DoD Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo)

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

Presented by AcqDemo Program Office
Summer/Fall - 2011
I. INTRODUCTION

Outline

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

Housekeeping, Goals and Parking Lot

- Sign in
- Introductions
- Course Materials
- Questions / Parking Lot
- Course Evaluation

- Cell Phones
- Rest Rooms
- Breaks
At the completion of this course, participants will be able to:

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

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

Activities
- System Advantages / Supervisor Concerns
- Writing an Annual Appraisal
- Assessing Employee Contributions
- Communicating Appraisal Results
- CCAS Plan of Action
Small Group Discussion:

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

Each team shares highlights with the class.
II. COMPENSATION STRATEGIES

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

- Reflects your organization’s strategic objectives
  - Maintain mission excellence
  - Attract new talent
  - Retain and motivate existing employees

- Sets the general policies and procedures for compensation and benefits within an organization
  - Consistent with pay budgets
  - Used to derive rules for rewarding contributions

- Seeks to provide the right rewards for the right employee contributions
  - Internal pay equity for like contributions
  - Link rewards to contributions / impact
Group Discussion

- What are your organization’s:
  - Hiring strategies
  - Pay Setting / Progression strategies
    - Federal Pay vs. Private Sector
    - Control points on positions
    - Starting placement
    - Progression through the broadband
    - When to make pay related position changes?
    - What levels of contribution should be rewarded?
Understand your organization’s compensation strategy

Relate the compensation strategy to your work unit

Set realistic expectations with employees

Share concerns with higher level management for review with Personnel Policy Board

Apply organization strategy in assessing employee contributions
III. CCAS OVERVIEW

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

1. New Cycle Begins
   Previous Cycle Discussion
   New Cycle Contribution Planning

2. Mid-Point Review

3. Annual Appraisal Self-Assessment

5. Pay Pool Panel

6. End-of-Cycle Discussion

CCAS Appraisal Period started 22 May this year only
- **Personnel Policy Board**
  - Oversee civilian pay budget
  - Address issues associated with more than one pay system
  - Determine composition of pay pools
  - Review pay pool operations
  - Provide guidance to pay pool managers
  - Administer funds to CCAS pay pool managers
  - Review hiring and promotion salaries
  - Monitor award pool distributions by organization and DAWIA vs. non-DAWIA
  - Assess need for changes to demonstration procedures and policies
Pay Pool Panel

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

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

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

- **Step 1** -- Employee (optionally) completes Annual Appraisal Self-Assessment at the end of the rating period in accordance with local policy.

- **Step 2** – Supervisor assesses employee contributions against six factors and assigns preliminary categorical scores.

- **Step 3** – First pay pool / sub pay pool meeting - review for equity, consistency, and grouping; adjustments as necessary. Pay pool manager resolves problems.

- **Step 4** – Pay pool panel converts matrix placement into numerical contribution scores.

- **Step 5** – Second meeting of pay pool - identifies inconsistencies, makes adjustments as appropriate.

- **Step 6** – Pay pool manager approves results, which become employee’s rating of record.
Eleven Steps Con’t.

- **Step 7** – Plotted Salary vs. OCS data compares employee contribution to compensation, placing each employee in compensation region A, B or C.

- **Step 8** – Pay pool manager and panel implement payout plan, using software tool to determine potential salary adjustment and contribution award for each employee.

- **Step 9** – Pay pool panel reviews for consistency and fairness. Where no consensus can be reached, pay pool manager makes final decision.

- **Step 10** – Pay pool manager officially approves payout. Scores and salary adjustments are recorded on CCAS Salary Appraisal Form Part I.

- **Step 11** – Supervisor communicates results to each employee. Supervisor and employee sign CCAS Salary Appraisal Form. Pay adjustments are effective first pay period in January.
IV. UNDERSTANDING FACTORS AND DESCRIPTORS

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

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

**NH – Business Management & Technical Management Professional**

<table>
<thead>
<tr>
<th>LEVEL DESCRIPTORS</th>
<th>DISCRIMINATORS</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>LEVEL III</strong></td>
<td></td>
</tr>
<tr>
<td>• Communicates project or program results to all levels, internally and externally.</td>
<td></td>
</tr>
<tr>
<td>• Reviews and approves, or is a major contributor to/ lead author of, management reports or contractual documents for external distribution. Provides inputs to policies.</td>
<td></td>
</tr>
<tr>
<td>• Presents briefings to obtain consensus/approval.</td>
<td></td>
</tr>
<tr>
<td>Level of Interaction (Audience)</td>
<td></td>
</tr>
<tr>
<td>Written</td>
<td></td>
</tr>
<tr>
<td>Oral</td>
<td></td>
</tr>
<tr>
<td><strong>LEVEL IV</strong></td>
<td></td>
</tr>
<tr>
<td>• Determines and communicates organizational positions on major projects or policies to senior level.</td>
<td></td>
</tr>
<tr>
<td>• Prepares, reviews, and approves major reports or policies of organization for internal and external distribution. Resolves diverse viewpoints/controversial issues.</td>
<td></td>
</tr>
<tr>
<td>• Presents organizational briefings to convey strategic vision or organizational policies.</td>
<td></td>
</tr>
<tr>
<td>Level of Interaction (Audience)</td>
<td></td>
</tr>
<tr>
<td>Written</td>
<td></td>
</tr>
<tr>
<td>Oral</td>
<td></td>
</tr>
</tbody>
</table>
Group Discussion

- What are the career paths and broadband levels of the employees who report to you?
- How do the factors and descriptors relate to those individuals and the work being done?
V. WRITING AN ANNUAL APPRAISAL

