

As of October 23, 2014, Document Undergoing Major Revision

Operating Procedures

DOD CIVILIAN ACQUISITION WORKFORCE PERSONNEL DEMONSTRATION PROJECT

May 15, 2003

The intended use of this document is as a quick reference tool to view changes to the original DoD AcqDemo Operating Procedures (2003) brought by AcqDemo Memorandums (AMs). The AMs augment the Operating Procedures and will expire upon incorporation into the next revision of the DoD Operating Procedures. The AMs are placed at the beginning of the relevant Chapter with the AM number highlighted in red at the top of the memorandum.

**Provided by the DoD AcqDemo Program Office
As of October 23, 2014, Document Undergoing Major Revision**

**Civilian Acquisition Workforce Personnel Demonstration Project
Department of Defense (DoD)**

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Civilian Acquisition Workforce Personnel Demonstration Project
Department of Defense (DoD)

EXECUTIVE SUMMARY

Title VI of the Civil Service Reform Act, 5 U.S.C. 4703, authorizes the Office of Personnel Management (OPM) to conduct demonstration projects that experiment with new and different personnel management concepts to determine whether such changes in personnel policy or procedures would result in improved Federal personnel management.

Section 4308 of the National Defense Authorization Act for Fiscal Year 1996 (Pub.L. 104-106; 10 U.S.C.A. § 1701 note), as amended by Section 845 of the National Defense Authorization Act for Fiscal Year 1998 (Pub.L. 105-85), permits the Department of Defense (DoD), with the approval of OPM, to conduct a personnel demonstration project within the Department's civilian acquisition workforce and those supporting personnel assigned to work directly with the acquisition workforce. This demonstration covers the civilian acquisition workforce and teams of personnel, more than half of which consist of members of the acquisition workforce and the remainder of which consist of supporting personnel assigned to work directly with the acquisition workforce, throughout DoD. The total number of participants is limited to 95,000.

The purpose of the DoD Civilian Acquisition Workforce Personnel Demonstration Project is to demonstrate that the effectiveness of DoD acquisition can be enhanced by allowing greater managerial control over personnel processes and functions and, at the same time, expand the opportunities available to employees through a more responsive and flexible personnel system. To this end, the proposed project involves: (1) simplified job classification; (2) broadbanding; (3) streamlined hiring processes; (4) modified application of the DoD Priority Placement Program (PPP); (5) a contribution-based compensation and appraisal system; (6) expanded training opportunities; (7) sabbaticals; (8) a voluntary emeritus program; and (9) revised reduction-in-force procedures. The demonstration is the first personnel demonstration that crosses DoD component lines, and the first demonstration to be designed along functional lines instead of organizational lines.

This demonstration project does not waive civil service laws in the areas of employee leave, employee benefits, equal employment opportunity, political activity, merit system principles, or prohibited personnel practices.

Chapter 1 – INTRODUCTION

1.1 Purpose. These Operating Procedures are designed to outline the demonstration project processes, including detailed information on specific procedures. They are designed for use by participating employees, civilian and military supervisors of participating employees, support personnel, and other stakeholders. The Operating Procedures detail the changes to the existing human resources management system and how to implement those changes as part of a unified demonstration. The appendices contain details of the new procedures, required data, new forms, implementing software, and other pertinent information.

This demonstration project does not waive civil service laws in the areas of employee leave, employee benefits, equal employment opportunity, political activity, merit system principles, or prohibited personnel practices.

This Operating Procedure (OP) has been written to implement the provisions of the Federal Register (FR). If any provision in the OP should inadvertently contradict a requirement in the FR, the FR, being statute, shall prevail.

1.2 Background. Over the last several years, the way Government does business has fundamentally changed. In particular, the Department of Defense (DoD) has redesigned itself and some of the functions it performs. It has developed from a cold war/large war strategy to a peace keeping/small war strategy. DoD's budget has been drastically cut, as well as associated personnel. The acquisition community has taken on the challenge to reform and modernize itself in order to perform efficiently in the present environment.

The acquisition community has attempted to adopt many new practices from private industry, as well as streamline existing practices. In general, the community has tried to break old paradigms and build new processes that will be more efficient and effective. The concept of "value added" has become integral to all endeavors. To implement this concept and these new processes fully, DoD must reinvent not only the tools of acquisition, but also the personnel management system that governs the acquisition workforce.

1.3 Personnel Issues Affecting the Workforce. The Defense Acquisition Workforce Improvement Act (DAWIA) recognized the unique characteristics of the workforce and issued broad guidelines for advanced degrees, specialized training, rotation of personnel, and experience. Criteria were established for levels of certification and expertise. But no new personnel management system was enacted at the time of DAWIA's passage to facilitate acquisition employees' careers or reward them for their contributions. The DoD Civilian Acquisition Workforce Personnel Demonstration Project does not change the provisions of DAWIA. The Components and Activities will modify their policy and procedures to the degree necessary to permit organizations participating in this project to implement its initiatives.

The purpose of this project is to demonstrate that effectiveness of DoD acquisition can be enhanced by allowing greater managerial control over personnel processes and functions and, at the same time, expand the opportunities available to employees through a more responsive and flexible personnel system. The following initiatives require waivers of civil service law and/or

Government-wide regulations, and accordingly are contained in the demonstration project plan published in the *Federal Register* on January 8, 1999: (1) simplified job classification; (2) broadbanding; (3) streamlined hiring processes; (4) a contribution-based compensation and appraisal system; (5) expanded training opportunities; (6) sabbaticals; (7) a voluntary emeritus program; and (8) revised reduction-in-force procedures.

Initially, civilian spouse preference under DoD Priority Placement Program (PPP) did not require a waiver of civil service law (Title 5, United States Code) or Government-wide regulations, but did require modification of DoD human resources policy.

1.4 Project Design. In September 1996 a Process Action Team (PAT) was formed by the Secretary of Defense in response to Section 4308 of the National Defense Authorization Act for Fiscal Year 1996. The PAT was chartered to take full opportunity of this legislation and to develop solutions for many DoD acquisition workforce personnel issues. The team included managers from each of the Military Services and DoD Components, as well as subject-matter experts from civilian personnel and manpower. This team developed initiatives that, together, represent sweeping changes to the entire spectrum of human resource management for the DoD acquisition workforce. Several initiatives were designed to assist DoD acquisition activities in hiring and placing the best people to fulfill mission requirements. Others focused on developing, motivating, and equitably compensating employees based on their contribution to the mission. Initiatives to maintain organizational excellence were also developed. These initiatives were endorsed and accepted in total by the acquisition leadership.

On September 9, 1989, in accordance with DoD Directive 5000.1, the Under Secretary of Defense (Acquisition and Technology) appointed the U.S. Army as the Executive Agent of the DoD Civilian Acquisition Workforce Personnel Demonstration Project.

1.5 Federal Register Notices and Amendments. The March 24, 1998 *Federal Register* notice establishes the intent to conduct a personnel demonstration for acquisition workforce personnel and describes the proposed initiatives.

The January 8, 1999 *Federal Register* notice describes the personnel initiatives to be implemented under this demonstration project.

The May 21, 2001 amendment makes a technical correction to the list of occupational series included in the project and changes pay setting procedures for employees entering the project after initial implementation.

The April 24, 2002 amendment clarifies the use of “Very High” overall contribution score, and reduces the minimum rating period under the Contribution-based Compensation and Appraisal System to 90 consecutive calendar days.

The July 1, 2002 amendment lists all organizations that are eligible to participate in the project and make the resulting adjustments to the table that describes the project’s workforce demographics and union representation.

These amended changes are incorporated in this version of the Operating Procedures.

1.6 Participating Organizations. A list of organizations approved to participate in the demonstration project is contained in the January 8, 1999 *Federal Register* and updated in the July 1, 2002 *Federal Register* notice. If an organization is listed in the *Federal Register*, but chose not to participate during the initial implementation period, it may still do so at a later date. Those organizations eligible and interested in participating in the demonstration project may contact the DoD AcqDemo Project Office or their component representative for information on eligibility and information on the procedures for entering the demonstration project.

1.6.1 Labor-Management Responsibilities

1.6.1.1 Bargaining Requirements. Activities wishing to participate in the DoD Civilian Acquisition Workforce Demonstration Project must reach written agreement with any union representing the workforce prior to implementation. Employees in a bargaining unit cannot be placed into a demonstration project without such an agreement.

1.6.1.2 Procedures. Implementation bargaining at the local level can begin at any time both parties agree. It should be understood that agreement could be reached only after changes in the first *Federal Register* notice had been completed and the second notice was published. The second January 8, 1999 notice contains the final waivers to civil service laws (Title 5, United States Code) necessary to accomplish the initiatives in this project.

1.6.1.3 Bargaining Concerns. In order to ensure that the integrity of the acquisition demonstration project is maintained, parties may not change the design and intent of any of the project initiatives. DoD has authority to operate only ONE project, and the initiatives apply to all Components/commands. Local labor-management parties can, however, freely develop their individual means for operating the project, including the involvement of established partnership principles. The level of creativity in bargaining the many processes available to both parties is unrestricted.

1.6.1.4 Agreement Format. The written agreement may be in any form mutually agreed upon by both parties; however, it must state that both parties agree to participate in the demonstration project as it appears in the final (second publication) January 8, 1999 *Federal Register* notice.

1.6.1.5 Reporting Requirements. Each organization reaching agreement to participate in the Acquisition Demonstration (AcqDemo) Project will forward a copy of the written agreement reached during labor-management negotiations to the DoD Civilian Acquisition Workforce Personnel Demonstration Project Program Office located at 2001 North Beauregard Street, Suite 210, Alexandria, VA 22311. (Simultaneously, the organization should also send a copy to the Component representative for this demonstration project.) The Project Program Office will review the agreement for compliance with the project plan as published in the January 8, 1999, *Federal Register* final notice and amendments. The Project Program Office will approve or disapprove the agreement, or portions thereof, as appropriate. This shall normally be accomplished within 30 calendar days beginning on the first workday after receipt of the written agreement. Questions regarding labor-management issues involving this project can also be directed to the above office. A sample Letter of Notification of Transition into the Project can be found in Appendix M.

Chapter 2 - DEMONSTRATION PROJECT INITIAL TRANSITION OF NEW ORGANIZATIONS

2.1 Introduction. Initial entry into the demonstration project for organizations with covered employees will be accomplished through a full employee-protection approach that ensures the initial placement of each employee into a broadband level without loss of pay. After this transition, any changes in the rate of basic pay will be based upon an employee's overall contribution score, other contribution-based actions, promotion, or other personnel actions.

Participating organizations will be phased into the project in accordance with a timetable approved by DoD and OPM. Accordingly, employees who are officially assigned to a participating organization on or before the phase-in date specified in the timetable for that organization will receive a buy-in as described in this chapter.

2.2 Procedures for Transition. As a rule, General Schedule employees will be placed into the career path and broadband level that corresponds to the employee's occupational series, grade, and salary at the time of transition. Employees currently on grade and/or pay retention will be placed in the appropriate broadband level that is commensurate with their existing grade.

Employees serving on temporary promotions or on details must be returned to their position of record and then transitioned into the demonstration project from their permanent position. Written notification must be given to employees who are on leave without pay (LWOP), military furlough, long-term training, or workers compensation, or who are serving in overseas positions. This letter will inform them of their transition into the demonstration project and the career path and broadband level to which they are reassigned.

In accomplishing this initial transition, internal and external priorities, including the DoD Priority Placement List (also referred as DoD Stopper List), do not need to be cleared. Management in organizations covered by the demonstration project will: (1) cancel the existing positions; (2) establish the new demonstration project positions (Position Requirements Documents (PRD)) in prescribed format using tailored COREDOC software or Component-specified template or format (see Appendix H); and (3) move employees to the newly established positions in the demonstration project. Any existing classification problems with the current position must be corrected prior to the transition action at implementation.

An official personnel action with the appropriate nature of action codes (NOACs) will be used to document the transition of each employee into this demonstration project. See Appendix G.

2.2.1 Permanent Appointments. All employees serving on permanent appointments (either career or career-conditional) will be reassigned into the demonstration project at the time of implementation by means of an official personnel action. This personnel action will be a dual nature of action; NOAC 894 (Pay Adjustment) and NOAC 721 (Reassignment).

2.2.2 Time-Limited Appointments. Under the current, Government-wide Federal personnel system, time-limited appointments include temporary NTE and term appointments.

2.2.2.1 Temporary Appointment Not-to-Exceed (NTE). Employees on temporary appointments will be converted into the demonstration project via an official personnel action using Nature of Action 515 (Conversion to Appointment Not-to-Exceed). The original NTE date must remain the same.

2.2.2.2 Term Appointment. Employees on a term appointment NTE four years will not have their NTE date altered. Employees serving on a term appointment NTE four years will be converted into the demonstration project by NOAC 508 (Conversion to Modified Term NTE) and NOAC 894 (Pay Adjustment).

2.2.3 Excepted Service. Employees on excepted service appointments will be transitioned into the demonstration project by NOAC 721 (Reassignment) and NOAC 894 (Pay Adjustment) with the demonstration project authority code and the same authority code and authority as was used in the original appointment.

2.3 Employee Buy-in. Automatic within-grade increases (WGI) inherent in the General Schedule system are discontinued under this demonstration project. In order to compensate employees equitably at the time of their organization's initial transition into the demonstration project, adjustments to the employee's base salary for step increase and non-competitive career ladder promotions will be made. Specifically, these adjustments to an employee's base salary for step increase and non-competitive career ladder promotion will be computed at the demonstration implementation date based on a prorated share computed upon the number of weeks an employee has completed towards the next higher step or grade. A week is considered to be in effect at 0001 hours on each Sunday.

Employees who are on a Performance Improvement Plan (PIP) at the time of conversion will not be converted into the demonstration project until successful completion of that PIP. (Employees who successfully complete the PIP will be bought in as of the effective date of the successful completion of the PIP, and their base salary will be calculated as of the original implementation date.)

All employees will be eligible for the future locality pay increases of their geographic area.

When initial transition into the demonstration project is accompanied by a simultaneous geographic move, the employee's GS pay entitlements (including any locality or special rate) in the new area will be determined before converting the employee's pay to the demonstration project pay system. A full locality adjustment will then be added to the new basic pay rate.

An automated tool will be provided by the Program Office to facilitate the calculation of the new salary and the generation of the personnel action to move employees into the demonstration project. An official personnel action documenting the employee's reassignment will contain the remark, "Pay adjustment upon reassignment to the Acquisition Workforce Demonstration Project." This conversion process, i.e., "buy-in", is applicable to employees at the initial entry of their organization into the demonstration project in accordance with their approved implementation plan.

2.3.1 Step Increases. In the case of a step increase buy-in, the amount is computed by summing the product of the step increase for the employee's current grade and ratio of employee's time in step to nominal time between steps to the current salary for the individual employee's grade and step.

New salary = (time in step/time between steps) * step increase + current salary

For example, a contracting officer entering the demonstration is a GS-12/step 4. The nominal time between steps 4 and 5 is 104 weeks. Assuming that at implementation the employee has earned 90/104ths of a WGI, this employee's new salary will include the GS-12/step 4 base rate of \$49,760 plus 90/104 of the \$1,508 WGI, for a new base salary of \$51,435 and the employee would be placed in broadband level III. (This example uses calendar year 1999 General Schedule pay rates.)

Similar computation applies for career ladder progression buy-in. If both the step increase and the career ladder buy-in apply, calculate the step increase buy-in first, and then calculate the career ladder buy-in. For employees whose special rate exceeds their locality rate, the pay conversion will be processed first to derive a new rate of basic pay under the demonstration. Then, the WGI/career ladder promotion buy-in adjustment will be added to that new rate. (This processing sequence is significant because it yields a higher rate of basic pay under the demonstration than the reverse sequence would.)

2.3.2 Career Ladder Promotions. A career ladder promotion buy-in may cause an employee's rate of basic pay under the demonstration to exceed the top of the broadband corresponding to the employee's pre-demonstration permanent grade. If the employee's rate of basic pay exceeds the maximum rate of basic pay for the broadband level corresponding to the employee's GS grade, the employee will remain at that broadband level and will receive a retained rate.

For employees on career ladder positions no within-grade increase (WGI) equity adjustment will be made if the employee's pay is adjusted for a promotion that would be effective before the next scheduled WGI.

Career Ladder Example #1: An employee was promoted to a GS-801-5/8 on 01/12/98 and his/her next promotion is due on 01/12/99. He/She would have to complete three years in order to receive the step 9. The employee is converted into the demonstration project on 01/15/99. This person's pay will be set equivalent to the GS-7/3 salary rate and placed into the demonstration project in the Business Management and Technical Management Professional career path, Band Level II. They will not receive a prorated share (one-year) towards the step 9. See Federal Register, Section VIII A.

Career Ladder Example #2: Example Assumptions - career ladder promotion to GS-5 Step 2 is 07/12/98, project implementation 01/12/99, next career ladder promotion to GS-7 will be 07/12/99, WGI to step 3 is 07/12/99.

Step 1: Since the WGI (Step 2 to Step 3) is concurrent with the career ladder promotion, do a WGI adjustment first.

New Salary = (time in step / time between steps) * Step Increase + Adjusted Base Salary
 $\$20,968 = 26/52 * \$666 + \$20,635$.

Step 2: Do a career ladder promotion adjustment.

New Salary = (time in grade / time between promotions) * Promotion Increase + Adjusted Base Salary
 $\$23,018 = 26/52 * \$4,099$ (GS-7/1 \$24,734 – GS-5/2 \$20,635) + \$20,968 (adjusted base salary from Step 1)

2.3.3 Special Salary Rates. Special salary rates are not applicable to demonstration project employees. Employees on special salary rates at the time of transition into the demonstration will receive a new basic pay rate. A step-by-step process of converting a special salary rate employee into the demonstration project follows:

Step 1. $\$50,000$ (current special salary rate) / 1.0727 (use current locality percentage for the appropriate area) = $\$46,611$ (new base salary)

Step 2. $\$46,611$ (new base salary) + $\$800.00$ (prorated share of within grade increase based on GS Pay Tables for all of US) = $\$47,411$ (new demonstration base salary)

Step 3. $\$47,411$ (new demonstration base salary) + $\$3,447$ (1.0727 locality adjustment) = $\$50,858$ (total adjusted demonstration salary).

2.3.4 Grade and/or Pay Retention. An employee on retained pay whose salary exceeds the maximum pay of the broadband level (as determined by the employee's grade) is not eligible for a buy-in adjustment. Such an employee's rate of pay remains the same under the demonstration project as it was previously.

Employees on retained grade at the time of conversion into the demonstration project will receive a "buy-in" for their within grade increase provided they would have received a WGI prior to expiration of their retained grade. Their salary will then be set at that rate in the broadband for their position of record. Employees whose pay exceeds the top rate of the broadband will have their pay retained. Employees on grade retention at the time of conversion into the demonstration project who would not receive a WGI prior to expiration of their grade retention will not receive a buy-in for their WGI. Their salary will be set at the rate in the broadband for their position of record. Employees whose pay exceeds the top rate of the broadband will have their pay retained.

Chapter 3 - CLASSIFICATION SYSTEM

3.1 Introduction. The demonstration provides managers, at the lowest practical level, the authority, control, and flexibility they need in personnel processes and functions to achieve quality acquisition processes and products. This project provides a system that retains, recognizes, and rewards employees for their contribution and supports their personal and professional growth.

3.2 Career Paths and Broadband Levels. A broadband classification and pay system replaces the current General Schedule (GS) structure. The 15 grades of the General Schedule were used to classify positions and, therefore, to set pay. Under the demonstration, GS grading criteria will no longer be used to classify positions. The salary range for a given broadband level of a career path corresponds to the General Schedule rates of basic pay for the grades that a particular broadband level encompasses. Special salary rates do not apply in the demonstration project.

Occupations with similar characteristics are grouped together into three career paths. Appendix A identifies the occupational series within each of the three career paths. Each career path consists of a number of broadband levels representing the phases of career progression that are typical for the respective career path. The broadband levels within each career path are shown in Figure 1, along with their GS equivalents. Appendix B provides definitions for each of the career paths and the corresponding broadband levels within them. Broadband levels are designed to facilitate pay progression and allow competitive recruitment of quality candidates at differing rates. Movement within the broadband levels is based upon contribution, in conjunction with the Contribution-based Compensation and Appraisal System (CCAS).

As indicated in Figure 1 below, there are four broadband levels in the demonstration project, (labeled I, II, III, and IV) for two career paths: Business Management and Technical Management Professional, which encompasses GS-1 through -15; and Technical Management Support, which includes GS-1 through -13. There are three broadband levels for the Administrative Support career path, which includes GS-1 through -10. Comparison to the GS grades' rates of basic pay is used in setting the upper and lower dollar limits of the broadband levels. The pay plan designator for career path Business Management and Technical Management Professional is NH; for Technical Management Support, the pay plan is NJ; and for Administrative Support, the pay plan is NK.

The GS grades banded in a given broadband level define the minimum and maximum rates of basic pay for that broadband level. No employee in a level will be paid less than the rate of basic pay of Step 1 of the lowest grade in their level, nor more than that of Step 10 of the highest grade in their level, unless that employee is on retained pay or otherwise excepted. Since these minimums and maximums are based upon the GS pay scale, they change annually commensurate with the General Schedule pay adjustment.

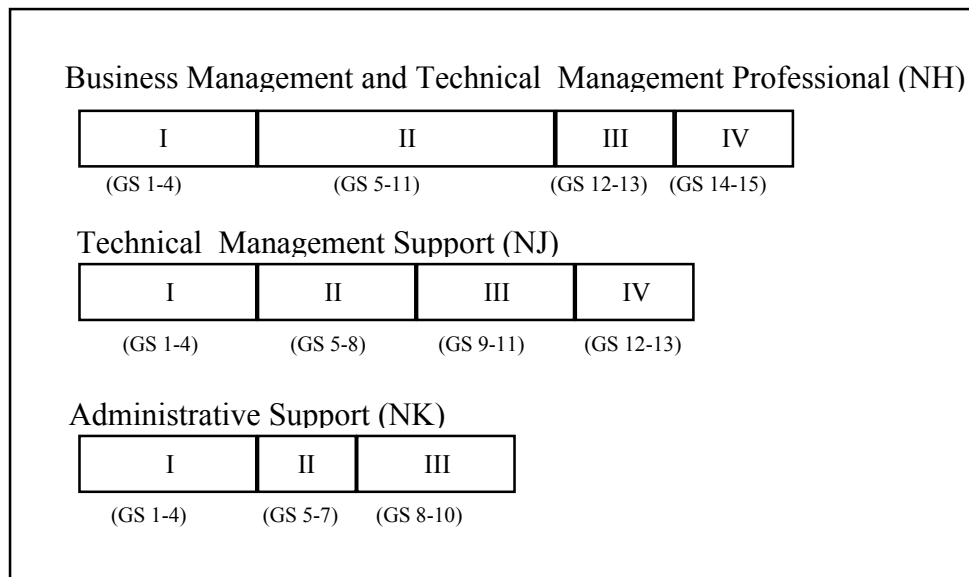


Figure 1. Career Paths and Broadband Levels
(GS references represent salary ranges)

3.3 Classification Process

3.3.1 Classification Authority. Under the demonstration project, commanders or equivalent have delegated classification authority and may re-delegate this authority to subordinate management levels. Re-delegated classification approval must be exercised at least one management level above the first-level supervisor of the position under review (except in the case of those employees reporting directly to the commander or equivalent).

