tier suppliers. This effort directly supported strategic goal objective 2.5 since the risk analysis results were used to reduce the need to delegate surveillance. By employing this risk approach, we reduced LoDs by 18% (annual target 5%). It has also been useful in refocusing insight on suppliers who are at risk of not meeting delivery commitments (SP 1.0 and 1.2).  
**(J3 and M4)**

Job Achievement and/or Innovation	Mission Support
<p>J3: Leads, defines, manages, and integrates efforts of several groups or teams. Assumes and assigns ownership of processes and products, as appropriate.</p>	<p>M4: Optimizes, controls, and manages all resources across projects/programs. Develops and integrates innovative approaches to attain goals and minimize expenditures.</p>

## Chapter 6 — Assessing Employee Contributions and Performance

The slide features a background of white stars on a light gray field. In the top left corner is the Department of Defense seal. In the top right corner is the HCI logo. The main title, *Assessing Employee Contributions and Performance*, is centered in a dark red font. The bottom of the slide has a red banner containing the AcqDemo logo, the website addresses [www.DAU.edu](http://www.DAU.edu), [www.hci.mil](http://www.hci.mil), and [acqdemo.hci.mil](http://acqdemo.hci.mil), and the DAU logo. The number 56 is located in the bottom right corner of the slide area.



## Topics of Discussion



- Scoring Overview
- Determining Categorical Scores
- Determining Numerical Scores
- Determining Performance Appraisal Quality Levels
- Activity: Assessing Employee Contributions
- Special Situations



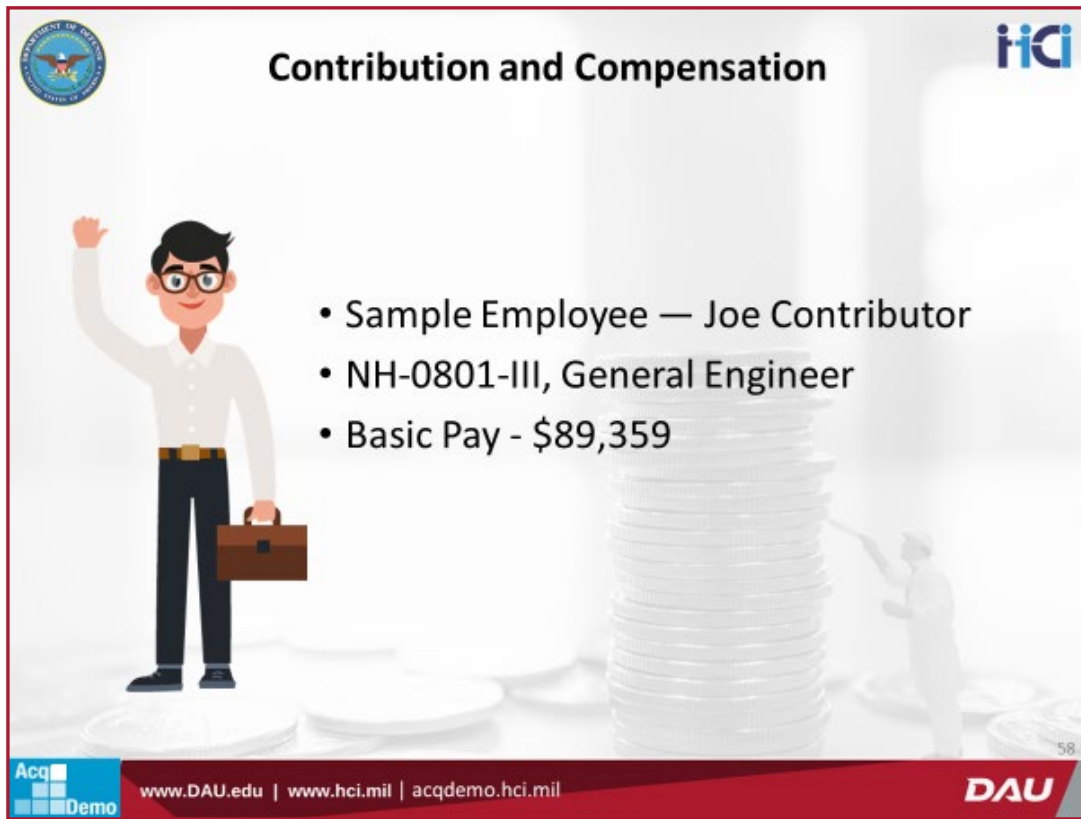
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This chapter provides details on the scoring process of CCAS, as well as an activity to reinforce the information presented.

## Contribution and Compensation



The slide features a cartoon illustration of a man with glasses, wearing a white shirt and dark pants, holding a brown briefcase and waving. To his right is a large stack of white coins, with a small figure of a person standing next to it. The background is a light gray with a blurred office setting. The slide includes the Department of Defense seal in the top left, the hci logo in the top right, and the DAU logo in the bottom right. The text on the slide lists the details of a sample employee.

**Contribution and Compensation**

- Sample Employee — Joe Contributor
- NH-0801-III, General Engineer
- Basic Pay - \$89,359

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To best illustrate the CCAS process, we will follow a sample employee through the entire pay pool process for the next several slides. The employee is Joe Contributor, who is a General Engineer. He is classified as an NH-0801-III and has a basic pay of \$89,359.

## Expected Contribution Range Calculator

**2021 Expected Contribution Range Calculator**

**Basic Pay Only**

Enter Base Pay/Retained Pay	Career Path	Broad-band	Max Pay	Retained Pay?	Expected Contribution Range		
					Upper Rail	Standard Pay Line	Lower Rail
\$89,359	NH	3	\$103,309	No	73	76	80

Pay Used in Calculation: \$89,359

Calculate an Expected Contribution Range (ECR) any time during the appraisal period using a calculator found at the AcqDemo website.

<https://acqdemo.hci.mil/tools>

ECR is displayed in the CAS2Net Contribution Plan, Midpoint, and Annual Assessment:  
Expected OCS and Range: 73 - 76 - 80

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Employees can look up their Expected Overall Contribution Score (EOCS) and Expected Contribution Range (ECR) at any time by using the online ECR calculator. The ECR calculator provides the expected score in the Standard Pay Line (SPL) column, as well as the upper and lower rails defining the range of OCSs appropriate for the expected contribution range aligned with basic pay.

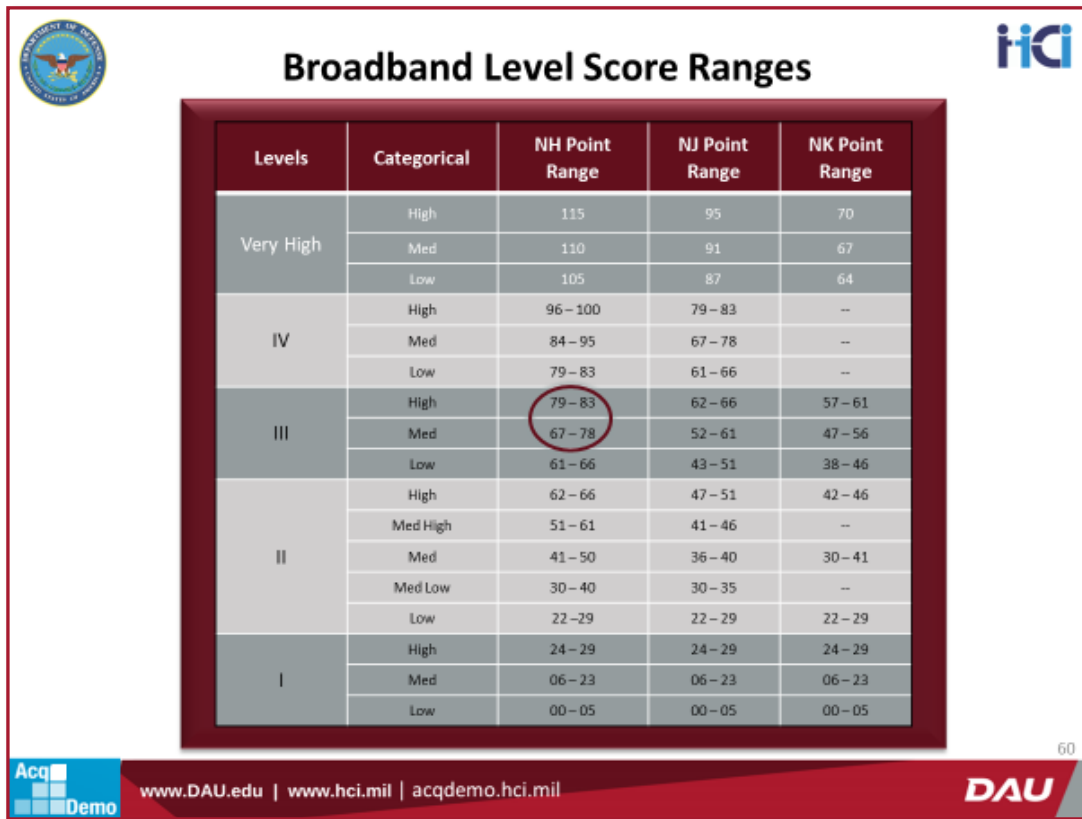
The website calculator is located on-line at <https://acqdemo.hci.mil/tools.html>.

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

Joe’s Expected OCS is 76, and his ECR is 73 - 80. 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



The table is titled "Broadband Level Score Ranges" and is presented within a red-bordered frame. It includes the Department of Defense seal on the top left and the hci logo on the top right. The table has five columns: Levels, Categorical, NH Point Range, NJ Point Range, and NK Point Range. The rows are organized by level (I to Very High) and then by categorical sub-level (High, Med, Low). The NH Point Range for the III-Med category (67-78) is circled in red. At the bottom of the frame, there are logos for AcqDemo and DAU, along with the website addresses www.DAU.edu, www.hci.mil, and acqdemo.hci.mil. A small number "60" is visible in the bottom right corner of the frame.

Levels	Categorical	NH Point Range	NJ Point Range	NK Point Range
Very High	High	115	95	70
	Med	110	91	67
	Low	105	87	64
IV	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	--
I	High	24 – 29	24 – 29	24 – 29
	Med	06 – 23	06 – 23	06 – 23
	Low	00 – 05	00 – 05	00 – 05

At the beginning of each CCAS cycle, employees are informed of their Expected OCS, which is based solely on their basic 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 basic pay of \$20,172.

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 73 – 80 falls in the NH-III Medium to the low end of the NH-III High category, as his basic pay is in the middle to upper third of Broadband 3.


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




**Normal Pay Range and Standard Pay Line for 2022**  
(Based on 2.2% Increase)

	OCS	SPL	*0.92 Lower Rail	*1.08 Upper Rail		OCS	SPL	*0.92 Lower Rail	*1.08 Upper Rail
GS01/1	0	20172	18558	21786					
	1	20576	18930	22222		51	55500	51060	59940
	2	20989	19310	22668		52	56612	52083	61141
	3	21409	19697	23122		53	57747	53127	62367
	4	21839	20091	23586		54	58904	54192	63617
	5	22276	20494	24058		55	60085	55278	64892
	6	22723	20905	24541		56	61289	56386	66192
	7	23178	21324	25032		57	62518	57516	67519
	8	23643	21751	25534		58	63771	58669	68872
	9	24117	22187	26046		59	65049	59845	70253
	10	24600	22632	26568		60	66353	61045	71661
	11	25093	23086	27100		61	67683	62268	73097
	12	25596	23548	27644		62	69039	63516	74562
	13	26109	24020	28198		63	70423	64789	76057
	14	26632	24502	28763		64	71834	66088	77581
	15	27166	24993	29339		65	73274	67412	79136
	16	27711	25494	29927		66	74743	68763	80722
	17	28266	26005	30527		67	76241	70142	82340
	18	28832	26526	31139		68	77769	71548	83991
	19	29410	27058	31763		69	79328	72982	85674
	20	30000	27600	32400		70	80918	74444	87391
	21	30601	28153	33049		71	82540	75936	89143
	22	31214	28717	33712		72	84194	77458	90929
	23	31840	29293	34387		73	85881	79011	92752
	24	32478	29880	35077		74	87603	80595	94611
	25	33129	30479	35780		75	89359	82210	96507
	26	33793	31090	36497		76	91150	83858	98442
	27	34471	31713	37228		77	92977	85538	100415
	28	35161	32349	37974		78	94840	87253	102427
	29	35866	32997	38735		79	96741	89002	104480
	30	36585	33658	39512		80	98680	90786	106574
	31	37318	34333	40304		81	100658	92605	108710
	32	38066	35021	41112		82	102675	94461	110889
	33	38829	35723	41936		83	104733	96355	113112
	34	39608	36439	42776		84	106832	98286	115379
	35	40401	37169	43634		85	108974	100256	117691
	36	41211	37914	44508		86	111158	102265	120050
	37	42037	38674	45400		87	113386	104315	122457
	38	42880	39449	46310		88	115658	106406	124911
	39	43739	40240	47238		89	117976	108538	127415
	40	44616	41047	48185		90	120341	110714	129968
	41	45510	41869	49151		91	122753	112933	132573
	42	46422	42708	50136		92	125213	115196	135230
	43	47353	43564	51141		93	127723	117505	137941
	44	48302	44438	52166		94	130283	119860	140706
	45	49270	45328	53211		95	132894	122263	143526
	46	50257	46237	54278		96	135558	124713	146402
	47	51265	47164	55366		97	138275	127213	149337
	48	52292	48109	56476		98	141046	129763	152330
	49	53340	49073	57608		99	143873	132363	155383
	50	54409	50057	58762	GS15/10	100	146757	135016	158497

