

# **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**

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



- 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

## 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

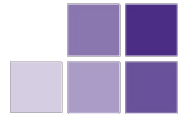


- Reflects your organization's strategic objectives
  - Maintain mission excellence
  - Attract new talent
  - Retain and motivate existing employees
- Sets the general policies and procedures for compensation and benefits within an organization
  - Consistent with pay budgets
  - Used to derive rules 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

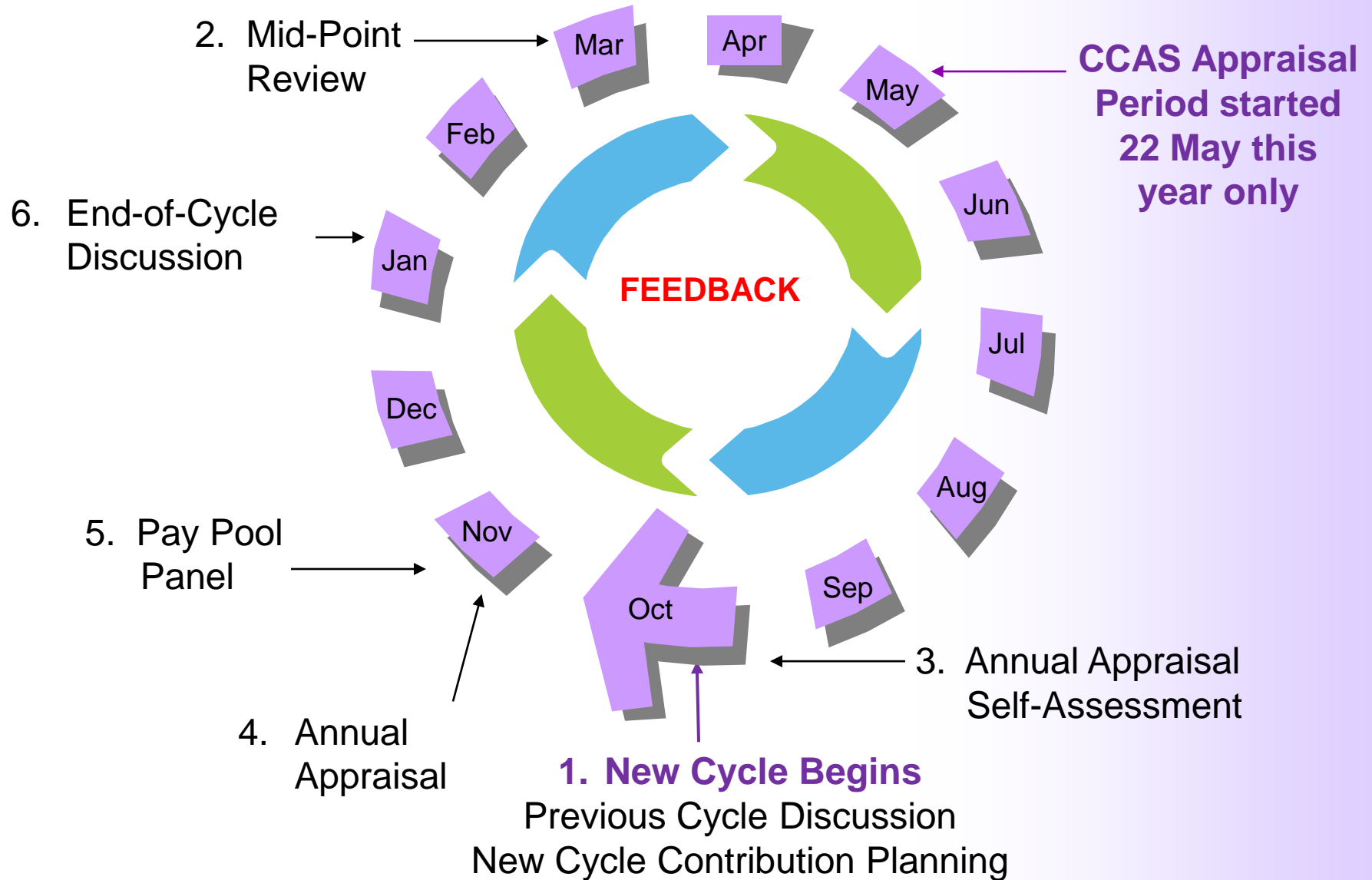
- What are your organization's:
  - Hiring strategies
  - Pay Setting / Progression strategies
    - Federal Pay vs. Private Sector
    - Control points on positions
    - Starting placement
    - Progression through the broadband
    - When to make pay related position changes?
    - What levels of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

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





- **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



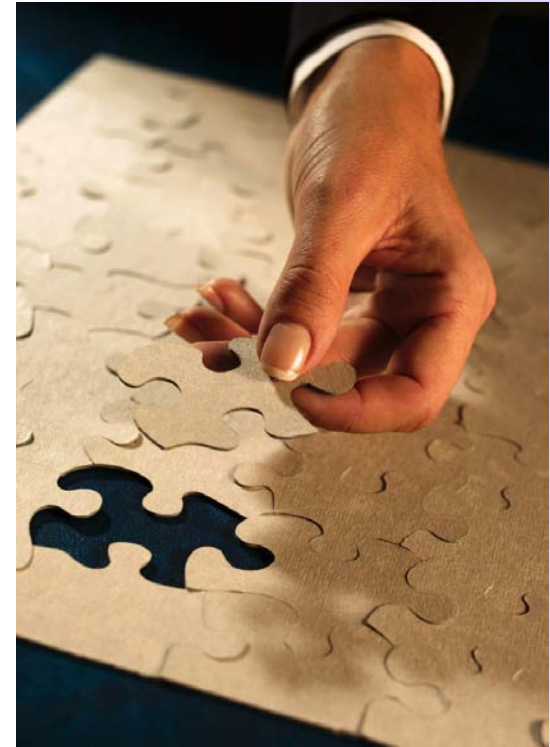
## Eleven Steps

- **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.

- 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

- **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

# UNDERSTANDING FACTORS AND DESCRIPTORS

## Broadband-specific Descriptors

### Factor: Communication

#### NH – Business Management & Technical Management Professional

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

## 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?

- 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

- 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



Step 1

- 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

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

Step 2

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

- 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.”*

### 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**



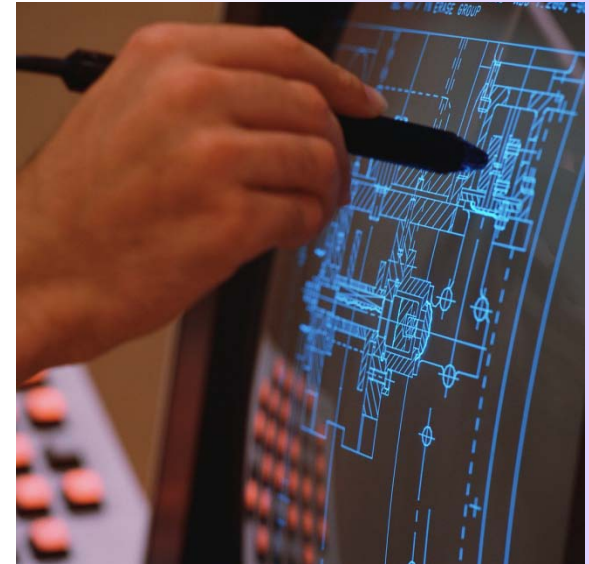
1. In small groups, review the background scenario provided
2. As a group, collectively write an Annual Appraisal for one of the factors
3. Present your group's results to the rest of the class



- 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:  
<http://www.acq.osd.mil/dpap/ops/acqdemo.html>

### 2011 Expected Contribution Range Calculator

							Expected Contribution Range		
		Pay Sched	Pay Band	Max Pay	Retained Pay?				
Enter Base Pay / Retained Pay						Upper Rail	SPL	Lower Rail	
	\$66,903	NH	3	\$93,175	No	63	67	71	
						<b>Expected Contribution Range =</b>			