3.3.2 First-Level Supervisors. First-level supervisors are responsible for determining position requirements, preparing the Position Requirements Document (PRD) (see Section 3.3.5), and providing classification recommendations to the classification authority. Supervisors must ensure that the principles of sound position management are followed.

3.3.3 Civilian Personnel Specialists. Personnel specialists provide on-going consultation and guidance to managers and supervisors throughout the classification process.

3.3.4 Classification Criteria. OPM classification standards are used for identification of proper series and occupational titles. The CCAS broadband level descriptors, as aligned into the three career paths, are used to determine broadband levels. These descriptors are based on the OPM Primary Classification Standard and eliminate the need for the use of any other grading criteria. The career path, broadband level factors, and descriptors constitute the only grading criteria for positions within the demonstration project. Responsibilities inherent in supervisory positions may be considered as part of the factor for Leadership/Supervision (e.g., responsibility for adherence to the principles of equal employment opportunity, merit principles, and the provisions of applicable collective bargaining agreements). The broadband level factors and descriptors are located at Appendix C.

In determining whether a position should be titled as supervisory, the duties and responsibilities will meet the minimum criteria outlined in the statement of coverage for positions under the General Schedule Supervisory Guide (GSSG). Furthermore, when determining whether a position should be titled as a team leader, the duties and responsibilities will meet the criteria outlined in the statement of coverage for positions under the General Schedule Leader Grade Evaluation Guide, Parts I and II.

3.3.5 Position Requirements Document (PRD). Under the demonstration project, a position requirements document (PRD) must be developed and approved whenever there is any change in occupational series; title; career path; broadband level; or knowledge, skills, and abilities (KSAs). Civilian personnel specialists should be contacted to determine if the change requires documentation through an official personnel action. Under the demonstration project's classification system, a new position requirements document (PRD) replaces the current agency-developed position description form. The PRD combines the position information, staffing requirements, and contribution expectations into a single document. The new PRD includes a description of job-specific information, the CCAS broadband level descriptors for the assigned career path broadband level, and provides other information pertinent to the job. Supervisors may use a computer-assisted process to produce the PRD as described in Appendix H. The objectives in developing the new PRD are to: (a) simplify the descriptions and the preparation process through automation, (b) provide more flexibility in work assignments, and (c) provide a more useful tool for other functions of personnel management, e.g., recruitment, assessment of contribution, employee development, and reduction in force. Each PRD will have an identifying number, which is assigned to be consistent with each service's practices and procedures. For positions having identical requirements, a standardized PRD may be developed and assigned the same identifying number.

Position builds should include acquisition-specific position data elements in order to facilitate the new position requirements documentation. In accordance with 10 U.S.C.1733 and 1737, PRDs for DAWIA-coded positions must include specific acquisition statements, which are included as part of the modified COREDOC system.

The PRD will be signed and certified for documented use in the contribution-based compensation and appraisal system by the commander (or the manager to whom the commander has delegated authority), and the first-level supervisor of the position. A copy will be provided to the employee. A copy will also be maintained with the supervisor's records of the employee. The original PRD will be maintained in accordance with locally established procedures.

The Position Requirements Document includes:

- (1) Appropriate title, occupational series, career path (pay plan), and broadband level;
- (2) Mission/purpose;
- (3) The CCAS factors, discriminators, and descriptors relevant to the classification of the position;

- (4) Skills required;
- (5) Selective requirements, i.e., security clearance, license, critical acquisition position, etc.;
- (6) Duties; and
- (7) Knowledge, skills, and abilities (KSAs) for qualification purposes.

3.3.6 Fair Labor Standards Act (FLSA). Fair Labor Standards Act exemption or non-exemption determinations are consistent with criteria found in 5 CFR (Code of Federal Regulations) Part 551. The generic position requirements documents will not be the sole basis for the FLSA determination. Each position is evaluated on a case-by-case basis by comparing the duties and responsibilities assigned, the career path broadband level descriptors for each broadband level, and the 5 CFR Part 551 FLSA criteria. The final review of the FLSA status will be made by the servicing civilian Human Resource Office. It is recommended that the Human Resource Office review the FLSA status following the annual CCAS payout and upon promotion.

3.3.7 Classification Appeals. An employee may appeal the occupational series, title, or broadband level of his or her position at any time. An employee must formally raise the areas of concern to his/her immediate supervisor, either orally or in writing. If an employee is not satisfied with the supervisory response, he or she may then appeal to the DoD appellate level. Formal appeals must contain information as required by DoDM 1400.25M, Subchapter 511. If an employee is not satisfied with the DoD response, he or she may then appeal to the Office of Personnel Management only after DoD has rendered a decision under the provisions of this demonstration project. Appellate decisions from OPM are final and binding on all administrative, certifying, payrolls, disbursing, and accounting officials of the Government. Time periods for case processing under 5 CFR 511.605 applies.

An employee may not appeal the accuracy of the position requirements document, the demonstration project classification criteria, or the pay-setting criteria; the propriety of a salary schedule; or matters grievable under an administrative or negotiated grievance procedure or an alternative dispute resolution procedure.

The evaluations of classification appeals under this demonstration project are based upon the demonstration project classification criteria. Case files are forwarded for adjudication through the servicing Human Resource Office.



ACQUISITION,
TECHNOLOGY
AND LOGISTICS

OFFICE OF THE UNDER SECRETARY OF DEFENSE

3000 DEFENSE PENTAGON
WASHINGTON, DC 20301-3000

JAN 03 2013

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: AcqDemo Memorandum (AM) 13-01 – Suspension of Use of the AcqDemo Extended Probationary Period Provision

- References:
- (a) Federal Register Notice (FRN), 64 FR 1426, January 8, 1999, as amended, Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo); Department of Defense (DoD); Notice
 - (b) DoD Civilian Acquisition Workforce Personnel Demonstration Project Operating Procedures (OP), Section 4.1.9, May 15, 2003
 - (c) *Van Wersch v. Department of Health and Human Services*, 197 F.3d 1144 (Fed. Cir. 1999)
 - (d) *McCormick v. Department of the Air Force*, 307 F.3d 1339 (Fed. Cir. 2002)
 - (e) *Navigating the Probationary Period after Van Wersch and McCormick*, A Report to the President and the Congress of the United States by the U.S. Merit Systems Protection Board, September 2006

Purpose. AM 13-01 announces the suspension of the use of the AcqDemo Extended Probationary Period as described in References (a) and (b).

Effective Date. This AM is effective immediately as an augmentation to Reference (b), and will expire upon incorporation of additional waivers to title 5 United States Code (U.S.C.) and title 5 Code of Federal Regulations (CFR) into a FRN amending reference (a) and into a follow-on revision to Reference (b). Please ensure the widest dissemination possible to all AcqDemo organizations.

Background. The AcqDemo FRN contains a provision for the extension of the standard one-year probationary period for all non-status newly-hired employees in the Business Management and Technical Management Professional career path equal to the length of any educational/training assignment that places the employee outside normal supervisory review. Waivers to 5 CFR Part 315, Sections 315.801 Probationary period; when required, and 315.802 Length of probationary period; crediting service, were included in Reference (a) in order to have this extended probationary period with provisions to terminate those probationers with performance or conduct problems more expeditiously than provided by full procedural and appeal rights.

Since Reference (a) was published, the United States Court of Appeals for the Federal Circuit decided two cases, *Van Wersch v. Department of Health & Human Services*, 197 F.3d 1144 (Fed. Cir. 1999) Reference (c), and *McCormick v. Department of the Air Force*, 307 F.3d 1339 (Fed. Cir. 2002) Reference (d). The court's decisions in these two cases have changed the way in which Federal Agencies have traditionally determined entitlement to full procedural and

appeal rights if an individual is subject to an adverse action to include probationers, who in the past, would have had only limited procedural and appeal rights (Reference (e)).

In light of the new interpretation, additional waivers to title 5 U.S.C. and title 5 CFR must be added to Reference (a) in order to permit terminations, except for those individuals with veterans' preference, during AcqDemo extended probationary periods. These waivers would be to:

a. 5 U.S.C. Chapter 75—Adverse Actions, section 7501(1) Definitions and sections 7511(a)(1)(A)(ii) and 7511(a)(1)(C)(ii) Definitions; application.

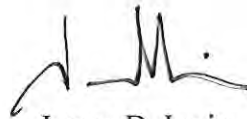
b. 5 CFR, Part 752—Adverse Actions, sections 752.101, 752.201, 752.301, and 752.401: Principal statutory requirements and Regulatory Requirements.

Guidance. It is AcqDemo Program Office guidance that until Reference (a) can be amended for:

a. Initial probationary periods for all new hires of non-status candidates to the Business Management and Technical Management Professional, code NH career path: The probationary period will be the standard one-year probationary period described in 5 CFR Part 315, Subpart H—Probation on Initial Appointment to a Competitive Position.

b. Individuals in the Business Management and Technical Management Professional, code NH career path currently serving an initial probationary period: The probationary period and any extensions assigned may be completed. However, a caution that a proposed termination of a probationary employee who has completed one year of current continuous employment in the same or similar positions other than a temporary appointment limited to one year or less may need to be processed under full adverse action procedural and appeal rights.

Point of Contact. Questions concerning this policy should be directed to Darryl Burgan, Deputy AcqDemo Program Director, at Darryl.burgan@dau.mil or by phone at 703-805-3327.



James D. Irwin
AcqDemo Program Director

DISTRIBUTION:

1-OUSD (AT&L), HCI Director

1-AcqDemo Executive Council Members

Chapter 4 – RECRUITMENT AND PLACEMENT

4.1 Introduction. Managers must have a flexible hiring system to deal with population and economic changes. They must be given the ability and authority to reduce, restructure, or renew the workforce quickly to meet diverse mission needs. These managers must have the ability to compete with private industry for the best available candidate and make expeditious job offers. Under this demonstration project, competitive examining authority for the hiring and appointment of candidates into permanent and non-permanent positions is delegated to the Components, which may, in turn, re-delegate to lower levels. This authority applies to all demonstration positions except Administrative Law Judges and any positions that require an examining process covered by court order. In order to provide a more streamlined and responsive hiring system, the demonstration project provides for the grouping of eligible candidates into three quality groups using numerical scores, the elimination of consideration according to the rule of three, and the addition of a Scholastic Achievement Appointment Authority.

Management retains the ability to determine the best methods of recruitment to best meet mission needs. All other recruitment sources remain available in addition to the recruitment flexibilities stated herein.

4.1.1 Reorganization/Realignment. When a demonstration project acquisition organization (e.g., a Program Executive Office, a Designated Acquisition Command, or equivalent and their subordinate Program Management Offices) is undergoing an announced formal reorganization or realignment associated with downsizing, a Priority Placement Program exception request to permit reassignment or change to lower broadband or grade of the affected employees to the resulting, new organization (without regard to geographic location) may be submitted directly to the DASD(CPP) for consideration. Normally, major exceptions are submitted through the command or management structure of the organization for review and approval/disapproval by the DASD (CPP). This procedural exception will ensure that all such requests are expedited. Each request will be reviewed and approved/disapproved on a case-by-case basis.

4.1.2 Priority Placement Program (PPP). The Demonstration Project remains subject to DoD's Priority Placement Program, and OPM's Interagency Career Transition Assistance Program (ICTAP) when applicable. PPP requisitions normally will be submitted at the highest grade reflected in the broadband level. Positions covered by a formal training program (e.g., Interns, Upward Mobility) are requisitioned at the entry level. For the use of the training (TRA) option, refer to the DoD PPP Operations Manual.

4.1.2.1 Support for Participating Acquisition Workforce Employees Subject to Geographic Mobility. Current programs have been enhanced to mitigate the impact of geographic relocation upon acquisition workforce employees participating in the demonstration project. Specifically, when such employees are subject to mandatory geographic mobility outside the commuting area, their spouses who are also currently employed by DoD will be registered as PPP Priority 3 candidates. This initiative affords the spouse an alternative vehicle for employment opportunities. Maximum steps should be taken by participating organizations to inform the workforce of this program's availability.

4.1.3 Rating of Candidates. Minimum qualifications for positions in the demonstration project will be based on criteria described in the OPM Operating Manual, “Qualifications Standards for General Schedule Positions,” and DAWIA requirements, as appropriate. Minimum qualifications are determined based on the lowest equivalent GS grade of the appropriate broadband level. Candidates who meet basic (minimum) qualifications may be further evaluated based on knowledge, skills, and abilities that are directly linked to the position to be filled.

4.1.4 Vacancy Announcements. Determinations of appropriate areas of consideration and length of open periods for receipt of applications will be made by considering the nature of the positions covered by the examination; their career potential; and the characteristics of the labor market.

4.1.5 Appointing Authority. The Acquisition Workforce Demonstration Project will have three appointment options: permanent, temporary limited and modified term appointments. Nothing in this demonstration project precludes the use of existing appointment authorities such as Veterans Readjustment Appointments, Disability Appointments, and Student Educational Employment Program (SEEP). The nature of action codes (NOACs) at Appendix G covers most actions processed by the Demonstration Project; however, other NOACs and remarks in the OPM Operating Manual, “Guide to Processing Personnel Actions,” also may be used under the demonstration project, as appropriate.

4.1.5.1 Permanent. The permanent appointment equates to the existing career and career-conditional appointments.

4.1.5.2 Temporary Limited. Like the existing temporary appointment authority, these appointments are not to exceed one year, but may extend one year with a locally approved extension.

4.1.5.3 Modified Term. The modified term is a new appointment authority that is based on the existing term appointment, but may extend up to five years with a one-year locally approved extension. The one-year extension must be approved by the commander or his designated representative. Reasons for making a modified term appointment include, but are not limited to, carrying out special projects, staffing new or existing programs of limited duration, filling a position in activities undergoing review for reduction or closure, and replacing permanent employees who have been temporarily assigned to another position, are on extended leave, or have entered military service.

4.1.6 Employee Selection Under Modified Term. Selections for modified term appointments will be made under competitive examining processes. An agency may make a modified term appointment from the appropriate register or if the selectee is:

- (a) A person with eligibility for reinstatement;
- (b) Any veteran who is eligible for a Veterans Readjustment Appointment;

(c) A person eligible for career or career-conditional employment under 5 CFR 315.601 through 315.610, inclusive; or under 315.703;

(d) A former term employee of the agency who left prior to the expiration of his/her appointment. Reappointment must be to a position covered by the same term authority under which the individual previously served, and service under such reappointment may not exceed the expiration date of the original term appointment;

(e) A disabled veteran who has been retired from active military service with a disability rating of 30 percent or more, or has been rated by the Department of Veterans Affairs within the preceding year as having a compensable service-connected disability of 30 percent or more;

(f) A person eligible for acquisition of competitive status for career appointment under Title 5 CFR Section 3304. However, a term employee does not acquire a competitive status on the basis of this term appointment; nor does this term appointment extend or terminate the employee's eligibility under 5 CFR Section 3304;

(g) A temporary employee who is within reach for term appointment to the same position from an appropriate register at the time of his/her temporary appointment, or during subsequent service in the position, provided that the register was being used for term appointments at the time the employee was reached and he/she has been continuously employed in the position since being reached; or

(h) A person eligible under OPM interchange agreement.

4.1.7 Employee Reassignment. A modified term employee may be reassigned to another modified term position provided the original not-to-exceed date remains the same and the employee meets the OPM Operating Manual qualifications standards for GS positions and applicable DAWIA requirements.

4.1.8 Conversion to Career-Conditional Appointment. Employees hired under the modified term appointment authority are in a non-permanent status but may be eligible for conversion to career-conditional appointments. To be converted, the employee must: (1) have been selected for the term position under competitive procedures, with the announcement specifically stating that the individual(s) selected for the term position(s) may be eligible for conversion to career-conditional appointment at a later date; (2) have served two years of continuous service in the term position; and (3) be selected under merit promotion procedures for the permanent position or be converted to a permanent position in the same broadband level and occupational family as the modified term position.

4.1.9 Probationary Period

4.1.9.1 Introduction. Newly hired employees entering into the Federal workforce for the first time in the Business Management and Technical Management Professional (NH) career path need to demonstrate adequate contribution during the acquisition process. Additional training, which takes the employee away from the normal line of supervision, could minimize the time

available for the supervisor to determine whether the employee should be retained beyond the probationary period. The purpose of extending the probationary period is to allow supervisors sufficient time to properly, objectively, and completely evaluate an employee's contribution and conduct within the acquisition workplace environment. Excluding the extended duration, all other features of the current probationary period are retained, including the potential to remove an employee without providing the full substantive and procedural rights afforded a non-probationary employee. Personnel assigned to modified term appointments are not placed on a probationary period since they serve on a trial period. Employees appointed to the Federal Service prior to the implementation date of the acquisition demonstration project, or who previously successfully completed a probationary period, will not be affected by this provision.

4.1.9.2 New Probationary Period. When a vacancy within the organization is filled via a permanent appointment, the new employee will be assigned to a one-year probationary period, unless the employee has previously met probationary period requirements under 5 CFR 315.801. Service under a modified term appointment, with no break in service before a permanent appointment made under this demonstration project, shall count toward the probationary period requirements, provided that the contribution is adequate and the permanent position is in the same career path as the modified term appointment. The nature of action codes and processing instructions will remain the same.

4.1.9.3 Extended Probationary Period. Only applies to an employee in the Business Management and Technical Management Professional (NH) career path. If at any time during the one-year probationary period, an NH employee is required to attend extensive training and/or educational assignments away from their normal work site and outside the review of their supervisors, the supervisor may, at his/her discretion, extend the probationary period of the employee by the same amount of time as the training or educational assignment. The decision to extend the probationary period will be in writing and made prior to any assignment to training or education, and the employee will be informed in advance. Follow your Component procedures. A sample letter extending the employee's probationary period is in Appendix M.

4.1.9.4 Termination During Probationary Period. When a supervisor determines an employee serving on a probationary period has failed to demonstrate proper conduct, technical competency, and/or adequate contribution for continued employment, that supervisor must consult with his/her servicing Human Resources Office (HRO) to obtain guidance on terminating the employment of the probationary employee prior to the effective date of the probationary period. The information in the notice shall, as a minimum, consist of the supervisor's conclusions as to the inadequacies of the employee's contribution or conduct.

4.1.10 Recruitment, Relocation Bonuses and Retention Allowances. Recruitment, relocation bonuses and retention allowances are available in the demonstration project and should be used to the maximum extent possible to recruit and retain a qualified workforce within budget constraints.

4.2 External Hiring to the Federal Government

4.2.1 Veterans' Preference. Preference eligible meeting basic (minimum) qualifications will receive additional five or ten points (depending on their preference eligibility) which are added to the minimum scores. Pass over/objection procedures apply.

4.2.2 Veterans Readjustment Act (VRA). The Veterans Readjustment Act appointing authority is available to GS-11 equivalent and below positions. Therefore, the VRA appointing authority can be used for all NH II, NJ III and NK III broadband levels and below.

4.2.3 Delegated Examining Authority. The Demonstration Project establishes a streamlined examining process. The Delegated Examining Authority may be used to fill all Demonstration Project positions with the following exceptions: positions in the Senior Executive Service or the Executive Assignment System; Senior Level (ST/SL) positions; Administrative Law Judge positions; and positions subject to any examining process covered by court order.

4.2.4 Delegated Examining Process. An applicant's basic eligibility will be determined using OPM Operating Manual, "Qualifications Standards for General Schedule Positions," and DAWIA requirements, as needed. Minimum eligibility requirements will be those at the lowest equivalent GS grade of the appropriate broadband level.

Managers are responsible for establishing, prior to the recruitment process, the appropriate job-related criteria used to assign the tentative rating scores of 70, 80 or 90. This documentation should include the specific requirements of the position; the knowledge, skills, and abilities used to meet the requirement; and the anchors/benchmarks developed to differentiate between candidates. Considering this assessment, candidates will receive a numerical score of 70, 80 or 90. No intermediate scores will be granted except for those eligible who are entitled to veterans' preference. Preference eligible meeting basic (minimum) qualifications will receive five or ten additional points (depending on their preference eligibility) which are added to the minimum scores identified above. The name of preference eligible will be entered ahead of others having the same numerical score.

4.2.5 Quality Groups. Candidates will be assigned to quality groups based on their final scores. Candidates will be placed in one of three quality groups: basically qualified (score of 70 to 79); highly qualified (score of 80 to 89); or superior (score of 90 and above). The names of preference eligible will be entered on the referral list ahead of others having the same numerical score, and their veterans' preference will be annotated.

4.2.6 Candidate Referral and Selection. Candidates will be referred for selection in accordance with the following: For all positions other than scientific/engineering and professional positions at the basic rate of pay equivalent to GS-9 and above, preference eligible with a compensable service-connected disability of ten percent or more who meet basic (minimum) eligibility will be listed at the top of the highest group certified. For scientific/engineering and professional positions at the basic rate of pay equivalent to the GS-9 and above, candidates will be referred by quality groups in the order of the numerical ratings, including any veterans' preference points.

All candidates in the highest group will be certified. If there is an insufficient number of candidates in the highest group, candidates in the next lower group may then be certified; should this process not yield a sufficient number, groups will be certified sequentially until a selection is made or the qualified pool is exhausted. When two or more groups are certified, candidates will be identified by quality group (e.g., superior, highly qualified, basically qualified) in the order of their numerical scores.

Consideration according to the rule of three has been eliminated. Passing over any preference eligible(s) to select a non-preference eligible requires approval under current pass over or objection procedures.