## Determining Categorical Scores




### Determining Categorical Scores



- 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



Classification Level and Appraisal Descriptors	BB Level	OCS Range	
<b>FACTOR - Mission Support (NH)</b>			
<ul style="list-style-type: none"> <li>• Defines, organizes, and implements strategic direction for vital programs with long-term impacts on large numbers of people. Initiates actions to resolve major organizational issues. Formulates innovative solutions and methodologies.</li> <li>• Assesses and promotes fiscal and other factors affecting customer and program/project needs. Works with customer at management levels to resolve problems affecting programs/projects (e.g., problems that involve downgrading priorities and reassigning resources among customer's requirements).</li> <li>• Formulates organizational strategies, tactics and budget/action plans to acquire and allocate resources.</li> <li>• Optimizes, controls, and manages all resources across projects/programs. Develops and integrates innovative approaches to obtain goals and minimize expenditures.</li> </ul>	IV	Very High	111-122
		High	96-109
		Medium	84-95
		Low	79-83
<ul style="list-style-type: none"> <li>• Anticipates problems, develops sound solutions and action plans to ensure program/mission accomplishments.</li> <li>• Establishes customer alliances, anticipates and fulfills customer needs, and translates customer needs to programs/projects.</li> <li>• Identifies and optimizes resources to accomplish multiple projects/programs' goals.</li> <li>• Effectively accomplishes multiple projects/programs' goals within established guidelines.</li> </ul>	III	High	79-83
		Medium	67-78
		Low	61-66
<ul style="list-style-type: none"> <li>• Identifies and resolves conventional problems which may require deviations from accepted policies or instructions.</li> <li>• Initiates savings and innovations with customers to understand customer needs/expectations.</li> <li>• Optimizes resources to accomplish projects/programs within established schedules.</li> <li>• Effectively accomplishes projects/programs' goals within established resource guidelines.</li> </ul>	II	High	62-66
		Medium/High	51-61
		Medium	41-50
		Medium/Low	33-40
<ul style="list-style-type: none"> <li>• Performs assigned tasks within area of responsibility; identifies situations to supervisor or other appropriate personnel when existing guidelines do not apply.</li> <li>• Participates as a team member to meeting customer needs.</li> <li>• Productively plans individual tasks and assigned resources to accomplish tasks.</li> <li>• Effectively accomplishes assigned tasks.</li> </ul>	I	High	24-29
		Medium	6-23
		Low	0-5




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After preparing the annual appraisal, supervisors begin the categorical 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. Not all of an employee's contributions may fall within their broadband level. Sometimes they will do work that is better described at the broadband above or below their own broadband.




## Determining Categorical Scores




- Use the factor level descriptors and discriminators to determine a categorical score
  - **High:** Employee consistently and independently meets full intent of **all** factor level descriptors as written during the appraisal cycle
    - E.g., all 14 descriptors are met - 6 for Job Achievement and/or Innovation, and 4 in other two factors
  - **Medium:** Employee contributes at a level above the Low range but lower than the highest expectations as defined by the factor level descriptors as written **in more than half** of all descriptors for all factors
    - E.g., meet 4-5 descriptors for Job Achievement and/or Innovation, and 3 for other two factors at the Medium or High level
  - **Low:** Employee contributions are at or slightly above factor level descriptors at the next lower broadband level or needs greater than expected assistance in meeting them
    - E.g., meet 1 descriptor per factor at the Low or higher level
- Remember, descriptors are written at the **top** of the broadband

*Note: This is an example, but NOT the only possible criteria for rating. Check your Business Rules for guidance.*





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While the descriptors are to be taken as a whole, one possible way we could look at using them is by determining how many of the factor descriptors are being met by the employee. Choosing a **High** categorical score for an employee who meets all of the descriptors and does so consistently and independently with little or no guidance from their supervisor. Choose a **Medium** categorical score for an employee who meets most of the factor descriptors and/or needs a minimal amount of guidance from their supervisor. Choose a **Low** categorical score when an employee is just meeting portions of the factor descriptors or needs greater than expected assistance or guidance for an employee at this broadband level.

Remember, this is only one way to approach establishing the preliminary categorical score. Any method that can facilitate a uniform approach the first-level supervisors in the pay pool can use to determine the appropriate categorical scores confidently and consistently for their employees for recommendation to the pay pool panel is a viable method. Descriptors are to be taken as a whole when determining the categorical scores. Keep in mind, the descriptors are written at the top of the broadband, i.e., at the **High** categorical scoring level. Not all employees in the same broadband will or can be rated at the **High** categorical level. Expected contribution ranges are built around the employee's current basic pay and as long as the pay is considered appropriate, the expected contribution range and the associated pay amounts are also considered to be appropriate.



## When to Deviate from the Suggested Method


- **The Value of the contribution is significant or it's of lesser relative value**
  - Example – only 3 of the 4 bullets listed have been met, however the value of the employee's contribution is such that a "High" categorical score is appropriate
  - Example – 4 out 4 of the bullets are met, however the value of the work is not at a level consistent with employees at the top of the broadband
- **Employee has not been given the opportunity to meet the appropriate factor descriptors.**
  - Example – Employee is classified as an NH-III; however, the assignments provided to that employee align better with Level 2 descriptors. Assume the employee has done everything that has been asked of him/her in the desired manner. Should the employee be penalized for not being assigned Level 3 work or should a score within the Expected Contribution Range be rendered?

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Supervisors should also consider other circumstances. Some of these could be the level of the work as compared to others in the organization, such as someone who deals with simple tasks as compared to someone who is given the more complex task to deal with. Also, if the employee has not been given the opportunity to meet the factor descriptors for their level within the broadband, the reason for this circumstance should be explored. Remember, contribution plans can be modified up to 90 days before the appraisal cycle's end. Employees and supervisors need to be aware of potential issues associated with expected contribution levels throughout the year and take action when warranted.

In the end, factor level descriptors are to be used as a complete set when evaluating the employee's contributions and deciding where they fall within the broadband.



### Determining Categorical Scores



NH Contribution Matrix		Factors		
		Job Achievement and/or Innovation	Communication and/or Teamwork	Mission Support
Very High	High			
	Med			
	Low			
Level IV	High			
	Med			
	Low			
Level III	High (79 – 83)	<i>3H</i>		
	Med (67 – 78)		<i>3M</i>	<i>3M</i>
	Low (61 – 66)			
Level II	High			
	M/H			
	Med			
	M/L			
	Low			

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The supervisor compares employee contributions to the expectations listed in the appropriate factor level descriptors and then assigns a preliminary **categorical score** in CAS2Net.


Joe’s supervisor has assessed his level of contributions as one factor at 3 High and two at 3 Medium for the 3 factors.

Based on local guidance, supervisors may also be asked to provide preliminary numerical scores.


Depending on the organization’s pay pool structure, supervisors may sit on a sub pay pool panel and continue 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 contribution scoring process is completed after recommending preliminary categorical (and 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 may contact the supervisor to discuss their proposed changes. For this reason, the supervisor should remain available throughout the pay pool process to assist as needed.

## Determining Numerical Scores



### Determining Numerical Scores




- Review the factor descriptors, discriminators and knowledge of employee's contributions to rank order the results to determine the Numerical Score
- Numerical Score range must be associated with the respective Categorical Score

Factor 1: Discriminators
• Leadership Role
• Mentoring/Employee Development
• Accountability
• Complexity/Difficulty
• Creativity
• Scope/Impact


**NH Career Path**  
**Job Achievement and/or Innovation Factor**

3 High (3H)	79-83
John, Susan	83
Dan	82
Bruce, Rick	81
James	80
Rose, Joe	79

*Apply logic to your thought process and judgment when recommending numerical scores.*



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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. When rank ordering employees it is possible to rank order employees with equal value to their contributions in the same position of the rank order. The contribution matrix is then completed, and the categorical scores set.


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

To help guide the pay pool panel in rank ordering the employees and assigning numerical scores the factor discriminators are used, taking into consideration employee contributions as they relate to these skill sets. As an example, for the **Job Achievement and/or Innovation** factor the discriminators are Leadership Role, Mentoring/Employee Development, Accountability, Complexity/Difficulty, Creativity, Scope/Impact. If part of the employee's contribution had to do with the planning of the project, it would make more sense to consider that when rank ordering the **Mission Support** factor where Planning/Budgeting is a discriminator.

This two-step process for obtaining recommended scores for each factor is a way to ensure consistent use of the descriptors and discriminators.




## Determining Numerical Scores




NH Contribution Matrix		Factors		
		Job Achievement and/or Innovation	Communication and/or Teamwork	Mission Support
Very High	High			
	Med			
	Low			
Level IV	High			
	Med			
	Low			
Level III	High (79 – 83)	3H (79)		
	Med (67 – 78)		3M (76)	3M (78)
	Low (61 – 66)			
Level II	High			
	M/H			
	Med			
	M/L			
	Low			

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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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 contribution scores are set.

Before contribution scores are approved, the pay pool may consider performing one last sanity check against employee Expected Overall Contribution Scores to ensure the numerical scores selected are in line with employee contributions and if they are not, ascertain whether the supervisor's assessment supports a score outside the employee's expected range.




## Very High Scores


### Very High Scores

- Very High scoring has 3 options – High, Medium and Low with corresponding numerical scores
  - Scores only available for employees in the highest broadband level for their career paths
- Factor level descriptors are available to define Very High Scores at the mid-level
  - Same for all 3 factors

		Business Management and Technical Management Professional (NH)	Technical Management Support (NJ)	Administrative Support (NK)
		Numerical Score	Numerical Score	Numerical Score
Very High (VH) Scores	Categorical Score	115	95	70
	Medium	110	91	67
	Low	105	87	64



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Very high scores are available to recognize an employee for exemplary contributions and overall quality of performance, the results of which are substantially beyond what was expected and, therefore, warrant a score exceeding the top score for the highest broadband level in the employee’s career path.

The Federal Register states:

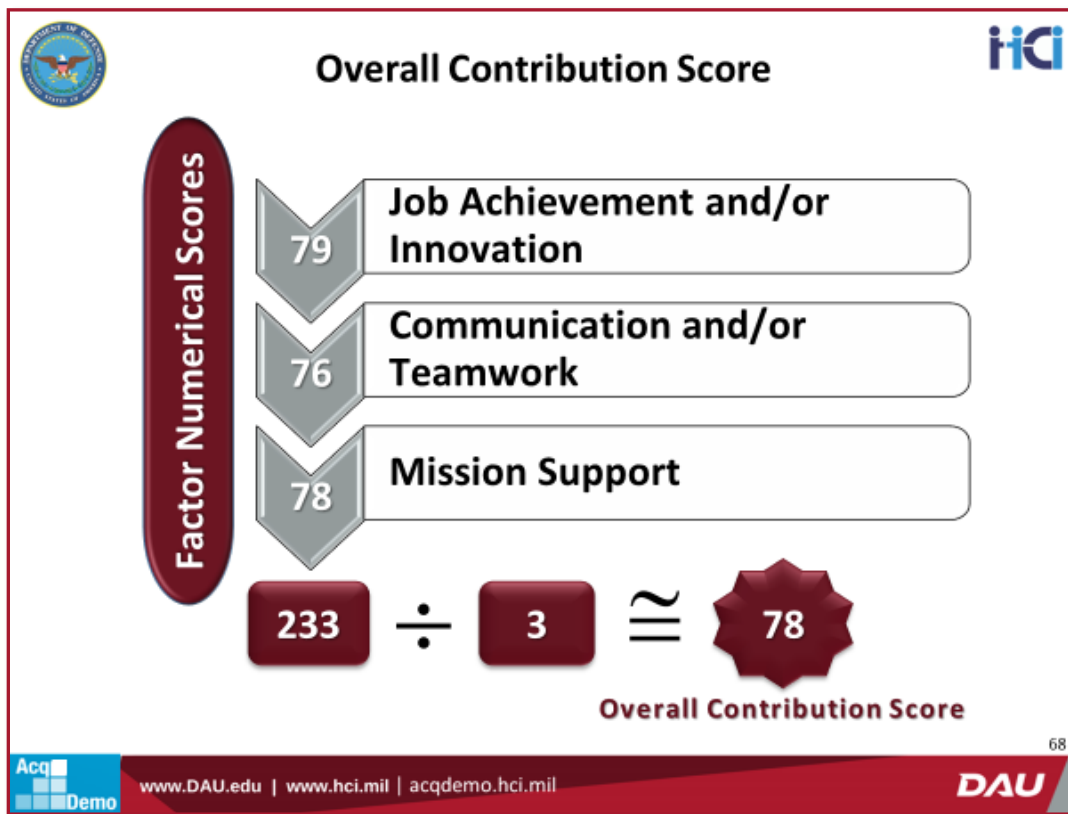
The “very high scores” of 105, 110, and 115 are provided for employees in Broadband Level IV of the Business and Technical Management Professional career path.