Pay Used in Calculation: \$66,903

# ASSESSING EMPLOYEE CONTRIBUTIONS

## Broadband Level Point Ranges

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

# ASSESSING EMPLOYEE CONTRIBUTIONS

## Determining Categorical Scores – Part 1

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

Factor – Leadership / Supervision NH		Very High	115
LEVEL IV - LEADERSHIP/SUPERVISION *Establishes and/or leads teams to carry out complex projects or programs. Resolves conflicts. Creates climate where empowerment and creativity thrive. Recognized as a technical/functional authority on specific issues. *Leads, defines, manages, and integrates efforts of several groups or teams. Ensures organizational mission and program success. *Fosters the development of other team members by providing guidance or sharing expertise. Directs assignments to encourage employee development and cross-functional growth to meet organizational needs. Pursues personal professional development.	IV	High	96-100
		Medium	84-95
		Low	79-83
LEVEL III - LEADERSHIP/SUPERVISION *Provides guidance to individuals/teams; resolves conflicts. Considered a functional/technical expert by others in the organization; is regularly sought out by others for advice and assistance. *Defines, organizes, and assigns activities to accomplish projects/programs goals. Guides, motivates, and oversees the activities of individuals and teams with focus on projects/programs issues. *Fosters individual/team development by mentoring. Pursues or creates training development programs for self and others.	III	High	79-83
		Medium	67-78
		Low	61-66
LEVEL II - LEADERSHIP/SUPERVISION *Actively contributes as a team member/leader; provides insight and recommends changes or solutions to problems. *Proactively guides, coordinates, and consults with others to accomplish projects. *Identifies and pursues individual/team development opportunities.	II	High	62-66
		Medium-High	51-61
		Medium	41-50
		Medium-Low	30-40
LEVEL I - LEADERSHIP/SUPERVISION *Takes initiative in accomplishing assigned tasks. *Provides inputs to others in own technical/functional area. *Seeks and takes advantage of developmental opportunities.	I	Low	22-29
		High	24-29
		Medium	6-23
		Low	0-5

- **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

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

Step 2



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

### Steps 3-4

#### NH Career Path Teamwork /Cooperation Factor

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

# ASSESSING EMPLOYEE CONTRIBUTIONS

## Joe's Numerical Scores

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

**Step 5**

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

**Numerical Score of Each Factor:**

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

**Step 6**

$$441 / 6 = 74$$

**Overall Contribution Score**

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

- 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.

	CRI	CA
Employee	Base Salary	Aggregate Salary
Contributor, Joe	\$66,903	\$76,376
Blaine, Rick	\$57,408	\$65,537
Munroe, Cora	\$70,010	\$79,923
Wayne, Bruce	\$45,243	\$51,649
Sayers, Rose	\$70,010	\$79,923
Totals	\$309,574	\$353,410

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%.*

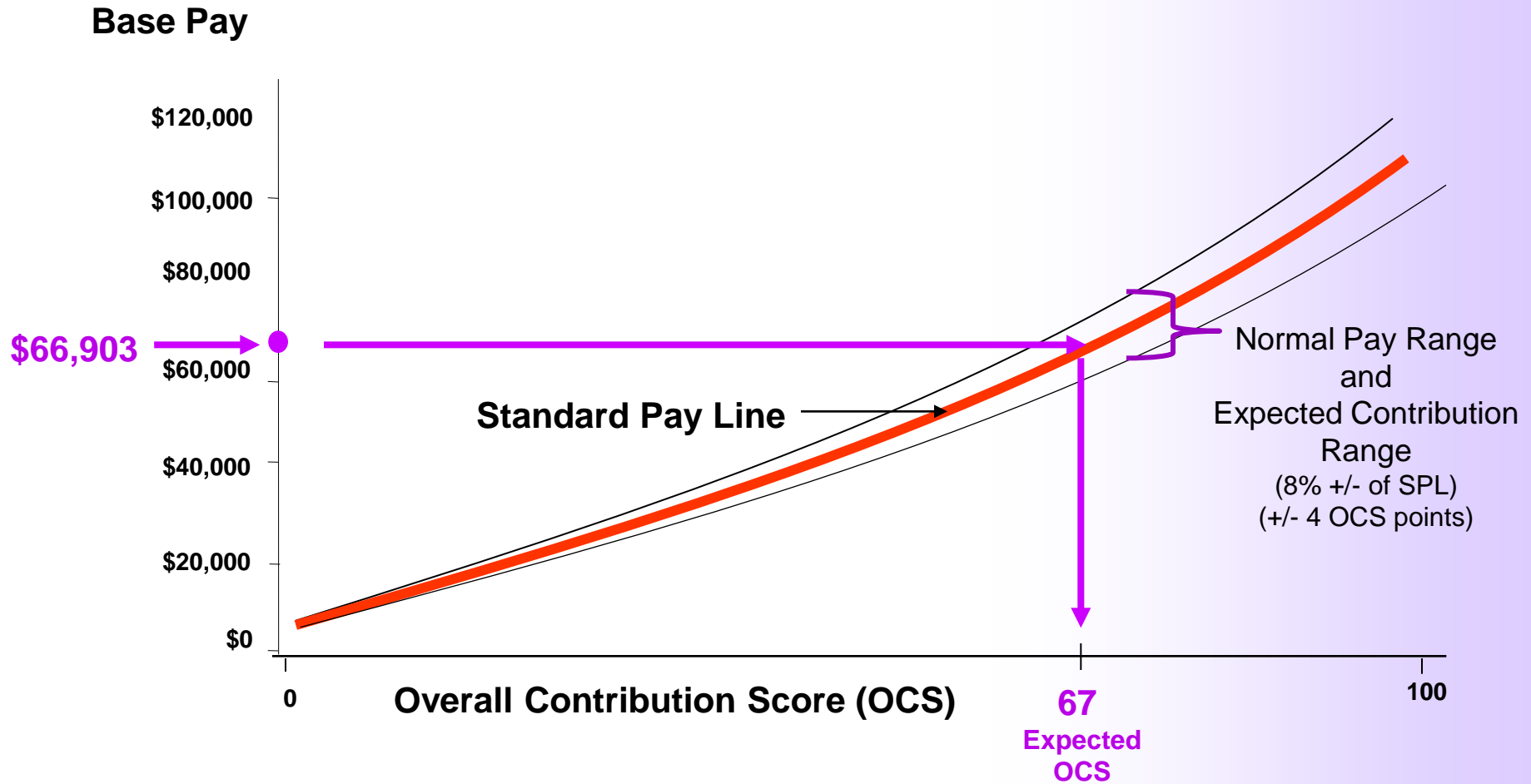
$$\frac{\text{Total Base Salary} * \text{CRI Funding Level} = \text{CRI Pool}}{\$309,574 \times 2.4\% = \$7,429}$$

$$\frac{\text{Total Aggregate Salary} * \text{CA Funding Level} = \text{CA Pool}}{\$353,410 \times 1.0\% = \$3,534}$$