4.2.7 Scholastic Achievement Authority. This authority allows for the appointment of candidates with degrees to positions in broadband level II with positive education requirements. Candidates may be appointed under this procedure providing: (1) they meet the OPM Operating Manual, “Qualifications Standards for General Schedule Positions,” and DAWIA requirements, plus any previously established selective placement factors; (2) the occupation has a positive education requirement; (3) the candidate has a cumulative grade point average (GPA) of 3.5 or better (on a 4.0 scale) in those courses in those fields of study that are specified in the qualification standards for the occupational series and an overall undergraduate GPA of at least 3.0 on a 4.0 scale; and (4) the appointment is into a position at a pay level lower than the top step of GS-7. Appointments at the equivalent of GS-9 through GS-11 have a GPA requirement of at least 3.7 on a scale of 4.0 for graduate courses in the field of study required for the occupation.

4.2.8 Candidate Responses and Referral. Candidates will be required to respond to an announcement in order to compete for appointments made under this authority.

Candidates who meet the basic eligibility requirements and who possess the above scholastic criteria may be referred to the manager in a single group for consideration and in order of their veterans’ preference, if applicable.

4.3 Internal Placement of Federal Employees

4.3.1 Introduction. The Demonstration Project is designed to provide employees and management maximum flexibility concerning work assignments. In many cases an employee can be assigned, without pay change, within broad descriptions, and, at the same time, consistent with the needs of the organization and commensurate with the individual's qualifications. Subsequent organizational assignments to projects, tasks, or functions requiring the same level, area of expertise, and qualifications do not constitute an assignment outside the scope or coverage of the current level descriptors. In most cases, such assignments are within the level descriptors and can be accomplished without the need to process a personnel action. Assignment resulting in series change, broadband level change, or change to KSAs shall be accomplished by an official personnel action. Thus, this approach allows broader latitude in organizational assignments and streamlines the administrative process. In addition to hiring external candidates, Merit Promotion procedures may be used to hire, reassign and promote current Federal government employees and those with reinstatement eligibility or Veterans Employment Opportunity Act (VEOA) eligibility in the demonstration project. Supervisors should consult

with their servicing personnel staff when considering any action described in this chapter. Each servicing Human Resources Office will follow its local Merit Promotion plan and any applicable union agreements and locally approved policies for internal placement in the demonstration project. Exceptions to competition are discussed in Section 4.3.2.5.

4.3.2 Merit Promotion: Any Federal Employee Not in Acquisition Demonstration. Selection to a broadband level with a higher maximum rate of pay than the employee's current position or previously held on a permanent basis, is normally a competitive action.

4.3.2.1 Merit Promotion: DoD Employee Within the Acquisition Demonstration. Selection of an employee to a higher broadband level within the same career path (e.g., NK I to NK II) or a different career path and level in which the new broadband level has a higher maximum rate than a broadband level from which the employee currently holds (e.g., NK II to NH II) is normally a competitive action.

4.3.2.2 Determining Basic Requirements. Basic eligibility requirements are determined by the Office of Personnel Management's Operation Manual for Qualifications Standards and DAWIA requirements, as applicable. Agencies need to identify on their vacancy announcements the type and level of experience and or education required to perform the work of the position being filled and/or define any selective placement factors to be considered when filling a position. The time-in-grade restriction is not applicable under this demonstration project. Quality of experience is defined as one year at the next lower broadband level or equivalent career path; or one grade level lower than the entry grade level to the broadband level of the positions being filled or a combination. Quality of experience must be defined when considering employees from other pay systems. For examples, a broadband level II employee would be basically qualified for a position in broadband level III provided they met the one year of specialized experience or a GS employee would be basically qualified for a position in broadband level III provided they met the one year of specialized experience at the GS-11 level.

4.3.2.3 Reassignment Within the Demonstration Project. Employees may receive a lateral reassignment throughout a broadband level. This includes movement to a new occupational series or to another position in the same series. No salary increase will be received by the employee. An Official Personnel Action will be required to document the reassignment. The Priority Placement Program may or may not be applicable to the personnel action.

4.3.2.4 Change in Assignment Within the Demonstration Project. Employees may receive a change in assignment without processing an Official Personnel Action, unless it results in a change to series, broadband level, or KSAs. No salary increase will be received by the employee.

4.3.2.5 Exceptions to Competition: The following actions are exceptions to competitive procedures:

(a) Re-promotion to a position having the same broadband level as the employee previously held on a permanent basis within the competitive service.

(b) A general schedule (GS) employee entering a broadband which includes his/her present series/grade or a series/grade previously held (e.g., GS-343-12 may enter career path NH, broadband level III without competition, since the GS grade is encompassed in the broadband). The process is the same as movement upon initial mass conversion into the Demonstration Project.

(c) Promotion, reassignment, change to a lower broadband level, transfer, or reinstatement to a position having promotion potential no greater than the potential of a position an employee currently holds or previously held on a permanent basis in the competitive service.

(d) A position change permitted by demonstration project reduction-in-force procedures.

(e) Promotion without current competition when the employee was appointed through competitive procedures to a position with a documented career ladder (upward mobility, interns, etc.).

(f) A temporary promotion or detail to a position in a higher broadband level for up to 120 days.

(g) Consideration of a candidate not given proper consideration in a prior competitive promotion action under the demonstration project.

(h) Conversion of an employee from a modified term appointment to a permanent appointment in the same broadband level and occupational family as the modified term position.

(i) Addition of Supervisory duties within the assigned broadband level.

(j) Any other non-competitive action as determined by the Components.



OFFICE OF THE UNDER SECRETARY OF DEFENSE

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ACQUISITION,
TECHNOLOGY
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March 28, 2013

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: AcqDemo Memorandum (AM) 13-04 – Retained Pay Entitlement Upon Promotion

- References:
- (a) Federal Register Notice (FRN), 64 FR 1426, January 8, 1999, as amended, Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo); Department of Defense (DoD)
 - (b) Title 5 United States Code (U.S.C.) Chapter 53, Sections 5301; 5302 (8) and (9); 5303 – 5305; 5331 – 5336; and 5363 as waived by Reference (a)
 - (c) Title 5 Code of Federal Regulations (CFR) Part 530 Subpart C: Special Salary Rates; Part 531, Subparts B, D, and E: “Determining rate of pay; within-grade increases and quality step increases; Part 531 Subpart F: Locality Payments; and Part 536: Grade and Pay Retention as waived by Reference (a)
 - (d) The Workforce Flexibility Act of 2004, Section 301(Public Law 108-411, October 30, 2004
 - (e) Federal Register Notice, Volume 70, No. 103, May 31, 2005, pages 31278 – 31315
 - (f) DoD Civilian Acquisition Workforce Personnel Demonstration Project Operating Procedures (OP), Section 5.3, May 15, 2003

Purpose. AM 13-04 provides guidance, consolidated from References (a), (b), (c), (d), and (e), to assist in re-determining an AcqDemo employee’s retained pay entitlement when promoted to a position in a higher AcqDemo broadband level than that of the employee’s current position.

Effective Date. This AM is effective immediately as an augmentation to Reference (f), and will expire upon incorporation into an upcoming revision of Reference (f). Please ensure the widest dissemination possible to all AcqDemo organizations.

Background.

a. When the AcqDemo Project Plan, Reference (a), was first constructed, waivers to various sections of title 5 U.S.C. Chapter 53, Reference (b), and to a number of associated parts and subparts of title 5 CFR, Reference (c), were included to afford the ability to develop new compensation methodology that better fit the AcqDemo Project. These waivers facilitated the flexibility to determine rates of base pay; the elimination of special salary rates, grade retention, within-grade increases, quality step increases, and promotions within a broadband level; and the continuation of coverage for AcqDemo employees of current title 5 U.S.C. and title 5 CFR valued provisions albeit they may have slight modifications to accommodate the AcqDemo or

they may be changed through legislation or by OPM. The latter is the situation with the pay retention regulations as they were not waived in their entirety in the initial AcqDemo Project Plan, Reference (a); and AcqDemo is subject to compliance with title 5 law changes not covered by a waiver.

b. The AcqDemo broadbands were designed to encompass the base pay (excluding locality pay) of two or more General Schedule (GS) grades. This eliminated the GS structure of 10 steps per grade, thus affecting the use of the GS two-step promotion rule to determine a new AcqDemo base pay (excluding locality pay) upon promotion. An AcqDemo alternative method was provided in Reference (a), Section III.E.1(a) Competitive, Non-competitive, and Temporary Promotions, whereby “When an employee receiving a retained rate is promoted to a higher broadband level, at a minimum, the employee’s salary [base pay] upon promotion will be set in the higher broadband level (1) at six percent higher than the maximum rate of the employee’s existing broadband level; or (2) at the employee’s existing retained rate, whichever is greater.” Locality pay was then added to the new base pay or the existing retained rate.

c. With the passage of Reference (d), locality pay ceased to be payable on top of a retained rate effective May 1, 2005. The new retained rate equals the employee’s former base pay including any locality payment and is treated as an employee’s payable rate of base pay for a number of situations as described in 5 CFR 536.307. An eligible employee would be entitled to a retained rate if his or her payable rate of base pay (including any locality payment, but after geographic conversion) exceeds the maximum rate of the highest applicable rate range for the new position or geographic area.

Guidance.

a. A recent query to the Program Office revealed that there may be confusion on how retained rate determinations are made upon promotion to a higher broadband level than currently held. To clarify how the above legislative and Federal Register Notice changes have impacted continued retained pay status when AcqDemo employees on retained pay are promoted, the following steps should be followed:

1. Calculate the AcqDemo promotion base pay increase in accordance with the FRN provisions. The appropriate locality pay is added to the calculated promotion base pay to determine the employee’s payable rate of base pay. If the payable rate of base pay is equal to or greater than the retained rate, the payable rate of base pay is converted to the employee’s new AcqDemo base pay rate and appropriate locality pay and retained pay terminates.

2. If the pre-existing retained rate is greater than the payable rate of base pay *and exceeds* the maximum rate of the highest applicable rate range for the new position, the employee continues to be entitled to the existing retained rate. Under AcqDemo, the maximum rate of the highest applicable rate range would be that rate in the appropriate locality pay table for the employee’s official duty station and the highest General Schedule grade included in the broadband of the new position.

3. If the pre-existing retained rate is greater than the payable rate of base pay *but is less* than the maximum rate of the highest applicable rate range for the new position, the pre-existing retained rate is converted to the employee's new AcqDemo base pay rate and appropriate locality pay and retained pay terminates.

b. Components are strongly encouraged to review those promotion actions involving retained pay that were effective prior to the date of this AcqDemo Memorandum to determine if the maximum rate of the highest applicable rate range was used in determining future retained pay entitlements and take corrective action as appropriate.

Point of Contact. Questions concerning this policy should be directed to Darryl Burgan, Deputy AcqDemo Program Director, at Darryl.burgan@dau.mil or by phone at 703-805-5050.



James D. Irwin
AcqDemo Program Director

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MEMORANDUM FOR SEE DISTRIBUTION

OCT 21 2014

SUBJECT: **Change 2** to AcqDemo Memorandum (AM) 14-02 – Pay Setting for New Hires, Reinstatement Eligibles, and Non-AcqDemo Federal Employees Entering AcqDemo through Actions Other than Conversion and Associated Changes, **dated Jul 30, 2014**

References: (a) Federal Register Notice (FRN), 64 FR 1426, January 8, 1999, as amended, Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo); Department of Defense (DoD)
(b) DoD Civilian Acquisition Workforce Personnel Demonstration Project Operating Procedures (OP) dated May 15, 2003

Purpose. AM 14-02 issues new pay setting policy for New Hires, Reinstatement Eligibles, and non-AcqDemo Federal employees entering the demonstration project through actions other than conversion and addresses associated provisions. These changes are implemented under the provisions of References (a) and (b). **Change 2 clarifies and expands the guidance found in References (a) and (b) regarding additional pay setting options when Federal civilian employees enter AcqDemo through a permanent lateral transfer, reassignment, or realignment. The Change 2 additions are shown in red text. Change 1 modifications have been incorporated into this memorandum.**

Effective Date. This AM is effective June 1, 2014 except for hiring actions where a tentative offer letter was issued prior to the AM effective date. **Change 2 is effective immediately.** This AM is an augmentation to Reference (b), and will expire upon incorporation into an upcoming revision of Reference (b). Until its expiration, place this AM in front of Chapter **6 5** of Reference (b). Please ensure the widest dissemination possible to all AcqDemo organizations.

Background.

a. On May 22, 2011 approximately 13,000 DoD employees, formerly under the National Security Personnel System, converted to the DoD AcqDemo. Since that conversion, the AcqDemo workforce has grown to over 16,000 employees located within the Department of the Navy, Marine Corps, Department of the Air Force, Department of the Army, DoD agencies, and Joint Services. As a result of this growth and the differences between organizations implementing the AcqDemo pay setting guidance found in the AcqDemo Operating Procedures (OP) of May 15, 2003, Section 5.2, the AcqDemo Executive Council raised concerns about inconsistencies in application of pay setting particularly for promotions of non-AcqDemo Federal employees into AcqDemo positions. In addition, the guidance

lacked needed specificity on pay setting for reinstatement eligible candidates and for selectees hired from Federal pay systems other than the General Schedule.

b. Section 5.2, third paragraph provides: “Pay may be set at any rate encompassed by the broadband level for employees who enter the project by means other than lateral transfer, reassignment, or realignment. Competition is normally required to set pay at a higher rate than the buy-in.” In implementing this provision, some components did not provide promotion pay increases and others provided increases in varying amounts for non-AcqDemo Federal employees promoted into AcqDemo.

c. An assessment of the previously established pay-setting processes and procedures identified several modifications needed to the promotion pay-setting guidance and other pay setting provisions. During this study, contact was made with Defense Civilian Personnel Advisory Services staff, the Office of Personnel Management (OPM) Demonstration Project Liaison, and OPM Pay Policy Staff, all of whom provided suggestions, recommendations, and points to clarify. This feedback, as well as AcqDemo Executive Council participation, resulted in the revisions identified below.

Revised pay-setting guidance, processes, and procedures to be incorporated into the AcqDemo OP dated May 15, 2003, Chapter 5, Pay Administration, Section 5.2:

5.2 Movement into AcqDemo by New Hires, Reinstatement Eligibles, and Current Non-AcqDemo Federal Employees

5.2.1 New Hires and Reinstatement Eligibles

5.2.1.1 New Hires.

5.2.1.1.1 Definition. New hires are defined as selectees who are receiving their first appointment to a position as a civilian employee within the Federal Government.

5.2.1.1.2 Pay Setting. For new hires, initial base pay will be set within the base pay range for the broadband level of the position for which hired at a level consistent with the individual’s qualifications and the level of work and contribution expected for the position at the time of hire. Hiring officials will also determine starting base pay upon available labor market considerations relative to special qualifications requirements, scarcity of qualified applicants, programmatic urgency, and education/experience of new selectees.

5.2.1.1.3 Approvals. Hiring officials, depending upon their organization’s guidance, may approve or recommend base pay increases within a range of zero percent to a 10 percent increase over a selectee’s current salary. Recommended increases up to a 10 percent increase and recommended increases above 10 percent not to exceed the maximum base pay for the broadband level must be approved by a designated management official at least one level above the recommending official.

5.2.1.2 Reinstatement Eligibles.

5.2.1.2.1 Definition. Reinstatement eligibility generally allows a former Federal government employee to reenter the Federal competitive service workforce without competing with the public.

5.2.1.2.2 Pay Setting. For reinstatement eligibles, consideration will be given to the various criteria mentioned for new hires as well as the individual's experience and duties in former Federal government positions and base pay. Initial base pay will be set within the base pay range for the broadband level of the position for which hired at a level consistent with the individual's qualifications and the level of work and contribution expected for the position at the time of hire. Hiring officials will also determine starting base pay upon available labor market considerations relative to special qualifications requirements, scarcity of qualified applicants, programmatic urgency, and education/experience of new selectees. The maximum payable rate rule at 5 CFR 531.221 and the AcqDemo organization's policy on its use may provide an appropriate tool for establishing base pay for a reinstatement eligible.

5.2.1.2.3 Approvals. Hiring officials, depending upon their organization's guidance, may approve or recommend base pay increases within a range of zero percent to a 10 percent increase over a selectee's current salary. Recommended increases up to a 10 percent increase and recommended increases above 10 percent not to exceed the maximum base pay for the broadband level for which hired must be approved by a designated management official at least one level above the recommending official.

5.2.2 Non-AcqDemo Federal Civilian Employees Entering the Demonstration Project through Actions other than Conversion. Federal employees entering into the AcqDemo from the General Schedule (GS) or other pay systems not as the result of a conversion will be moved into a career path and broadband level with base pay set in accordance with AcqDemo guidance and reflective of the duties and responsibilities of the AcqDemo position and an individual's qualifications. The maximum payable rate rule at 5 CFR 531.221 and the AcqDemo organization's policy on its use may provide an appropriate tool for establishing base pay in this instance. The move will be described using the appropriate nature of action, e.g., promotion, reassignment, transfer, etc., as provided by the Office of Personnel Management's Guide to Processing Personnel Actions, AcqDemo specified Nature of Action Code (NOAC), and the AcqDemo legal authority, Public Law 111-383.

5.2.2.1 Promotion

5.2.2.1.1 Definition. A promotion occurs when a non-AcqDemo Federal employee is selected under competitive or merit promotion procedures for an AcqDemo position in a broadband level with a higher maximum base pay than that of the position currently held or previously held on a permanent basis in the competitive service.

5.2.2.1.2 Pay Setting. A promotion base pay increase within a range of zero percent to 20 percent of the selectee's current base pay will be set at a level consistent with the individual's

qualifications and the level, complexity, and scope of work and contribution expected for the position for which hired. However, if the minimum rate of the selectee's new broadband level is more than 20 percent greater than the selectee's current base pay, then the minimum rate of the new broadband level is the new base pay. The maximum payable rate rule at 5 CFR 531.221 and the AcqDemo organization's policy on its use may provide an appropriate tool for establishing base pay for a promotion. The employee's base pay shall not exceed the base pay range of the new broadband level.

5.2.2.1.3 Approvals. Recommended increases up to a 10 percent increase and recommended increases above 10 percent up to a 20 percent increase will be approved by a designated management official at least one level above the recommending official. If an increase of more than 20 percent is needed to reach the minimum base pay rate of the new broadband level, the minimum base pay rate becomes the selectee's new base pay.

5.2.2.1.4 Buy-in. No automatic pro-rated within-grade increase or non-competitive promotion pay increase (e.g., imminent career ladder promotion with current employer) buy-in payments are authorized.

5.2.3 GS Employees Receiving Permanent Lateral Transfers, Reassignments, and Realignment.

5.2.3.1 Eligible for Buy-in. Individual GS employees who enter the project voluntarily by permanent lateral transfer, reassignment, or realignment will be subject to the same pay setting rules as those GS employees entering the demonstration project upon initial conversion of their organization. These rules provide an adjustment to an employee's base pay for WGIs and or non-competitive career ladder promotions if eligibility requirements are met. (Refer to 64 FR 1483, Section V, Conversion, Paragraph A, Conversion to the Demonstration Project, page 1483 and AcqDemo OP, Chapter 2, Section 2.3, Employee Buy-in). An automated tool is provided by the AcqDemo Program Office at <http://acqdemo.dau.mil/tools.html> to facilitate the calculation of the new broadband base pay for GS employees. The employee's base pay shall not exceed the base pay range of the new broadband level.

5.2.3.2 Ineligible for Buy-in. Examples of situations where GS employees would not be eligible for a WGI or a Career Ladder Promotion Buy-in are **discussed below**.

5.2.3.2.1 WGI Buy-in. GS employees who are at the 10th step of their grade; employees on retained pay whose adjusted base pay exceeds the maximum adjusted base pay of their broadband level; employees on career ladder positions will not be eligible for a WGI Buy-in if their base pay is adjusted for a promotion that would be effective before the next scheduled WGI; and employees on retained grade who would not have received a WGI prior to expiration of their retained grade are ineligible for a WGI buy-in.

5.2.3.2.2 Career Ladder Promotion Buy-in. If a GS employee moving to AcqDemo by lateral transfer, reassignment or realignment receives a promotion within AcqDemo before the

expected date of the career ladder promotion in his/her previous position, the employee would not be eligible for a career ladder buy-in.

5.2.3.2.3 Other Pay Setting Conditions. WGI and or Career Ladder Promotion Buy-ins apply if the movement of a GS employee into AcqDemo provided the equivalent pay setting conditions as if the hire were actually being converted into AcqDemo. If pay is being set under different conditions, the WGI and or Career Ladder Promotion Buy-in provisions would not apply. If the hire is offered and voluntarily accepts a lower base pay than his/her current base pay to take a position within a broadband level that has the same maximum base pay as the GS grade from which he/she is moving, e.g., GS-15 reassigned to NH-IV, or accepts a higher rate of pay resulting from the use of the highest previous rate provision, these would be different conditions as neither method would be used in setting pay for a conversion.

5.2.4 Federal Employees in Pay Systems Other than GS or AcqDemo Receiving Permanent Lateral Transfers, Reassignments, and Realignment. Federal employees in other pay systems, e.g., Defense Civilian Intelligence Personnel System Pay Banded System or a Science and Technology Reinvention Laboratory Personnel Demonstration Project, who do not have WGI eligibility under their current pay system, are not eligible for a WGI Buy-in when they move into the AcqDemo by lateral transfer, reassignment, or realignment. A Career Ladder Promotion Buy-in is not authorized for movement from a pay system other than the GS pay system to the AcqDemo pay system by a permanent lateral transfer, reassignment, or realignment. The maximum payable rate rule at 5 CFR 531.221 and the AcqDemo organization's policy on its use may provide an appropriate tool for establishing base pay in this instance. The employee's base pay shall not exceed the base pay range of the new broadband level.

5.2.5 Temporary Reassignments Not to Exceed (NTE). Current AcqDemo authorities do not contain provisions for Temporary Reassignments NTE to, from, or within AcqDemo. However, if a component or agency has established a Temporary Reassignment NTE utilizing a 9XX Nature of Action Code, it may be used to move non-AcqDemo employees into AcqDemo, move AcqDemo employees out of the Demo to a non-AcqDemo organization, and move AcqDemo employees within AcqDemo, but no WGI Buy-in or Career Ladder Promotion Buy-in is authorized for any of these personnel actions.

5.2.6 Internal Component/Agency Guidance. Components/Agencies are encouraged to issue internal guidance/criteria to further define their promotion pay-setting processes based upon funding levels, qualifications and experience of selectees, market conditions, difficulty of position, organizational level of position, etc., to ensure standard application of this pay setting feature. Copies of an organization's internal pay setting guidance are to be provided to the AcqDemo Program Office.

5.3 Locality Pay. All AcqDemo participants will receive any applicable locality pay, based on geographic location, after changes to base pay.