The “very high scores” of 87, 91, and 95 are provided for employees in Broadband Level IV of the Technical Management Support career path.

The “very high scores” of 64, 67, and 70 are provided for employees in Broadband Level III of the Administrative Support career path.

For Very High Score descriptors, note that unlike the other descriptors, these are written at the mid-level of the score range, so descriptor written for the 110 score for NH.

## Overall Contribution Score

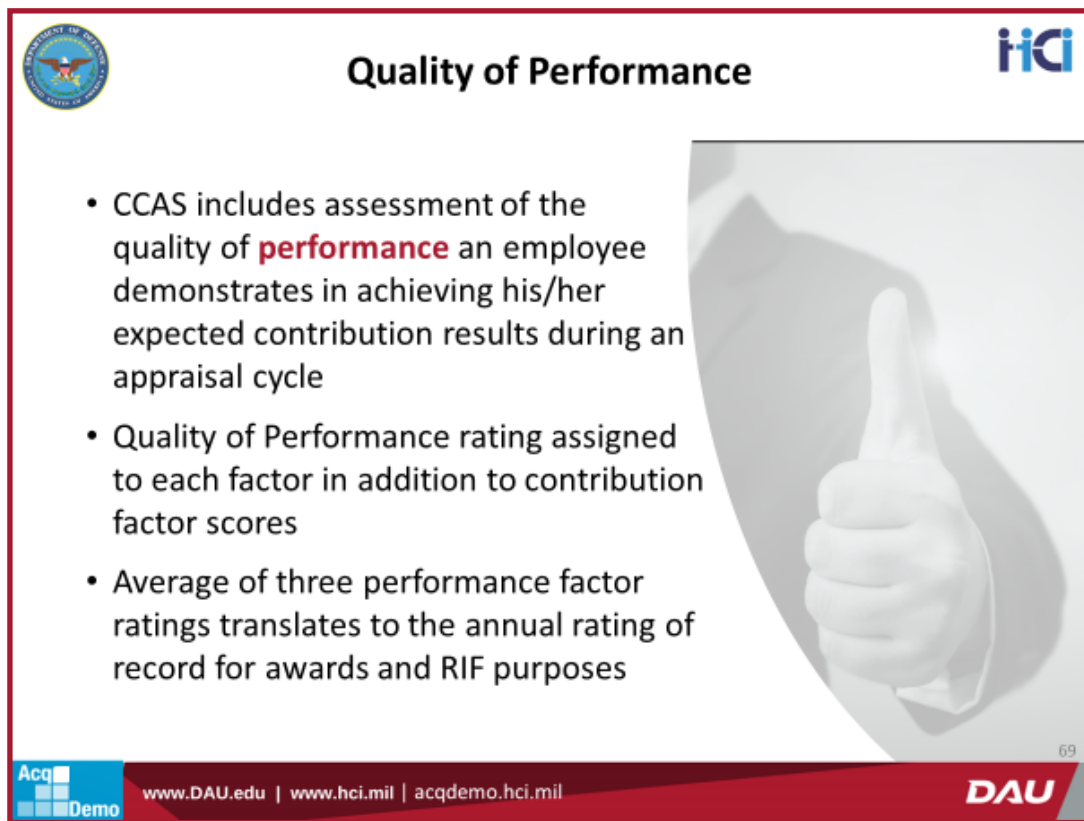


After numerical scores have been assigned to each of the factors, the scores are averaged to produce a preliminary Overall Contribution Score (OCS). Note that the OCS is rounded to the nearest whole number (i.e., 0.4 or lower is rounded down; 0.5 or higher is rounded up).

This score is forwarded to the pay pool as the **recommended 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 recommended score in the context of the contributions of other members of the pay pool for consistency. After considering each recommended OCS for equity and consistency, the pay pool manager approves a final OCS for each employee.

For our example, the pay pool manager has approved the numerical scores shown on the slide above for Joe, resulting in an OCS of 78.

## Quality of Performance



**Quality of Performance**

- CCAS includes assessment of the quality of **performance** an employee demonstrates in achieving his/her expected contribution results during an appraisal cycle
- Quality of Performance rating assigned to each factor in addition to contribution factor scores
- Average of three performance factor ratings translates to the annual rating of record for awards and RIF purposes

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AcqDemo also has a Quality of Performance assessment in order to meet requirements mandated by Congress in the FY 2017 National Defense Authorization Act (NDAA) that requires all reduction-in-force decisions to be based primarily on performance.

The Quality of Performance rating may be used for the selection of employees for assignments, training, awards, promotions, and RIF purposes.

To appropriately capture performance, AcqDemo incorporates a performance assessment. The performance level assigned to each factor should reflect an employee's level of performance during the appraisal cycle as compared to the factor "Expected Contribution Criteria" language. A participating organization may supplement the generic criteria with additional standards that identify milestones, production, due dates, or other measurable aspects of success contributing to the organization's mission and are achievable during the appraisal cycle.

For example, the **expected contribution criteria** for **Job Achievement and/or Innovation** is:

*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.*

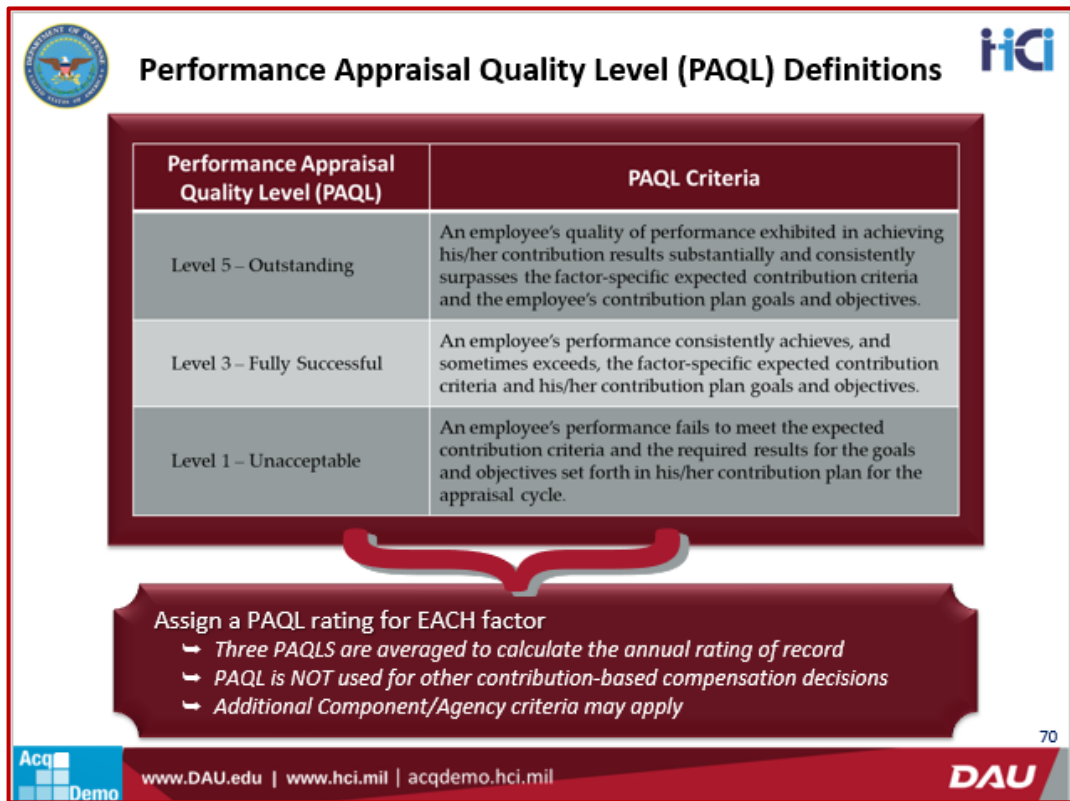
*Demonstrates skilled critical thinking in identifying, analyzing, and solving complex issues, as appropriate. Takes*

*and displays personal accountability in leading, overseeing, guiding, and/or managing programs and projects within assigned areas of responsibility.*

*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.*

*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.*



The slide features the Department of Defense seal and the hci logo. It contains a table with three rows defining PAQL levels. Below the table is a callout box with instructions on how to assign and use PAQL ratings. The footer includes the Acq Demo logo, website URLs, and the DAU logo.

Performance Appraisal Quality Level (PAQL)	PAQL Criteria
Level 5 – Outstanding	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.
Level 3 – Fully Successful	An employee's performance consistently achieves, and sometimes exceeds, the factor-specific expected contribution criteria and his/her contribution plan goals and objectives.
Level 1 – Unacceptable	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.

**Assign a PAQL rating for EACH factor**


- Three PAQLs are averaged to calculate the annual rating of record
- PAQL is NOT used for other contribution-based compensation decisions
- Additional Component/Agency criteria may apply

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A preliminary performance appraisal quality level of either Level 5 –Outstanding, Level 3 –Fully Successful, or Level 1 -Unacceptable will be assigned by the rating official to each of the three contribution factors. To ensure fairness and consistency across the entire pay pool, the Pay Pool Panel will review and make final decisions on the level scores for each factor.

While a performance rating of record is not used for contribution-based compensation decisions, a General Pay Increase (GPI) compensation decision needs to be made for retained rate employees receiving a rating of record of 1 – Unacceptable and an OCS that places the employee in the “A,” overcompensated region (i.e., above the upper rail). When these circumstances exist, the GPI can be reduced or denied, and the participating organization must decide how it will manage GPI for overcompensated employees with unacceptable performance.




## PAQL Values




- Quality of performance appraisal level ratings assigned to each factor are averaged.
- The average translates to the annual rating of record using the Rating Criteria, below:

Performance Appraisal Quality Level (PAQL)	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”.



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During the pay pool panel process, panel members will review the preliminary performance appraisal level justifications for the contribution factors and rating of record for all pay pool members for consistency and equity of application within the pay pool population before final approval.


The three performance appraisal levels are then averaged to calculate the annual rating of record. The resulting quotient will be rounded to the nearest tenth of a decimal point. Any factor with a PAQL of 1 causes the rating’s average to equal 1, resulting in an annual rating of record of 1 – Unacceptable.

The annual rating of record will be recorded as a Level 5 - Outstanding, Level 3 - Fully Successful, or Level 1 - Unacceptable.

The average raw score of the three appraisal levels and the approved annual rating of record will be recorded in the Defense Civilian Personnel Data System.




## Quality of Performance – Rating Scheme




- On annual appraisals, Supervisors rate **EACH** factor with a performance level of 5, 3 or 1
- The ratings are averaged into a raw score and rounded to either a 5 or 3
- If any factor is rated 1, that overrides other scores resulting in a Rating of Record of 1 - Unacceptable

Factor	QoP	QoP	QoP	QoP	QoP
Job Achievement and/or Innovation	5	5	3	3	5
Communication and/or Teamwork	5	5	3	3	3
Mission Support	5	3	5	3	1
Sum of Factors' PAQL	15	13	11	9	9
Average Raw Score (Sum of PAQLs/3)	5.0	4.333	3.667	3.0	3.0
Rounded	5	5	3	3	1
<b>Rating of Record</b>	<b>5</b> Outstanding	<b>5</b> Outstanding	<b>3</b> Fully Successful	<b>3</b> Fully Successful	<b>1</b> Unacceptable

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An average of 3 factor scores resulting in 4.3 or 5.0 will yield a final rating of record of 5. Factor scores of 5, 5, 3 (4.3), or all 5s (5.0) will result in a final score of 5.

Level 3 will be the rating of record for any average 3.7 or 3.0. Possible final factor scores for level 3 are two 3s and one 5 (3.7) or all 3s (3.0).


Getting a 1 in any PAQL factor rating will result in a rating of record of 1.




## Activity: Assessing Employee Contributions




### Activity – Assessing Employee Contributions






1. In small groups, review the background information in the Participant Guide.
2. As a group, collectively determine the preliminary categorical scores for each of the employees for one factor.
3. 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 recommended Categorical Score and PAQL for each employee for the **Job Achievement and/or Innovation** 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.