- Tools
- Annual Appraisal Self-Assessment
- Writing Effective Impact Statements
- Activity: Writing an Annual Appraisal
- Organization Mission/Goals
- PRD
- Contribution Plan
- Factors, Descriptors and Discriminators
- Records kept throughout the year
- Mid-Point Review
- Additional Feedback
- Appraisal Form / CAS2Net
WRITING AN ANNUAL APPRAISAL

Keeping Records of Contributions

- Written notes from employee meetings during the appraisal cycle
- Notes to yourself when employee deadlines are met / missed
- Written formal feedback provided to employee
- Notes to yourself about informal or verbal feedback provided
- Written or verbal feedback from colleagues / customers
- Other contribution documentation
Optional but highly encouraged, subject to local policy

Should be completed before you complete your Annual Appraisal

May need more than one draft to best highlight the employee’s contributions

- Should highlight the contributions with the most impact made throughout the appraisal cycle
- Should describe contributions in concise statements
- Should use language that can be understood by all pay pool panel members
WRITING AN ANNUAL APPRAISAL

Annual Appraisal Writing Steps

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

Note: A contribution may warrant mention under more than one factor.
Begin with a named task, followed by results achieved, and ending with impact to the mission of the organization

Be specific (use dollar figures, program names, time saved, percentages, etc.)

For each statement, make sure it passes the “SO WHAT” test

“Employee X did A that resulted in B, and the impact of that contribution was C.”
Suggested Appraisal Writing Model

C Contribution

- Identify the contribution to be addressed and make an accomplishment statement.

R Results

- Document the results.
  - Provide the quality, quantity, cost/budget, and timeliness details.

I Impact

- Provide scope and scale of the impact that the contribution has on the mission.

6 Six Factors

- Provide this information for each of the six contribution factors.
Provided training logistical support for base activities.
Served as key government representative on program change review board.
Served as Acting Director of XYZ Program.
Provided weekly status report to the PM on activities of the office.
Reviewed and provided comments and recommendations on applying new or revised procurement regulations. Coordinated with our headquarters regarding these requirements and objectives.
Developed a computer program to track material storage and delivery of weapon system parts from the Supply Department to the Operating Forces. This tracking system cut reorder costs by 20% and improved delivery time on average by 20 days.  

(Problem Solving)

Coordinated with a number of organization elements and contractors to resolve a classified e-mail problem that resulted in the enhancement of operational security for all parties involved. This solution was adopted DoD-wide.  

(Teamwork / Cooperation)

SEE PARTICIPANT GUIDE FOR MORE EXAMPLES
1. In small groups, review the background scenario provided

2. As a group, collectively write an Annual Appraisal for one of the factors

3. Present your group’s results to the rest of the class
VI. ASSESSING EMPLOYEE CONTRIBUTIONS

- Scoring Overview
- Determining Categorical Scores
- Determining Numerical Scores
- Activity: Assessing Employee Contributions
- Special Situations
- Joe Contributor
- NH-0801-III, General Engineer
- Base Salary - $66,903
## Calculate an Expected Contribution Range (ECR) at the beginning of the appraisal period using a calculator found at the AcqDemo website:


<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>$66,903</td>
<td>NH</td>
<td>3</td>
<td>$93,175</td>
<td>No</td>
<td>Upper Rail: 63, SPL: 67, Lower Rail: 71</td>
</tr>
</tbody>
</table>

**Pay Used in Calculation:** $66,903
### ASSESSING EMPLOYEE CONTRIBUTIONS
#### Broadband Level Point Ranges

<table>
<thead>
<tr>
<th>Levels</th>
<th>Categorical</th>
<th>NH Point Range</th>
<th>NJ Point Range</th>
<th>NK Point Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>IV</td>
<td>Very High</td>
<td>115</td>
<td>95</td>
<td>70</td>
</tr>
<tr>
<td></td>
<td>High</td>
<td>96 – 100</td>
<td>79 – 83</td>
<td>--</td>
</tr>
<tr>
<td></td>
<td>Med</td>
<td>84 – 95</td>
<td>67 – 78</td>
<td>--</td>
</tr>
<tr>
<td></td>
<td>Low</td>
<td>79 – 83</td>
<td>61 – 66</td>
<td>--</td>
</tr>
<tr>
<td>III</td>
<td>High</td>
<td>79 – 83</td>
<td>62 – 66</td>
<td>57 – 61</td>
</tr>
<tr>
<td></td>
<td>Med</td>
<td>67 – 78</td>
<td>52 – 61</td>
<td>47 – 56</td>
</tr>
<tr>
<td></td>
<td>Low</td>
<td>61 – 66</td>
<td>43 – 51</td>
<td>38 – 46</td>
</tr>
<tr>
<td>II</td>
<td>High</td>
<td>62 – 66</td>
<td>47 – 51</td>
<td>42 – 46</td>
</tr>
<tr>
<td></td>
<td>Med High</td>
<td>51 – 61</td>
<td>41 – 46</td>
<td>--</td>
</tr>
<tr>
<td></td>
<td>Med</td>
<td>41 – 50</td>
<td>36 – 40</td>
<td>30 – 41</td>
</tr>
<tr>
<td></td>
<td>Med Low</td>
<td>30 – 40</td>
<td>30 – 35</td>
<td>--</td>
</tr>
<tr>
<td></td>
<td>Low</td>
<td>22 – 29</td>
<td>22 – 29</td>
<td>22 – 29</td>
</tr>
<tr>
<td></td>
<td>Med</td>
<td>06 – 23</td>
<td>06 – 23</td>
<td>06 – 23</td>
</tr>
<tr>
<td></td>
<td>Low</td>
<td>00 – 05</td>
<td>00 – 05</td>
<td>00 – 05</td>
</tr>
</tbody>
</table>
**Part 1:** Know the employee’s assigned broadband level.