Revised Definition of Reassignment (Federal Employee (Outside of the Demo) Entering the Demo) to be incorporated into the AcqDemo OP dated May 15, 2003, Glossary:

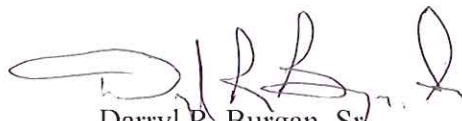
REASSIGNMENT (Federal Employee (Outside of the Demo) Entering the Demo). Change of an employee from one competitive service position in any other pay system to an AcqDemo position without promotion or change to a broadband level with a lower maximum base pay than the employee's current position. Depending upon an employee's eligibility, a change in base pay would result from application of the WGI and or Career Ladder Promotion Buy-in provisions, offer and acceptance of a lower base pay, or application of the maximum payable rate rule at 5 CFR 531.221. (Refer to AcqDemo Memorandum (AM) 14-02 – Pay Setting for New Hires, Reinstatement Eligibles, and Non-AcqDemo Federal Employees Entering AcqDemo through Actions Other than Conversion and Associated Changes) (~~Buy-in applies, refer to Federal Register Vol. 66, No. 98, 21 May 2001, Amendment to Federal Register Vol. 64, No. 05, 8 Jan 1999, See V.A.~~)

Action.

a. File this AM in front of Chapter 5 of Reference (b).

b. Retain the title for the definition of "Reassignment (Federal Employee (Outside of the Demo) Entering the Demo)" found in the AcqDemo OP dated May 15, 2003, Glossary, page 10. Cross through the entire narrative following the title. Replace narrative with the following statement: "Refer to AcqDemo Memorandum (AM) 14-02 – Pay Setting for New Hires, Reinstatement Eligibles, and Non-AcqDemo Federal Employees Entering AcqDemo through Actions Other than Conversion and Associated Changes).

Point of Contact. Questions concerning this policy should be directed to Betty Duffield, Policy Coordination Officer, at Betty.Duffield@dau.mil or by phone at 703-805-4460.



Darryl R. Burgan, Sr.
Deputy Program Director, AcqDemo

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Chapter 5 - PAY ADMINISTRATION

5.1 Pay Setting Procedures for Employees of Joining Organizations. Pay setting for employees reassigning into the demonstration project as a part of their organization's initial transition into the demonstration project is addressed in Chapter 2.

5.2 New Hires and Employees Entering the Demonstration Project After Organization's Initial Implementation. For new hires initial pay will be set at a level consistent with the individual's qualifications and the expected contribution of the position. The hiring official will determine the starting salary based upon available labor market considerations relative to special qualifications requirements, scarcity of qualified applicants, programmatic urgency and education/experience of the new candidates.

Individual employees who enter the project by lateral transfer, reassignment or realignment will be subject to the same pay conversion rules as those entering the Demonstration Project upon initial implementation. (see Section 2.3 Employee Buy-in). An automated tool is provided by the Program Office to facilitate the calculation of the new salary.

Pay may be set at any rate encompassed by the broadband level for employees who enter the project by means other than lateral transfer, reassignment or realignment. Competition is normally required to set pay at a higher rate than the buy-in. (see Chapter 4).

5.2.1 Locality Pay. All AcqDemo participants will receive any applicable locality pay, based on geographic location, after changes to basic pay.

5.3 Pay Retention. Employees on retained rate in the demonstration project will receive pay adjustments in accordance with 5 U.S.C. 5363 and 5 CFR 536. An employee receiving a retained rate is not eligible for a contribution rating increase, since such increases are limited by the maximum salary rate for the employee's broadband level. Depending upon the employee's rating, employees on retained pay may be eligible to receive CA.

5.4 Movement Within a Broadband Level. Movement within a broadband level will be determined by the employee's contribution. Broadband levels are derived from the current salaries of the banded GS grades. The lowest salary of any given broadband level is that of the lowest GS grade, step one in that broadband level. Likewise, the highest salary of any given broadband level is that of the highest GS grade, step ten in that broadband level. There is a natural over-lap in salaries in the GS grades that also occurs in the broadband system. Since the overall contribution scores (OCS) are directly related to salaries, there is also an overlap between OCSs across broadband levels.

5.5 Change in Assignment. The CCAS concept, using the broadband structure, provides flexibility in making assignments. In many cases an employee can be assigned, without pay

change, within broad descriptions, and, at the same time, consistent with the needs of the organization and commensurate with the individual's qualifications. Supervisors should consult with their servicing personnel staff when considering any action described in this chapter.

5.6 Competitive Selection for a Position with Higher Potential Salary (Special Developmental Programs). When an employee is competitively selected for a position with a higher target broadband level than previously held (e.g., Upward Mobility, or similar program; for example, an NK II employee selected for NH II), upon movement to the new position the employee will receive the salary corresponding to the minimum of the new broadband level or the employee's existing salary, whichever is greater.

5.7 Permanent and Temporary Promotion (Competitive, Non-competitive). Movement to a higher broadband level is normally a competitive action, based on Office of Personnel Management qualification standards (see Chapter 4). A higher broadband level is one with a higher maximum rate of pay than the employee's current broadband level. When an employee is promoted to a higher broadband level, the salary after promotion shall be at least six percent, but not more than 20 percent greater than the employee's current salary. However, if the minimum rate of the new broadband level is more than 20 percent greater than the employee's current salary, then the minimum rate of the new broadband level is the new salary. The employee's salary shall not exceed the salary range of the new broadband level. When an employee on retained pay is promoted to a higher broadband level, at a minimum, the employee's salary upon promotion will be set in the higher broadband level (1) at six percent higher than the maximum rate of the employee's existing broadband level, or (2) at the employee's existing retained rate, whichever is greater.

5.7.1 Salary Adjustment Guidelines for Temporarily Promoted Employees. After the initial assignment into the CCAS, employees' yearly contributions will be determined by the CCAS process, and their overall contribution score (OCS) versus their current rate of basic pay will be plotted on a graph along the normal pay range (NPR). For this purpose, where an employee is temporarily promoted at the time OCS is determined, the "current rate of basic pay" is construed as the rate of basic pay for the position to which the employee is permanently assigned, and the OCS will be plotted on the graph accordingly. When making CCAS salary adjustment for temporarily promoted employees, pay pool managers should carefully consider whether the employee has demonstrated sustained performance of high quality significantly above that expected in the permanent position concerned. Components may establish additional procedures to ensure that temporarily promoted employees are equitably treated, but are not inappropriately compensated on a permanent basis for the temporary performance of higher-broadband duties.

5.8 Voluntary Change to Lower Broadband Level in the Same or Different Career Path (except RIF). When an employee accepts a voluntary change to lower broadband level or a different career path, salary may be set at any point within the broadband level to which

appointed, except that the new salary will not exceed the employee's current salary or the maximum salary of the broadband level to which assigned, whichever is lower. An employee's written request for voluntary change to a lower broadband level or different career path should provide a reason(s) for the request. All actions shall be documented by use of an official personnel action and appropriately filed.

5.9 Involuntary Change to a Lower Broadband Level Without Reduction in Pay Due to Contribution-based Action. Due to inadequate contribution, an employee may move to a lower broadband level as a result of receiving partial or no general pay increase. When an employee is changed to a lower broadband level due to such a situation, it is not considered an adverse action. Supervisors shall initiate an involuntary change to lower broadband level promptly after the pay pool manager approves the annual pay out. An official personnel action will be prepared to reflect this change. The employee's rate of basic pay shall remain unchanged.

5.10 Involuntary Reduction in Pay/Change to Lower Broadband Level in a Same or Different Career Path Due to Adverse Action. An employee may receive a reduction in pay within his/her existing broadband level and career path; be changed to a lower broadband level; and/or be moved to a new position in a different career path due to an adverse based action. In these situations, the employee's salary will be reduced by at least six percent, but will be set no lower than the minimum salary of the broadband level to which assigned. Employees placed into a lower broadband due to adverse action are not entitled to pay retention.

5.10.1 Involuntary Reduction in Pay/Change to Lower Broadband Level in a Same or Different Career Path Due to Contribution-based Action. An employee may receive a reduction in pay within his/her existing broadband level and career path; be changed to a lower broadband level; and/or be moved to a new position in a different career path due to a contribution based action. Involuntary reductions in pay will result in a salary level consistent with demonstrated contribution level. For involuntary change to lower broadband level the employee's salary will be reduced by at least six percent. In no circumstance will an employee's salary be set lower than the minimum salary of the broadband level to which assigned as the result of the action. Employees placed into a lower broadband due to adverse or contribution based action are not entitled to pay retention. (Chapter 7 describes contribution-based actions)

5.11 Involuntary Change to Lower Broadband Level/Change In Career Path, Other than Adverse or Contribution-based Action. If the change is not a result of an adverse or contribution-based action, the employee is entitled to retained pay if all Title 5 (5 U.S.C. 5363 and 5 CFR 536, Subpart A) conditions are met.

5.12 Reduction-in-Force (RIF) Action (Including Employees Who are Offered and Accept a Vacancy at a Lower Broadband Level or in a Same or Different Career Path). The employee is entitled to pay retention if all Title 5 conditions are met.

5.13 Return to Limited or Light Duty from a Disability as a Result of Occupational Injury to a Position in a Lower Broadband Level or to a Same or Different Career Path with Lower Salary Potential than Held Prior to the Injury. The employee is entitled indefinitely to the salary held prior to the injury and shall receive full general and locality pay increases.

5.14 Employees Departing AcqDemo for General Schedule Positions. General Schedule Grade and Step equivalencies are determined using Chapter 14 procedures.

5.15 CCAS Annual Adjustment. Salary adjustments based upon the Contribution-based Compensation and Appraisal System (CCAS) process are fully described in Chapter 6, shown in Table 1 provided below and in Figure 5 under Section 6.4.6 Step 7. The annual assessment period begins on October 1 and ends September 30 of the following year. The pay pool manager approves the final employee overall contribution score and salary adjustments based on the employee’s overall contributions during the rating period. There will be no within grade increases, quality step increases or automatic General Pay increases. (For those employees who are on pay retention, see Section 5.3 Pay Retention.)

The appropriately compensated employee (employee whose contribution versus pay falls on or **within the rails - C**) must receive the full general pay increase, may receive a contribution rating increase of up to 6%, and may receive a contribution award. The contribution rating increase is included as a permanent increase in the base pay, but the contribution award does not affect base pay. The inappropriately compensated (**above the rails - A**) employee could be denied part or all of the general pay increase and will receive no contribution rating increase or contribution award. The inappropriately compensated (**below the rails - B**) employee must receive the full general pay increase, may receive up to a 20% permanent increase in pay, and also may receive a contribution award.

Category	General Pay Increase	Contribution Rating Increase	Contribution Award	¹ Locality Pay
Inappropriately Compensated – A	Could be reduced or denied	NO	NO	YES
Appropriately Compensated -C	YES	YES ² - Up to 6%	YES ⁵	YES
Inappropriately Compensated – B	YES	YES ^{3,4} - Up to 20%	YES ⁵	YES

¹ Basic pay plus locality pay may not exceed Executive Level IV basic pay.

² May not exceed upper rail of NPR for employee’s OCS or maximum salary for current broadband level.

³ Over 20% requires local commander’s (or equivalent) approval.

⁴ May not exceed 6% above the lower rail or the maximum salary for current broadband level.

⁵ Pay pool manager approves up to \$10,000. Amounts exceeding \$10,000 require local commander’s (or equivalent) approval.

Table 1. Compensation Eligibility Chart

Locality pay adjustments are not included in the pay pool for distribution but are incorporated in demonstration project participants' pay. All employees will receive any locality pay adjustment for their locality. The dollar amount to be included in the pay pool will be computed based on the salaries (excluding locality pay) of the employees in the pay pool as of September 30 each year.

Pay adjustments will be documented by a personnel action using Nature of Action Code (NOAC) 894. Contribution awards will be documented using a NOAC 840. See Appendix G.

5.15.1 Eligibility for Compensation Under CCAS. Employees who are under CCAS for 90 consecutive calendar days and are in a pay pool as of September 30 will receive an official annual OCS, and may receive a GPI, CRI and/or CA. When an employee is new to the AcqDemo, his/her initial contribution level is considered to be in parity with his/her current pay. Until an official annual OCS is approved, the employee will receive the full General Pay Increase. The initial CCAS appraisal must occur within 15 months after entry into the demonstration project.

Employees who move from a pay pool to another pay pool within the AcqDemo between October 1 and the subsequent pay out will receive the approved OCS. Efforts should be made to communicate compensation decisions between the losing and gaining organizations. This information is critical in pay setting decisions in the gaining organization and for timing of moves.

Employees who move from a pay pool to a position outside the AcqDemo between October 1 and the subsequent pay out will receive the approved OCS and the General Pay Increase, and may receive a contribution award. Employees who retire/separate during the same time frame may receive a contribution award.

Employees who perform union representation tasks less than full time (80 hours per pay period) are eligible to receive contribution rating increases and contribution awards in addition to the general pay increase. Such increases must be based on the contribution made through their regular duty assignments (work performed other than union representation). Employees who perform union representation duties 100% of their time are entitled to receive the general pay increase plus the expected rating increase for their appropriate pay pool. Employees who perform union representation duties 100% of their time are not eligible for a contribution award. All pay adjustments for employees who perform union representation duties will be funded from the pay pool to which he/she is assigned.

This chapter applies to all AcqDemo participants including those serving in part time, term, and temporary limited appointments.



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FEB 19 2013

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: AcqDemo Memorandum (AM) 13-02 – Release of Aggregate Appraisal Feedback to the AcqDemo Workforce

References: (a) Federal Register Notice (FRN), 64 FR 1426, January 8, 1999, as amended, Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo); Department of Defense (DoD)
(b) DoD Civilian Acquisition Workforce Personnel Demonstration Project Operating Procedures (OP), Section 6.8, May 15, 2003

Purpose. AM 13-02 provides guidance regarding the sharing of aggregate results of the Contribution-based Compensation and Appraisal System (CCAS) process following the end of an appraisal cycle. It describes pay pools minimum requirements for informing the workforce of aggregate results.

Effective Date. This AM is effective immediately as an augmentation to Reference (b), and will expire upon incorporation into an upcoming revision. Please ensure the widest dissemination possible to all AcqDemo organizations.

Background. Frequent meaningful communication in the form of feedback is a central tenet of CCAS; supervisor to employee as well as top down from senior leaders to the workforce. Organization leaders should seek opportunities to engage the workforce throughout the appraisal cycle in providing individual feedback on progress toward achieving organizational goals. Providing aggregate feedback to the workforce following the end of an appraisal cycle is also an effective communication practice to help the workforce understand organizational performance and the CCAS process.

The DoD AcqDemo Operating Procedures, Reference (b), encourages pay pool managers to convey the outcomes of the CCAS assessment process. Recent program evaluation data supports the need to put in place additional guidance for sharing aggregate feedback with the workforce. Focus group response analysis yielded a significant number of employees who perceived the appraisal process to be unfair because they were not told how they fared against their peers. This sharing of aggregate results permits a better understanding of the CCAS design and process, and improves the understanding and trust of the workforce that they are being evaluated fairly.

Guidance. It is AcqDemo Program Office guidance that until Reference (b) is updated:

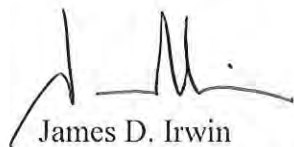
a. Pay pools will provide summary feedback to employees to permit general comparison of their results with those of the general workforce. Sample charts are provided as an attachment

to this memorandum. These charts display a suggested approach to providing aggregate data, but are not meant to be mandatory in format. At a minimum, however, the follow displays will be provided to the workforce:

- 1) A graphical representation of results (e.g., pay pool scatter-plot, bar chart, etc.), accompanied by data tables by career path displaying number and percentage of employees by rail zone
- 2) Data tables by career path and broadband level displaying the following
 - a) Average OCS
 - b) Average OCS Delta
 - c) Average CRI (dollars and percent of base pay)
 - d) Average CA (dollars and percent of aggregate pay)

b. Size and/or composition of the pay pool, however, can be a limitation in the ability to display summary results without compromising identity of employees. It will be necessary for pay pool managers to make a local assessment as to the appropriate display level of pay pool data to be provided to the workforce and obtain approval of the applicable Personnel Policy Board. As a general rule, the minimum number of employees for displaying summary pay pool data is thirty-five (35), provided that data for subgroups (e.g., NH, NJ, or NK) allows for five (5) or more employees to be displayed (e.g., a display showing the zone placement of three NK-3 employees may not be appropriate without compromising identity of employees). Pay pools having less than 35 employees total and/or composition which require display of less than 5 subgroup employees or for other related reasons, as determined by the applicable Personnel Policy Board, should provide summary data from a higher level organization or Component display to their workforce to satisfy this requirement for aggregate feedback.

Point of Contact. Questions concerning this policy should be directed to Darryl Burgan, Deputy AcqDemo Program Director, at Darryl.burgan@dau.mil or by phone at 703-805-5050.



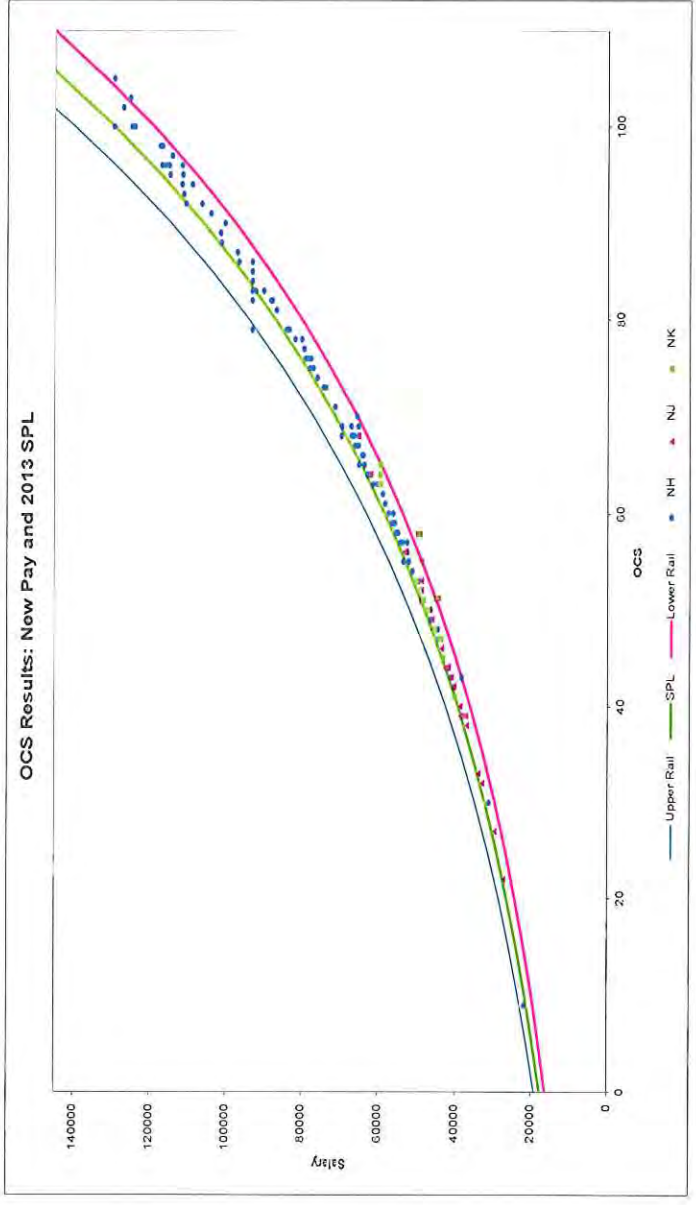
James D. Irwin
AcqDemo Program Director

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Atch
Sample AcqDemo Aggregate Results Charts (2)

Rail Zone	NH		NJ		NK		Total		Definition of Rail Zone
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	
A	1	0.75%	0	0.00%	0	0.00%	1	0.54%	Inappropriately compensated above the rails
C	122	91.73%	38	95.00%	12	92.31%	172	92.47%	Appropriately compensated between the rails
B	10	7.52%	2	5.00%	1	7.69%	13	6.99%	Inappropriately compensated below the rails
Total	133	100.00%	40	100.00%	13	100.00%	186	100.00%	



Payout Statistics by Group
(Presumptive due to time excluded)

Paypool	Number of Employees Analyzed	Average Rating	Average Delta OCS	Average Salary Increase \$	Average Salary Increase %	Average Award \$	Average Award %
XXXX	186	65.6	2.1	\$960	1.60%	\$1,337	1.41%
NH-2	19	56.5	2.5	\$498	0.97%	\$1,364	2.04%
NH-3	29	76.4	2.8	\$1,019	1.32%	\$1,447	1.50%
NH-4	85	95.5	1.2	\$1,100	1.17%	\$880	0.79%
NJ-3	15	46.8	6.1	\$2,009	2.70%	\$1,526	2.34%
NJ-4	25	77.6	0.8	\$915	1.20%	\$575	0.73%
NK	13	52.6	4.3	\$490	1.22%	\$1,016	1.53%



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JUL 1 2013

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: AcqDemo Memorandum (AM) 13-03 – AcqDemo Assessment
Requirements upon a Rating Official Change or Employee Movement

References: (a) DoD Civilian Acquisition Workforce Personnel Demonstration Project
(AcqDemo), Operating Procedures, May 15, 2003
(b) CAS2NET User Guide Fall 2012 at AcqDemo.dau.mil, Tools tab
(c) Federal Register (FR), Volume 64, No. 5, Friday, January 8, 1999, Part
VII, pages 1426–1494 (64 FR 1426) as amended

Enclosure: (1) AcqDemo Rating Official Change and Employee Movement Matrix

Purpose. AM 13-03 provides a tool to assist managers, supervisors, and pay pool administrators to determine the appropriate assessment, i.e., a closeout rating or annual assessment; a Contribution Rating Increase (CRI) and or Contribution Award (CA) determination; and pay pool/organization to fund a payout when an employee moves to a different pay pool or a non-AcqDemo organization, retires or separates from Government service, or is considered a specially situated employee.

Effective Date. This AM is effective immediately as an augmentation to References (a) and (b) and will expire upon incorporation into an upcoming revision of Reference (a). Please ensure the widest dissemination possible to all AcqDemo organizations.