### Scenario

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

On the following page is a summary of their contributions as presented in their appraisals relating to the Job Achievement and/or Innovation factor:



Employee	Summary of Contributions
<b>Joe</b>	<p>Joe led a series of highly complex projects this year across several areas of our organization. Chief among them was a new computer system that tracked our warehouse inventory in a much more automated way than the old system, effectively changing the entire way we track inventory for the better. This resulted in an efficient end-of-year audit with our best results in years.</p> <p>Although Joe is already considered a technical expert in his area, he also successfully completed a training program to learn the latest in cyber security advances. We anticipate using this new knowledge to implement changes to several systems and decrease our security risks in the next fiscal year.</p> <p>The team Joe led this year had to overcome several unexpected obstacles, yet still finished the project ahead of schedule by 2 months and under budget by 10%.</p>
<b>Rose</b>	<p>Rose really struggled this year in her leadership 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.</p>
<b>Rick</b>	<p>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 used his technical knowledge to get his team back on track by accelerating the coding and stay on schedule.</p> <p>This tracking system cut reorder costs by 5% and improved delivery time on average by 10 days.</p>
<b>Cora</b>	<p>Cora began the year leading the project to update our HR database. Her knowledge in this area is extensive and the team completed the project well ahead of schedule and budget. She also had to step in to replace Rose as lead on a couple of projects. While those projects were not specifically in Cora's area of expertise, she jumped right in and quickly got up to speed. The team really rallied around her enthusiastic leadership. The course corrections made on those projects was astounding. She even received letter of appreciation from our Assistant Chief of Staff.</p>
<b>Bruce</b>	<p>Using an off-the-shelf tool, Bruce led the development of an automated process for tracking an average of 600 work requests per month. The project got behind schedule but after discussions during his Mid-Point Review and subsequent coaching, Bruce was able to ensure the project was completed on-time.</p> <p>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.</p>

**Results**


As a supervisor, determine the recommended Categorical Score and PAQL for each employee for the **Job Achievement and/or Innovation** factor.

<b>Employee</b>	<b>Categorical Score</b>	<b>PAQL</b>
Joe		
Rose		
Rick		
Cora		
Bruce		


## Special Situations


### 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 a Contribution Rating Increase (CRI), but may earn a carryover bonus or Contribution Award (CA) in a similar manner as employees at the maximum pay of assigned broadband level based on rated OCS
- Retained rate employees may receive 50% of any broadband GPI
- Retained rate employees with PAQL rating of 1 and OCS in the Overcompensated Region may have GPI reduced or denied




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Retained rate employees may receive 50% of any broadband GPI awarded is calculated as follows:

New broadband level maximum basic pay – Previous broadband level maximum basic = Difference \* 50% = Retained Pay GPI



## Special Situations – Presumptive Ratings



- Used when employee cannot be evaluated due to circumstances that take the individual away from their normal duties or duty station
  - Long-term full-time training
  - Active military duty
  - Extended sick leave
  - Qualified family and medical leave
  - Full time union representation
  - Leave without pay, etc.
- Pay Pool Administrators will assign the appropriate presumptive status in the CAS2Net user profile for use in the CCAS spreadsheet and the employee's Salary Appraisal Form

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**Text from the AcqDemo Operating Guide dated June 15, 2022:**


### **6.18 Presumptive Rating**

6.18.1 When an employee cannot be evaluated readily by the normal CCAS appraisal process due to circumstances that take the individual away from normal duties or duty station (e.g., long-term full-time training; active military duty; extended sick leave; qualified family and medical leave; full time union representation; leave without pay, an extended rotational/developmental assignment, civilian deployments, emergency relief efforts, AWOL, etc.), the pay pool administrator, with the advice of the rating official and activity's HRO, will document the special situations in CAS2Net 2.0. The pay pool administrator will then determine which of the following five options to use, guided by local business rules and with consideration of any special legal entitlements such as the Uniformed Services Employment and Reemployment Rights Act (USERRA), which may affect that determination.

6.18.2 Use available observations and documentation to prepare an assessment and determine a recommended categorical score, numeric score (in accordance with local business rules) and PAQL for each factor; or:



## Special Situations – Presumptive Ratings



- Rating official selects from 1 of 5 presumptive status options
  - **Presumptive Status 1**— New AcqDemo hires with less than 90 calendar days immediately preceding September 30<sup>th</sup> who are ineligible for a CCAS rating
  - **Presumptive Status 2**— Renders an OCS equal to an EOCS and PAQL of Level 3—Fully Successful. Presumes employee is contributing commensurate with the current basic pay
  - **Presumptive Status 3**— Re-certifies employee's last contribution assessment OCS if greater than current EOCS AND last CCAS rating of record if higher than expected rating of record performance appraisal level

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**Text from the AcqDemo Operating Guide dated June 15, 2022, Chapter 6, section 6.18.2:**

a) **Assign a Presumptive Status 1:** New AcqDemo hires with less than 90 calendar days immediately preceding the end of the current appraisal cycle with less than the necessary time to receive an actual CCAS contribution assessment are not eligible for an annual CCAS contribution assessment due to time.

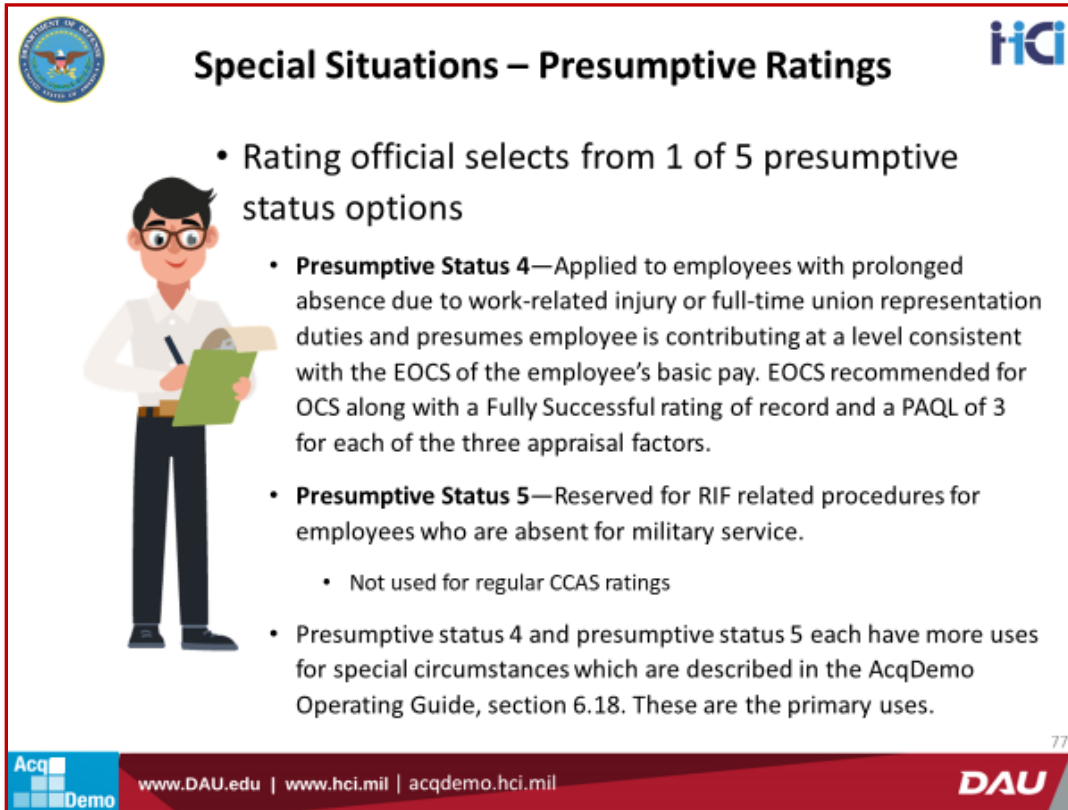
b) **Assign a Presumptive Status 2:** Presume the employee is contributing consistently with his/her EOCS representative of his/her basic pay level by recommending the EOCS for the OCS, Level 3—Fully Successful rating of record and a PAQL of 3 for each of the three appraisal factors.

c) **Assign a Presumptive Status 3:** Recommend the pay pool panel re-certify the employee's last contribution assessment OCS if greater than the current EOCS and the last CCAS rating of record if higher than the expected rating of record performance appraisal level.

a. Consider recertification of the most recent approved CCAS appraisal in the 4-year period to include the approved OCS and annual RoR with the actual numerical scores of the PAQLs for the three appraisal factors.

b. Uniformed Services Employment and Reemployment Rights Act (USERRA) legal entitlements. If employees who left their job to undertake military service are eligible to be reemployed, they must be restored to the job and benefits they would have attained if they had not been absent due to military service or, in some cases, a comparable job. In this case, recommendation is for the pay pool manager to recertify the employee's last approved CCAS contribution assessment OCS if greater than the current EOCS. Likewise, recertify the last approved CCAS RoR and the three PAQL scores if higher than the assessed CCAS RoR and three PAQL scores for current cycle.

Note: [Presumptive - Status 3 is not available for first year AcqDemo assessments and/or for employees who have changed broadband levels during the assessment period.]



The slide features a cartoon illustration of a man with glasses and a white shirt holding a green clipboard and a pen. The slide title is 'Special Situations – Presumptive Ratings'. It lists three main points about presumptive status options. The first point is 'Rating official selects from 1 of 5 presumptive status options'. The second point is 'Presumptive Status 4—Applied to employees with prolonged absence due to work-related injury or full-time union representation duties and presumes employee is contributing at a level consistent with the EOCS of the employee's basic pay. EOCS recommended for OCS along with a Fully Successful rating of record and a PAQL of 3 for each of the three appraisal factors.' The third point is 'Presumptive Status 5—Reserved for RIF related procedures for employees who are absent for military service.' with a sub-point 'Not used for regular CCAS ratings'. A final point states 'Presumptive status 4 and presumptive status 5 each have more uses for special circumstances which are described in the AcqDemo Operating Guide, section 6.18. These are the primary uses.'

**Special Situations – Presumptive Ratings**

- Rating official selects from 1 of 5 presumptive status options
  - **Presumptive Status 4**—Applied to employees with prolonged absence due to work-related injury or full-time union representation duties and presumes employee is contributing at a level consistent with the EOCS of the employee's basic pay. EOCS recommended for OCS along with a Fully Successful rating of record and a PAQL of 3 for each of the three appraisal factors.
  - **Presumptive Status 5**—Reserved for RIF related procedures for employees who are absent for military service.
    - Not used for regular CCAS ratings
- Presumptive status 4 and presumptive status 5 each have more uses for special circumstances which are described in the AcqDemo Operating Guide, section 6.18. These are the primary uses.

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**Text from the AcqDemo Operating Guide dated June 15, 2022, Chapter 6, section 6.18.2:**

d) **Assign a Presumptive Status 4:** Prolonged absence due to work-related injury or full-time union representation duties. A Presumptive – Status 4 may be used as a RoR for purposes of RIF for those periods in which an employee did not receive a performance appraisal due to a prolonged absence resulting from a work-related injury that is approved for compensation pursuant to an Office of Workers' Compensation Program, or while performing the duties of a full time union representative. Presumptive – Status 4 is limited to only periods of time for which the employee has no RoR under any performance management system within the four-year period preceding the "cutoff date" established for the RIF. A Presumptive – Status 4 presumes the employee is contributing consistently with his/her EOCS representative of his/her basic pay level by recommending the EOCS for the OCS, a Fully Successful RoR, and a PAQL of 3 for each of the three appraisal factors.



e) **Assign a Presumptive Status 5:** Reserved for RIF related procedures for employees who are absent for military service. For RIF purposes, employees who are absent for military service:

- Will receive a CCAS assessment, OCS, RoR, and PAQL scores provided they have performed work under an approved plan for a minimum of 90 calendar days and for 90 consecutive calendar days immediately before the end of the rating cycle. (Note: This situation is fully eligible for a CCAS rating.)
- If an employee absent for military service does not meet the two 90-day requirements and has no RoR under any performance management system within the previous four-year period, the employee will be presumed to be contributing consistently with his/her EOCS representative of his/her basic pay level and will receive the RoR most frequently given (modal) among the actual ratings of record in the same competitive area. (Note: New to Federal service starting in AcqDemo with less than 90 days– modal rating.)




c. Employees who do not meet the 90-calendar day immediately before the end of the rating cycle requirement but have a RoR under any performance management system within the four-year period preceding the RIF “cutoff date” will receive a CCAS RoR consistent with this previous RoR and will be assigned their most recent RoR and associated PAQLs as the new CCAS RoR for the appraisal cycle. This new CCAS RoR will be treated as assessed performance. (Note – Recertify a non-CCAS RoR pulled from DCPDS.)