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

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**ASSESSING EMPLOYEE CONTRIBUTIONS**

**Determining Categorical Scores - Part 1**

<table>
<thead>
<tr>
<th>Factor – Leadership / Supervision NH</th>
<th>Level IV – Leadership / Supervision</th>
</tr>
</thead>
<tbody>
<tr>
<td>Establishes and/or leads teams to carry out complex projects or programs. Resolves conflicts. Creates climate where empowerment and creativity thrive. Recognized as a technical/functional authority on specific issues.</td>
<td>High: 96-100</td>
</tr>
<tr>
<td>Leads, defines, manages, and integrates efforts of several groups or teams. Ensures organizational mission and programs success.</td>
<td>Medium: 84-95</td>
</tr>
<tr>
<td>Facilitates the development of other team members by providing guidance or sharing expertise. Directly assigns tasks to encourage employee development and cross-functional growth to meet organizational needs. Pursues personal professional development.</td>
<td>Low: 79-83</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Factor – Leadership / Supervision</th>
<th>Level III – Leadership / Supervision</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provides guidance to individuals/teams; resolves conflicts. Considered a functional/technical expert by others in the organization.</td>
<td>High: 79-83</td>
</tr>
<tr>
<td>Defines, organizes, and assigns activities to accomplish projects/programs goals. Guides, motivates, and oversees the activities of individuals and teams with focus on projects/programs.</td>
<td>Medium: 67-78</td>
</tr>
<tr>
<td>Fosters individual/team development by mentoring. Pursues or creates training development programs for self and others.</td>
<td>Low: 61-66</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Factor – Leadership / Supervision</th>
<th>Level II – Leadership / Supervision</th>
</tr>
</thead>
<tbody>
<tr>
<td>Actively contributes as a team member/leader. Provides insight and recommends changes or solutions to problems.</td>
<td>High: 62-66</td>
</tr>
<tr>
<td>Proactively guides, coordinates, and consults with others to accomplish projects.</td>
<td>Medium-High: 51-61</td>
</tr>
<tr>
<td>Identifies and pursues individual/team development opportunities.</td>
<td>Medium: 41-50</td>
</tr>
<tr>
<td></td>
<td>Medium-Low: 30-40</td>
</tr>
<tr>
<td></td>
<td>Low: 22-29</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Factor – Leadership / Supervision</th>
<th>Level I – Leadership / Supervision</th>
</tr>
</thead>
<tbody>
<tr>
<td>Takes initiative in accomplishing assigned tasks.</td>
<td>High: 24-29</td>
</tr>
<tr>
<td>Provides support to others in own technical/functional area.</td>
<td>Medium: 6-23</td>
</tr>
<tr>
<td>Seeks and takes advantage of development opportunities.</td>
<td>Low: 0-5</td>
</tr>
</tbody>
</table>
Part 2: Use the factor descriptors / discriminators to determine a categorical score

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

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

### Categorical Scoring

<table>
<thead>
<tr>
<th>NH Contribution Matrix</th>
<th>Factors</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Problem Solving</td>
</tr>
<tr>
<td>Very High</td>
<td></td>
</tr>
<tr>
<td>High</td>
<td></td>
</tr>
<tr>
<td>Med</td>
<td></td>
</tr>
<tr>
<td>Low</td>
<td></td>
</tr>
</tbody>
</table>

### Step 2

- **Level IV**
  - Very High
  - High
  - Med
  - Low

- **Level III**
  - High
    - X
  - Med
    - X
    - X
  - Low

- **Level II**
  - High
  - M/H
  - Med
  - M/L
  - Low

- **Level I**
  - High
  - Med
  - Low
Use discriminators and knowledge of the employee’s contributions to rank order the results.

Use rank order and knowledge of the employee’s contributions to determine numerical scores.

<table>
<thead>
<tr>
<th>NH Career Path Teamwork / Cooperation Factor</th>
<th>3 Medium (3M)</th>
<th>67-78</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cora</td>
<td>75</td>
<td></td>
</tr>
<tr>
<td>Joe</td>
<td>72</td>
<td></td>
</tr>
<tr>
<td>Bruce, Rick</td>
<td>69</td>
<td></td>
</tr>
<tr>
<td>Rose</td>
<td>67</td>
<td></td>
</tr>
</tbody>
</table>
### NH Contribution Matrix

<table>
<thead>
<tr>
<th>Level</th>
<th>Very High</th>
<th>High</th>
<th>Med</th>
<th>Low</th>
<th>Step 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level IV</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Problem Solving</td>
<td>Teamwork/Cooperation</td>
<td>Customer Satisfaction</td>
<td>Leadership/Supervision</td>
<td>Communication</td>
</tr>
<tr>
<td></td>
<td>High (79 – 83)</td>
<td>3H (79)</td>
<td></td>
<td>3H (79)</td>
<td>3M (69)</td>
</tr>
<tr>
<td></td>
<td>Med (67 – 78)</td>
<td>3M (72)</td>
<td>3M (72)</td>
<td>3M (69)</td>
<td>3M (70)</td>
</tr>
<tr>
<td></td>
<td>Low (61 – 66)</td>
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</tr>
</tbody>
</table>

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.
ASSESSING EMPLOYEE CONTRIBUTIONS
Recommended Overall Contribution Score

**Numerical Score of Each Factor:**

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

**Step 6**

\[
\frac{441}{6} = 74
\]

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

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

- When an employee cannot be evaluated due to circumstances which takes the individual away from their normal duties or duty station (e.g., long term, full time training, active military duty, extended sick leave, leave without pay, etc.), the supervisor has two scoring options:
  - Presume the employee is contributing consistently with their pay level; payout determined from Expected OCS
  - Re-certify the employee’s last CCAS appraisal, if applicable; payout determined from last CCAS appraisal score

- Pay Pool Data Maintainers will reflect appropriate coding in the CCAS spreadsheet which will be reflected in the employee’s approved Part I – CCAS Salary Appraisal Form
New Hires

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

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

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

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

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

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

- Are treated as full-time equivalents. Appraisals are based on full-time equivalent contributions.