Background. A number of questions regarding appropriate processing for certain employee status categories have reached the AcqDemo Program Office through the AcqDemo.Helpdesk@dau.mil email system as well as direct inquires. These queries centered around (1) changes in rating officials; (2) employee moves to a position in a different AcqDemo pay pool; (3) employees leaving AcqDemo to join a non-AcqDemo organization; (4) employees separating from Government service or retiring, and (5) employees meeting the specially situated criteria. To publicize the necessary assessment and payout decisions to be considered and or executed, it was determined that a short, top-level job aid, Enclosure (1), would be helpful to managers, supervisors, and pay pool administrators.

In preparing this document, it was noted that previous guidance on several items needed

to be clarified. The changes are noted below:

a. CCAS payout decisions provide compensation adjustments for the CCAS Rating of Record, which becomes effective on 1 January of the year following the accomplished appraisal. Because the Rating of Record serves as the basis of any CCAS payout, an employee must be assigned to an AcqDemo organization on 1 January, in order to be eligible to receive the payout. If the employee will not be assigned to an AcqDemo organization on 1 January, then organizations may recognize the employee's contribution with a cash award.

b. For employees whose official date of job change is during the period of October 1 to December 31, CRI's will no longer be paid by an AcqDemo Pay Pool/organization for departing employees going to a non-AcqDemo organization. Only awards such as Special Act Awards, determined and paid by the organization which benefited from the employee's contribution (normally the losing organization), may be used to reward employees departing to a non-AcqDemo Pay organization during this period.

c. For retirees and separations from Government service, compensation may be given in the form of a Special Act Award in accordance with local business rules, and processed via an SF-50 before employees depart. After departure, the award may need to be processed manually through the servicing Human Resources Office.

d. The descriptions for Presumptive – Status 2 and Presumptive – Status 3 ratings have been modified to take into account those programs, such as the Uniformed Services Employment and Reemployment Rights Act (USERRA), that require employees who are absent from their normal duties due to commitments to these programs, to receive the same benefits during their absence as if they were still working in their normal job. The new definitions are:

- 1) Presumptive – Status 2: Presume the employee is contributing consistently with his/her EOCS representative of his/her pay level; and
- 2) Presumptive – Status 3: Re-certify the employee's last contribution appraisal OCS.

e. When an employee, departs from his/her current pay pool and moves to a different AcqDemo pay pool during the period July 1 to the September 30, three options are available for the gaining rating official to conduct an annual contribution assessment for the employee. These options are:

- 1) Gaining rating official prepares an annual assessment including, as needed, information from the closeout assessment(s) provided by losing supervisor(s) when employee changed job(s) during the just completing cycle (ending 30 September) to determine a recommended OCS; *or*

2) Presume the employee is contributing consistently with his/her EOCS representative of his/her pay level by indicating “Presumptive—Status 2;” *or*

3) Re-certify the employee’s last contribution appraisal OCS by indicating “Presumptive—Status 3.” [Option 3 is not available for first year AcqDemo assessments.]

Guidance. While this job aid is meant to assist managers, supervisors, and pay pool administrators, Pay Pool Managers and supporting Pay Pool Panels are responsible for enacting closeout assessment, annual assessment, and payout determination policy for their respective organizations within the bounds of the regulations found in Reference (c), the implementing instructions of Reference (a), and DoD Component, Agency, or Field Activity guidance.



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AcqDemo Program Director

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Chapter 6 - CONTRIBUTION-BASED COMPENSATION AND APPRAISAL SYSTEM (CCAS)

6.1 Introduction. The purpose of the Contribution-based Compensation and Appraisal System (CCAS) is to provide an equitable and flexible method for appraising and compensating the DoD acquisition workforce. It provides management, at the lowest practical level, the authority, control, and flexibility needed to achieve quality acquisition processes and quality products while developing a highly competent, motivated, and productive workforce. It allows for more employee involvement in the performance appraisal process, increases communication between supervisors and employees, promotes a clear accountability of contribution by each employee, facilitates employee pay progression tied to organizational contribution, and provides an understandable basis for salary changes.

CCAS is a contribution-based appraisal system that goes beyond a performance-based rating system. Thus, it measures the employee's contribution to the mission of the organization. Salary adjustment decisions must remain linked to, and based on employee contribution. Whenever the term "salary" is used in this chapter, locality pay is not included.

6.2 Normal Pay Range (NPR). The normal pay range (Figure 2) is defined as the area on and between the upper and lower rails and is the appropriately compensated region. The curved standard pay line (SPL) tracks from the lowest scheduled rate of basic pay, GS-1, Step 1, to the highest pay, GS-15, Step 10. The NPR includes any existing General Pay Increase, but does not reflect locality pay. The NPR uses the following parameters:

- (a) The standard pay line (SPL) begins at an overall contribution score (OCS) of 0 and the lowest salary paid under this demonstration, GS-1, Step 1.
- (b) The SPL ends at an OCS of 100 and the highest salary paid under this demonstration, GS-15, Step 10.
- (c) The vertical distance from the SPL to either rail for any given OCS is +/- eight percent in salary throughout the OCS range.
- (d) The horizontal distance from the SPL to either rail for any given base salary is approximately +/- four OCS points.

The NPR is the same for all the career paths. What varies among the career paths are the beginnings and endings of the broadband levels (see Figure 1, Section 3.2). The minimum and maximum numerical OCS values and associated base salaries for each broadband level by career path are provided in Table 4 of this chapter (Point Ranges).

Employees enter the demonstration project without an overall contribution score. The first OCS score results from the first annual CCAS assessment process. Employees may determine their expected contribution range by locating the intersection of their salary with the rails of the NPR.

The rails define a range of appropriate contribution levels (OCS) and ensure that those entering the demonstration project at the maximum salary of their broadband level do not have to “max out” all the factor descriptors to remain within the rails. For example, a GS-13, Step 10 who enters the demonstration project in broadband level III of the Business Management and Technical Management Professional career path does not need to score the maximum of 83, but does need to demonstrate contribution commensurate with their present salary.

As stated previously, the NPR is re-determined each year based upon the salaries for GS-1, Step 1 and GS-15, Step 10. Since these salaries vary with the annual General Schedule pay increase, the annual NPR changes accordingly.

Below are mathematical formulae for the NPR rails and the SPL (these are in the same format as presented in the Federal Register, but with an explanation of the SPL factor, which changes each year depending upon the General Schedule Pay Table):

FORMULAE:

$$\text{Salary}_{\text{upper rail}} = (\text{Salary}_{\text{GS-1 Step 1}}) * (1.0800) * (\text{SPL factor})^{\text{OCS}}$$

$$\text{Salary}_{\text{SPL}} = (\text{Salary}_{\text{GS-1 Step 1}}) * (\text{SPL factor})^{\text{OCS}}$$

$$\text{Salary}_{\text{lower rail}} = (\text{Salary}_{\text{GS-1 Step 1}}) * (0.9200) * (\text{SPL factor})^{\text{OCS}}$$

$$\text{SPL factor} = (\text{Salary}_{\text{GS-15 Step 10}} / \text{Salary}_{\text{GS-1 Step 1}})^{(1/100)}$$

Notes:

- **Salary_{upper rail}** is 8% above the **Salary_{SPL}**
- **Salary_{lower rail}** is 8% below the **Salary_{SPL}**
- The **SPL factor** is the multiplier that gets you from GS-1, Step 1 to GS-15, Step 10 pay in 100 increments, where 100 is the range of OCS points. You can also think of the **SPL factor** as 1 + the percent change in pay associated with a one point change in contribution. The Federal Register states the **SPL factor** in 1998 was 1.020043. That meant that one additional point in OCS score equaled a 2.0043% increase in base salary. The below example, uses the 2002 SPL factor based upon 2002 General Schedule Pay Table:

Example 1:

$$\text{Salary}_{\text{SPL}} = (\text{Salary}_{\text{GS-1 Step 1}}) * (\text{SPL factor})^{\text{OCS}}$$

$$\text{Salary}_{\text{SPL}} = (\$14,757) * (1.0200426)^{50} = \$39,803$$

~ 2% salary increase

$$\text{Salary}_{\text{SPL}} = (\$14,757) * (1.0200426)^{51} = \$40,601$$

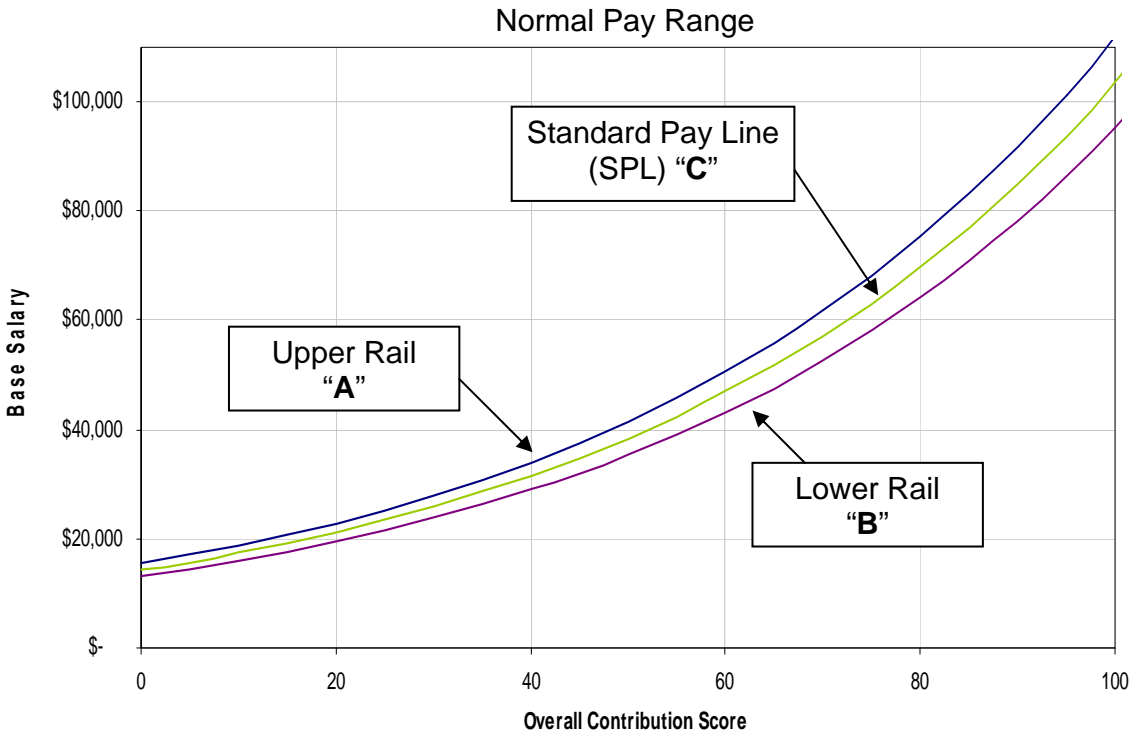


Figure 2 – Normal Pay Range

6.3 Factors/Discriminators/Descriptors. Employee contributions are assessed by factors, discriminators, and descriptors which are fundamental to the success of an acquisition organization and capture the critical content of jobs in the three career paths: Business Management and Technical Management Professional, Technical Management Support, and Administrative Support. These factors, discriminators, and descriptors shall not be modified or supplemented. Although the discriminators cannot be modified, it should be noted that reasonable accommodation must be considered when evaluating the contributions of employees with special needs.

The factors for the three career paths are the same:

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

The discriminators refine the factors. For example, the Communication factor has three discriminators (level of interaction (audience), written, and oral), which are the same for all levels of contribution.

The descriptors define increasing levels of contribution and are different for each career path. Table 2 below (Business Management and Technical Management Professional Example (Communication)) shows an example of the Communication factor and its associated discriminators and descriptors for the Business Management and Technical Management Professional Career Path. Factors, discriminators, and descriptors for all levels in all career paths are provided in Appendix C (Broadband Level Descriptors).

Level	Descriptors	Discriminators
I	<ul style="list-style-type: none"> - Communicates routine task status results as required. - Provides timely data and written analyses for input to management/technical reports or contractual documents. - Explains status/results of assigned tasks. 	<ul style="list-style-type: none"> - Level of Interaction (Audience) - Written - Oral
II	<ul style="list-style-type: none"> - Communicates team or group tasking results, internally and externally, at peer levels. - Writes, or is a major contributor to, management/technical reports or contractual documents. - Presents informational briefings. 	<ul style="list-style-type: none"> - Level of Interaction (Audience) - Written - Oral
III	<ul style="list-style-type: none"> - Communicates project or program results to all levels, internally and externally. - Reviews and approves, or is a major contributor to lead author of management reports or contractual documents for external distribution. Provides inputs to policies. - Presents briefings to obtain consensus/approval. 	<ul style="list-style-type: none"> - Level of Interaction (Audience) - Written - Oral
IV	<ul style="list-style-type: none"> - Determines and communicates organizational positions on major projects or policies to senior level. - Prepares, reviews, and approves major reports or policies of organization for internal and external distribution. Resolves diverse viewpoints/controversial issues. - Presents organizational briefings to convey strategic vision or organizational policies. 	<ul style="list-style-type: none"> - Level of Interaction (Audience) - Written - Oral

Table 2. Business Management and Technical Management Professional (NH) Factor Example (Communication)

NOTE: The descriptors indicate the contribution for the high end of each level. For example, the descriptors for Level 4 were developed to meet the top of the broadband level. Also the descriptors are not to be used individually to assess contribution, but rather are to be taken as a whole to derive a single evaluation for the factor.

6.4 Annual Contribution-based Compensation and Appraisal System (CCAS) Process. The annual assessment period begins on October 1 and ends on September 30 of the following year. At the beginning of the rating period, pay pools, pay pool panels, and pay pool managers are identified.

A pay pool is a group of employees who share in the distribution of CCAS dollars. It is usually based on the organizational structure and is established under the guidance of the commander (or equivalent). The pay pool will typically include employees of many functional areas (such as contracting personnel, engineers, and budget analysts), as well as their rating officials (supervisors). It is recommended that activities whose employees are represented by a union invite that union to participate in the pay pool process. The union's participation may include membership on the pay pool panel, assisting in the design of the pay pool structure, and receiving training on the way salary adjustments will be made under the CCAS program and distributed under the pay pool. The extent of this involvement should be defined in the negotiated agreement.

- Every participant of the demonstration is a member of a pay pool.
- Pay pools should typically be between 35 and 300 employees to constitute a reasonable workable size. If a minimum of 35 employees is not available, consideration may be given to combining similar groups.

The pay pool panel, which includes the pay pool manager and rating officials who normally report directly to the pay pool manager, determines the final employee overall contribution score and makes recommendation for salary adjustments. A pay pool panel member shall not recommend or set his/her own pay. Prior to the appraisal period, the pay pool panel determines if weights are required, specific job categories to which factor weights apply, and what the weights are. (Refer to Section 6.10 for specifics on weighting.)

The pay pool manager is the individual within the organization who is responsible for managing the CCAS process. As such, the pay pool manager has annual pay adjustment authority. Determinations made by the pay pool manager may be subject to higher management review. The pay pool manager shall not recommend or set his/her own pay.

The pay pool panel process provides an opportunity to evaluate how the contributions of each individual in the pay pool have led to the accomplishment of the overall goals/objectives of the organization in support of the mission. The yearly CCAS process provides an organization with an opportunity to gain some insight into its overall effectiveness.

6.4.1 Communicating CCAS Requirements at the Beginning of the Appraisal Cycle.

At the beginning of the appraisal period, or shortly after a new employee or supervisor reports for duty, the supervisor discusses with the employee the expectations of contribution for the appraisal period. This includes discussion of career path, broadband level, factors, and weights (if applicable). The supervisor is encouraged to review with each employee the expected contribution level (OCS range) corresponding to current salary. In communicating the expectations for the year, supervisors should address any reasonable accommodations being

considered or granted for employees with special needs. See Figure 3 below for an overview of the CCAS process. Additionally, employees will be informed that all factors are “critical.”

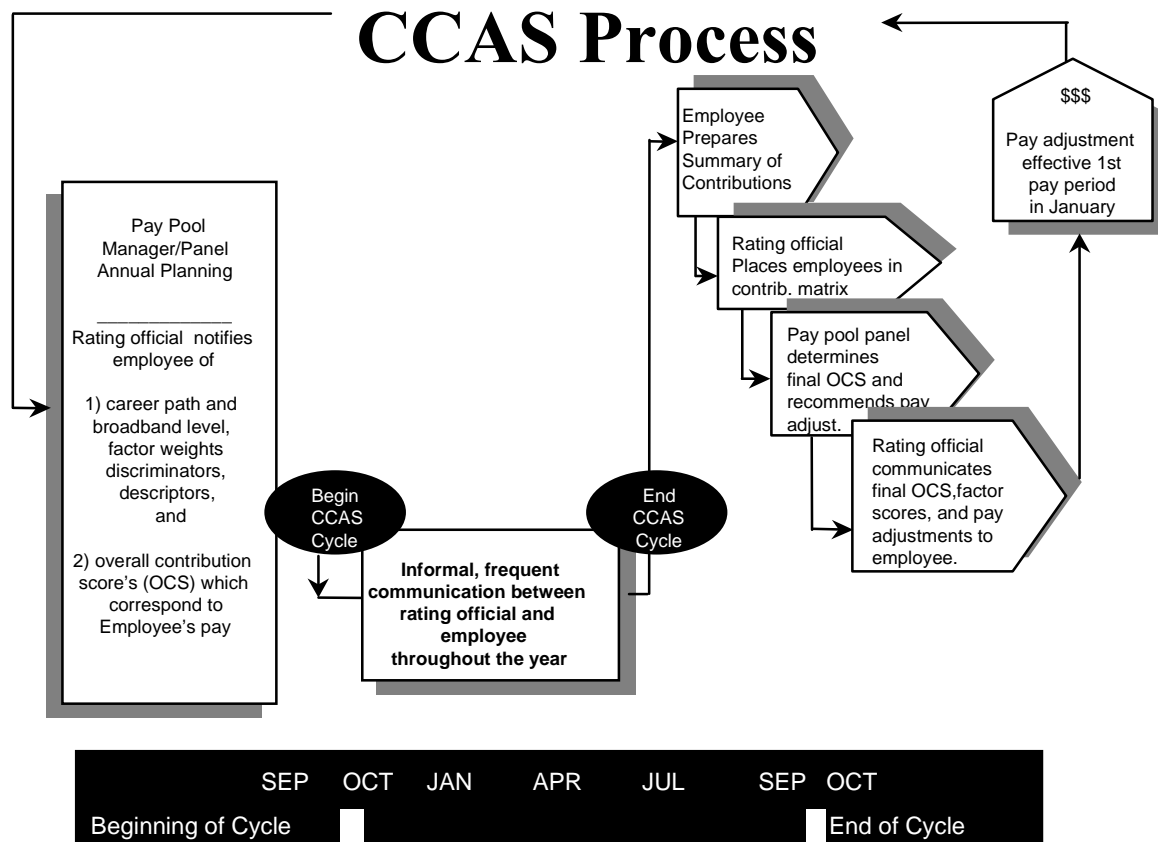


Figure 3. CCAS Process

6.4.2 Mock CCAS Evaluation For New Organizations. When a new organization enters the Demonstration Project, during the mid-point of its first CCAS cycle, each pay pool is required to conduct a mock CCAS evaluation through the point of populating the spreadsheet with the relevant data.

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

Each Service, Agency, or organization may require more than one formal or informal feedback session(s). Additionally, feedback sessions may be governed by local bargaining agreements. During the feedback sessions, discussions should include the employee's strengths and weaknesses in areas of contributions to the organization's mission, professional development, and career development activities.

6.4.3 CCAS Appraisal Eligibility, Special Circumstances, and Part-time Employment.

a. Appraisal Eligibility. The Federal Register requires that employees must be under the Contribution-based Compensation and Appraisal System on September 30th in order to be appraised. In addition, they must be under CCAS for 90 consecutive calendar days or more during the rating cycle before they may receive an annual OCS. The annual appraisal cycle begins on October 1st and ends on September 30th of the following year.

b. Special Circumstances.

(1) Employees with less than ninety (90) consecutive calendar days 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. Part I of the CCAS Salary Appraisal Form should document that the employee is receiving a “Presumptive – Status 1” rating due to lack of time in CCAS. The initial CCAS appraisal must occur within 15 months after entering the AcqDemo.

(2) 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.), Part 1 of the CCAS Salary Appraisal Form should indicate one of the following:

- a) Presume the employee is contributing consistently with his/her pay level by indicating “Presumptive – Status 2;”
- b) Re-certify the employee’s last contribution appraisal by indicating “Presumptive – Status 3.”

(3) If an employee has served 90 consecutive calendar days under CCAS, but has moved to a new Acquisition Demonstration Project pay pool, the new rating official must:

- a) Rate the employee based on any contribution assessment provided by the employee and his/her previous supervisor; and/or
- b) Rate the employee based upon the contributions made in the new pay pool.

c. Part-time Employment. Part-time employees are treated as full-time equivalents. Appraisals are based on full-time equivalent contributions and salary adjustments are based on the full-time annual rate of basic pay. Pay pool managers may prorate contribution award (CA) amounts.

6.4.4 Post-Cycle Promotions. If an employee is promoted to a higher broadband after the end of the appraisal period but before the pay out, the September 30th CCAS appraisal score is used during the CCAS cycle. The CRI is calculated and if the calculated CRI, plus the general pay increase, 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 promotion salary. If, however, the adjusted promotion salary is higher than the CCAS calculated salary, then the adjusted promotion salary will remain.

6.4.5 Minimum Period for Rating Employees on Temporary Promotion or Details.

Whether an employee is temporarily promoted or detailed to a Demo or non-Demo position, the supervisor of the temporary action position should provide input for the CCAS rating.

Information provided in these circumstances should be considered by the rating official in preparing the annual appraisal.

6.4.6 Evaluation at the End of the Appraisal Cycle. The following describes the steps of the contribution assessment process.

STEP 1. At the conclusion of the appraisal period, the rating official (normally the first-level supervisor) requests that employees provide input describing their own contributions throughout the year for each factor. However, an employee may elect not to provide such information. This shall be annotated on the Part II. See Appendix D for CCAS appraisal forms.

STEP 2. In completing Part II, the rating official considers inputs from the employee, personal observations, and may consider other sources as appropriate, to assess the level of the employee’s contribution for each factor using a matrix such as illustrated in Table 3 below or the automated tool. Categorical/numerical scores should not be discussed with employees until officially approved by the pay pool manager.