## Rating Official Change or Employee Movement



### Special Situations – Rating Official Change or Employee Movement




- When a Rating Official changes positions or an employee changes positions, a tool to assist organizations in making appraisal and compensation decisions has been created. It is called the “**AcqDemo Rating Official Change and Employee Movement Matrix**”
- It can be found online at:  
[https://acqdemo.hci.mil/tools/Employee Movement Matrix.pdf](https://acqdemo.hci.mil/tools/Employee_Movement_Matrix.pdf)

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The Employee Movement Matrix at: [http://acqdemo.hci.mil/tools/Employee Movement Matrix.pdf](http://acqdemo.hci.mil/tools/Employee_Movement_Matrix.pdf) should be consulted for guidance on procedures covering employee and supervisory movements and the appropriate appraisal and/or payout action. See **Appendix I** for a copy of Employee Movement Matrix.

## Part-time Employees




### Special Situation – 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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### Text from the AcqDemo Operating Guide dated June 15, 2022:

#### 6.17.3 Part-time Work Schedules

##### a) Definitions

Office of Personnel Management Guide to Processing Personnel Actions, Chapter 24, Paragraph 2, provides that part-time requires employees to work less than full-time, but for a specific number of hours (usually 16-32 per administrative workweek) on a prearranged scheduled tour of duty.

##### b) Pay-Setting



For AcqDemo pay setting procedures, employees' part-time work schedules are treated as full-time equivalents. This requirement is typically used in the AcqDemo pay setting process to provide a mechanism to adjust basic pay increase percentages for consistency and equity with comparable contributions achieved within differing work schedules. The subsequent basic pay adjustment is then based on each employee's annual rate of basic pay as of September 30.

The Pay Pool Manager may prorate Contribution Awards (CA). As identical to full-time status, employees must be employed by an AcqDemo organization on the effective date of the payouts, i.e., the beginning of the first full pay period in January following the close of the appraisal cycle, in order to receive the payouts.


### c) Appraisals

The CCAS focuses on measuring individual employee contributions to the mission of an organization and facilitates an employee's pay progression tied to his/her organizational contribution and level of position. To be more in line with these principles, contribution plans should be based on an employee's contributions and performance achievable in the time period the employee would actually be in a pay status working during the appraisal cycle. To be eligible for an appraisal and payout, part-time employees should have been under an approved contribution plan for 90 calendar days or more and have served under CCAS for 90 calendar days or more immediately prior to the end of the rating period, i.e., close of business on September 30, and be employed by an AcqDemo organization on the effective date of the appraisal, i.e., January 1st of the calendar year following the close of the appraisal cycle, to receive an actual CCAS contribution assessment.


## Post-Cycle Promotion


### Special Situations – 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 continues to be used in determining the OCS
  - Contribution Rating Increase (CRI) is calculated
    - If the calculated CRI, plus the GPI, plus the previous basic 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 and CRI may become a Carryover Award IAW local business rules



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### Text from the AcqDemo Operating Guide dated June 15, 2022:

#### 6.17.5 Post–Cycle AcqDemo Promotions

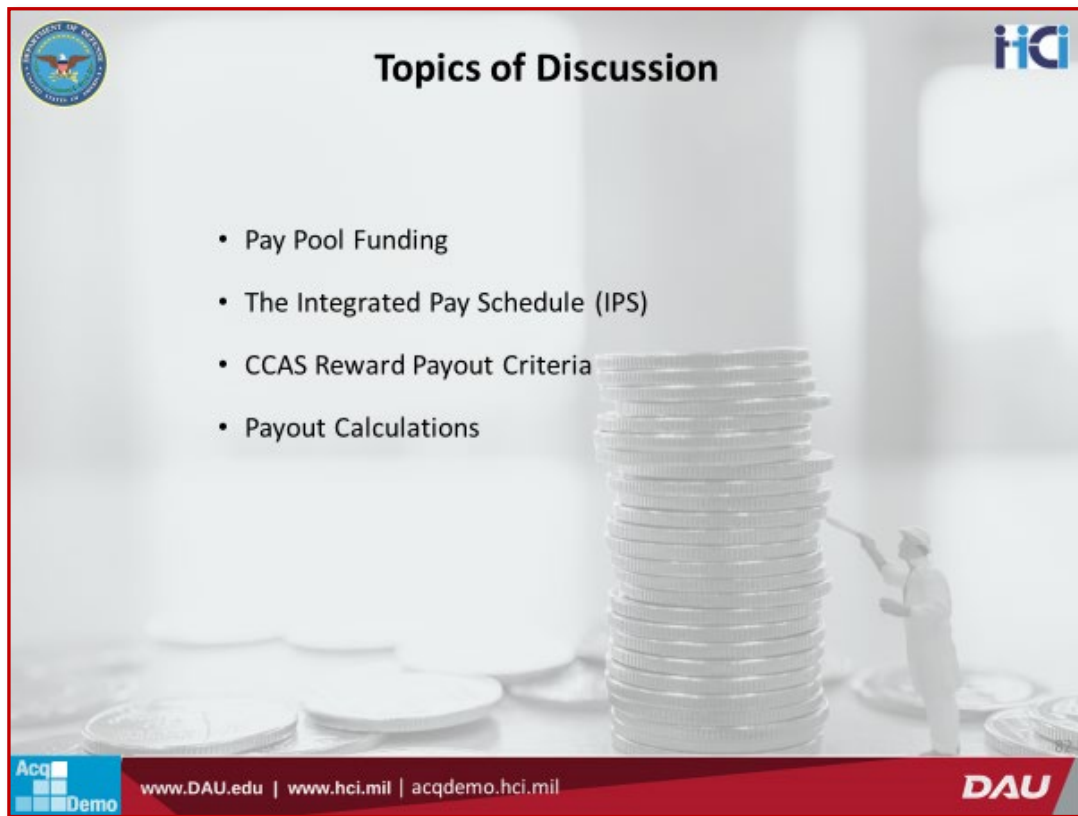
If an employee is promoted to a higher AcqDemo broadband level after the end of the appraisal period but before the pay out, the employee’s contributions and performance for the completed CCAS cycle and the September 30 basic pay are used during the annual CCAS assessment to determine outcomes for the completed cycle. The outcomes could be used for possible recognition of the employee’s achievements made during the completed cycle. The Employee Movement Matrix at: [http://acqdemo.hci.mil/tools/Employee\\_Movement\\_Matrix.pdf](http://acqdemo.hci.mil/tools/Employee_Movement_Matrix.pdf) should be consulted for guidance on procedures covering employee and supervisory movements and the appropriate appraisal and/or payout action. See **Appendix I** for a copy of Employee Movement Matrix.

## Chapter 7 — Rewarding Employee Contributions



The slide features a central illustration of a person running towards a large hand holding a stack of money with a dollar sign. The text "Rewarding Employee Contribution" is centered over the illustration. The slide includes several logos and text elements:

- Top left: Department of Defense seal.
- Top right: hci logo.
- Bottom left: Acq Demo logo.
- Bottom center: www.DAU.edu | www.hci.mil | acqdemo.hci.mil
- Bottom right: DAU logo.
- Small number 81 in the bottom right corner of the slide area.



**Topics of Discussion**


- Pay Pool Funding
- The Integrated Pay Schedule (IPS)
- CCAS Reward Payout Criteria
- Payout Calculations

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This chapter provides details about the decision-making process to finalize the distribution of pay pool funds at the conclusion of the appraisal cycle.




## 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 not less than 2% of activity's basic pay – maximum set by DoD Program Manager annually




#### General Pay Increase (GPI)

- The across-the-board basic pay increase authorized by law or the President for the GS pay system. Funds allocated for the GPI that are not awarded will be transferred to the CRI Fund.



#### Contribution Awards (CA)

- Intended to be consistent with funds historically spent in GS on performance awards
- Minimum not less than 1% of activity's total adjusted pay – maximum set by DoD Program Manager annually
- 10% of organization's total awards budget is automatically withheld for Special Act and On-the-Spot awards distribution throughout the appraisal cycle.


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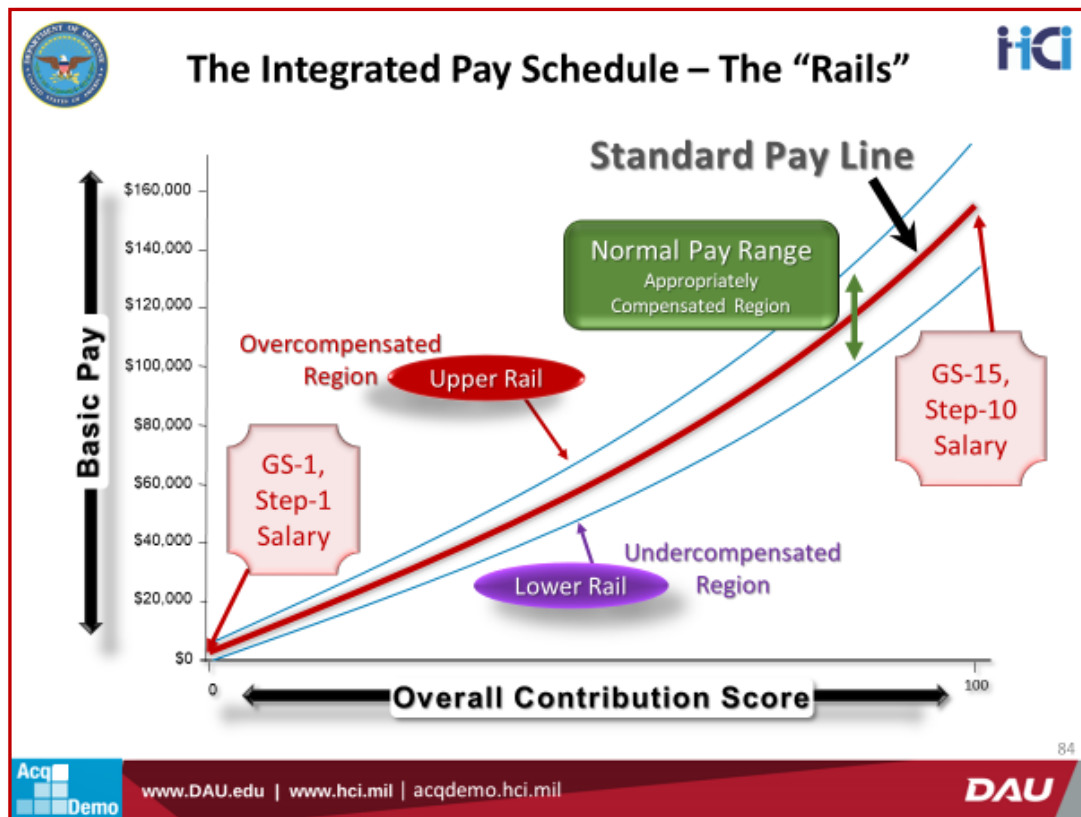
The amount of money available for Contribution Rating Increase (CRI) within a pay pool is determined by the money that would traditionally have been available for quality and within-grade step increases, and career promotions. Funds not distributed from the General Pay Increase (GPI) may also be transferred to the CRI pool of money. Additionally, the CRI pools may be used to augment the Contribution Awards (CA) pool. However, the awards money portion cannot be used for increments to basic pay.

The CRI pool of money will be set at no less than 2% of the activity's total basic pay budget. These floors represent a budgetary minimum amount. Components may set higher amounts within their budgetary limits. The DoD Program Manager set maximum limits annually.

The CA pool includes what were formerly known as performance or bonus awards. This pool will be used for awards given under the CCAS process. The fund will be set at no less than 1% of the activity's total awards budget. The amount for the CA will not exceed 90% of the CA fund percentage for the total awards budget, to allow for other awards not related to the CCAS process, e.g., on-the-spot and group awards.

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

## The Integrated Pay Schedule



This is the famous AcqDemo “rails” graph. This is what distributes that GS-1 to GS-15 basic pay range across the total range of scores available. That creates what we call the Standard Pay Line (red line). Since this is never an exact science, the design provides for a tolerance of plus/minus 8% basic pay from the SPL. This creates what we call the Normal Pay Region (NPR) or Expected Contribution Range (ECR) and is called the “Appropriately Compensated Region.” So, if Joe makes \$80K, he will plot an expected score of 75 on the SPL for that basic pay level.

These terms are best described graphically.


- The X, or horizontal, axis represents the numerical Overall Compensation Scores, 0 – 100.
- The Y, or vertical, axis represents Basic Pay.

To understand compensation regions, certain areas of the graph need to be identified.


- The Standard Pay Line is a mathematical relationship between contribution and salary. It tracks from the lowest pay (GS-1/1 and OCS of 1) to the highest pay (GS-15/10 and an OCS of 100).
- The line is increased annually IAW the General Schedule pay increase.
- Throughout the CCAS discussion, the terms Upper Rail and Lower Rail are used. These rails are the curved lines placed at +8% and -8% from the Standard Pay Line and define a region called the Normal Pay Range.
- The Normal Pay Range falls between the rails and is the same for all career paths. The Normal Pay range, like the Standard Pay Line, does not include locality pay.
- The region above the upper rail is called the “Overcompensated Region”

- The region below the lower rail is called the “Undercompensated Region”
- The region between the upper and lower rails is the “Appropriately Compensated Region.” These names will make more sense after a few more elements are explained.