- Salary adjustments are based on the full-time annual rate of basic pay. Pay pool managers may prorate CA amounts.
Post-Cycle Promotion

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

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

- Contribution Rating Increase (CRI)
  - Intended to be consistent with funds historically spent in GS on within-grade increases, quality-step increases and promotions between grades that are now banded
  - Minimum of 2% of activity’s total salary budget

- General Pay Increase (GPI)
  - Frozen for fiscal years 2011 and 2012

- Contribution Awards (CA)
  - Intended to be consistent with funds historically spent in GS on performance awards
  - Minimum of 1% of activity’s total salary budget
  - Will not exceed 90% of organization total awards budget

Note: OPM/DoD memo limits cash award execution to 1% of aggregate salaries for FY2011/2012.
Determine who is in the pay pool as of the end of the rating period on 30 September.

<table>
<thead>
<tr>
<th>Employee</th>
<th>Base Salary</th>
<th>Aggregate Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contributor, Joe</td>
<td>$66,903</td>
<td>$76,376</td>
</tr>
<tr>
<td>Blaine, Rick</td>
<td>$57,408</td>
<td>$65,537</td>
</tr>
<tr>
<td>Munroe, Cora</td>
<td>$70,010</td>
<td>$79,923</td>
</tr>
<tr>
<td>Wayne, Bruce</td>
<td>$45,243</td>
<td>$51,649</td>
</tr>
<tr>
<td>Sayers, Rose</td>
<td>$70,010</td>
<td>$79,923</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td><strong>$309,574</strong></td>
<td><strong>$353,410</strong></td>
</tr>
</tbody>
</table>

Total the Base Salary column for use in CRI calculations.
Total the Aggregate Salary column for use in CA calculations.

*Note: Aggregate Salary example above reflects current RUS locality rate; aggregate salaries will vary by locality*
Calculate pay pool dollars allocated for salary increases (CRI) and awards (CA).

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

\[
\text{Total Base Salary} \times \text{CRI Funding Level} = \text{CRI Pool} \\
$309,574 \times 2.4\% = $7,429
\]

\[
\text{Total Aggregate Salary} \times \text{CA Funding Level} = \text{CA Pool} \\
$353,410 \times 1.0\% = $3,534
\]
Base Pay of $66,903 equates to Expected OCS of 67; Expected Contribution Range includes +/- 4 OCS points.
REWARDING EMPLOYEE CONTRIBUTIONS
Joe’s Final OCS

Sample of Rated Level of Contribution

Base Pay

<table>
<thead>
<tr>
<th>Base Pay</th>
<th>Overall Contribution Score (OCS)</th>
</tr>
</thead>
<tbody>
<tr>
<td>$77,313</td>
<td>67 Expected OCS</td>
</tr>
<tr>
<td>$66,903</td>
<td>74 Rated OCS</td>
</tr>
</tbody>
</table>

Target Salary

Standard Pay Line

Delta Salary

Delta OCS

Base Pay for approved OCS of 74 = $77,313 vs. Expected OCS of 67 = $66,903
Creates a Delta OCS of 7 points and Delta Salary of $10,410
Salary Adjustment Guidelines

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

Payout Eligibility

<table>
<thead>
<tr>
<th>Compensation Category</th>
<th>General Pay Increase</th>
<th>Contribution Rating Increase</th>
<th>Contribution Award</th>
<th>Locality Pay</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Can be given in full, reduced or denied</td>
<td>No</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>C</td>
<td>Yes</td>
<td>Yes – up to 6%</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>B</td>
<td>Yes</td>
<td>Yes – up to 20%</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>
## Selecting Target Salary for CRI and CA

<table>
<thead>
<tr>
<th>OCS</th>
<th>*0.92 Lower Rail</th>
<th>SPL</th>
<th>*1.08 Upper Rail</th>
</tr>
</thead>
<tbody>
<tr>
<td>60</td>
<td>53874</td>
<td>58559</td>
<td>63244</td>
</tr>
<tr>
<td>61</td>
<td>54954</td>
<td>59733</td>
<td>64511</td>
</tr>
<tr>
<td>62</td>
<td>56056</td>
<td>60930</td>
<td>65804</td>
</tr>
<tr>
<td>63</td>
<td>57179</td>
<td>62151</td>
<td>67123</td>
</tr>
<tr>
<td>64</td>
<td>58325</td>
<td>63397</td>
<td>68469</td>
</tr>
<tr>
<td>65</td>
<td>59494</td>
<td>64668</td>
<td>69841</td>
</tr>
<tr>
<td>66</td>
<td>60687</td>
<td>65964</td>
<td>71241</td>
</tr>
<tr>
<td>67</td>
<td>61903</td>
<td>67286</td>
<td>72669</td>
</tr>
<tr>
<td>68</td>
<td>63144</td>
<td>68634</td>
<td>74125</td>
</tr>
<tr>
<td>69</td>
<td>64409</td>
<td>70010</td>
<td>75611</td>
</tr>
<tr>
<td>70</td>
<td>65700</td>
<td>71413</td>
<td>77126</td>
</tr>
<tr>
<td>71</td>
<td>67017</td>
<td>72844</td>
<td>78672</td>
</tr>
<tr>
<td>72</td>
<td>68360</td>
<td>74304</td>
<td>80249</td>
</tr>
<tr>
<td>73</td>
<td>69730</td>
<td>75794</td>
<td>81857</td>
</tr>
<tr>
<td>74</td>
<td>71128</td>
<td>77313</td>
<td>83498</td>
</tr>
<tr>
<td>75</td>
<td>72553</td>
<td>78862</td>
<td>85171</td>
</tr>
</tbody>
</table>
Only three employees receive CRI pay adjustment
- None Between the Rails
Now **five** receive CRI pay adjustment
- Including two Between the Rails
Now **seven** receive CRI pay adjustment
- Including all four in Between the Rails
### Enter approved OCS and Target Salaries.