# REWARDING EMPLOYEE CONTRIBUTIONS

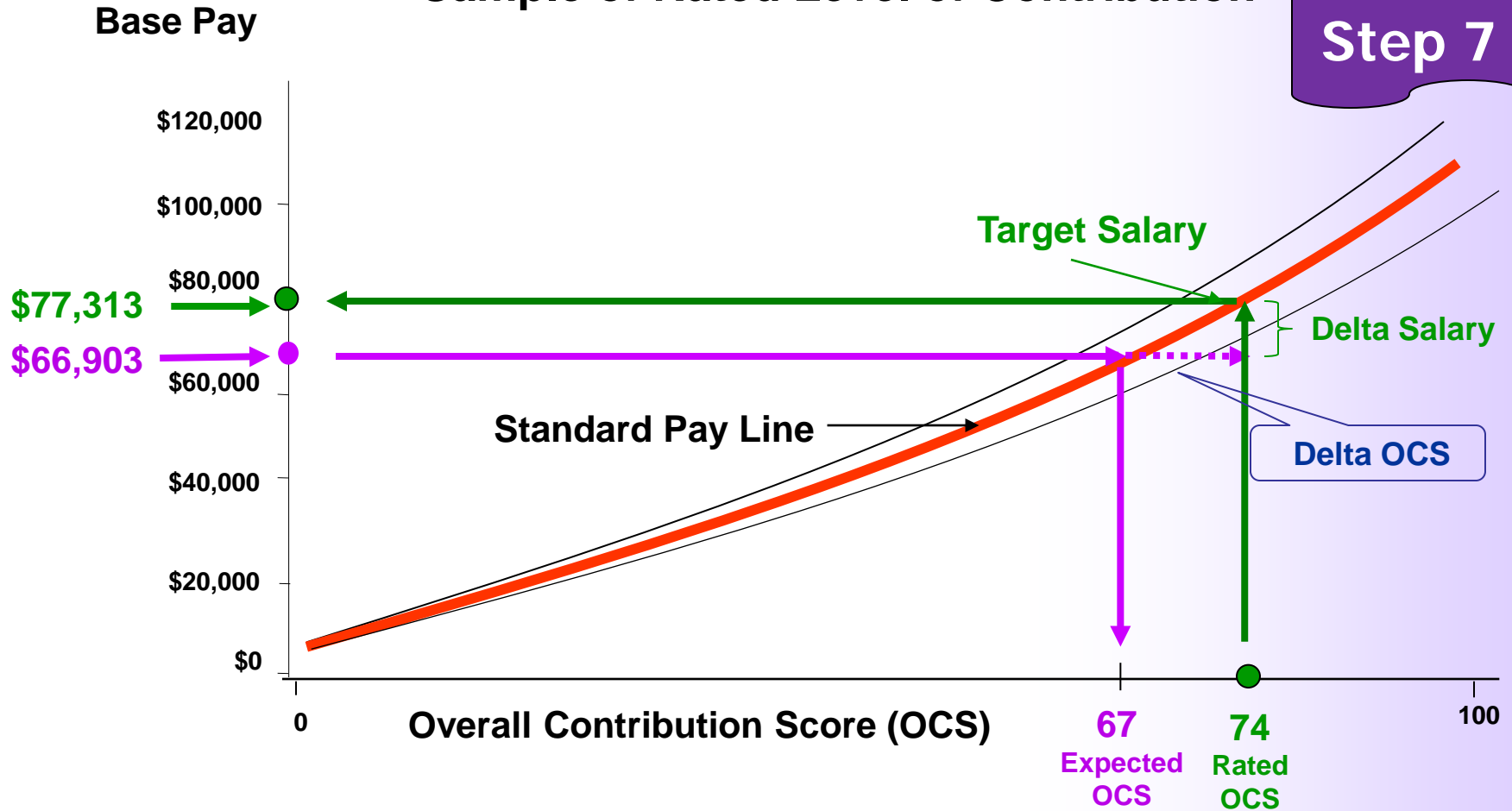
## Joe's ECR and Expected OCS



**Base Pay of \$66,903 equates to Expected OCS of 67;  
Expected Contribution Range includes +/- 4 OCS points**

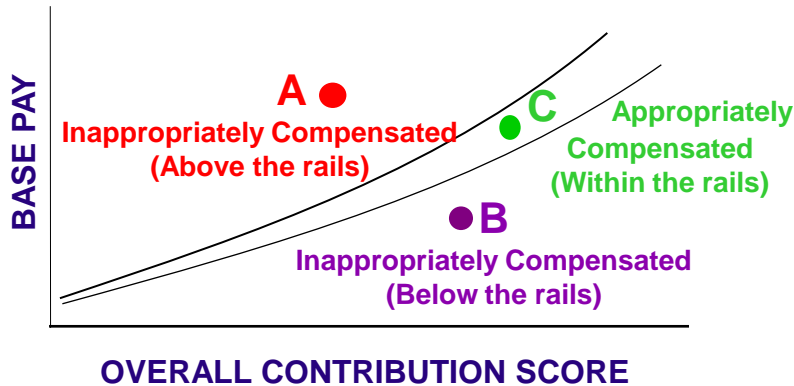
### Sample of Rated Level of Contribution

**Step 7**



**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

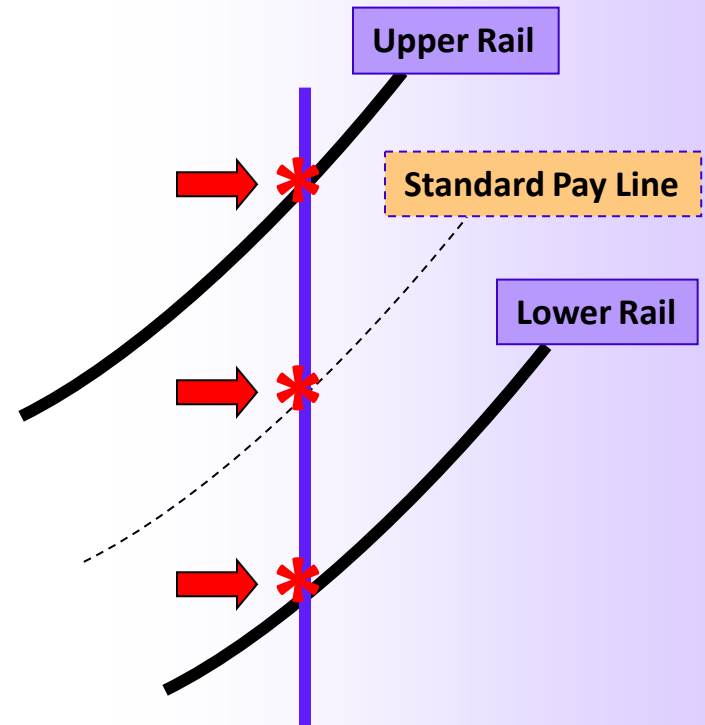
Compensation Category	General Pay Increase	Contribution Rating Increase	Contribution Award	Locality Pay
A	Can be given in full, reduced or denied	No	No	Yes
C	Yes	Yes – up to 6%	Yes	Yes
B	Yes	Yes – up to 20%	Yes	Yes