			FACTORS					
			Problem Solving	Teamwork/ Cooperation	Customer Relations	Leadership/ Supervision	Communi- cation	Resource Management
Level	IV	Very High						
		High						
		Med						
		Low						
	III	High			X			
		Med	X					X
		Low				X		
	II	High						
		MH						
		Med					X	
		ML						
		Low		X				
I	High							
	Med							
	Low							

Table 3. Sample Contribution Matrix for Business Management and Technical Management Professional (NH)

The contribution matrix, which includes the six factors across the top and different levels down the side, is used to assess the level of contribution for each factor. For example, in Table 3, an individual contributing at level III for Customer Relations would be making a greater contribution than someone contributing at level II. It should be noted that the levels are subdivided into low, medium, and high, except for level II, which contains five categories to accommodate the wider broadband level range (formerly GS-5 through GS-11).

STEP 3. The pay pool panel (pay pool manager and the rating officials in the pay pool who report directly to him/her) meets for the first time.

- In the first meeting, each rating official in the pay pool, in turn, enters into the contribution matrix the name of an individual (starting with those who fit the descriptors best). The “Very High” category is reserved for those individuals who score well above the descriptors in any one of the six factors. Employees eligible to be placed in the “Very High” point range will be those individuals at the top broadband level of their career path.
- This process continues until all employees are placed in the contribution matrix. Rating officials are not included in the matrix.
- The pay pool panel reviews each cell of the matrix for equity and consistency. Are the right people grouped together? For example, are the individuals who communicate at the same level grouped together? Are individuals who are making exceptional contributions in a factor or factors at the top broadband level of their career path rated in the “Very High” category?
- Adjustments are made until consistency and equity are reached. If disagreements persist, the pay pool panel meets until issues are resolved. If agreement cannot be reached, the pay pool manager decides.

STEP 4. Before adjourning the first meeting, the pay pool panel converts the matrix placement of each employee from Step 3 into a numerical contribution score for each factor using Table 3. The overall contribution scores (OCSs) are then calculated. This is where weights for individual factors would be incorporated, if applicable. Note that within Table 4, different point ranges relate to different career paths. For example, for the Business Management and Technical Management Professional (NH), an employee’s placement in the matrix at the medium level III could be scored as 71. An employee in the Technical Management Support (NJ) career path, placed in the matrix at the medium level III, could be scored as 56.

			<i>Business Management and Technical Management Professional (NH)</i>	<i>Technical Management Support (NJ)</i>	<i>Administrative Support (NK)</i>
			Point Range	Point Range	Point Range
L E V E L S		Very High	115	95	70
		High	96-100	79-83	
	IV	Med	84-95	67-78	
		Low	79-83	61-66	
		High	79-83	62-66	57-61
		III Med	67-78	52-61	47-56
		Low	61-66	43-51	38-46
		High	62-66	47-51	42-46
		MH	51-61	41-46	
		II Med	41-50	36-40	30-41
		ML	30-40	30-35	
		Low	22-29	22-29	22-29
		High	24-29	24-29	24-29
		I Med	6-23	6-23	6-23
		Low	0-5	0-5	0-5

Table 4. Point Ranges

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

For larger pay pools where one meeting may be insufficient, sub-panels may meet to accomplish the previous steps. Figure 4 contains an example of how this larger pay pool (with several different levels) might appear. The sub-panels may be comprised of rating officials (first-level supervisors) and the second-level supervisor.

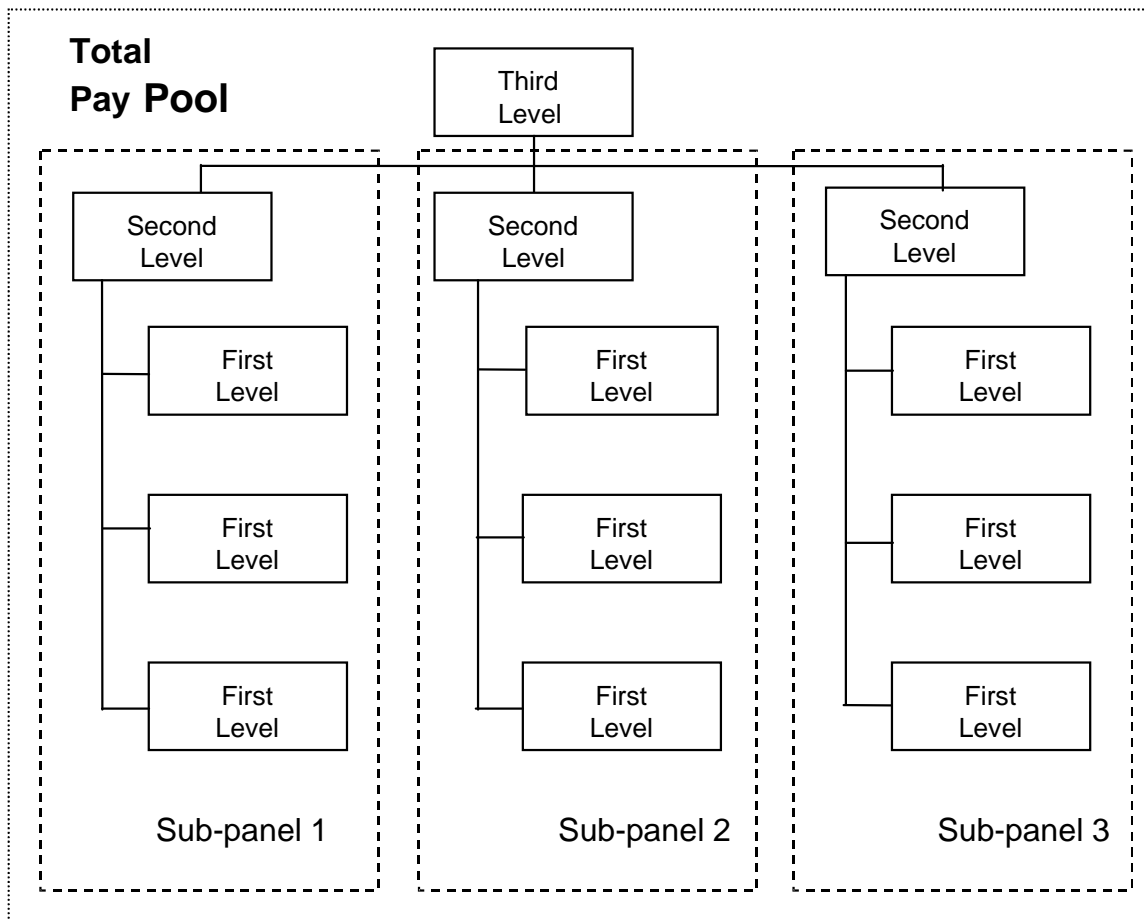


Figure 4. Larger Pay Pool Example

In this example, following the first meeting of the sub-panels, the second-level supervisors meet with the third-level supervisor (who, in most cases, will be the pay pool manager) to review sub-panel results. This meeting ensures consistency across the various divisions and includes the first-level supervisor's OCS in the pay pool. If inconsistencies are noted, they are discussed and resolved with the respective rating official.

STEP 5. In this step, the pay pool panel meets for the second time to identify any perceived inconsistencies in the employees' OCS consolidated listing. If inconsistencies in the OCS list are identified, the rating officials revisit the contribution matrix, reconsider the placement of the employees, and make adjustments, if appropriate. Any categorical or numerical score change must be communicated to the appropriate subordinate supervisor(s).

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

STEP 7. After the pay pool manager approves the OCS, the current salary versus OCS is plotted for all employees on a chart similar to Figure 5. This plot relates contribution to compensation, and identifies the placement of each employee into one of three regions:

inappropriately compensated - A region (above the rails), appropriately compensated – C region (on or within the rails), or inappropriately compensated - B region (below the rails).

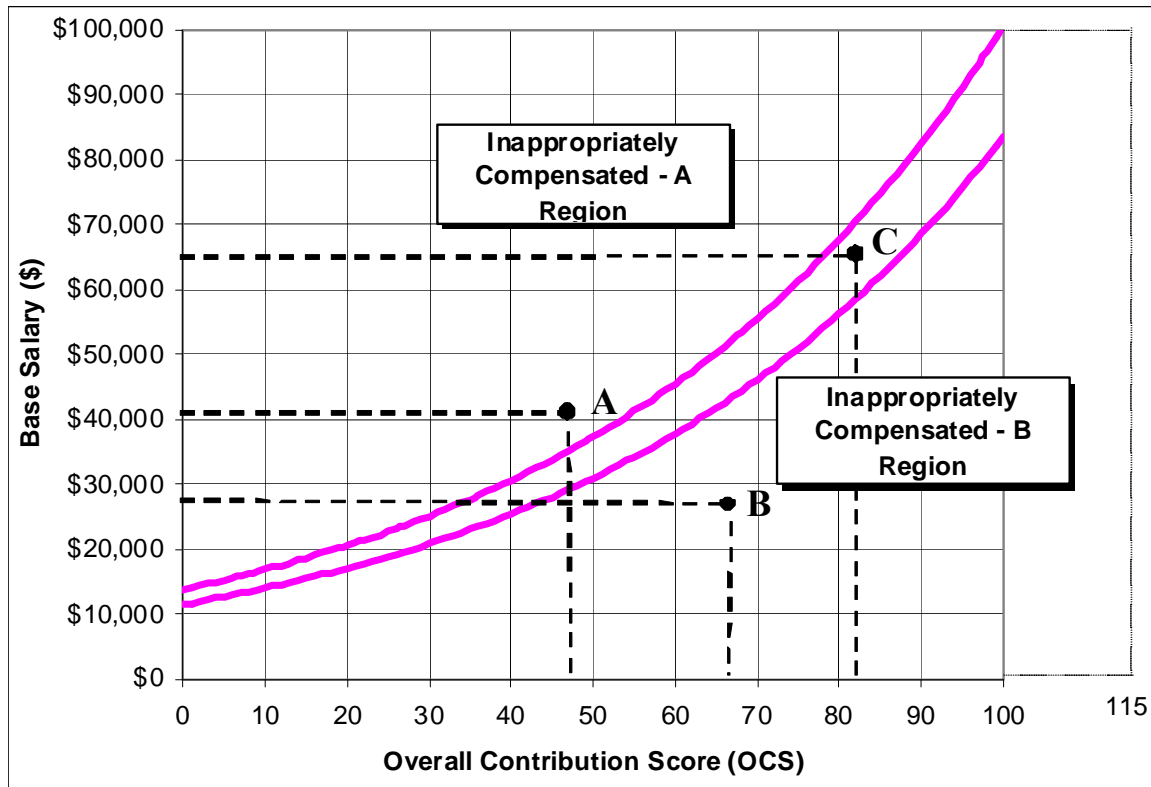


Figure 5. Compensation Regions Defined by NPR

In Figure 5, employee C is appropriately compensated (falls on or within the rails). Employee B is inappropriately compensated – B (falls below the lower rail) for his/her contribution to the organization. Employee A is in the inappropriately compensated -A region above the upper rail (i.e., receives high pay but is not contributing enough to justify the pay).

STEP 8. The pay pool manager, in consultation with the pay pool panel, determines the potential salary adjustment and contribution award for each employee. Table 1 illustrates the salary adjustments available for the three groupings of employees.

- All employees are entitled to the full locality pay.
- The appropriately compensated – C employee (employee whose contribution versus pay falls on or within the rails) must receive the full general pay increase, may receive a contribution rating increase of up to 6%, and may receive a contribution award. The contribution rating increase is included as a permanent increase in base pay, but the contribution award is a lump-sum payment that does not affect base pay.

- The inappropriately compensated – A employee could be denied part or all of the general pay increase and will receive no contribution rating increase or contribution award. The intent of the demonstration project is to allow managers to retain the ability to determine how much, if any, of the general pay increase an inappropriately compensated - A employee shall receive, on a case-by-case basis.

- The inappropriately compensated - B employee must receive the full general pay increase, may receive up to a 20% permanent increase in pay, and also may receive a contribution award.

Category	General Pay Increase	Contribution Rating Increase	Contribution Award	¹ Locality Pay
Inappropriately Compensated – A	Could be reduced or denied	NO	NO	YES
Appropriately Compensated – C	YES	YES ² - Up to 6%	YES ⁵	YES
Inappropriately Compensated – B	YES	YES ^{3,4} - Up to 20%	YES	YES

1. Basic pay plus locality pay may not exceed Executive Level IV basic pay.
2. May not exceed upper rail of NPR for employee’s OCS or maximum salary for current broadband level.
3. Over 20% requires local commander’s (or equivalent) approval.
4. May not exceed 6% above the lower rail or the maximum salary for current broadband level.
5. Pay pool manager approves up to \$10,000. Amounts exceeding \$10,000 require local commander’s (or equivalent) approval.

Table 1. Compensation Eligibility Chart

The amount of money available for contribution rating increases within a pay pool is determined by the general pay increase, money that would have been available for quality and within-grade step increases, and career promotions. Funds not distributed from the general pay increase may be transferred to the contribution rating increase pool of money. Additionally, the contribution rating increase pools may be used to augment the contribution award pool. However, the awards money portion cannot be used for increments to salary. The contribution rating increase pool of money will be set at not less than 2% of the activity’s total salary budget (2.4% first year organizations). These floors represent a budgetary minimum amount. Components may set higher amounts within their budgetary limits. No ceiling amount is directed by these Operating Procedures.

The contribution award pool includes what were formerly performance awards. This pool will be used for awards given under the CCAS process. The fund will be set at not less than 1.0 % (1.3% for first year organizations) of the activity’s total salary budget. This fund will not exceed

90 percent of the total awards budget, so as to allow for other awards not related to the CCAS process, e.g., on the spot awards and group awards. The awards pool breaks down as follows:

- a) Up to 90% of the total award budget will be set aside for the CCAS awards; and
- b) 10% or more of the total award budget will be set aside for other awards throughout the year (i.e., on-the-spot and group awards).

One example of how a contribution award may be effectively used is when an employee's salary equals or exceeds the maximum salary of their assigned broadband level. Such an employee could not receive a contribution rating increase (CRI) because his/her new salary would exceed the maximum salary of his/her broadband level. If, based upon his/her appraisal, the employee is eligible to receive a CRI, the amount that would have been paid out as a CRI, may be moved to the contribution award pool and paid out to that employee as a lump-sum contribution award. (Additional funds could also be drawn from the contribution award pool and added to that amount so that the resulting contribution award recognizes the employee's contribution appropriately.)

Locality pay adjustments are not included in the pay pool but are incorporated in the demonstration project participants' pay. The dollar amount to be included in the pay pool will be computed based on the base salaries of the employees in the pay pool as of September 30th each year.

If General Schedule (GS) employees receive an increase under 5 U.S.C. 5303 that exceeds the amount otherwise required by that section on the publication date of the final *Federal Register* notice, the excess portion of such increase shall be paid to demonstration project participants in the same manner as to GS employees. The excess portion of such increase shall not be distributed through the pay pool process.

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

STEP 10. Following the review, the pay pool manager officially approves the contribution scores and salary adjustments. Once the scores and salary adjustments have been approved, they are documented on the Contribution-based Compensation and Appraisal System Salary Appraisal Form, Part I, see Appendix D. Part I, II, (and III or any other document, if provided) of the form serves as the basis for individual discussions with the employees. Pay Pool Panel will communicate changes to rating officials. Rating officials should ensure that the Part II form, Supervisor Assessment, reflects the approved appraisal results (i.e., scores and narrative).

STEP 11. The rating official may seek additional clarification from the Pay Pool Panel, if needed, before meeting with the employee. The rating official communicates the final OCS, factor scores and pay adjustments to each employee. Potential opportunities for increasing contribution for the upcoming appraisal period are also discussed. (Reference Appendix E for discussion with employee.) The rating officials and employee sign the original of the Part I CCAS Salary Appraisal form and the employee receives a copy.

The pay adjustments become effective the first full pay period in January. The preceding steps are summarized in Figure 3, Section 6.4.1, CCAS Process.

6.5 Salary Adjustment Guidelines via Delta Y and Relative Score. Delta Y is the amount of salary on the vertical axis which is the difference between the employee's current salary and the Standard Pay Line (or the reference line used by the organization) for their OCS. Delta Y provides the exact salary differential that it would take to bring the employee to the reference line used. The delta Y approach results in a percent of base salary and is the method commonly used to distribute the salary and award dollars. Relative score (RS) is a measure of the relative distance from the middle of the NPR (the standard pay line (SPL)). Employees may be ordered highest to lowest by their relative score or delta Y. See Appendix F for details of delta Y and relative score.

6.5.1 Determination of Rails. The CCAS software program uses the OPM-established annual General Schedule pay scale to determine the upper and lower rails and the standard pay line of the NPR (see Figure 2 and the equations in Section 6.2). The rails will be set using the general pay increase (GPI) authorized each year, if any.

6.6 Discretionary Set-Aside. Pay pool managers may set-aside up to 20 percent of their available dollars for contribution rating increases and the same percentage range for contribution awards. One use of discretionary set-aside funds may be to award those eligible employees who leave the demonstration project during the post cycle period (October 1st and the first pay out in January). To be valid, pay out decisions must remain linked to, and based on, employee contributions.

6.7 Pay Adjustments. Pay adjustments are based on the CCAS appraisal and the employee's current salary of the permanent position of record. Pay adjustments will be documented by an official personnel action. For historical and analytical purposes, the effective date of CCAS assessments, actual appraisal scores, actual salary increases, and applicable contribution award amounts must be maintained for each demonstration project employee. Contribution rating increases will be documented using a nature of action code (NOAC) 894. Contribution awards will be documented as specified in Appendix G.

6.8 Release of CCAS Assessment Information. Pay pool managers and supervisors must ensure the employee information contained in the program is safeguarded during the CCAS assessment process. The Privacy Act applies to release of the data once it is finalized by the approval authority. Pay pool managers are encouraged to convey the outcomes of the CCAS assessment process.

6.9 Interface with Modern Defense Civilian Personnel Data System (DCPDS). The program is designed to interface with Modern DCPDS. Centrally maintained employee data for the pay pool members is downloaded to form the baseline data for the CCAS software program. Once the pay pool managers have approved the OCS, pay adjustments, and awards decisions, the CCAS program data will be uploaded to the Modern DCPDS to update individual employee official personnel records. As this is the only data up-link to Modern DCPDS, pay pool managers who do not use the CCAS software package to determine OCS, pay adjustments, and

contribution awards will have to manually input the approved distributions into the program. The Office of the Secretary of Defense (OSD) demonstration project office is responsible to ensure the CCAS software is updated accordingly.

6.10 Factor Weighting. The descriptors are written so that all factors are weighted equally. If pay pool panel members/managers agree that some factors are more important than others to effectively accomplish the organization's mission, they may establish factor weights. However, contribution in all six factors is important to ensure the individual's career growth and the overall success of the organization's mission, as well as to develop the attributes of the acquisition workforce. Therefore, weights should be used sparingly.

At the discretion of the pay pool manager, different weights may be applied to the factors to produce a weighted average, provided that the weights are applied uniformly across the pay pool. Weights must be consistent within the job category. The rating official must inform the employee of weights at the beginning of the rating period. Weights must be reviewed annually. All factors are considered critical, and none may be given a weight of less than 0.5.

When using weights, OCS is determined by multiplying the score for each factor by the associated weight, adding the results, and then dividing by the sum of the weights.

The following parameters are provided for weighting factors:

- Weights may be assigned any value, in increments of 0.1 from 0.5 to 1.0.
- At least three factors must have a weight of 1.0.

6.11 CCAS Grievance Procedures. Bargaining unit employees who are covered under a collective bargaining agreement may grieve CCAS pay determinations under the grievance-arbitration provisions of the agreement.

Other employees who are not included in a bargaining unit, or who are in a bargaining unit but grievances over OCS are not covered under negotiated grievance procedure, may utilize the appropriate administrative grievance procedure (5 CFR Part 771), with supplemental instructions as follows:

(a) The employee submits the grievance first to the rating official who reviews and submits a recommendation to the pay pool panel.

(b) The pay pool panel may accept the rating official's recommendation or reach an independent decision. The pay pool panel in conducting its fact finding may solicit additional relevant information from the grievant or rating official as it deems appropriate to reach their decision. In the event that the pay pool panel's decision is different from the rating official's recommendation, appropriate justification will be provided to the rating official. The pay pool panel will provide the employee the decision in writing.

(c) The pay pool panel's decision is final unless the employee requests reconsideration by the next higher official to the pay pool manager. That official would then render the final decision on the grievance.

Any changes to the official appraisals and/or resulting compensation (GPI, CRI, or CA) will be documented on the CCAS Salary Appraisal Form and entered into all appropriate records. Copies of all corrections will be provided to the employee.

See Appendix J for a matrix of grievable and appealable actions.

6.12 Records. The CCAS Appraisal Form is a three-part form documenting the annual evaluation of an employee's contribution. Accordingly, all three parts (employee assessment, supervisory assessment and the summary evaluation form) must be filed in the employee's official file, in accordance with agency procedures.

6.12.1 Supervisors' Records. Supervisors may maintain a copy of all forms used in the evaluation process and will provide the employee with a copy of his/her signed appraisal.

6.12.2 CCAS Program Data. CCAS program data produced through the CCAS software program will be maintained by the pay pool manager for at least five years or the life of the demonstration project, whichever is less. All software documents should be annotated "Subject to Privacy Act."

Chapter 7 - CONTRIBUTION-BASED ACTIONS

7.1 Introduction. This chapter applies to reduction in pay, change in broadband level and/or change in career path, change in assignment, or removal from Federal Service due to inadequate contribution. Inadequate contribution can be identified by the pay pool panel at the end of the annual appraisal cycle and by the supervisor at any time during the appraisal period. Supervisors should consult with their servicing Human Resource Office when considering any action described in this chapter.

An objective of the Contribution-based Compensation and Appraisal System (CCAS) is to properly pay employees for their contribution to the mission. The demonstration project provides that employees may be reassigned, their pay may be reduced (including change to lower broadband level), or they may be removed from the Federal Service based on a determination of inadequate contribution. This is similar to the authority for identifying poor performers under the current Federal Government-wide personnel system. CCAS is a contribution-based appraisal system that goes beyond a performance-based rating system. Contribution is measured against six critical factors, each having levels of increasing contribution corresponding to the broadband levels in the three career paths. (For the purposes of this chapter, “critical factors” are synonymous with “critical elements” as defined in 5 U.S.C. Chapter 43.) Pay is set according to Chapter 5 for actions taken under this chapter.

7.1.1 Responsibilities of Supervisors. Supervisors should counsel employees on identified deterioration of contributions whenever they occur during the appraisal period. They should document these counseling sessions, but must have documented these discussions prior to initiating a contribution improvement plan (CIP). If the employee fails to improve as a result of the CIP, the supervisor may reassign the employee or modify their duties. If removal or reduction in pay is warranted, the supervisor requests the pay pool panel to review the proposed action.