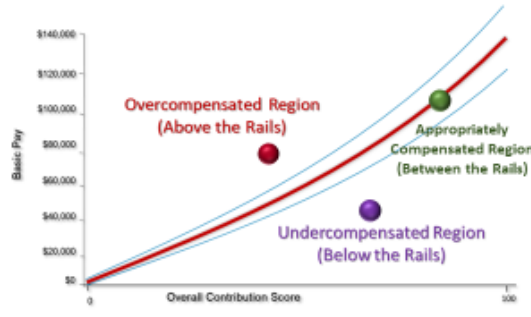
## CCAS Reward Payout Criteria



### CCAS Payout Criteria




Compensation Category	General Pay Increase	Contribution Rating Increase	Contribution Award	Locality Pay
Overcompensated	Can be given in full, reduced or denied	No	No	Yes
Undercompensated	Yes	Yes – up to 20%	Yes	Yes
Appropriately Compensated	Yes	Yes – up to 6%	Yes	Yes




**Payout Considerations**

- Available funding guides pay decisions
- Total Adjusted Pay may not exceed Executive Level IV
- CRI increases may not exceed max pay for current broadband
- CRI increases > 20% and CAs > \$10,000 require local commander's approval
- Intent of AcqDemo is to appropriately compensate all employees



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An employee's final OCS will plot into one of three compensation regions, Overcompensated, Undercompensated, or Appropriately Compensated.

**Overcompensated:** Scores plot above the rails. Contains data points showing employees who are contributing less than what would be expected for their pay and are thus considered overcompensated.

**Appropriately Compensated:** Scores plot between the rails. This region contains data points showing employees who are appropriately compensated.



**Undercompensated:** Scores plot below the rails. This region contains data points showing employees who are contributing more than what is expected for their pay and are thus considered undercompensated.

Aside from the guidelines above, there are other considerations for assigning Contribution Rating 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 move all employees within the normal pay range, or appropriately compensated region.

*Note: For those in the **Undercompensated Region**, it may take more than one CCAS cycle to elevate an employee's pay into the normal pay range.*

## Payout Calculations


### Payout Calculations

- Determine who is in the Pay Pool as of the end of the rating period on September 30<sup>th</sup>


Employee	Basic Pay	Adjusted Basic Pay
Contributor, Joe	\$89,359	\$103,835
Sayers, Rose	\$85,717	\$99,603
Collins, James	\$85,717	\$99,603
Blaine, Rick	\$74,600	\$86,685
Wayne, Bruce	\$74,600	\$86,685
Munroe, Cora	\$70,288	\$81,675
	<b>\$480,281</b>	<b>\$558,086</b>

- Total the Basic Pay column for use in CRI calculations.
- Total the Adjusted Basic Pay column for use in CA calculations


*Note: Adjusted Basic Pay in the example above reflects RUS locality rate. Adjusted basic pay will vary by locality pay area.*




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The people on board as of 30 September determine the salaries to be applied to pay pool funds. For example, this is Joe’s pay pool... basic pay salaries add up to \$480,281 to be used for CRI calculations and adjusted basic pay (with locality) adds up to \$558,086 to be used for CA calculations. Let us see what happens next.





## Payout Calculations

- Calculate Pay Pool dollars allocated for basic pay increases (CRI) using percentages of Total Basic Pay and awards (CA) using percentages of Total Adjusted Basic Pay
- The minimum funding level for CRI is 2.0% and CA is 1.0%
  - The pay pool in this example is using 2.0% for CRI and 2.5% for CA



**CRI = \$9,606**

**Total Basic Pay x CRI Funding Level = CRI Pot**


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**\$480,281 x 2.0% = \$9,606**


**Total Adjusted Basic Pay x CA Funding Level = CA Pot**

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**\$558,086 x 90% of 2.5% = \$12,557**



**CA = \$12,557**



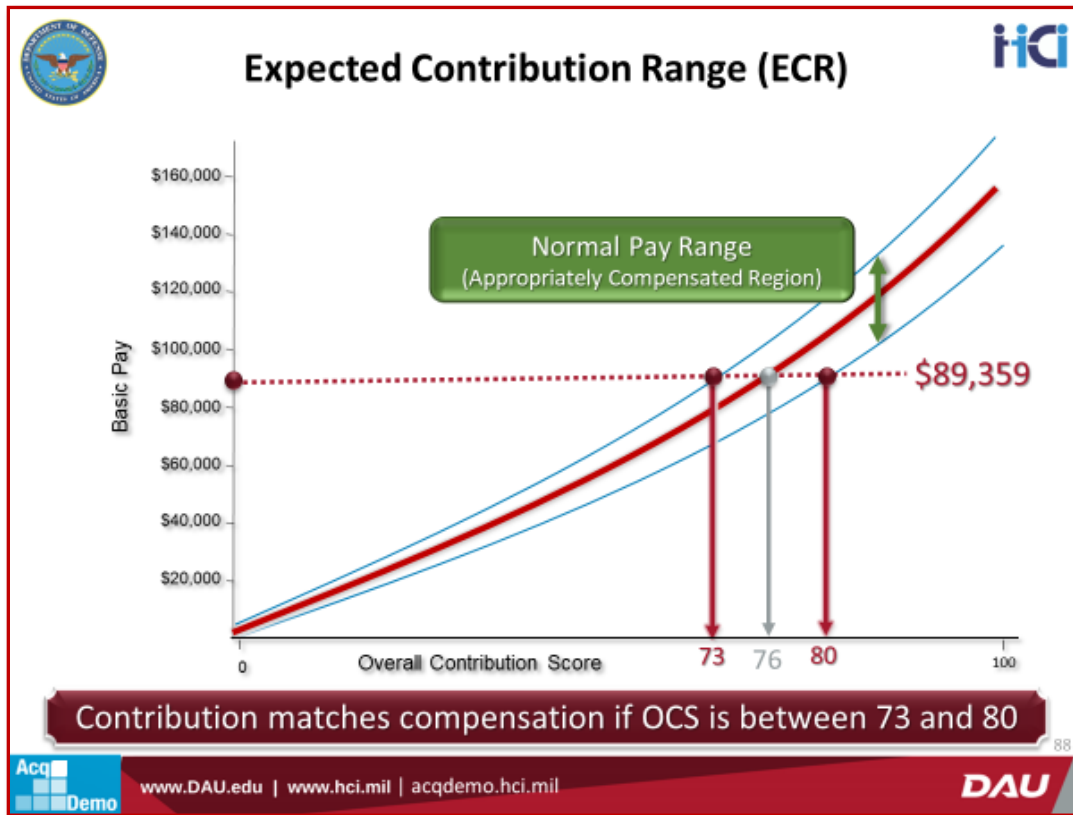
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The pay pool has decided to fund their payout levels at 2.0% for CRI and 2.5% for CA. Using those percentages against the pay pool funds, which creates a pot of \$9,606 for CRI and \$12,557 for CA.

## Joe's Final OCS

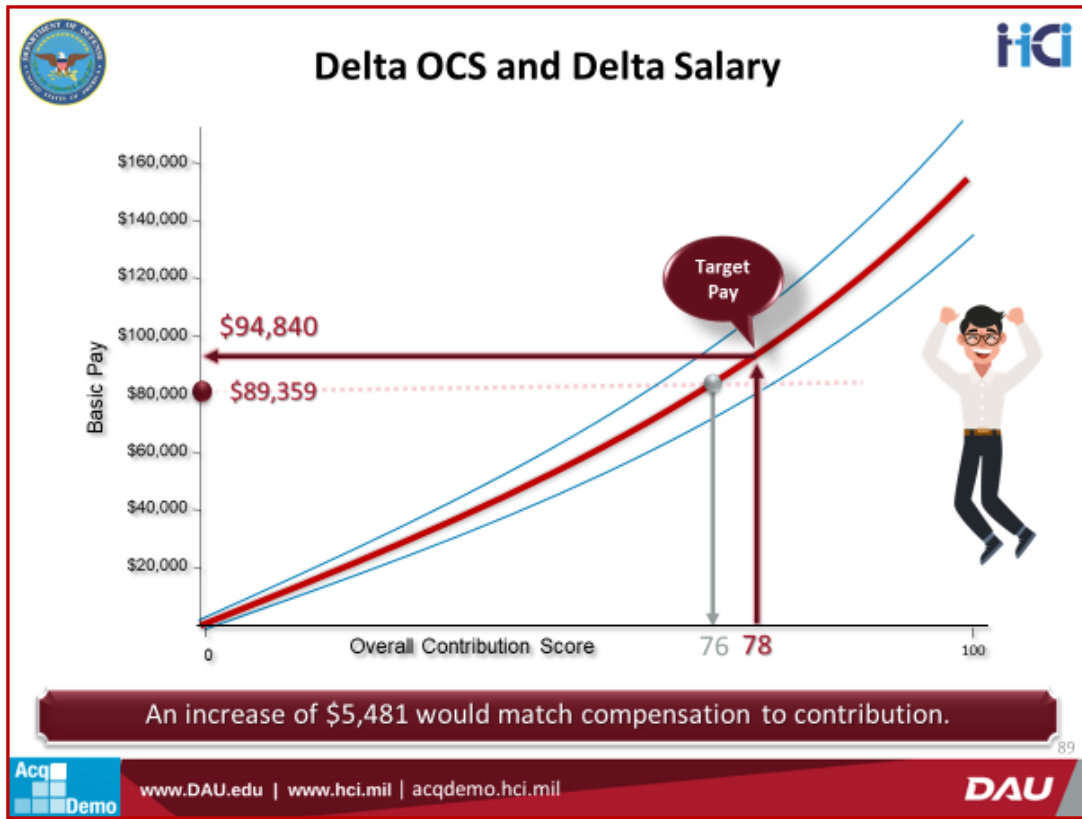


Joe's basic pay of \$89,359 plotted on this graph using the standard pay line equates to an expected OCS of 76. If an employee's basic pay is calculated to fall between whole numbers, it will be rounded to the closest whole number with 0.5 rounding up and 0.49 rounding down.

Joe's ECR then is calculated as both + and - 8% from his basic pay which equals +/- 3 or 4 points from his EOCS depending on rounding. For Joe, his ECR is 73-80 as calculated by a formula used in the ECR Calculator, CAS2net, and the CMS (Compensation Management Spreadsheet).

If Joe's approved OCS is within his ECR, he will fall within the **Appropriately Compensated Region** because the *value* of his level of contribution matches his *expected* level of contribution consistent with his current pay.







This sample pay pool is using the Standard Pay Line (SPL) as its target pay line. Other CRI rail decision options include the Upper Rail and Lower Rail.

Let us say that this individual with an expected score of 76 actually scores 78 for this appraisal period. To determine the value of that score we just work in reverse of the original process shown earlier. Start at 78 on the OCS axis, track it back up to the Standard Pay Line, and bring it back over to the Y-axis, the Basic Pay line. Tracking it this way, we see that a 78 is equivalent to a basic pay of \$94,840. The difference between the expected OCS and the final score is +2 and the difference between the current basic pay and the basic pay equivalent to a 78 is \$5,481. That amount is what it would take to bring Joe up to the level of compensation he should receive based on his level of contribution.

There are a lot of different factors that go into what employees actually receive based on pay pool funding and other things; but as far as the basic mechanics of how the Normal Pay Range and the scale itself works, that is it.



## Example of Delta OCS and Delta Pay



2021 Performance Details		PAQL	2021 Contribution Details		Cat Score	Num Score
Factors	Job Achievement and/or Innovation	5	Factors	Job Achievement and/or Innovation	3H	79
	Communication and/or Teamwork	3		Communication and/or Teamwork	3M	76
	Mission Support	3		Mission Support	3M	78
Average Raw Score		3.7	Overall Contribution Score			78
Performance Rating of Record		3	Expected Overall Contribution Score			76
			Expected Contribution Range			73-80


  

	Expected OCS	Approved OCS	Delta OCS	Current Basic Pay	CRI Target Pay	CRI Positive Delta Pay
Contributor, Joe	76	78	2	\$89,359	\$94,840	\$5,481


➤ Delta Pay is the difference between the current basic pay and the basic pay that corresponds with the approved Overall Contribution Score (OCS)

How much of the \$5,481 will the employee actually get?


An increase of \$5,481 would match compensation to contribution.