<table>
<thead>
<tr>
<th></th>
<th>Expected OCS</th>
<th>Approved OCS</th>
<th>Base Salary</th>
<th>Target Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contributor, Joe</td>
<td>67</td>
<td>74</td>
<td>$66,903</td>
<td>$77,313</td>
</tr>
<tr>
<td>Blaine, Rick</td>
<td>59</td>
<td>63</td>
<td>$57,408</td>
<td>$62,151</td>
</tr>
<tr>
<td>Munroe, Cora</td>
<td>69</td>
<td>70</td>
<td>$70,010</td>
<td>$71,413</td>
</tr>
<tr>
<td>Wayne, Bruce</td>
<td>47</td>
<td>45</td>
<td>$45,243</td>
<td>$43,483</td>
</tr>
<tr>
<td>Sayers, Rose</td>
<td>69</td>
<td>63</td>
<td>$70,010</td>
<td>$62,151</td>
</tr>
</tbody>
</table>

### Determine the Delta OCS and Delta Salaries.

<table>
<thead>
<tr>
<th></th>
<th>Expected OCS</th>
<th>Approved OCS</th>
<th>Delta OCS</th>
<th>Base Salary</th>
<th>Target Salary</th>
<th>Delta Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contributor, Joe</td>
<td>67</td>
<td>74</td>
<td>7</td>
<td>$66,903</td>
<td>$77,313</td>
<td>$10,410</td>
</tr>
<tr>
<td>Blaine, Rick</td>
<td>59</td>
<td>63</td>
<td>4</td>
<td>$57,408</td>
<td>$62,151</td>
<td>$4,743</td>
</tr>
<tr>
<td>Munroe, Cora</td>
<td>69</td>
<td>70</td>
<td>1</td>
<td>$70,010</td>
<td>$71,413</td>
<td>$1,403</td>
</tr>
<tr>
<td>Wayne, Bruce</td>
<td>47</td>
<td>45</td>
<td>-2</td>
<td>$45,243</td>
<td>$43,483</td>
<td>-$1,760</td>
</tr>
<tr>
<td>Sayers, Rose</td>
<td>69</td>
<td>63</td>
<td>-6</td>
<td>$70,010</td>
<td>$62,151</td>
<td>-$7,859</td>
</tr>
</tbody>
</table>

Total Positive Delta Salary = $16,556

### Calculate total positive Delta Salary.
REWARDING EMPLOYEE CONTRIBUTIONS
Payout Calculations Con’t.

Calculate percent of Delta Salary to be given.

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

$7,429   $16,556 = 44.8720% of Positive Delta Salary for CRI

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

$3,534   $16,556 = 21.3457% of Positive Delta Salary for CA
Calculate approved CRI and CA.

<table>
<thead>
<tr>
<th></th>
<th>Expected OCS</th>
<th>Approved OCS</th>
<th>Delta OCS</th>
<th>Base Salary</th>
<th>Target Salary</th>
<th>Delta Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contributor, Joe</td>
<td>67</td>
<td>74</td>
<td>7</td>
<td>$66,903</td>
<td>$77,313</td>
<td>$10,410</td>
</tr>
</tbody>
</table>

Delta Salary * Percent of Delta Salary for CRI = **Contribution Rating Increase**

\[
$10,410 \times 44.8720\% = 4,671
\]

Delta Salary * Percent of Delta Salary for CA = **Contribution Award**

\[
$10,410 \times 21.3457\% = 2,222
\]
## REWARDING EMPLOYEE CONTRIBUTIONS
Overall Compensation from the Pay Pool

<table>
<thead>
<tr>
<th>Contributor</th>
<th>Expected OCS</th>
<th>Approved OCS</th>
<th>Delta OCS</th>
<th>Base Salary</th>
<th>Target Salary</th>
<th>Delta Salary</th>
<th>Computed CRI</th>
<th>Computed CA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Joe</td>
<td>67</td>
<td>74</td>
<td>7</td>
<td>$66,903</td>
<td>$77,313</td>
<td>$10,410</td>
<td>$4,671</td>
<td>$2,222</td>
</tr>
<tr>
<td>Blaine, Rick</td>
<td>59</td>
<td>63</td>
<td>4</td>
<td>$57,408</td>
<td>$62,151</td>
<td>$4,743</td>
<td>$2,128</td>
<td>$1,012</td>
</tr>
<tr>
<td>Munroe, Cora</td>
<td>69</td>
<td>70</td>
<td>1</td>
<td>$70,010</td>
<td>$71,413</td>
<td>$1,403</td>
<td>$630</td>
<td>$299</td>
</tr>
<tr>
<td>Wayne, Bruce</td>
<td>47</td>
<td>45</td>
<td>-2</td>
<td>$45,243</td>
<td>$43,483</td>
<td>-$1,760</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Sayers, Rose</td>
<td>69</td>
<td>63</td>
<td>-6</td>
<td>$70,010</td>
<td>$62,151</td>
<td>-$7,859</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td><strong>Total Base Salary</strong></td>
<td><strong>$16,556</strong></td>
<td></td>
<td></td>
<td><strong>$16,556</strong></td>
<td></td>
<td><strong>44.8720%</strong></td>
<td><strong>21.3457%</strong></td>
<td></td>
</tr>
</tbody>
</table>