# REWARDING EMPLOYEE CONTRIBUTIONS

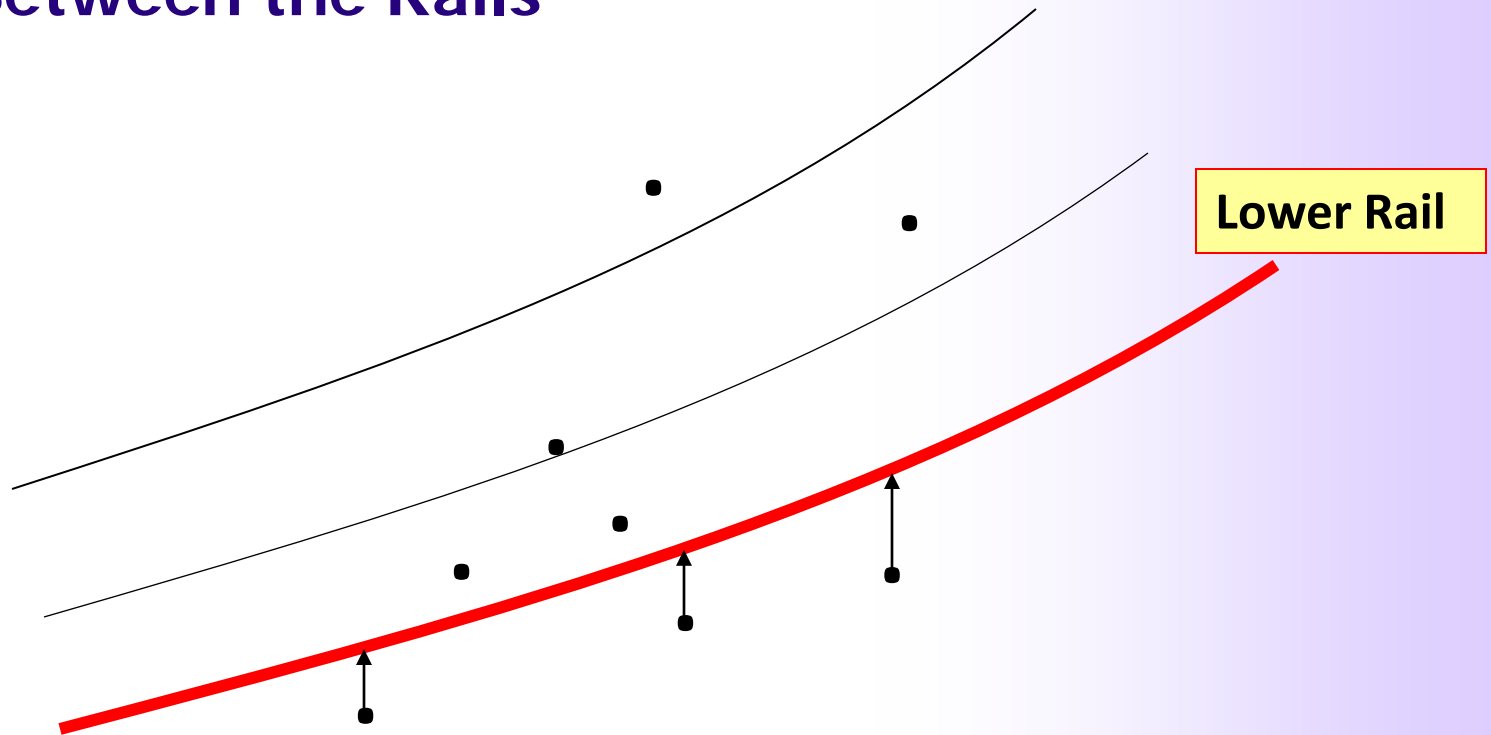
## Selecting Target Salary

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

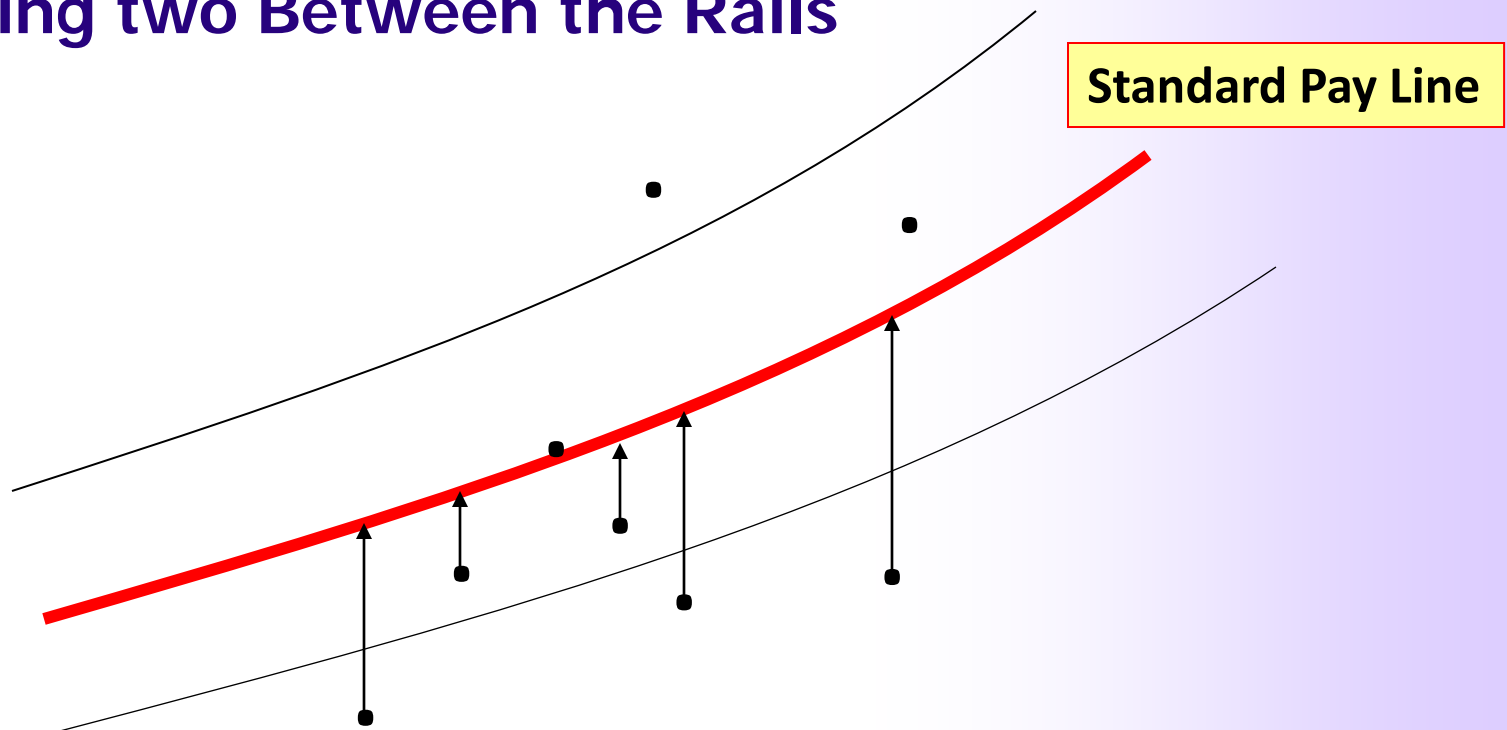
## Selecting Target Salary for CRI and CA



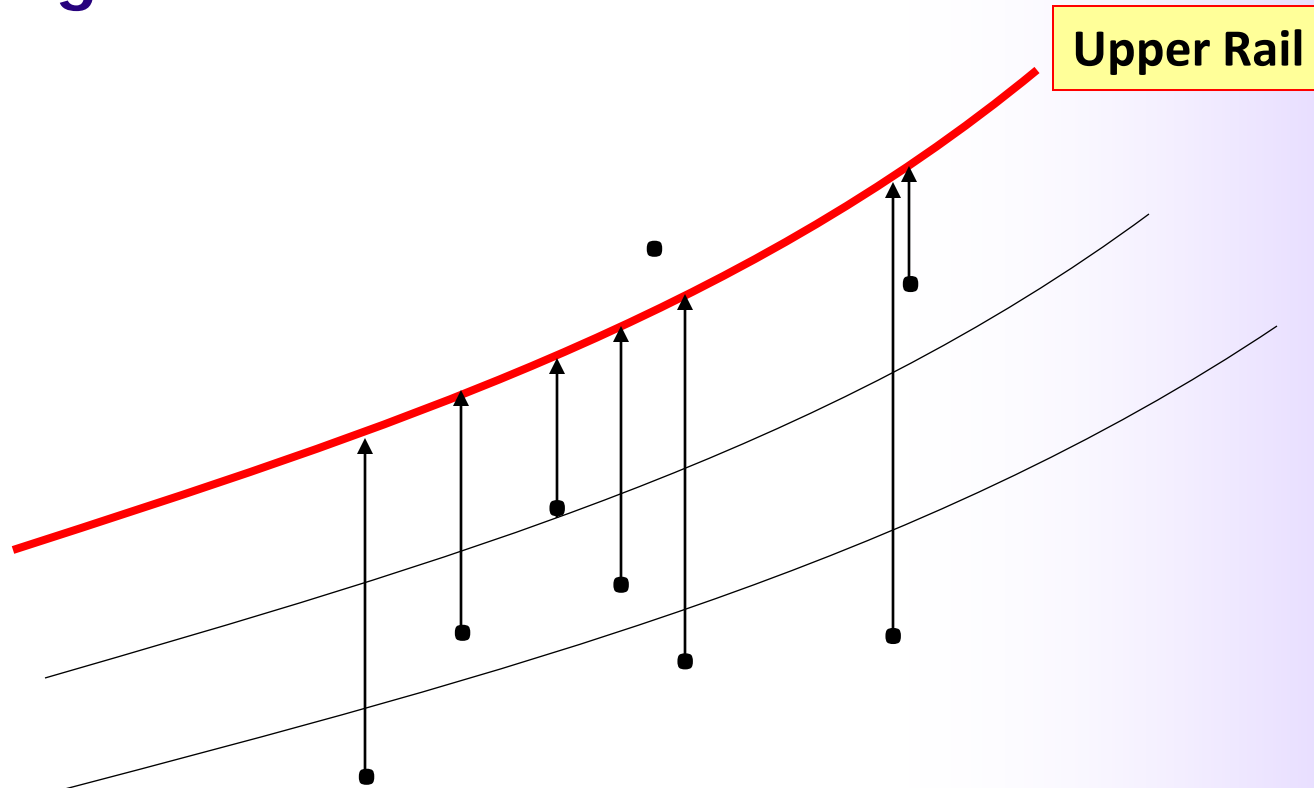
Only **three** employees receive CRI pay adjustment  
- None Between the Rails



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



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



# REWARDING EMPLOYEE CONTRIBUTIONS

## Payout Calculations

Enter approved OCS and Target Salaries.

Steps 8-9

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

Determine the Delta OCS and Delta Salaries.