7.1.2 Responsibilities of Pay Pool Panel. The pay pool panel or designated official(s) may review proposals to initiate CIPs and to reassign the employee or change assigned duties. The pay pool panel or designated official(s) must review proposed removals and reductions in pay that result from the employee’s failure to improve as the result of a CIP within the context of prior pay pool panel deliberations.

7.2 Identification of Inadequate Contributions. At the end of the rating period and at any time during the year that an employee’s contribution degrades to one of the following conditions, the supervisor must determine the appropriate course of action to take.

7.2.1 Inadequate Contribution Based on Rail Position. At the end of the rating period, if an employee’s OCS (rating of record) falls above the upper rail of the normal pay range (Figure 2), the employee is considered to be contributing inadequately for his/her level of pay. In addition, if the employee’s contribution deteriorates to a comparable level at any time during the appraisal period the employee is considered to be contributed inadequately. The rating official has two options at this time:

1. Take no action but document this decision in a memorandum for the record (MFR). A copy of the memorandum will be provided to the employee (employee signs receipt acknowledgement) and to higher management.
2. Inform the employee, in writing, that unless the contribution increases to, and is sustained at, a higher level (thereby meeting this standard for adequate contribution), the employee may be reduced in pay or removed. This option requires that the written notification include a contribution improvement plan (CIP), as described in Section 7.3.1.

7.2.2 Inadequate Contribution Based on Low Factor Score. At the end of the appraisal period and at any time during the year, an employee's contribution in any factor is at or less than the mid-point of the next lower broadband level (or a factor score of zero for broadband level I employees), the employee is considered to be contributing inadequately. For example, an employee in the Business Management and Technical Management Professional (NH) career path, broadband level III is expected to receive an OCS of 61 – 83 (see Table 4 under Section 6.4.6 Step 4). If this employee's score in any one factor falls to or below 44 (i.e., the numerical mid-point of NH broadband Level II), the employee would be considered to be contributing inadequately and a CIP must be initiated. In this case, the supervisor must inform the employee, in writing, that unless the contribution increases to a score above the midpoint of this next lower broadband level (thereby meeting this standard for adequate contribution) and is sustained at this level, the employee may be reduced in pay or removed. For broadband level I employees, a factor score that increases to and is sustained above 0 is determined to be adequate. The written notification will include a contribution improvement plan (CIP) as described in Section 7.3.1.

7.3 Notice to Employee for Initiation of Contribution Improvement Plan. When the rating official informs the employee in writing that the employee may be reduced in pay or removed if their level of contribution does not improve to appropriate acceptable level, the rating official will afford the employee a reasonable opportunity (a minimum of 60 days) to demonstrate adequate contribution. This written notification will include a contribution improvement plan (CIP) as described below:

7.3.1 Contribution Improvement Plan (CIP). The CIP outlines specific areas in which the employee is inadequately contributing, and what improvements are required. Additionally, the CIP must include standards for adequate contribution, actions required of the employee, the time in which they must be accomplished to increase and sustain the employee's contribution at an adequate level, what assistance the agency shall offer to the employee in improving inadequate contribution, and the consequences to the employee if he/she fails to improve. A sample of a Notice of Inadequate Contribution and Contribution Improvement Plan (CIP) can be found in Appendix M.

7.4 Completion of CIP. If the employee demonstrated significant progress towards achieving the standard, the CIP may be extended. Once an employee has been afforded a reasonable opportunity to demonstrate adequate contribution, but fails to do so, a reduction in pay (which may include a change to a lower broadband level, and/or reassignment) or removal action may be proposed. The pay pool panel must review any proposed removal or reduction in pay action before

it is issued to ensure the circumstances warrant the proposed action. An employee, whose reduction in pay or removal is proposed, is entitled to a 30-day advance notice of proposed action that identifies specific instances of inadequate contribution by the employee on whom the action is based. The employee shall be afforded a reasonable time to answer the notice of proposed action orally and/or in writing. Employees covered by a bargaining unit may have a different advance notice period.

7.5 Inadequate Contribution Upon Successful Completion of the CIP. If the employee's contribution increases to an adequate level and is again determined to deteriorate in any factor within two years from the beginning of the opportunity period, actions may be initiated to effect reduction in pay or removal with no additional opportunity to improve. If an employee has contributed acceptably for two years from the beginning of the opportunity period, and the employee's overall contribution once again declines to an inadequate level a new CIP will be issued.

7.6 Decision to Take Contribution-based Action. A decision to reduce pay or remove an employee for inadequate contribution shall be based only on those instances of inadequate contribution that occurred during the two-year period ending on the date of issuance of the notice of proposed reduction in pay, change in broadband level, and/or change in career path, change in assignment, or removal from Federal Service reduction in pay or removal action. The employee shall be issued written notice of decision to take a contribution-based action at or before the time the action will be effective. Such notice specifies the instances of inadequate contribution by the employee on which the action is based and informs the employee of any applicable appeal or grievance rights.

7.7 Documentation. All relevant documentation concerning a reduction in pay or removal that is based on inadequate contribution shall be preserved and made available for review by the affected employee or designated representative. At a minimum, the records will consist of a copy of the notice of proposed action, the written answer of the employee or a summary thereof when the employee makes an oral reply, and the written notice of decision and the reasons therefore along with any supporting material including documentation regarding the opportunity afforded the employee to demonstrate adequate contribution.

When the action is not taken because the employee has achieved the level of adequate contribution during the notice period, the employee is not reduced in pay or removed and the employee's contribution continues to be deemed adequate for two years from the date of the advanced written notice, any entry or other notation of the proposed action shall be removed from all records relating to the employee.

7.8 Appeals. The above procedures replace those established in 5 U.S.C. 4303 pertaining to reductions in grade or removal for unacceptable performance except with respect to appeals of such actions. 5 U.S.C. 4303(e) provides the statutory authority for appeals of contribution-based actions, which shall be sustained if the decision is supported by substantial evidence. The Merit Systems Protection Board shall not have mitigation authority with respect to such actions. The separate statutory authority to take contribution-based actions under 5 U.S.C. 75, as modified in waivers granted to this demonstration project, remains unchanged by these procedures. A matrix of grievable and appealable actions is located at Appendix J.

Chapter 8 - PERSONNEL POLICY BOARDS

8.1 Introduction. It is envisioned that each participating DoD Component shall establish either a Personnel Policy Board for the demonstration project or modify the charter of an existing group. The group will consist of the senior civilian in each Program Management Office and Directorate within the Component and be chaired by the Executive Director.

8.2 Board Responsibilities. The board is tasked with the following:

- a) Overseeing the civilian pay budget;
- b) Addressing issues associated with two separate pay systems (CCAS and GS), if applicable;
- c) Determining the composition of the CCAS pay pool in accordance with the established guidelines and statutory constraints;
- d) Reviewing operation of the Component's CCAS pay pools;
- e) Providing guidance to pay pool managers;
- f) Administering funds to CCAS pay pool managers;
- g) Reviewing hiring and promotion salaries;
- h) Monitoring award pool distribution by organization and DAWIA vs. non-DAWIA;
- i) Assessing the need for changes to demonstration project procedures and policies.

Should any participating Component elect not to establish a Personnel Policy Board, the charter of an existing group within that Component must be modified to include the duties detailed above.

Chapter 9 - ACADEMIC DEGREE AND CERTIFICATE TRAINING

9.1 Introduction. The purpose of this initiative is to facilitate continued training and development for employees under this demonstration project. Trained and educated personnel are a critical resource in an acquisition organization, and developing and maintaining their skills are essential.

9.2 Provisions. Currently, DAWIA authorizes degree and certification training for the acquisition workforce through the year 2010. This demonstration project expands its coverage to the acquisition support positions identified in this demonstration project. Training authorized for DAWIA personnel is authorized for all participants in AcqDemo. It also provides authorization at the local level to administer and pay for the degree and certification training programs. Funding for this training is the responsibility of the participating organization. Funds availability must be considered before granting approval.

9.3 Implementation. Local authority to implement this portion of the demonstration project will rest with the installation Commander, Executive Director or equivalent, or his/her designee. Funding and administration, including establishment of any local constraints and procedures, will be the responsibility of this local authority. Local procedures should seek to ensure that employees are selected for educational programs leading to degrees or certificates in a manner that is fair and equitable. Additionally, selected employees may be required to sign continued service agreements when necessary to protect significant Government interests. Participating DoD Component headquarters are encouraged to issue guidance to the field on these matters.

Chapter 10 - SABBATICALS

10.1 Introduction. The purpose of this initiative is to provide local organizations the authority to grant sabbaticals to employees participating in the Acquisition Demonstration Project. Sabbaticals will permit demonstration project employees to engage in study or work experience that will contribute to their individual development and the organization's effectiveness. The sabbatical provides opportunities for an employee to acquire knowledge and expertise that cannot be acquired in the standard working environment. The spectrum of available activities under this program is limited only by the constraint that the activity contributes to the organization's mission and to the employee's development. Potential uses of the sabbatical include training with industry; on-the-job work experience with public, private or nonprofit organizations; participating in an academic or industrial environment; or devoting full-time effort to technical or managerial research.

10.2 Implementation. Local authority to implement this portion of the demonstration project will rest with the installation Commander, Executive Director, or equivalent, or his/her designee. Funding and administration, including designation of any local constraints and procedures for selection of participants, will be the responsibility of this local authority.

Local authority must establish procedures by which employees apply for this program and management accepts/selects participants. Generally, it is expected that application to this program will be made by the employee through the chain-of-command to the employee's installation Commander, Executive Director or equivalent, who will have final approval authority and who will ensure that the activity contributes to the organization's mission and to the employee's development. An employee on sabbatical remains a Federal employee and will continue to receive pay and benefits. DoD Component headquarters are encouraged to issue guidance to the field on these matters.

10.3 Constraints. Local authorities may make the sabbatical available to any demonstration project employee who has seven or more years of Federal service in any Agency. Each sabbatical may be of three to twelve months in duration and must result in a product, service, report, or study that will benefit the acquisition community, as well as increase the employee's individual development.

The only constraint imposed by the demonstration project on any potential sabbatical activity is that the activity must contribute to the organization's mission and the employee's development. Local authorities should specify any other constraints necessary, such as frequency of sabbaticals and requirements for a continued service agreement, to ensure that local requirements and training policies are met. A Sample of the Sabbatical Application Form for the Employee and Supervisor, Commanding Officer and Executive Level Approval can be found in Appendix M.

Chapter 11 - VOLUNTARY EMERITUS PROGRAM

11.1 Introduction. Commanders/Directors have the authority to offer retired or separated individuals voluntary assignments in their activities and to accept the gratuitous services of those individuals. The purpose of this initiative is to provide a means for such individuals to work on a project for a specified period of time while taking advantage of the retirement or buy-out opportunity. This initiative is geared toward the Business Management and Technical Management Professionals (NH) who chose to accept retirement or buy-out opportunities, yet wish to continue working for a defined period of time. Such individuals could also provide valuable on-the-job training or mentoring to less experienced employees. Voluntary Emeritus Program volunteers will not be permitted to monitor contracts on behalf of the Government. The volunteer may be required to submit a financial disclosure form annually and will not be permitted to participate on any contracts where a conflict of interest exists. The same rules that apply to source selection members will apply to volunteers.

11.2 Eligibility. To be selected for a voluntary emeritus assignment, an employee must be recommended to the decision-making authority by one or more acquisition managers/supervisors. No one who applies is entitled to a voluntary emeritus assignment. To encourage participation, the volunteer's Federal retirement pay (whether military or civilian) or buy-out or severance payment based on earlier separation from Federal Service will not be affected while the volunteer is serving in emeritus status. This program may not be used to replace or substitute for work performed by civilian employees occupying regular positions required to perform the mission of the command.

11.3 Implementation Procedures. Local authority to implement this initiative rests with the Commander, Executive Director, or equivalent, or his/her designee. Any funding and administration, including designation of any local constraints and procedures for selection of volunteers, will be the responsibility of this local authority. Among other issues, these local procedures should address security clearance requirements for performance of voluntary emeritus assignments (e.g., if a selectee would require a security clearance for such an assignment, the clearance should be obtained while the selectee is still a Federal employee.)

11.3.1 Application to Participate. An individual interested in applying for a volunteer emeritus assignment must submit a written request to the appropriate supervisor which includes the reasons for wanting to volunteer, what he/she hopes to contribute to the mission, and a brief statement of relevant experience.

11.3.2 Approval. The supervisor will review the package and indicate recommendation to approve or disapprove, including the justification for the position taken. The supervisor's recommendation will be forwarded to the local authority for final consideration and decision. If the recommendation is approved, a volunteer work agreement will be formalized, as shown at Section 11.3.4.

11.3.3 Authorization. After reviewing the request containing the recommendation from the supervisor, the local authority will inform the applicant of the decision. If unfavorable, the applicant will be informed in writing of the reasons for non-selection. If favorable, the local

authority will sign the volunteer work agreement and return it to the supervisor. The applicant will be notified in writing of his/her selection for the Voluntary Emeritus Program. All documentation of the selection decision process for each applicant (whether accepted or rejected) must be in writing and be retained throughout the assignment. Documentation of rejections will be maintained for at least two years after the date of decision.

11.3.4 Written Agreement. An agreement will be established among the volunteer, the decision-making authority, and the Human Resources Office. The agreement must be finalized before the assumption of duties and shall include a statement of understanding between the parties. A sample of Statement of Understanding for Voluntary Emeritus Work Agreement can be found in Appendix M.



ACQUISITION,
TECHNOLOGY
AND LOGISTICS

OFFICE OF THE UNDER SECRETARY OF DEFENSE

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WASHINGTON, DC 20301-3000

DEC 05 2012

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: AcqDemo Memorandum (AM) 12-01 – Career Ladder Positions Within the Civilian Acquisition Workforce Personnel Demonstration Project

References: (a) DoD Civilian Acquisition Workforce Personnel Demonstration Project Operating Procedures, May 15, 2003
(b) 5 CFR 362, Subpart B, Pathways Program, Internship Program
(c) 5 CFR 362, Subpart C, Pathways Program, Recent Graduates Program
(d) Title 5, United States Code
(e) Federal Register Notice, 64 FR 1426, January 8, 1999, as amended, Civilian Acquisition Workforce Personnel Demonstration Project; Department of Defense (DoD); Notice
(f) 5 CFR 362, Subpart D, Pathways Program, Presidential Management Fellows Program

Purpose. AM 12-01 provides guidance regarding the treatment of employees in career-progression positions, known as ‘career ladder positions.’ It describes eligibility for career ladder positions within the DoD Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo), and describes the applicability of AcqDemo with the Federal Pathways Program, implemented in May 2012.

Effective Date. This AM is effective immediately as an augmentation to Reference (a), and will expire upon incorporation into an upcoming revision. Please ensure the widest dissemination possible to all AcqDemo organizations.

Background. AcqDemo career ladder positions typically describe the progression in an occupation from entry-level positions to positions with full performance levels at higher broadband levels offering increased levels of pay for corresponding increases in skill, responsibility, or authority. Due to the implementation of the Pathways Programs, most AcqDemo career ladder positions are expected to be used in one-of-two scenarios. First, it may be used for student interns (formerly hired under the Student Career Experience Program), Reference (b), who are appointed for an initial period expected to last more than one year. Second, it may be used for recent graduates, Reference (c), whose application is received not later than 2 years after the date the individuals completed all requirements of an academic course of study leading to a qualifying associate’s, bachelor’s, master’s, professional, doctorate, vocational or technical degree or certificate from a qualifying educational institution. For those veterans, as defined in

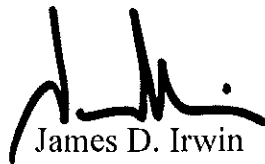
section 2108 of Reference (d), unable to apply within the initial two-year eligibility period due to military service obligations, their eligibility period to apply may extend up to six years from the date on which they completed the requirements of an academic course of study leading to a qualifying degree or certification.

Guidance. It is AcqDemo guidance that:

- In accordance with section II.F. of Reference (e), “Interns [formerly Student Career Experience Program members] assigned to an organization participating in the AcqDemo may be included, as determined by their organization or component.” If not included in AcqDemo, they will need to be included in another appropriate personnel and pay system. Student interns within this category, as provided for in section 362.203(d)(3)(i) of Reference (b), are appointed for an initial period expected to last more than one year.

- Also, in accordance with section II.F of Reference (e), “Employees in the [former] Student Temporary Employment Program (summer hire and stay in school) are excluded from AcqDemo.” Individuals would need to be hired under another appropriate personnel and pay system to be assigned to an AcqDemo organization or team. Students within this category of Pathways are considered to be those appointed on a temporary basis, not to exceed 1 year, to complete temporary projects, to perform labor-intensive tasks not requiring subject-matter expertise, or to fill traditional summer jobs, as provided in Reference (b), section 362.203(d)(3)(ii).

- Individuals hired into a career ladder position under the Pathways Recent Graduate or Presidential Management Fellows Programs, References (c) and (f) respectively, or under other traditional programs or positions for assignment to an organization or team participating in the AcqDemo may be included, as determined by their component, agency, organization, or field activity. If not included in AcqDemo, they would need to be included in another appropriate personnel and pay system.



James D. Irwin
AcqDemo Program Director

DISTRIBUTION:

1-OUSD (AT&L), HCI Director

1-AcqDemo Executive Council Members

Chapter 12 - REVISED REDUCTION-IN-FORCE (RIF) PROCEDURES

12.1 Introduction. RIF shall be conducted according to the provisions of 5 CFR 351, except as otherwise specified below.

12.2 Displacement. For purposes of this demonstration project, displacement means the movement via RIF procedures of a fully qualified employee into a position held by an employee of lower retention standing in the same or lower broadband level. The same broadband level is one that has the same maximum rate of pay as the employee's current broadband level. A lower broadband level is one whose maximum rate of pay is less than the maximum rate of pay of the employee's current broadband (see Table 5 under this chapter).

12.3 Competitive Area. All positions participating in the demonstration project within a given Component and located within the same commuting area may be considered a separate competitive area. Alternatively, Components may establish all or part of the Component at a given geographic location as a competitive area. In any event, employees under this demonstration shall be placed in a different competitive area from employees who are not covered.

12.4 Adjusted Service Computation Date. Employees are entitled to additional years of retention service credit in RIF, based on appraisal results. This credit will be based on the employee's three most recent annual overall contribution scores (OCSs) of record received during the four-year period prior to the issuance of RIF notices. However, if at the time RIF notices are issued, three CCAS cycles have not yet been completed, the annual performance rating of record under the previous performance management system will be substituted for one or more OCSs, as appropriate. Years of retention for a previous performance management system will be accomplished by comparing pattern "E" of 5 CFR 430.208(d) (the OCS pattern) to the non-OCS rating and assigning the appropriate retention credit to that rating as follows:

RETENTION SERVICE CREDIT	APPRAISAL RATING LEVEL
20	Outstanding or equivalent, Level 5
16	Highly Successful or equivalent, Level 4
12	Fully Successful or equivalent, Level 3
0	Unsuccessful, Level 1

An employee who has received at least one but fewer than three previous ratings of record shall receive credit for performance on the basis of the value of the actual rating(s) of record divided by the number of actual ratings received. Employees with three OCS or performance ratings shall receive credit for performance on the basis of the value of the actual ratings of record divided by three. The score derived by this method will be rounded up to the next whole number. In cases where an individual employee has no annual OCS or performance rating of record, an average OCS or performance rating will be assigned and used to determine the additional service credit for that individual. (The average rating is derived from the current ratings of record for the employees in the individual's career path and broadband level within the competitive area affected by the given RIF.) Chapter 14, Table 6, Retention Service Credit Associated With Appraisal Results, shows the years of retention service credit associated with appraisal results.

12.5 Master Retention List. When a competing employee is to be released from his/her position, the activity shall establish separate master retention lists for the competitive and excepted services, by type of work schedule and (for excepted service master retention lists) by appointing authority.

12.6 Order of Retention. Within the above groups, competing employees shall be listed on the master retention list in descending retention standing order as defined by their tenure, veterans' preference, and length of service as determined by their adjusted service computation date (see Section 12.4). Employees will be listed as follows: By tenure group I, group II, group III; within each group by veterans' preference subgroup AD (preference eligible employees with a compensable service-connected disability of 30 percent or more), subgroup A (other preference eligible employees), subgroup B (non-preference eligible employees); and, within each group, by length of service as determined by the adjusted service computation date, beginning with the earliest service date.

12.7 Reduction-in-Force Placement Process. Employees will be ranked in order of their retention standing, beginning with the most senior employee. This employee may displace an employee of lower retention standing occupying a position that is at the same or lower broadband level and is in a series for which the senior employee is fully qualified. (This includes a series in a different career path from the one the employee currently occupies, if that employee is fully qualified.) The undue interruption standard of 5 CFR 351.403(a)(1) shall serve as the criterion to determine if an employee is fully qualified. In addition, to be fully qualified, the employee must meet DAWIA statutory requirements for the position, if applicable. (However, statutory waivers shall continue to apply.) The displaced employee must be appointed under the same authority, if excepted service, and in the same work schedule. Offer of assignment shall be to the position that requires no reduction or the least possible reduction in broadband. Where more than one such position exists, the employee must be offered the position encumbered by the employee with the lowest retention standing. See Chapter 12, Table 5, Example of RIF Process. See Appendix N for RIF Displacement Entitlements.

12.8 Displacement Rights. Displacement rights are normally limited to one broadband level below the employee's present position. However, a preference-eligible employee with a compensable service-connected disability of 30 percent or more may displace up to the two broadband levels below the employee's present position (or the equivalent of five General Schedule grades) below the employee's present level.

12.9 Pay Retention. Employees covered by the demonstration are not eligible for grade retention. Pay retention will be granted to employees downgraded by reduction in force whose rate of basic pay exceeds the maximum salary range of the broadband level to which assigned. Such employees will be entitled to retain the rate of basic pay received immediately before the reduction, not to exceed 150% of the maximum salary of the lower broadband level.

12.10 Reduction-in-Force Appeals. Under the demonstration project, all employees affected by a reduction-in-force action, other than a reassignment, maintain the right to appeal to the Merit Systems Protection Board (MSPB) if they believe the process/procedures were not properly applied.

12.11 Vacant Positions. Prior to RIF, employees may be offered a vacant position in the same broadband as the highest broadband available by displacement. Employees may also be offered placement into vacant positions for which management has waived the qualifications requirements. If the employee is not placed into a vacant position and cannot be made an offer of assignment via displacement, the employee shall be separated.