**Step 10**

All the CRI and CA Pool dollars are distributed!!!
VIII. FEEDBACK ON CONTRIBUTIONS

- End-of-Cycle Discussion
- CCAS Salary and Appraisal Form, Part 1
- Inadequate Contribution
- Grievance Process
- Activity: Communicating Appraisal Results
End-of-Cycle discussion will include:

- Final Annual Appraisal, factor scores and Overall Contribution Score (OCS)
- Contribution Rating Increase (CRI)
- Contribution Award (CA)
- Areas of success and opportunities for greater contribution
- Areas for improvement
FEEDBACK ON CONTRIBUTIONS
End-of-Cycle Discussion Tips

- Be confident in message being delivered
  - Focus on evidence of contributions
  - Stress relationship between mission, contributions, and appraisal results
  - Understand value for contributions across the pay pool and how each employee’s contributions compare to others

- Document the results of the discussion, highlighting the action plan for next steps to be taken
FEEDBACK ON CONTRIBUTIONS
CCAS Results - Part I Form

Part I: CCAS Salary Appraisal Form

<table>
<thead>
<tr>
<th>Name: Joe Contributor</th>
<th>Series: 0801</th>
<th>Appraisal Period:</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAS2Net ID: 12345</td>
<td></td>
<td>From: 1-Oct-09</td>
</tr>
<tr>
<td>Organization:</td>
<td></td>
<td>To: 30-Sep-10</td>
</tr>
<tr>
<td>Career Path: NH</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Retained Pay: No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Presumptive: None</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

Pay Pool Manager

Date

Employee Signature

Date

Overall Contribution Score 74
Next Year's Expected SPL OCS 70
Upper Rail OCS 63
SPL OCS 67
Lower Rail OCS 71

Employee Contribution Pay Comparison Chart
The graph plots the Employee Appraisal relative to the standard pay line (SPL) and rate. The top and bottom lines are the Upper and Lower Rails. The middle line is the SPL. The point is the Employee Appraisal.

Compensation Detail

Current Rate of Base Pay $66,900
+ $4,671 CPI Increase 6.00%
+ $10,135 Locality Pay @ 14.16%
= $81,709 New Rate of Basic Pay

New Total Salary $2,222 Contribution Award

Remarks
### FEEDBACK ON CONTRIBUTIONS
CCAS Results - Part I Form

#### Appraisal Detail
- Overall Contribution Score: 74
- Next Year's Expected SPL OCS: 70

#### Employee Contribution Pay Comparison Chart
The graph plots the Employee Appraisal relative to the standard pay line (SPL) and rails. The top and bottom lines are the **Upper and Lower Rails**. The middle line is the **SPL**. The point is the Employee Appraisal.

#### Compensation Detail

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current Rate of Base Pay</td>
<td>$66,903</td>
</tr>
<tr>
<td>G Increase</td>
<td>$0.0%</td>
</tr>
<tr>
<td>CRI Increase</td>
<td>$4,671</td>
</tr>
<tr>
<td>New Rate of Basic Pay</td>
<td>$71,574</td>
</tr>
<tr>
<td>Locality Pay</td>
<td>$10,135</td>
</tr>
<tr>
<td>New Total Salary</td>
<td>$81,709</td>
</tr>
<tr>
<td>Contribution Award</td>
<td>$2,222</td>
</tr>
</tbody>
</table>

#### Remarks
Individual **factor** scores:

<table>
<thead>
<tr>
<th>Factor</th>
<th>Category Score</th>
<th>Final Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Problem Solving</td>
<td>3H</td>
<td>79</td>
</tr>
<tr>
<td>Teamwork</td>
<td>3M</td>
<td>72</td>
</tr>
<tr>
<td>Customer Relations</td>
<td>3M</td>
<td>72</td>
</tr>
<tr>
<td>Leadership</td>
<td>3M</td>
<td>69</td>
</tr>
<tr>
<td>Communications</td>
<td>3M</td>
<td>70</td>
</tr>
<tr>
<td>Resource Management</td>
<td>3H</td>
<td>79</td>
</tr>
<tr>
<td>OCS</td>
<td></td>
<td>74</td>
</tr>
</tbody>
</table>

Be prepared to discuss **HOW** each individual factor score was determined.
Regardless of results, lead a discussion on how the employee can continue to increase their opportunities to contribute during the next cycle.

- Are there opportunities for greater contribution in current role?
  - YES
  - NO

- What inhibits greater contribution?

See Participant Guide for full chart
Goal of System: Appropriate compensation for contribution to mission effectiveness

Inadequate contribution could result in:
- Reassignment
- Reduction in Pay
- Removal from Federal Service

Contribution Improvement Plans (CIP’s) should be considered in the case of employees whose contributions to mission accomplishment are inadequate
**FEEDBACK ON CONTRIBUTIONS**

**I inadequate Contribution**

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

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

<table>
<thead>
<tr>
<th>BB Lvl</th>
<th>Problem Solving</th>
<th>Teamwork/Cooperation</th>
<th>Customer Relations</th>
<th>Leadership/Supervision</th>
<th>Commun.</th>
<th>Resource Mgt</th>
</tr>
</thead>
<tbody>
<tr>
<td>IV</td>
<td>Very High</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>High</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Med</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Low</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Midpoint 72</td>
<td>High</td>
<td></td>
<td></td>
<td>80</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Med</td>
<td></td>
<td></td>
<td>72</td>
<td></td>
<td>75</td>
</tr>
<tr>
<td></td>
<td>Low</td>
<td></td>
<td></td>
<td>65</td>
<td></td>
<td></td>
</tr>
<tr>
<td>III</td>
<td>High</td>
<td></td>
<td></td>
<td>46</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>M-H</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Med</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>M-L</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Low</td>
<td></td>
<td></td>
<td>29</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Midpoint 44</td>
<td>High</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Med</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Low</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>I</td>
<td>High</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Med</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Low</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Table 3. Sample Contribution for Business Management and Technical Management Professionals
Situation 2: When the overall contribution score places the employee in the “A” region, the CIP is Optional, therefore the rating official has a decision to make:

- The supervisor may decide not to issue a CIP, documenting this decision in a memorandum for record, and a copy of the memo provided to the employee and to higher management; or

- The supervisor may decide to issue a CIP, notifying the employee in writing that unless the contribution increases to—and is sustained at—a higher level, the employee may be reduced in pay, reassigned, changed to a lower broadband level, or removed from Federal Service.
Establishing a Contribution Improvement Plan:

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

- Employees May Grieve:
  - OCS Rating

- Process:
  - Through a Collective Bargaining Agreement; or
  - Administrative Grievance Procedure (5 CFR 771) as supplemented by local procedures
    - Employee submits grievance to Supervisor
    - Supervisor provides recommendation to pay pool panel
    - Pay pool may accept recommendation or reach independent decision
    - Pay pool decision is final unless employee requires reconsideration by next higher official to pay pool manager
    - Next higher official renders final decision
1. Review the background scenarios on the following page

2. Prepare the key talking points for the appraisal results meeting with the scenario employee assigned to you

3. Discuss your talking points with the class
IX. CAS2Net

- CCAS Salary Appraisal Form
- CAS2NET
# CCAS Salary Appraisal Form

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

<table>
<thead>
<tr>
<th>Employee Name (First Name, M.I., Last Name):</th>
<th>Command:</th>
<th>Location:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supervisor Name:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Employee Position Title:</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAREER PATH:</td>
</tr>
<tr>
<td>BROADBAND LEVEL:</td>
</tr>
<tr>
<td>Period Covered: [Note: Provide date of assignment within current rating cycle or different from 1 Oct XX to 30 Sep XX]</td>
</tr>
</tbody>
</table>

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

**Purpose:** The primary purpose of this form is to reinforce and document description and discussion of contribution expectations and any necessary assessment and feedback between supervisors and their employees under the AcqDemo CCAS process design.

3. **Routine Use:** A copy of applicable portions of the CCAS Salary Appraisal Form will be provided to the rated individual at the completion of contribution planning, additional feedback (if provided), and annual appraisal processes. This form and the CCAS Salary Appraisal Form, Part 1, summary of results, are for organizational use only and will be returned to the rated individual after review by the supervisor and the pay pool panel. A copy of these forms will be maintained in the ratee’s official personnel file. In addition, information collected in this form will be used for statistical and impact analysis of this data in an evaluation instrument. In addition as an evaluation instrument, application for some training and programs may require the completion and submission of this form.

4. **Disclosure:** Disclosure of information in this form is voluntary. However, failure to verify individual may result in a delayed or erroneous processing of the individual’s CCAS and applicable payments, i.e., General Pay Increase, Contribution Rating Increase and Contribution Award (if eligible). Disclosure of the information in Part III below is voluntary. However, failure to provide the information requested will result in an appraisal of the rated individual without the benefits of that individual’s comments. Should the rated individual use the Privacy Act as a basis not to provide the information requested, the form will retain the rated individual’s statement to that effect and be forwarded through to the pay pool panel.

5. **General Rules for Communicating Contribution Plans and Feedback:**

1. The primary purpose of this type of communication is to define organization mission and values, discuss individual job expectations and contribution goals, reinforce good contribution work-related behavior, correct inadequate contribution work-related behavior, and enhance the employee’s ability to set and reach career goals.

2. The best feedback is forward looking, concentrating on the future and what needs to be done better.

3. Feedback should be timely, waiting until the end of the rating cycle is too late since misunderstandings that impact contribution and work-related behavior cannot be resolved in time for improvement before the end of the annual rating period.

4. Face-to-face communication is encouraged but technology permits other forms of discussion with agreement between supervisor and employee.

5. Use this form along with a copy of the factors, discriminators, and descriptors for the rated individual’s career path, i.e., NH, NI or NK, and the rater’s position requirements document.

6. Conduct initial communication session within the first 30 days of assignment to AcqDemo status or to a new supervisor within AcqDemo status rating period. Other informal discussions are encouraged.

7. **Contribution Planning Guidelines:** Contribution plans need to be established with employees at the beginning of each cycle, or shortly after they begin working for a supervisor. Component/local policy applies for establishment/documentation of contribution plans.

## Contribution Plan:

### Acknowledgement of Understanding Contribution Plan/Expectations:
I have discussed my position duties with my supervisor and understand my contribution plan/expectations for the current rating cycle.

25a. Employee Signature: ___________________________ Date: ___________________________

25b. Supervisor’s Signature: ___________________________ Date: ___________________________
CAS2Net Overview

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

For initial login, CAS2Net redirects to the ALTESS single sign-on site.

The Usage Policy screen is shown.

Click “I Agree” button to continue.
Click the “CAC Login” button to sign-in
- Select one of your installed CAC digital certificates and click the OK button

- If prompted, enter your CAC PIN
CAS2Net successfully logs the user in and displays the Welcome Screen (this screen displays the “Welcome Screen” for a Superuser).

The Navigation Bar is on the left and the modules listed depend on user role.

Welcome to CAS-Net, George Garfield!

The information contained herein is covered by the Privacy Act of 1974. Personnel data requires safeguarding IAW AFR 37-132.

Please choose a module from the navigation bar at the left.
### Contribution Planning Status

**Year: 2011**

<table>
<thead>
<tr>
<th>Employee</th>
<th>Employee Input</th>
<th>Contribution Planning Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amy Artis</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Barry Burns</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Connie Celon</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Key:**
- 📑 Contribution Planning Complete.
- 📑 Contribution Planning Incomplete.
- 📑 No Contribution Planning Provided.
Contribution Planning for Amy Artis
Year: 2011

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

Contribution Planning "In Progress": active
Here is the employee input to start the plan.