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

Total Positive Delta Salary = \$16,556

Calculate total *positive* Delta Salary.



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**

# REWARDING EMPLOYEE CONTRIBUTIONS

## Joe's Payout Calculations

Calculate approved CRI and CA.

	Expected OCS	Approved OCS	Delta OCS	Base Salary	Target Salary	Delta Salary
Contributor, Joe	67	74	7	\$66,903	\$77,313	\$10,410

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

$$\$10,410 \times \underline{44.8720\%} = \$4,671$$

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

$$\$10,410 \times \underline{21.3457\%} = \$2,222$$

# REWARDING EMPLOYEE CONTRIBUTIONS

## Overall Compensation from the Pay Pool

	Expected OCS	Approved OCS	Delta OCS	Base Salary	Target Salary	Delta Salary	Computed CRI	Computed CA
Contributor, Joe	67	74	7	\$66,903	\$77,313	\$10,410	\$4,671	\$2,222
Blaine, Rick	59	63	4	\$57,408	\$62,151	\$4,743	\$2,128	\$1,012
Munroe, Cora	69	70	1	\$70,010	\$71,413	\$1,403	\$630	\$299
Wayne, Bruce	47	45	-2	\$45,243	\$43,483	-\$1,760	\$0	\$0
Sayers, Rose	69	63	-6	\$70,010	\$62,151	-\$7,859	\$0	\$0
Total Base Salary						\$16,556	44.8720%	21.3457%
							\$7,429	\$3,534

**Step 10**

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

- 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

- 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

## Step 11

### Part I: CCAS Salary Appraisal Form

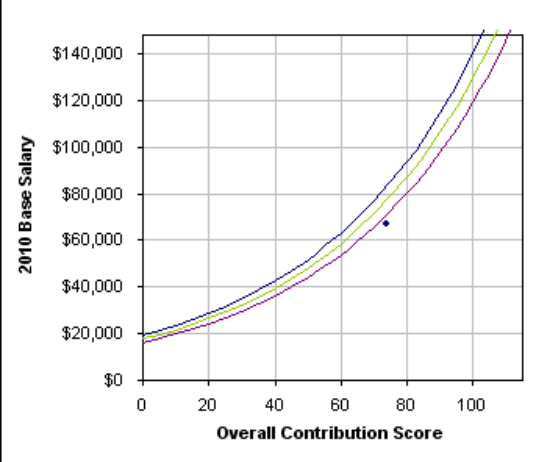
**Name:** Joe Contributor      **Series:** 0801      **Appraisal Period:**  
**CAS2Net ID:** 12345      **Broadband Level:** III      From: 1-Oct-09  
**Organization:**      **Retained Pay:** No      To: 30-Sep-10  
**Career Path:** NH      **Presumptive:** None

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

\_\_\_\_\_  
**Pay Pool Manager**      3-Dec-10  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
**Employee Signature**      \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
**Date**

Appraisal Detail			
Overall Contribution Score	74	Upper Rail OCS	63
Next Year's Expected SPL OCS	70	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 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	
\$66,903	Current Rate of Base Pay
+ \$ -	G Increase 0.0%
+ \$ 4,671	CRI Increase 6.98%
= <b>\$71,574</b>	<b>New Rate of Basic Pay</b>
+ \$10,135	Locality Pay @ 14.16%
= <b>\$81,709</b>	<b>New Total Salary</b>
\$ 2,222	Contribution Award

**Remarks**

Identifying info

Signatures

OCS & rail positions

OCS plotted

Pay info

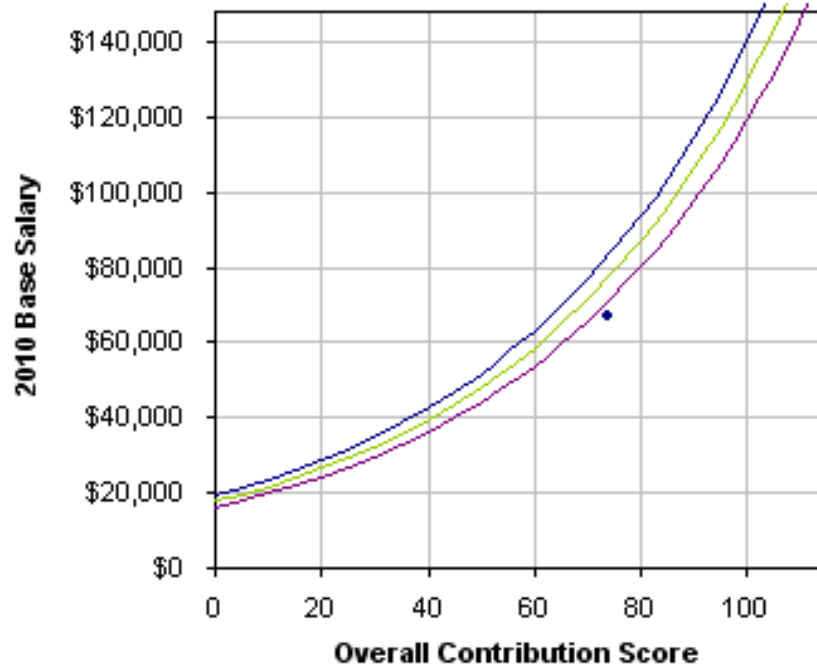
Remarks

### Appraisal Detail

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

	\$66,903	Current Rate of Base Pay	
+ \$	-	G Increase	0.0%
+ \$	4,671	CRI Increase	6.98%
=	<b>\$71,574</b>	<b>New Rate of Basic Pay</b>	
+ \$	10,135	Locality Pay	@ 14.16%
=	<b>\$81,709</b>	<b>New Total Salary</b>	
\$	2,222	Contribution Award	