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## Payout Calculations




- Enter approved OCS, CRI and CA Target Pay
- Determine the Delta Pay

	Expected OCS	Approved OCS	Delta OCS	Current Basic Pay	CRI Target Pay	CRI Positive Delta Pay	Computed CRI	CA Target Pay	CA Positive Delta Pay	Computed CA
Contributor, Joe	76	78	2	\$89,359	\$94,840	\$5,481	\$2,659	\$102,427	\$13,068	\$3,185
Sayers, Rose	73	67	-6	\$85,717	\$76,241	(\$9,476)	\$0	\$82,340	(\$3,377)	\$0
Collins, James	73	75	2	\$85,717	\$89,359	\$3,642	\$1,766	\$96,507	\$10,790	\$2,630
Blaine, Rick	66	67	1	\$74,600	\$76,241	\$1,641	\$796	\$82,340	\$7,740	\$1,886
Wayne, Bruce	66	65	-1	\$74,600	\$73,274	(\$1,326)	\$0	\$79,136	\$4,536	\$1,106
Munroe, Cora	63	69	6	\$70,288	\$79,328	\$9,040	\$4,385	\$85,674	\$15,386	\$3,750
						\$19,803	48.5051%		\$51,521	24.3725%
							\$9,606			\$12,557

Calculate total **positive** Delta Pay




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Calculations are based on RUS locality, Standard Pay Line for CRI target pay, and Upper Rail for CA target pay.



## Payout Calculations




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



### Total Positive Delta Pay of **\$19,803**


$\$9,606 \div \$19,803 = 48.5051\%$  of Positive Delta Pay for CRI

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




### Total Positive Delta Pay of **\$51,521**

$\$12,557 \div \$51,521 = 24.3725\%$  of Positive Delta Pay for CA



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The SPL is commonly used for CRI and the Upper Rail is commonly used for the CA target pay.


CRI Target Rail options are: Upper Rail, SPL, and Lower Rail.

CA Target Rail options are: Upper Rail, 2% above the SPL, 1% above the SPL, SPL, and Lower Rail.

Check local business rules for CRI and CA target rails.




## CRI Payout Calculations



- Enter approved OCS and Target Pay
- Determine the Delta OCS and Delta Pay
- Consult Business Rules for Contribution Rating Increase (CRI) payout eligibility
  - e.g., CRI eligibility is below the Standard Pay Line (SPL)


	Expected OCS	Approved OCS	Delta OCS	Current Basic Pay	CRI Target Pay	CRI Positive Delta Pay
Contributor, Joe	76	78	2	\$89,359	\$94,840	\$5,481
Sayers, Rose	73	67	-6	\$85,717	\$76,241	<del>(\$9,476)</del>
Collins, James	73	75	2	\$85,717	\$89,359	\$3,642
Blaine, Rick	66	67	1	\$74,600	\$76,241	\$1,641
Wayne, Bruce	66	65	-1	\$74,600	\$73,274	<del>(\$1,326)</del>
Munroe, Cora	63	69	6	\$70,288	\$79,328	\$9,040
Available Dollars for CRI + Total Positive Delta Pay = Percent for CRI Payout						\$19,803




CRI Pot \$9,606

**Total Positive Delta Pay of \$19,803**


$\$9,606 \div \$19,803 = 48.5051\%$  of Positive Delta Pay for CRI




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## CA Payout Calculations



- Enter approved OCS and Target Pay
- Determine the Delta OCS and Delta Pay
- Consult Business Rules for Contribution Award payout eligibility
  - e.g., CA eligibility is at or below the Upper Rail (UR)


	Expected OCS	Approved OCS	Delta OCS	Current Basic Pay	CA Target Pay	CA Positive Delta Pay
Contributor, Joe	76	78	2	\$89,359	\$102,427	\$13,068
Sayers, Rose	73	67	-6	\$85,717	\$82,340	<del>(\$3,377)</del>
Collins, James	73	75	2	\$85,717	\$96,507	\$10,790
Blaine, Rick	66	67	1	\$74,600	\$82,340	\$7,740
Wayne, Bruce	66	65	-1	\$74,600	\$79,136	\$4,536
Munroe, Cora	63	69	6	\$70,288	\$85,674	\$15,386
Available Dollars for CA + Total Positive Delta Pay = Percent for CA Payout						\$51,521




CA Pot \$12,557

**Total Positive Delta Pay of \$51,521**

$\$12,557 \div \$51,521 = 24.3725\%$  of Positive Delta Pay for CA



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### Calculate Approved CRI and CA



	Expected OCS	Approved OCS	Delta OCS	Basic Pay	Target Pay	Positive Delta Pay	Approved Payouts	
Contributor, Joe	76	78	2	\$89,359	\$94,840	\$5,481	\$2,659	CRI
						\$13,068	\$3,185	CA

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

$$\$5,481 \times 48.5051\% = \$2,659$$



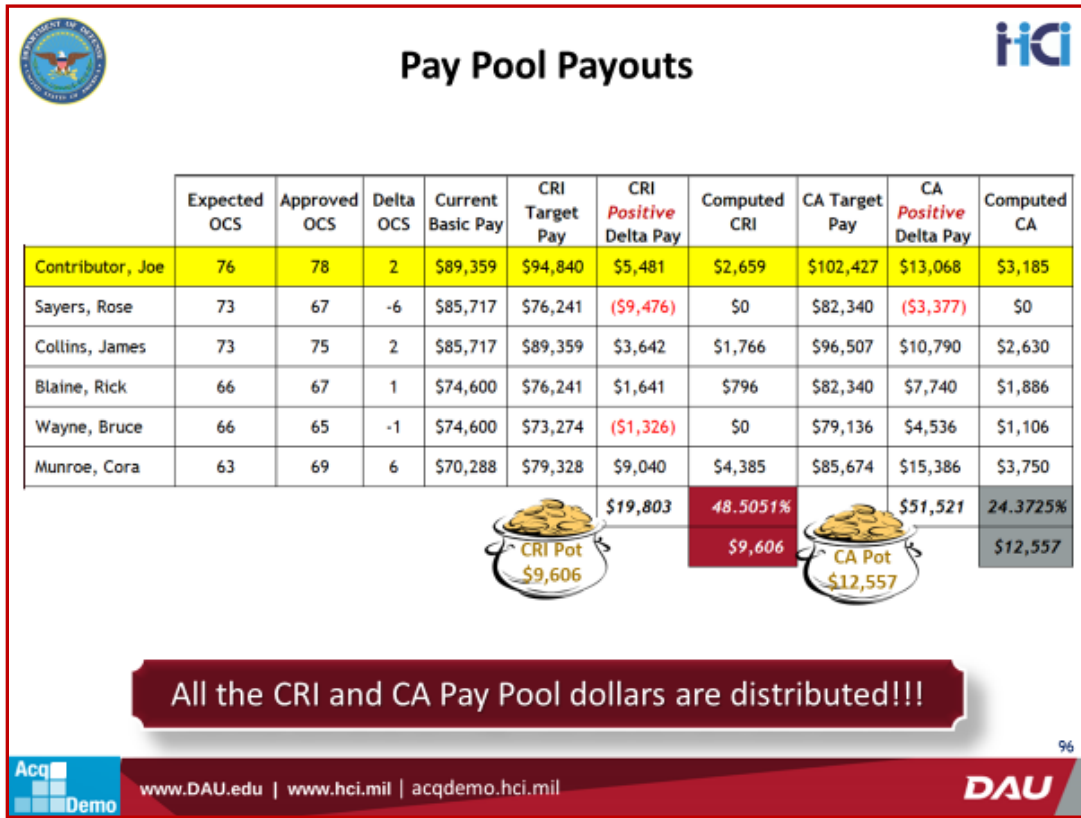
CA Delta Pay \* Percent of Delta Pay for CA = Contribution Award

$$\$13,068 \times 24.3725\% = \$3,185$$

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## Overall Compensation from the Pay Pool



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 at the target rail position used. This percentage is based on the funds available and is distributed equitably among those employees whose pay and OCS ratings are plotted in the Appropriately Compensated and Undercompensated regions of the graph (using the SPL as the target rail pay).

Once the scores and pay adjustments have been approved by the pay pool manager, they are documented on the Salary Appraisal Form, which serves as the basis for individual end-of-cycle discussions with 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 — Contribution Feedback

The slide features a large, light-colored speech bubble in the center containing the text "Contribution Feedback". In the top left corner is the Department of Defense seal. In the top right corner is the hci logo. The bottom of the slide has a red banner with the following elements from left to right: the AcqDemo logo, the website addresses "www.DAU.edu | www.hci.mil | acqdemo.hci.mil", and the DAU logo. The number "97" is located in the bottom right corner of the slide area.





## Topics of Discussion





- End-of-Cycle Discussion
- CCAS Salary Appraisal Form
- Increased Contribution Opportunities
- Inadequate Contribution
- Grievance Process

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

## Annual Appraisal Conversation



### Annual Appraisal Conversation

- **Annual Appraisal Conversation** using the Salary Appraisal Form includes:
  - Final Annual Appraisal, factor scores (categorical and numerical), and Overall Contribution Score (OCS)
  - Quality of Performance Scores
  - Contribution Rating Increase (CRI)
  - Contribution Award (CA)
- Other topics of discussion during this meeting include:
  - Areas of success and opportunities for greater contribution
  - Areas for improvement


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The conversation that closes out the CCAS cycle is to relay the final results of the appraisal including the factor scores, approved OCS, Quality of Performance scores, and payout distribution. This annual appraisal conversation occurs after the entire appraisal process has been completed and before the first pay period in January. 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.



## Annual Appraisal Conversation 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, numerical, and Quality of performance scores were determined for each of the 3 Factors.

## CCAS Results – Salary Appraisal Form



### End-of-Cycle Discussion — Salary Appraisal Form



Identifying  
info

**Part I: CCAS Salary Appraisal Form**

<b>Name:</b> Joe Contributor	<b>Series:</b> 0801	<b>Appraisal Period:</b>
<b>CAS2Net ID:</b> 31	<b>Broadband Level:</b> III	From: 10-30-2020
<b>Organization:</b> AMC/LHBB	<b>Retained Pay:</b> No	To: 09-30-2021
<b>Career Path:</b> NH	<b>Presumptive:</b> None	

**Approved By:** Bob Arnold, Pay Pool Manager      **Effective Date of Appraisal:** 01-01-2022


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

Supervisor Print/Sign	Date
Supervisor Print / Sign	Date
Employee Print / Sign	Date

2021 Performance Details		PAQL	2021 Contribution Details		Cat Score	Num Score
Factors	Job Achievement and/or Innovation	5	Factors	Job Achievement and/or Innovation	3H	79
	Communication and/or Teamwork	3		Communication and/or Teamwork	3M	76
	Mission Support	3		Mission Support	3M	78
	Average Raw Score	3.7	<b>Overall Contribution Score</b>			<b>78</b>
Performance Rating of Record	3	Expected Overall Contribution Score			76	
			Expected Contribution Range			73-80


Signatures


Appraisal  
Details




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## End-of-Cycle Discussion — Salary Appraisal Form



Compensation  
Detail

Remarks

Compensation Detail			
	\$89,359	Current Rate of Base Pay	
+	\$1,966	General Pay Increase	2.2%
+	\$2,647	CRI (Salary Increase)	2.96%
=	<b>\$93,972</b>	<b>New Rate of Basic Pay</b>	
+	\$15,223	Locality Pay	16.20%
=	<b>\$109,195</b>	<b>New Total Salary</b>	
	\$3,257	Contribution Award	
(+	\$0	Carryover from CRI)	
(-	\$3,257	Total Award)	
<b>2022 Expected Contribution Level</b>			
	Expected Overall Contribution Score	78	
	Expected Contribution Range	74-83	

Privacy Act Statement (552 of 5 U.S.C.)

1. AUTHORITY: Section 802, Federal Register Notice dated November 9, 2017.


2. PURPOSE: This form summarizes the annual evaluation of an employee's contribution and performance through the CCAS assessment.

3. ROUTINE USE: This form is a computer-generated form that is produced for each employee and contains the overall contribution score, performance rating of record and space for the signature of the supervisor, and the employee. The original of this form will be maintained in CAS2Net for no more than 4 years WW 5 CFR Section 293.402 and in accordance with agency procedures.

4. DISCLOSURE: 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.

**Employee Compensation Region Chart**

The graph plots the employee's current basic pay 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. Above the Upper Rail is the Overcompensated Region. Undercompensated Region is below the Lower Rail. Appropriately Compensated Region is on or within the rails. Compensation regions determine the eligibility for basic pay increases and awards. The point on the graph below is the employee's appraisal result.



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The supervisor communicates the final OCS, Rating of Record, factor scores (categorical and numerical), and pay adjustments to each employee.

The supervisor and employee electronically sign the CCAS Salary Appraisal Form in CAS2Net. A hard copy may be printed from CAS2Net if desired.

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

## Increased Contribution Opportunities

**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.

Are there greater opportunities for greater contribution in current role?

Yes

No

What inhibits greater contribution?