Here is the supervisors additional input.

Method of Communication:
- [ ] Face to Face
- [ ] TeleConference
- [ ] Video Conference
- [ ] Email
- [ ] Other

Date Conducted: 8/7/2011

Save  Submit  Exit
## Mid-Point Review Status

**Year: 2011**

<table>
<thead>
<tr>
<th>Employee</th>
<th>Mid-Point Review Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Uli Ulanov</td>
<td>![Incomplete]</td>
</tr>
<tr>
<td>Mike Monte</td>
<td>![Incomplete]</td>
</tr>
<tr>
<td>Timothy Tarman</td>
<td>![Incomplete]</td>
</tr>
<tr>
<td>Julie Jumps</td>
<td>![Incomplete]</td>
</tr>
<tr>
<td>Christina Carrot</td>
<td>![Complete]</td>
</tr>
<tr>
<td>Larry Lingo</td>
<td>![Incomplete]</td>
</tr>
<tr>
<td>Bill Bunsen</td>
<td>![Complete]</td>
</tr>
<tr>
<td>Tina Tilly</td>
<td>![Complete]</td>
</tr>
</tbody>
</table>

**Key:**
- ![Complete]: Mid-Point Review Complete
- ![Incomplete]: Mid-Point Review Incomplete
## Additional Feedback Status

**Year: 2011**

<table>
<thead>
<tr>
<th>Employee</th>
<th>Additional Feedback Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sally Simmons</td>
<td></td>
</tr>
<tr>
<td>Mike Monte</td>
<td>![Checkmark]</td>
</tr>
<tr>
<td>Timothy Tamam</td>
<td></td>
</tr>
<tr>
<td>Julie Jumps</td>
<td>![Error]</td>
</tr>
<tr>
<td>Christina Carrot</td>
<td>![Checkmark]</td>
</tr>
<tr>
<td>Uli Ulanov</td>
<td>![Error]</td>
</tr>
<tr>
<td>Bill Bunsan</td>
<td></td>
</tr>
<tr>
<td>Tina Tilly</td>
<td>![Checkmark]</td>
</tr>
</tbody>
</table>

**Key:**
- ![Checkmark] Additional Feedback Complete
- ![Error] Additional Feedback Incomplete
- No Additional Feedback Provided
Additional Feedback for Amy Artis
As of 08/07/2011 16:00
DO NOT USE FOR MID-POINT REVIEW FEEDBACK

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

Contribution Planning:
Here is the employee input to start the plan.
Here is the supervisors additional input.

Overall Supervisor Feedback:
Supervisor enters feedback to employee.

Method of Communication:
- [ ] Face to Face
- [ ] TeleConference
- [ ] Video Conference
- [ ] Email
- [ ] Other

Date Conducted: 7/19/2011
Annual Appraisal Self-Assessment for Amy Artis
Year: 2011

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

Contribution Planning:
Here is the employee input to start the plan.
Here is the supervisors additional input.

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

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

Release to Supervisor
Save
Exit
### Annual Appraisal Status

**Year: 2011**

<table>
<thead>
<tr>
<th>Employee</th>
<th>Self-Assessment</th>
<th>Categorical Status</th>
<th>Numerical Status</th>
<th>Presumptive Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amy Arts</td>
<td>![Checkmark]</td>
<td>![Checkmark]</td>
<td>![Checkmark]</td>
<td>None</td>
</tr>
<tr>
<td>Barry Burns</td>
<td>![Checkmark]</td>
<td>![Checkmark]</td>
<td>![Checkmark]</td>
<td>None</td>
</tr>
<tr>
<td>Connie Celon</td>
<td>![Checkmark]</td>
<td>![Checkmark]</td>
<td>![Checkmark]</td>
<td>Due To Time</td>
</tr>
</tbody>
</table>

**Key:**
- ![Checkmark] Annual Appraisal Complete.
- ![X] Annual Appraisal Incomplete.
- ![Blank] No Annual Appraisal Provided.
Annual Appraisal for Amy Artis
Year: 2011

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

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

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

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

Supervisor Assessment:
Factor Weight: 1.0  Categorical: 2MH  Numerical: 54
Amy did ....

(Characters used: 12 of 4000)
CAS2Net Reports

Year: 2011

Employee Reports

- Contribution Planning
- Mid-Point Review Self Assessment
- Additional Feedback
- Annual Appraisal Self-Assessment
CAS2Net Reports
Year: 2011

Supervisor 1 Reports

- Contribution Planning – Single Employee
- Contribution Planning – All Employees
- Additional Feedback
- Mid-Point Review
- Appraisal Form Parts II and III
X. THE WAY FORWARD

- Summary
- Next Steps
- Activity: CCAS Plan of Action
Understand your role in implementing your organization’s compensation strategy

Set clear expectations at the beginning of the appraisal cycle

Monitor contributions throughout the appraisal cycle

Write clear, concise impact statements in appraisals rather than long narratives

Rate employees using factors descriptors and discriminators
● Annual Appraisal Self-Assessment
● Annual Appraisal
● Categorical Scoring
● Numerical Scoring
● Pay Pool reviews of preliminary scores and compensation
● Results Meeting(s)
● Aggregate results shared with workforce per Component/local policy
Using the worksheet in your Participant Guide:

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

<table>
<thead>
<tr>
<th>Item</th>
<th>Plan of Action</th>
<th>Milestone Date(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</tr>
</tbody>
</table>
CCAS for Supervisors

Questions?
CCAS for Supervisors

Please complete the Class Evaluation

Thank you for attending!