### Remarks



### Individual factor scores:

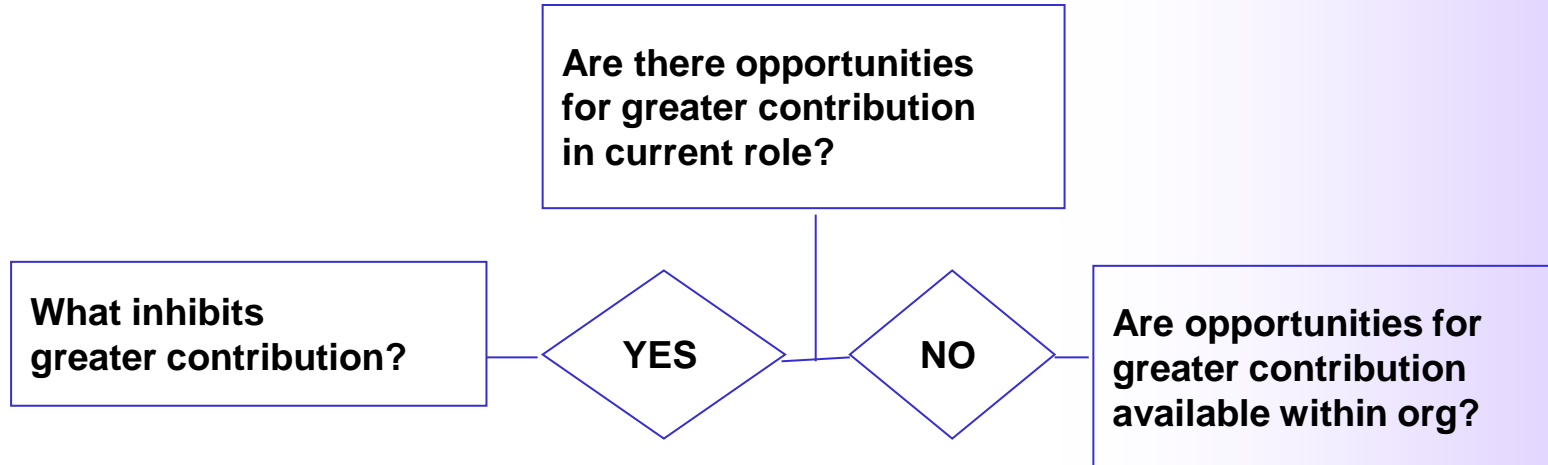
#### Part I: CCAS Salary Appraisal Form

Page 2

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

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

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



See Participant Guide for full chart

- 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

## 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

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

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

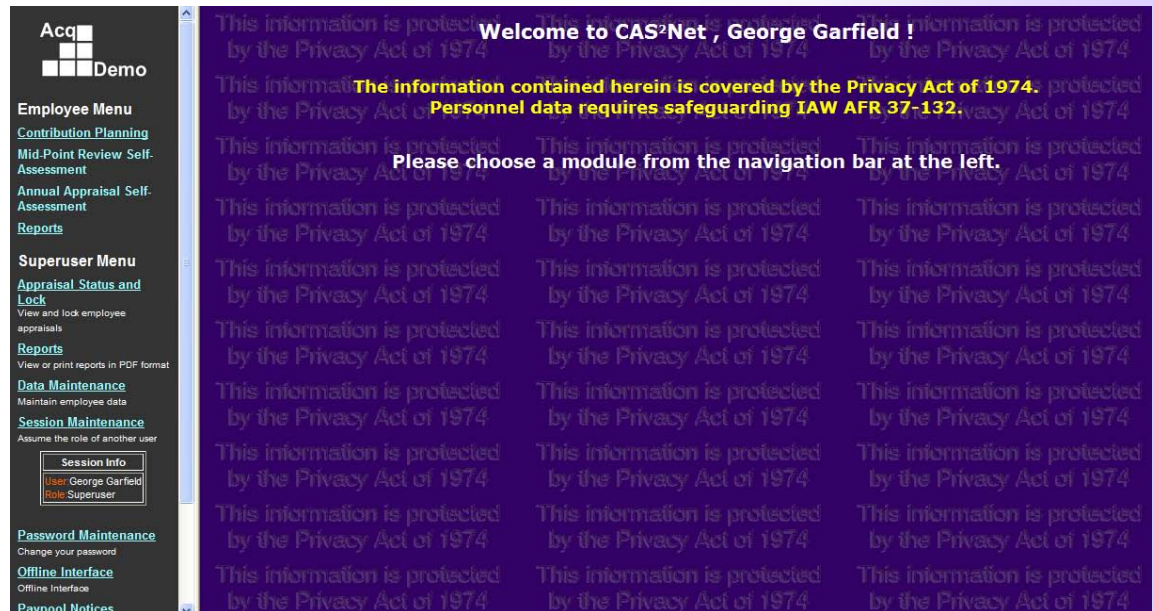
- Employees May Grieve:
  - OCS Rating
- Process:
  - Through a Collective Bargaining Agreement; or
  - Administrative Grievance Procedure (5 CFR 771) as supplemented by local procedures
    - Employee submits grievance to Supervisor
    - Supervisor provides recommendation to pay pool panel
    - Pay 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






- CCAS Salary Appraisal Form
- CAS2NET



**Welcome to CAS2Net, 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.**


 DoD Civilian Acquisition Workforce Personnel Demonstration Project		Contribution-based Compensation and Appraisal System (CCAS) Salary Appraisal Form			
1.EMPLOYEE NAME (FIRST NAME, MI, LAST NAME):		2.COMMAND:		3. LOCATION:	
4.EMPLOYEE POSITION TITLE:			5.SUPERVISOR NAME:		
6. EXPECTED OCS:	7.CAREER PATH (NH, NI or NK):	8.SERIES:	9. BROADBAND LEVEL (I, II or IV):	10. PERIOD COVERED: [Note: Provide date of assignment within current rating cycle period if different from 1 Oct XX to 30 Sep XX]	
From:		To:			
Privacy Act Statement (552a of 5 U.S.C.) 1.AUTHORITY: Section III.D, Federal Register Notice dated January 8, 1999. 2.PURPOSE: The primary purpose of this form is to reinforce and document description and discussion of contribution expectations and any necessary assessment and/or 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 I, 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 on this form will be used for statistical and impact analysis of this data as 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 payouts, 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 herein, the form will contain the rated individual's statement to that effect and be forwarded through to the pay pool panel.					
<b>General Rules for Communicating Contribution Plans and Feedback:</b> 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 Ratee'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.					
<b>Contribution Planning Guidelines:</b> 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.					
11.CONTRIBUTION PLAN:					
12.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.					
12a. EMPLOYEE SIGNATURE:		DATE:			
12b. SUPERVISOR'S SIGNATURE:		DATE:			

- 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

### Usage Policy

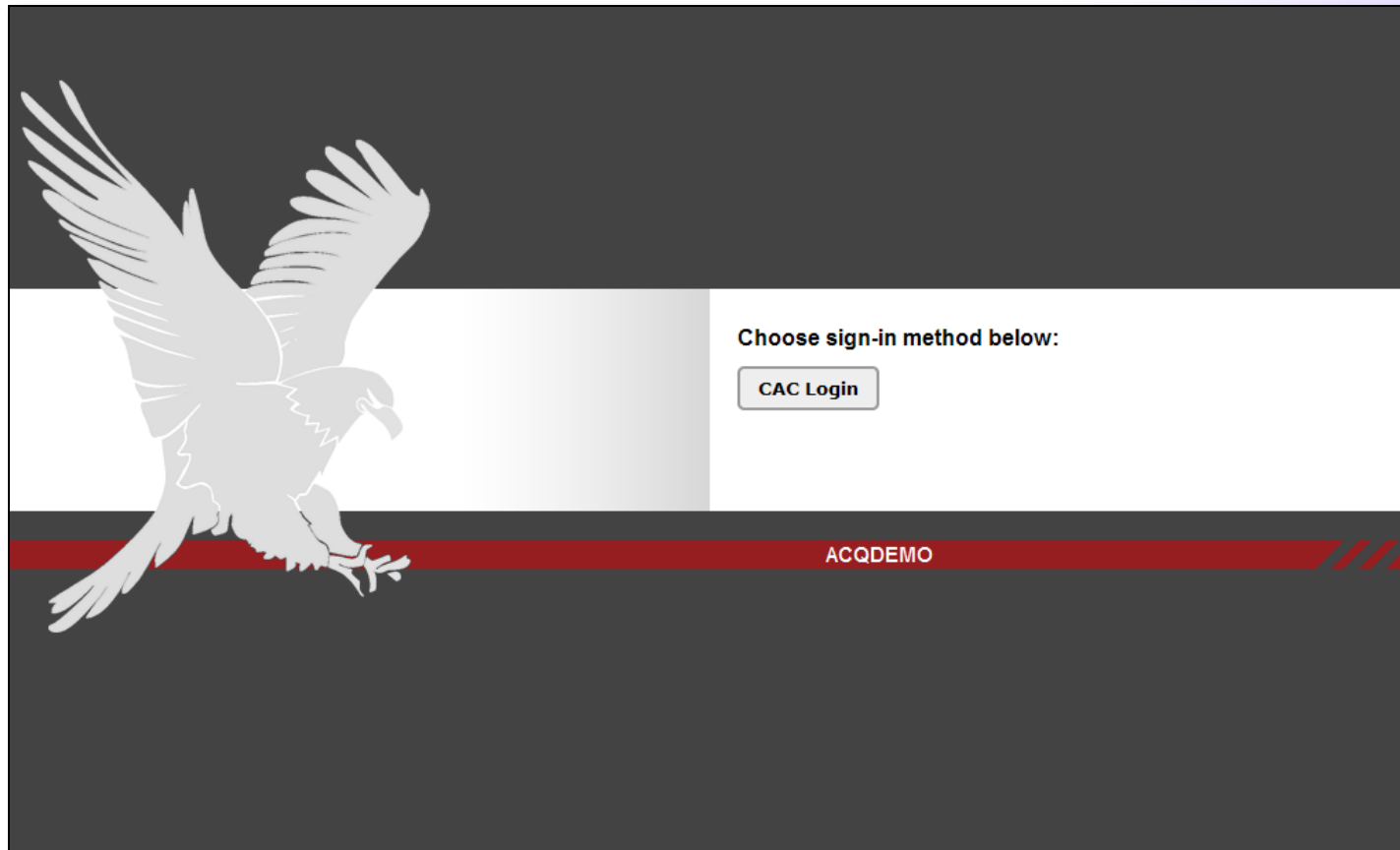
YOU ARE ACCESSING A U.S. GOVERNMENT (USG) INFORMATION SYSTEM (IS) THAT IS PROVIDED FOR USG-AUTHORIZED USE ONLY.  
By using this IS (which includes any device attached to this IS), you consent to the following conditions:



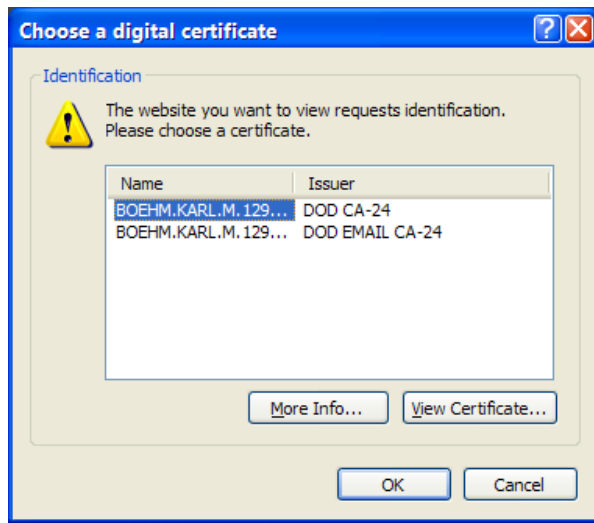
\* The USG routinely intercepts and monitors communications on this IS for purposes including, but not limited to, penetration testing, COMSEC monitoring, network operations and defense, personnel misconduct (PM), law enforcement (LE), and counterintelligence (CI) investigations.  
 \* At any time, the USG may inspect and seize data stored on this IS.  
 \* Communications using, or data stored on, this IS are not private, are subject to routine monitoring, interception, and search, and may be disclosed or used for any USG-authorized purpose.  
 \* This IS includes security measures (e.g., authentication and access controls) to protect USG interests—not for your personal benefit or privacy.  
 \* Notwithstanding the above, using this IS does not constitute consent to PM, LE or CI investigative searching or monitoring of the content of privileged communications, or work product, related to personal representation or services by attorneys, psychotherapists, or clergy, and their assistants. Such communications and work product are private and confidential. See User Agreement for details.

To continue, you must agree to the above terms and conditions.

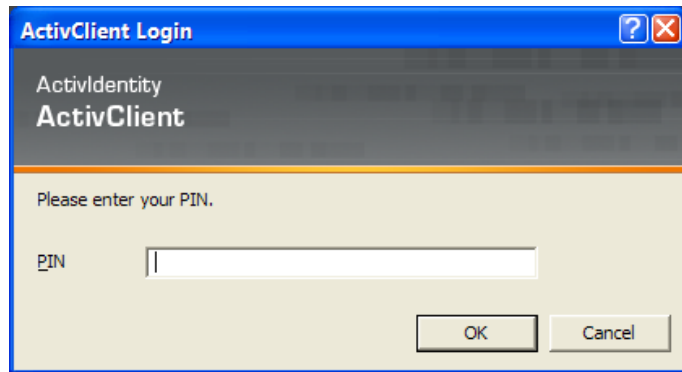
- Click the “CAC Login” button to sign-in



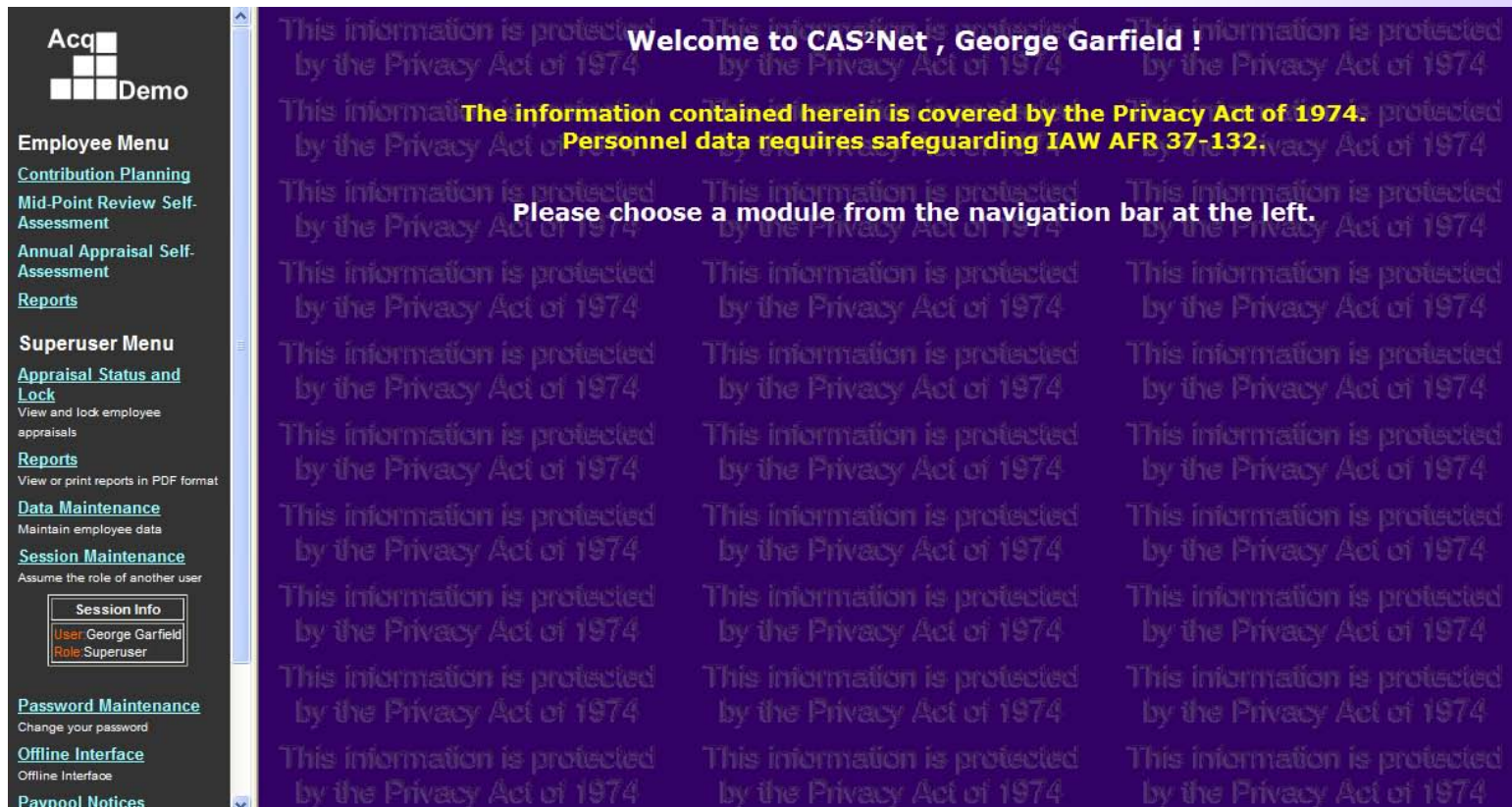
- Select one of your installed CAC digital certificates and click the OK button



- 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 CAS2Net , 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.**

**Navigation Bar:**

- Employee Menu**
  - [Contribution Planning](#)
  - [Mid-Point Review Self-Assessment](#)
  - [Annual Appraisal Self-Assessment](#)
  - [Reports](#)
- Superuser Menu**
  - [Appraisal Status and Lock](#)  
View and lock employee appraisals
  - [Reports](#)  
View or print reports in PDF format
  - [Data Maintenance](#)  
Maintain employee data
  - [Session Maintenance](#)  
Assume the role of another user
  - Session Info**  
User: George Garfield  
Role: Superuser
  - [Password Maintenance](#)  
Change your password
  - [Offline Interface](#)  
Offline Interface
  - [Paypool Notices](#)

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**Employee Menu**

- [Contribution Planning](#)
- [Mid-Point Review Self-Assessment](#)
- [Annual Appraisal Self-Assessment](#)
- [Reports](#)

**Supervisor I Menu**

- [Contribution Planning](#)
- [Additional Feedback](#)
- [Mid-Point Review](#)
- [Annual Appraisal](#)
- [Reports](#)

View or print reports in PDF format

- [Password Maintenance](#)  
Change your password
- [Logout](#)  
Exit CAS2Net
- [Session Maintenance](#)  
Assume the role of another user

**Session Info**

User: Peter Olson  
Role: Supervisor I  
[Revert](#)

## Contribution Planning Status

Year: 2011

Employee	Employee Input	Contribution Planning Status
<a href="#">Amy Artis</a>		
<a href="#">Barry Burns</a>		
<a href="#">Connie Celon</a>		

**Key:**



Contribution Planning Complete.