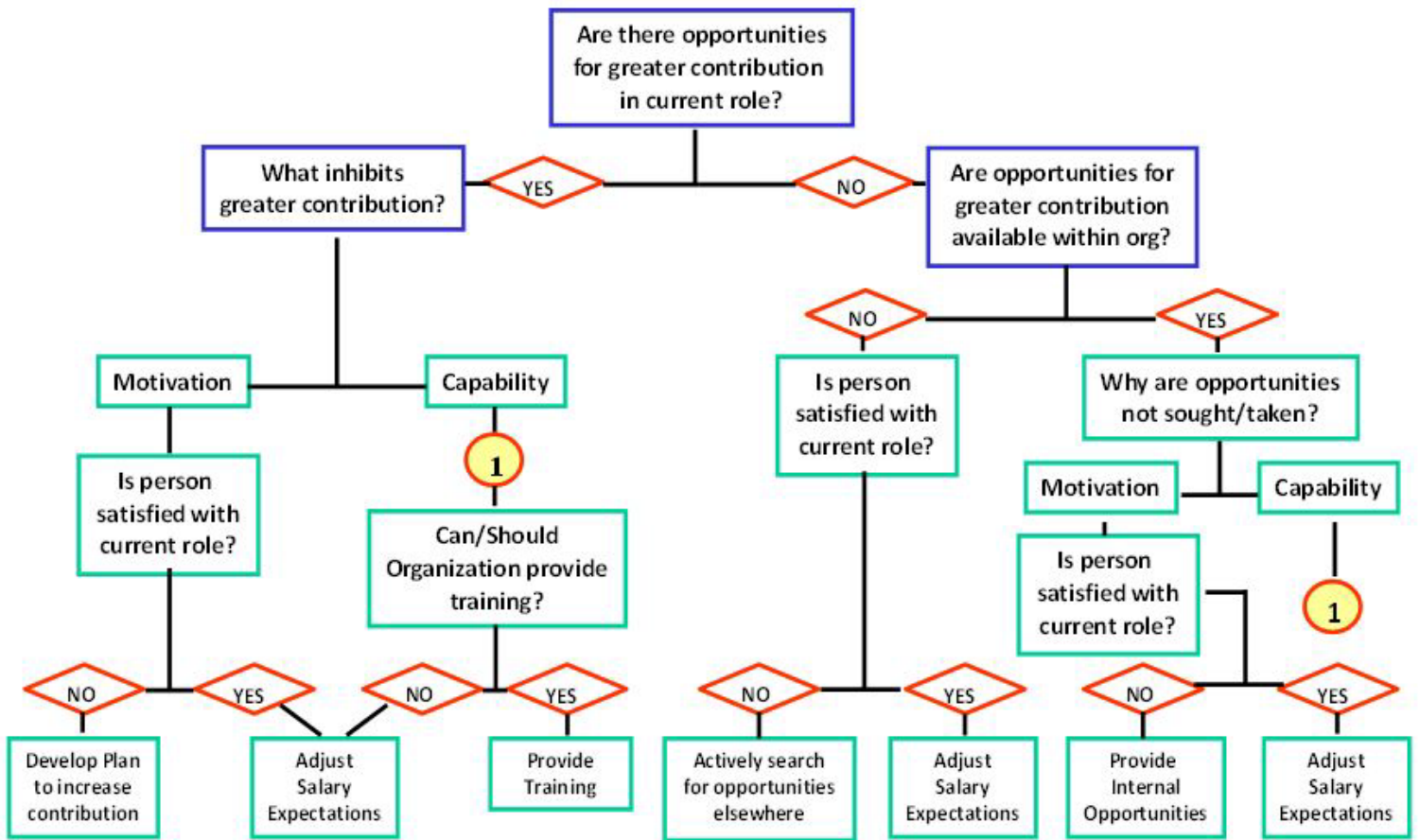
Are opportunities for greater contribution available within org?

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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, Chapter 6, Figure 5





## Inadequate Contribution

**Inadequate Contribution**

Goal of System: Appropriate compensation for contribution to mission effectiveness

- Contribution Improvement Plans (CIPs) must be considered when...
  - Contributions to mission accomplishment are inadequate

**Inadequate contribution occurs...**

- When employee's OCS plots in the Overcompensated Region
- Unacceptable performance in any contribution factor
  - PAQL of 1 (Unacceptable) in any factor

**Inadequate contribution could result in...**

- Reassignment
- Reduction in Pay
- Removal from Federal Service

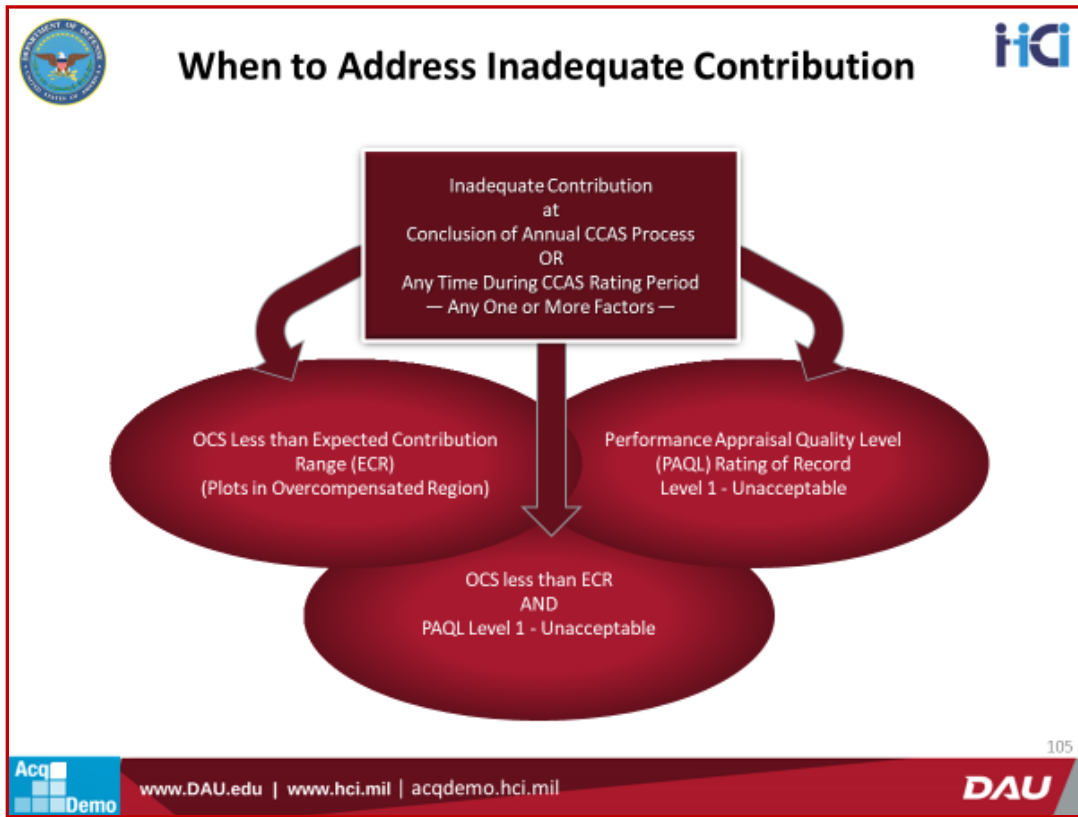
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The demonstration project aims to go beyond a performance-based rating system, to link rewards to the levels of contribution. Therefore, the system also accounts for those whose contributions are judged to be less than adequate. This section applies to reassignment, reduction in pay, reduction in broadband level, or removal of demonstration project employees based on inadequate contribution.


As we have seen, contribution is measured against three critical factors, each with levels of increasing contribution corresponding to the three career paths. Inadequate contribution in any one factor at any time during the appraisal period is considered grounds for reassigning employees, reducing their pay and/or broadband level, or removing them from Federal Service.

Supervisors will counsel employees as soon as any identified deterioration of contributions and/or quality of performance becomes evident and determine if the situation may be temporary in nature or one of a longer-term, continuing nature. When a supervisor identifies—at any time during an assessment cycle—a deterioration of expected contributions, inadequate level of contribution, and/or quality of performance from that described in an employee's critical factors and the goals and objectives contained in the employee's Contribution Plan; the supervisor must make a determination as to whether the employee is contributing inadequately in one or more of the three critical contribution factors and/or quality of performance levels. If so, depending on the level of deficiency, the supervisor should discuss with both the servicing Human Resource staff and the employee, immediate ways to improve performance and/or the necessity for a CIP as appropriate.



Here is a graphic representation of what was described on the previous slide - what constitutes inadequate contribution.

When an employee’s contribution score causes the employee’s base pay to plot in the overcompensated region (above the upper rail of the Normal Pay Region) AND/OR the quality of performance is considered at an Unacceptable, Level 1, rating of record in any one factor, the employee is considered to be contributing inadequately.



## Establishing a Contribution Improvement Plan hCi

- Rating Official 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 and/or performing
  - Standards for adequate contribution and performance
  - Actions required of the employee
  - Time in which contribution/performance improvement must be accomplished
  - Assistance from the service or agency
  - Consequences of failure to improve
- Employee must sustain adequate contribution and fully successful performance for two years after successful completion of CIP

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There are many Component-unique requirements of preparing improvement actions, so we advise all supervisors to work with their HR specialist for assistance on these matters, but a CIP must contain these items....


- Specific area in which the employee is inadequately contributing and/or performing
- Standards for adequate contribution and performance
- Actions required by the employee
- Time in which contribution/performance improvement must be accomplished
- Assistance from the service or agency
- Consequences of failure to improve

Written notification is required when the initiation of a CIP is indicated. The employee will be afforded an opportunity to achieve the requirements of the CIP and, if achieved, the employee must maintain an acceptable level of contribution and/or satisfactory performance for a period of two years from the beginning date of the CIP. Adverse action may be initiated if, during that 2-year period, the employee's contribution and/or performance in any one factor falls below expectations.

## CCAS Grievance Process





### CCAS Grievance Process




- **Employees may Grieve:**
  - OCS Rating
  - Quality of Performance Rating
  - Supervisor Assessment

- **Process:**
  - Through a Collective Bargaining Agreement; or
  - Administrative Grievance Procedure (5 CFR 771) as supplemented by local procedures
    - Employee submits reconsideration to Supervisor
    - Supervisor provides recommendation to Pay Pool Panel
    - Pay Pool Panel 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, performance rating, and/or the Supervisor's Assessment.

If an employee is covered by a bargaining unit that has a negotiated grievance procedure, then the employee must resolve a grievance over an appraisal under that procedure. However, if an employee is not covered by a bargaining unit, then they should follow these, or other local, procedures:

Employee will submit the reconsideration request first to the supervisor, who will submit a recommendation to the pay pool panel.

The pay pool panel may accept the supervisor's recommendation or reach an independent decision. If 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 request.

Check with your Component for specific request for reconsideration process timeline details.

## Chapter 9 — The Way Forward



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





## Topics of Discussion

- Summary
- CCAS Cycle Events
- Transition Support

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## Course Summary


- AcqDemo was designed to focus employees on creating impact and align compensation with level of contribution
- Your organization's compensation strategy sets compensation management policies and guidelines
- The CCAS cycle follows the fiscal year calendar and includes established appraisal and feedback events assessing progress toward achieving defined contribution expectations that positively impact the mission and goals of the organization
- Supervisory participation in the pay pool process is minimally to recommend categorical and PAQL scores that are substantiated by the supervisory annual appraisal assessment
  - Numerical score recommendations may also be required by local business rules
- Employee contributions are rated using factor descriptors and discriminators for OCS and expected contribution criteria are used to rate Quality of Performance
- Address inadequate contribution immediately and take corrective action as appropriate

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## Order of CCAS Cycle Events





- Contribution Planning
- Midpoint Review
- Annual Appraisal Self-Assessment
- Supervisor Annual Appraisal Assessment
- Categorical Scoring
- Numerical Scoring
- Performance Appraisal Quality Level Ratings
- Pay Pool reviews of recommended scores and compensation
- Meeting(s), results, and employee feedback
- Aggregate results shared with workforce per component/local policy


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## Transition Support




### AcqDemo Program Office

- Operating Guide
- AcqDemo Website
  - Reference Material
  - Conversion Tool Calculator
- Training
  - Workforce Overview
  - CCAS for Supervisors
  - HR Training
  - Business Rules Development
- Electronic Contact Information
  - [acqdemo.hci.mil](http://acqdemo.hci.mil)
  - [AcqDemo.Contact@dau.mil](mailto:AcqDemo.Contact@dau.mil)
  - *[Insert local contact information here]*


### eLearning

- *AcqDemo 101*
- *Contribution Planning*
- *Giving and Receiving Feedback*
- *CCAS Appraisal Feedback for Supervisors*
- *Writing an Annual Appraisal Self-Assessment*
- *CCAS for Employees*
- *CCAS for Supervisors*
- *HR Flexibilities*
- *Understanding the Pay Pool Process*
- *Spreadsheets Training*
- *CAS2Net 2.0 for Employees and Supervisors*
- *CAS2Net 2.0 for Administrators*

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Questions? - Concerns? - Thoughts?



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# CCAS for Supervisors

DoD Civilian Acquisition Workforce  
Personnel Demonstration Project (AcqDemo)

*Thank you  
for attending!*

*Please complete the Class Evaluation Form  
and return it to your Training Coordinator*

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