Contribution Planning Incomplete.

No Contribution Planning Provided.



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Demo

**Employee Menu**

- [Contribution Planning](#)
- [Mid-Point Review Self-Assessment](#)
- [Annual Appraisal Self-Assessment](#)
- [Reports](#)

**Supervisor I Menu**

- [Contribution Planning](#)
- [Additional Feedback](#)
- [Mid-Point Review](#)
- [Annual Appraisal](#)
- [Reports](#)

View or print reports in PDF format

[Password Maintenance](#)  
Change your password

[Logout](#)  
Exit CAS2Net

[Session Maintenance](#)  
Assume the role of another user

**Session Info**

User: Peter Olson  
Role: Supervisor I  
[Revert](#)

## Contribution Planning 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 "In Progress": *active* (Characters used: 90 of 4000)

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

August 2011						
Su	Mo	Tu	We	Th	Fr	Sa
31	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31	1	2	3
4	5	6	7	8	9	10

Save    Submit    Exit

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Employee Menu

- [Contribution Planning](#)
- [Mid-Point Review Self-Assessment](#)
- [Annual Appraisal Self-Assessment](#)
- [Reports](#)
- [Logout](#)

Session Info

User: Uli Ulanov  
Role: Employee

### Mid-Point Review Self-Assessment for Uli Ulanov

Broadband Level: II      Occupational Series: 2210 – Info Tech Management      Career Path: NH - Business Management

#### Contribution Planning

None.

#### Overall Employee Self-Assessment

None.

<b>Problem Solving</b>	Teamwork / Cooperation	Customer Relations	Leadership / Supervisor	Communication	Resource Management
------------------------	------------------------	--------------------	-------------------------	---------------	---------------------

#### Problem Solving

Employee Self-Assessment

None

Save      Submit

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Acq Demo  
Employee Menu

- [Contribution Planning](#)
- [Mid-Point Review Self-Assessment](#)
- [Annual Appraisal Self-Assessment](#)
- [Reports](#)





Supervisor 1 Menu

- [Contribution Planning](#)
- [Additional Feedback](#)
- [Mid-Point Review](#)
- [Annual Appraisal](#)
- [Reports](#)
- [Logout](#)



Session Info  
User: Chris Babbitt  
Role: Supervisor 1

### Mid-Point Review Status


Year: 2011

Employee	Mid-Point Review Status
<a href="#">Uli Ulanov</a>	
<a href="#">Mike Monte</a>	
<a href="#">Timothy Tarman</a>	
<a href="#">Julie Jumps</a>	
<a href="#">Christina Carrot</a>	
<a href="#">Larry Lingo</a>	
<a href="#">Bill Bunsen</a>	
<a href="#">Tina Tilly</a>	

Key:

-  Mid-Point Review Complete
-  Mid-Point Review Incomplete

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**Employee Menu**

[Contribution Planning](#)

[Mid-Point Review](#)

[Self-Assessment](#)

[Annual Appraisal Self-Assessment](#)

[Reports](#)

**Supervisor 1 Menu**

[Contribution Planning](#)

[Additional Feedback](#)

[Mid-Point Review](#)

[Annual Appraisal](#)

[Reports](#)

[Logout](#)

Session Info

User: Chris Babbitt

Role: Supervisor 1

### Mid-Point Review for Uli Ulanov

**Broadband Level:**  
II

**Occupational Series:**  
2210 – Info Tech Management

**Career Path:**  
NH - Business Management

**Contribution Planning**

Additional Feedback as of 3/30/2011

**Overall Employee Self-Assessment**

**Overall Supervisor Assessment**

None

**Problem Solving**

Teamwork / Cooperation

Customer Relations

Leadership / Supervisor

Communication

Resource Management

Employee Review


Problem Solving

Employee Self-Assessment

Supervisor Assessment

None

CAS2Net

**Acq**  Demo

Employee Menu

- [Contribution Planning](#)
- [Mid-Point Review](#)
- [Self-Assessment](#)
- [Annual Appraisal Self-Assessment](#)
- [Reports](#)

Supervisor 1 Menu

- [Contribution Planning](#)
- [Additional Feedback](#)
- [Mid-Point Review](#)
- [Annual Appraisal](#)
- [Reports](#)
- [Logout](#)






Session Info

User: Chris Babbitt



Role: Supervisor 1

## Additional Feedback Status

Year: 2011

Employee	Additional Feedback Status
<a href="#">Sally Simmons</a>	
<a href="#">Mike Monte</a>	
<a href="#">Timothy Tarman</a>	
<a href="#">Julie Jumps</a>	
<a href="#">Christina Carrot</a>	
<a href="#">Uli Ulanov</a>	
<a href="#">Bill Bunsen</a>	
<a href="#">Tina Tilly</a>	

**Key:**

-  AdditionalFeedback Complete
-  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:	Occupational Series:	Career Path:	Expected OCS:
II	318 - Secretary	NH - Business Management And Technical Management Professional	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.

Problem Solving

Teamwork / Cooperation

Customer Relations

Leadership / Supervision

Communication

Resource Management

Employee Review Date

**Method of Communication:**

Date Conducted:

Face to Face

TeleConference

Video Conference

Email

Other

July 2011						
Su	Mo	Tu	We	Th	Fr	Sa
26	27	28	29	30	1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30
31	1	2	3	4	5	6

Release to Employee

Save

Submit

Exit

# Appraisal Self-Assessment Screenshot

## Annual Appraisal Self-Assessment for Amy Artis

Year: 2011

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

**Contribution Planning:**

Here is the employee input to start the plan.

Here is the supervisors additional input.


Problem SolvingTeamwork / CooperationCustomer RelationsLeadership / SupervisionCommunicationResource Management

Problem Solving

**Employee Self-Assessment:** *(Characters used: 54 of 4000)*

I completed work on project xyz which resulted in ....

Release to Supervisor

Acq  Demo

**Employee Menu**








- [Contribution Planning](#)
- [Mid-Point Review Self-Assessment](#)
- [Annual Appraisal Self-Assessment](#)
- [Reports](#)

**Supervisor I Menu**



- [Contribution Planning](#)
- [Additional Feedback](#)
- [Mid-Point Review](#)
- [Annual Appraisal](#)
- [Reports](#)
- View or print reports in PDF format
- [Password Maintenance](#)
- Change your password
- [Logout](#)
- Exit CAS2Net

## Annual Appraisal Status

Year: 2011

Employee	Self-Assessment	Categorical Status	Numerical Status	Presumptive Status
<a href="#">Amy Artis</a>				None
<a href="#">Barry Burns</a>				None
<a href="#">Connie Celon</a>				Due To Time

**Key:**

-  Annual Appraisal Complete.
-  Annual Appraisal Incomplete.
- No Annual Appraisal Provided.



## Annual Appraisal for Amy Artis

Year: 2011

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

[Problem Solving](#)

**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

Acq Demo

Employee Menu

- [Contribution Planning](#)
- [Mid-Point Review Self-Assessment](#)
- [Annual Appraisal Self-Assessment](#)
- [Reports](#)
- [Logout](#)

Session Info

User: Uli Ulanov  
Role: Employee

### CAS2Net Reports

Year: 2011

- Employee Reports
- [Contribution Planning](#)
- [Mid-Point Review Self Assessment](#)
- [Additional Feedback](#)
- [Annual Appraisal Self-Assessment](#)

CAS2Net

Acq Demo

Employee Menu

- [Contribution Planning](#)
- [Mid-Point Review](#)
- [Self-Assessment](#)
- [Annual Appraisal Self-Assessment](#)
- [Reports](#)

Supervisor 1 Menu

- [Contribution Planning](#)
- [Additional Feedback](#)
- [Mid-Point Review](#)
- [Annual Appraisal](#)
- [Reports](#)

[Logout](#)

Session Info

User: Chris Babbitt  
Role: Supervisor 1

### 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](#)

- 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.

Item	Plan of Action	Milestone Date(s)

# CCAS for Supervisors



**Questions?**



# CCAS for Supervisors

Please complete the  
Class Evaluation

**Thank you for attending!**