ANNOTATED MASTER RETENTION LIST						
TENURE & SUBGROUP	RIF SCD	CAREER PATH & BROADBAND	CLASSIFICATION	RIF IMPACT	EMPLOYEE	PLACEMENT/ SEPARATION
I AD	06-02-52	Bus Mgt/Tech Mgt Prof III	NH-2003 Supply Prgm Mgr		Brown, Samuel	
I AD	05-03-53	Bus Mgt/Tech Mgt Prof III	NH-1102 Contract Negotiator	Position abolished	White, Bryan	Displaces Gates
I AD	07-26-55	Tech Mgt Support IV	NJ-802 Engineering Tech		Arnold, Joseph	
I A	11-07-53	Bus Mgt/Tech Mgt Prof III	NH-346 Logistics Mgt Spec	Position abolished	Thomas, Franklin	Displaces Lowe
I A	02-05-54	Bus Mgt/Tech Mgt Prof III	NH-201 Pers Mgt Spec		Smith, Jonathan	
I A	02-07-54	Bus Mgt/Tech Mgt Prof I	NH-2001 Supply Spec		Ludy, Andrew	
I A	02-10-54	Bus Mgt/Tech Mgt Prof II	NH-1102 Contract Specialist		Waters, Edward	
I A	04-22-54	Admin Support I	NK-326 Ofc Automation Clk		Richards, Ralph	
I A	05-09-54	Bus Mgt/Tech Mgt Prof I	NH-346 Logistics Mgt Spec		Goode, Vincent	
I A	10-08-54	Bus Mgt/Tech Mgt Prof II	NH-346 Logistics Mgt Spec		Sugg, Steven	
IB	1-17-51	Admin Support I	NK-326 Ofc Automation Clk		Price, Jane	
I B	03-07-53	Bus Mgt/Tech Mgt Prof III	NH-2003 Supply Prgm Mgr		Jones, Rose	
I B	07-07-53	Bus Mgt/Tech Mgt Prof III	NH-2001 Supply Spec		Franc, Lizette	
I B	07-17-53	Bus Mgt/Tech Mgt Prof IV	NH-201 Pers Mgt Spec		Worth, Jean	
I B	12-01-53	Bus Mgt/Tech Mgt Prof I	NH-2003 Supply Prgm Mgr		King, Elizabeth	
I B	10-31-54	Tech Mgt Support II	NJ-856 Electronics Tech		Hart, Carole	
I B	11-08-54	Tech Mgt Support II	NJ-802 Engineering Tech		Ross, Barbara	
I B	01-10-55	Bus Mgt/Tech Mgt Prof II	NH-2003 Supply Prgm Mgr		Dante, Michele	
II AD	06-08-51	Bus Mgt/Tech Mgt Prof III	NH-201 Pers Mgt Spec	Displaced by Thomas	Lowe, Lydia	Displaces Higgs
II A	02-20-51	Bus Mgt/Tech Mgt Prof II	NH-1102 Contract Specialist	Displaced by White	Gates, Lionel	Separated
II A	07-01-52	Bus Mgt/Tech Mgt Prof I	NH-201 Pers Mgt Spec	Displaces by Lowe	Higgs, Sylvia	Separated

Table 5. Example of RIF Process

Explanation: (1) White's position is abolished. Review of White's official personnel records shows he is fully qualified only for positions in the 1102 series; there is no employee in White's current broadband and the 1102 series; and thus, he displaces Gates, who is in that series and the next lower broadband. Gates, in turn, is separated because there is no one else with a lower retention standing who holds a position for which Gates is fully qualified. (2) Thomas' position is abolished. Thomas displaces Lowe because Thomas is fully qualified for 201 positions, this offer of assignment requires no reduction in broadband, and Lowe is the employee of lowest retention standing. Lowe, in turn, displaces Higgs. As a 30% disabled veteran (subgroup AD), Lowe can be placed up to the equivalent of five GS grades below her present level; thus, she can go from the NH-III to the NH-I broadband in RIF. Finally, Higgs is separated.

Chapter 13 – REALIGNMENT INITIATIVE

(Civilian Acquisition Workforce Demonstration Project. Hold for future use.)

Chapter 14 - MOVEMENT OUT OF THE DEMONSTRATION PROJECT

14.1 Introduction. This chapter describes procedures for movement of employees out of the demonstration project and their conversion to the General Schedule.

If a demonstration project employee is moving to a General Schedule (GS) position not under the demonstration project, or if the project ends and each project employee must be converted back to the GS system, the following procedure will be used to convert the employee's project pay band to a GS grade and the employee's demonstration rate of pay to a GS rate of pay.

The converted GS grade and GS rate of pay must be determined before movement or conversion out of the demonstration project and any accompanying geographic movement, promotion, or other simultaneous action. For conversions upon termination of the project and for lateral assignments, the converted GS grade and rate will become the employee's actual GS grade and rate after leaving the demonstration project (before any other action). For transfers, promotions, and other actions, the converted GS grade and rate will be used in applying any GS pay administration rules applicable in connection with the employee's movement out of the project (e.g., promotion rules, highest previous rate rules, pay retention rules) as if the GS-converted grade and rate were actually in effect immediately before the employee left the demonstration project. In the case of transfer or promotion out of the demonstration project, pay setting is the responsibility of the gaining agency. However, the losing agency will document the GS grade and step the employee would be at if the demonstration project ended at the time the termination SF50 is issued.

14.2 Grade-Setting Provisions. Each broadband level in this demonstration encompasses two or more grades. An employee is converted to one of the grades in their current broadband level according to the following rules:

(a) The employee's adjusted rate of pay under the demonstration project, which includes any locality payment, is compared with the step four rate in the highest applicable GS rate range. For this purpose, a GS rate range includes a rate range in (1) the GS base schedule; (2) the locality rate schedule for the locality pay area in which the position is located; or (3) the appropriate special rate schedule for the employee's occupational series, as applicable. If the series is a two-grade-interval series, only odd-numbered grades are considered below GS-11.

(b) If the employee's adjusted demonstration project rate of pay equals or exceeds the applicable step four rate of the highest GS grade in the band, the employee is converted to that grade.

(c) If the employee's adjusted demonstration project rate of pay is lower than the applicable step four rate of the highest grade, the adjusted rate is compared with the step four rate of the second-highest grade in the employee's pay band. If the

employee's adjusted rate equals or exceeds the step four rate of the second-highest grade, the employee is converted to that grade.

(d) This process is repeated for each successively lower grade in the band until a grade is found in which the employee's adjusted demonstration project rate of pay equals or exceeds the applicable step four rate of the grade. The employee is then converted at that grade. If the employee's adjusted rate of pay is below the step four rate of the lowest grade in the band, the employee is converted to the lowest grade.

(e) Exception: If the employee's adjusted demonstration project rate of pay exceeds the maximum rate of the grade assigned under the above-described step four rule but fits in the rate range for the next higher applicable grade (i.e., between step one and step four), then the employee shall be converted to that next higher applicable grade.

(f) Exception: An employee will not be converted to a lower grade than the grade held by the employee immediately preceding a conversion, lateral assignment, or lateral transfer into the demonstration project, unless, since that time the employee has undergone a reduction in broadband level or reduction in pay based upon an adverse action, a contribution-based action, a reduction-in-force action, or a voluntary change to lower broadband level.

14.3 Pay-Setting Provisions. An employee's pay within the converted GS grade is set by converting the employee's demonstration project rate of pay to a GS rate of pay in accordance with the following rules:

(a) The pay conversion is done before any geographic movement or other pay-related action that coincides with the employee's movement or conversion out of the demonstration project.

(b) An employee's adjusted rate of basic pay under the demonstration project (including any locality payment) is converted to a GS rate on the highest applicable rate range for the converted GS grade. (For this purpose, a GS rate range includes a rate range in (1) the GS base schedule; (2) an applicable locality rate schedule; or (3) an applicable special rate schedule.)

(c) If the highest applicable GS rate range is a locality pay rate range, the employee's adjusted demonstration project rate is converted to a GS locality rate of pay. If this rate falls between two steps in the locality-adjusted schedule, the rate of pay must be set at the higher step. The converted GS unadjusted rate of basic pay would be the GS base rate corresponding to the converted GS locality rate (i.e., same step position). (If this employee is also covered by a special rate schedule as a GS employee, the converted special rate will be determined based on the GS step position. This underlying special rate will be basic pay for certain purposes for which the employee's higher locality rate is not basic pay.)

(d) If the highest applicable GS rate range is a special rate range, the employee's adjusted demonstration project rate is converted to a special rate. If this rate falls between two steps in the special rate schedule, the rate must be set at the higher step. The converted GS unadjusted rate of basic pay will be the GS rate corresponding to the converted special rate (i.e., same step position).

(e) If an employee is receiving a retained rate under the demonstration project, the employee's GS-equivalent grade is the highest grade encompassed in his/her broadband level. The Deputy Under Secretary of Defense (Acquisition Reform) and the Deputy Assistant Secretary of Defense (Civilian Personnel Policy) will coordinate with OPM to prescribe a procedure for determining GS-equivalent pay rates for employees receiving retained rates.

14.4 Within-Grade Increase -- Equivalent Increase Determination. Service under the demonstration project is creditable for within-grade increase purposes upon conversion back to the GS pay system. CCAS base salary increases (including a zero increase) under the demonstration project are equivalent increases for the purpose of determining the commencement of a within-grade increase waiting period under 5 CFR 531.405(b). The date of the last equivalent increase is the first pay period in January, whether or not the individual received a pay increase.

14.5 Retention Service Credit Associated with Appraisal Results. Table 6 below illustrates the years of retention service credit associated with appraisal results.

Business Management and Technical Management Professional (NH)

		OCS Range			
Broadband	OCS	Years of Retention Service Credit			
Level	Normal Range	20	16	12	0
I	0 - 29	21 or above	11 - 20	1 - 10	0
II	22 - 66	56 or above	39-55	22-38	21 or lower
III	61 - 83	76 or above	69-75	61-68	60 or lower
IV	79 - 100	95 or above	87-94	79-86	78 or lower

Technical Management Support (NJ)

		OCS Range			
Broadband	OCS	Years of Retention Service Credit			
Level	Normal Range	20	16	12	0
I	0 - 29	21 or above	11-20	1-10	0
II	22 - 51	42 or above	32-41	22-31	21 or lower
III	43 - 66	59 or above	51-58	43-50	42 or lower
IV	61 - 83	76 or above	69-75	61-68	60 or lower

Administrative Support (NK)

		OCS Range			
Broadband	OCS	Years of Retention Service Credit			
Level	Normal Range	20	16	12	0
I	0 - 29	21 or above	11-20	1-10	0
II	22 - 46	39 or above	30-38	22-29	21 or lower
III	38 - 61	54 or above	46-53	38-45	37 or lower

Table 6. Retention Service Credit Associated With Appraisal Results

The retention service credit that is based on the employee’s OCS as shown in Table 6 will be translated to summary level designators as shown in Table 7 for use by the gaining agency. The gaining agency will take into consideration the data in Table 7 when determining the appraisal rating level.

Retention Service Credit	Appraisal Rating Level
20	Outstanding or equivalent, Level 5
16	Highly Successful or equivalent, Level 4
12	Fully Successful or equivalent, Level 3
0	Unsuccessful, Level 1

Table 7. Translation of Retention Service Credit

Chapter 15 - TRAINING

15.1 Introduction. Training is a very integral and important piece of the demonstration project, from the initial orientation, through project implementation, and throughout the life of the AcqDemo. Information concerning training for supervisors, employees, labor officials and HR specialists is discussed in Appendix K - Training Plan.

15.2 Responsibilities.

15.2.1 Orientation Training. The DoD AcqDemo Project Office is responsible for providing the initial orientation training to all incoming organizations. This orientation training, as listed in Appendix K, can be arranged by contacting AcqDemo Project Office personnel.

15.2.2. Implementation Training. Participating DoD Components are responsible for training every employee and supervisor participating in the AcqDemo, and servicing HR specialists, prior to implementation. This implementation training, as listed in Appendix K, can be provided by either local or component trainers trained for that purpose, or by AcqDemo Project Office Personnel.

15.2.3 Special Purpose Training. Participating DoD Components are responsible to support any additional DoD follow-up demonstration training by providing administrative time for employees to attend, and training rooms and trainers if necessary.

15.2.4 On-going Orientation Training. Participating DoD Components are also responsible for conducting continuous training about the demonstration project for new supervisors and employees entering the demonstration project, and support staff during the life of the project within a reasonable time of entering the position. To facilitate this, DoD Project Office Personnel will conduct training for component/local trainers, preparing them to assume all on-going training requirements or their organization(s). This “Train-the-Trainer” effort will also provide component/local trainers with course materials that can be used to facilitate local training. Refresher training for all participants and supporting personnel is recommended.

15.2.5. Employees, Supervisors, Support Staff. Any person entering a position under the demonstration project or providing support must complete appropriate training. All civilian and military supervisors of AcqDemo employees must complete training on demonstration project initiatives and the CCAS process.

15.3 Training Aids. Training aids provided by DoD during the Train-the-Trainer effort should be used in conjunction with other DoD or Agency-specific training aids or programs. These aids include internet training, videos, briefing charts, manuals, etc.

Chapter 16 - EVALUATION

16.1 Introduction. Demonstration-authorizing legislation (5 U.S.C. Chapter 47) mandates evaluation of the demonstration project to assess the effects of project features and outcomes. In addition, the project will be evaluated for the feasibility of application to other Federal Agencies. The overall evaluation will consist of three phases -- baseline, formative, and summative evaluations -- and will be conducted in accordance with the evaluation plan found on the AcqDemo website. The evaluation for the participating agencies will be overseen by the Office of Merit Systems Oversight and Effectiveness, OPM; the Office of the Secretary of Defense (Acquisition, Technology, & Logistics); and the Office of the Deputy Assistant Secretary of Defense (Civilian Personnel Policy), DoD.

16.2 Purpose. The main purpose of the evaluation is to determine the effectiveness of the personnel system changes undertaken. To the extent possible, strong direct or indirect relationships will be established between the demonstration project features, outcomes, and mission-related changes and personnel system effectiveness criteria. The evaluation approach uses an intervention impact model that specifies each personnel system change as an intervention, the expected effects of each intervention, the corresponding measures, and the data sources for obtaining the measures.

16.3 Evaluation Methodology. Baseline measures (attitude survey and workforce data) were collected prior to project implementation. Thereafter post-implementation measurements are taken to allow longitudinal comparisons by intervention within and across DoD Components. A comparison group was selected and is compared to the demonstration project group to determine the effects and outcomes of the project.

The effectiveness of each intervention and of the demonstration project as a whole in meeting stated objectives are addressed using multi-pronged methods. Some methods do not require inputs from employees or managers. These methods include analysis of archival workforce data and personnel office data, review of logs maintained by site historians documenting contextual events, and assessments of external economic and legislative changes. Other methods such as periodic attitude surveys, structured interviews, and focus groups are used to assess the perceptions of employees, managers, supervisors, and personnel regarding the personnel system changes and the performance of their organizations in general. Evaluation activities also take into account the unique nature of this project in terms of geographical reach and organizational structure.

In addition to the intervention impact model, a general context model is used to determine the effects of potential intervening variables (e.g., downsizing, regionalization of the personnel function, and the state of the economy in general). Potential unintended outcomes also are monitored, and the evaluation team will attempt to link the outcomes of demonstration project interventions to organizational effectiveness. In addition to assessing the impact of the individual project features, the evaluation will also assess the effects of the project as a whole, along with possible context effects and the consequences of intervening variables. The evaluation will also monitor impact on veterans' preference and EEO groups, adherence to the merit systems principles, and avoidance of prohibited personnel practices.

16.4 Evaluation Phases. The initial evaluation effort consists of three main phases -- baseline, formative, and summative evaluation covering five years. The baseline phase collects workforce and attitude survey data to determine the “as-is” state.

The formative evaluation phase includes baseline data collection and analyses, implementation evaluation, and interim assessments. Periodic reports and annual summaries are prepared to document the findings.

The summative evaluation phase will focus on an overall assessment of the project outcomes, looking initially at the first four years, with a follow-on report covering the first five years. The rationale for summative evaluation after the first four years is to assess whether the demonstration will continue after the fifth year. If the analysis indicates that the interventions show a positive effect towards meeting the goals of the demonstration, then documentation will be generated to support a request that the demonstration progress further. If the analysis indicates that the interventions do not meet the stated objectives, or if the participating organizations do not wish to continue in the demonstration, then documentation and planning for conversion back to the existing personnel system may be prepared. The fifth-year summative evaluation will provide overall assessment of all initiatives individually and as a whole. It will also provide recommendations to OPM on potential broader Federal Government application.

16.5 Site Historian. The purpose of the site historian is to capture “history” or intervening events which are important to the evaluation but which are not normally recorded or kept in the usual databases. It is especially important to maintain a written history because of the long period of this demonstration project (5 years) and the multiple sites, which are subject to different influences. One site may be affected by a change in the local environment, which does not affect other localities. Alternatively, a change in policy or an innovation in operating procedure that occurs during one year may be well known at the time it occurs, but may be forgotten or unknown to researchers conducting the evaluation several years later.

As mentioned in the Evaluation Plan (on the AcqDemo website) site historians are required to document changes within the demonstration project workforce, in the environment, or in implementation activities. Use the following to assist in the compilation of this historical documentation:

Changes will normally occur in the external and internal environment, mission, procedures, or resources. For example, environmental changes could be turnover of personnel, downsizing of an organization, local labor market, and economic impacts. Mission changes could be a shift from basic research to development, when the new skills required would lead to different recruitment patterns. Procedural changes could be improved recruitment procedures, a change in work schedules, or other enhancements to employee satisfaction. Resources changes could be budget constraints indicating hiring freezes and/or RIFs are likely; or consolidation of personnel from one site to another; or the renovation of office facilities that may or may not necessitate relocating work sites. Components will develop their own format and methodology for data collection; however, a standard protocol should be followed: (1) every entry should be dated; and

(2) names and titles of relevant parties should be included. This will assist in locating these individuals if follow-up is needed at a later date.

Other occurrences that may be considered for recording:

Designation as developer of new weapons system;

Internal reorganizations;

Hiring freeze lifted; and

Awards received by installation (or organization).

The site historian is not required to make an immediate judgment about the importance or the expected effect of an extraneous event. It is necessary merely to determine that an event might have an effect and, therefore, should be recorded. Some events will be clearly pivotal; others anecdotal. However, even anecdotal items may be useful when aggregated. It is better to err on the side of caution -- compile too much data -- rather than try to reconstruct history.

APPENDIX A

OCCUPATIONAL SERIES COVERED UNDER DEMONSTRATION PROJECT

BUSINESS MANAGEMENT AND TECHNICAL MANAGEMENT PROFESSIONAL (NH)	
SERIES NUMBER	SERIES TITLE
0011	BOND SALES PROMOTION
0018	SAFETY AND OCCUPATIONAL HEALTH MANAGEMENT
0020	COMMUNITY PLANNING SERIES
0023	OUTDOOR RECREATION PLANNING
0025	PARK RANGER
0028	ENVIRONMENTAL PROTECTION SPECIALIST
0030	SPORTS SPECIALIST
0050	FUNERAL DIRECTING
0062	CLOTHING DESIGN
0072	FINGERPRINT IDENTIFICATION
0080	SECURITY ADMINISTRATION
0095	FOREIGN LAW SPECIALIST
0099	GENERAL STUDENT TRAINEE
0101	SOCIAL SCIENCE
0106	UNEMPLOYMENT INSURANCE
0110	ECONOMIST
0130	FOREIGN AFFAIRS
0131	INTERNATIONAL RELATIONS SERIES
0135	FOREIGN AGRICULTURAL AFFAIRS
0136	INTERNATIONAL COOPERATION
0140	MANPOWER RESEARCH AND ANALYSIS
0142	MANPOWER DEVELOPMENT
0150	GEOGRAPHY
0156	ART SPECIALIST
0160	CIVIL RIGHTS ANALYSIS
0170	HISTORY
0180	PSYCHOLOGY
0184	SOCIOLOGY
0185	SOCIAL WORK
0188	RECREATION SPECIALIST
0190	GENERAL ANTHROPOLOGY
0193	ARCHEOLOGY
0199	SOCIAL SCIENCE STUDENT
0201	HUMAN RESOURCES MANAGEMENT
0241	MEDIATION
0243	APPRENTICESHIP AND TRAINING
0244	LABOR MANAGEMENT RELATIONS EXAMINING SERIES
0249	WAGE AND HOUR COMPLIANCE
0260	EQUAL EMPLOYMENT OPPORTUNITY
0299	HUMAN RESOURCES MANAGEMENT STUDENT TRAINEE SERIES
0301	MISCELLANEOUS ADMINISTRATION AND PROGRAM
0340	PROGRAM MANAGEMENT
0341	ADMINISTRATIVE OFFICER
0343	MANAGEMENT AND PROGRAM ANALYSIS
0346	LOGISTICS MANAGEMENT
0360	EQUAL OPPORTUNITY COMPLIANCE

0391	TELECOMMUNICATIONS
0399	ADMINISTRATION AND OFFICE SUPPORT STUDENT TRAINEE
0401	GENERAL BIOLOGICAL SCIENCE
0405	PHARMACOLOGY
0406	AGRICULTURAL EXTENSION
0408	ECOLOGY
0410	ZOOLOGY
0413	PHYSIOLOGY
0414	ENTOMOLOGY
0415	TOXICOLOGY
0430	BOTANY
0434	PLANT PATHOLOGY
0435	PLANT PHYSIOLOGY
0436	PLANT PROTECTION AND QUARANTINE SERIES
0437	HORTICULTURE
0440	GENETICS
0454	RANGE CONSERVATION
0457	SOIL CONSERVATION
0460	FORESTRY
0470	SOIL SCIENCE
0471	AGRONOMY
0480	GENERAL FISH AND WILDLIFE ADMINISTRATION SERIES
0482	FISHERY BIOLOGY
0485	WILDLIFE REFUGE MANAGEMENT
0486	WILDLIFE BIOLOGY
0487	ANIMAL SCIENCE
0493	HOME ECONOMICS
0499	BIOLOGICAL
0501	FINANCIAL ADMINISTRATION AND PROGRAM
0505	FINANCIAL MANAGEMENT
0510	ACCOUNTING
0511	AUDITING
0512	INTERNAL REVENUE AGENT
0560	BUDGET ANALYSIS
0599	FINANCIAL MANGEMENT STUDENT TRAINEE
0601	GENERAL HEALTH SCIENCE
0602	MEDICAL OFFICER
0610	NURSE
0630	DIETICIAN AND NUTRITIONIST
0631	OCCUPATIONAL THERAPIST
0633	PHYSICAL THERAPIST
0635	CORRECTIVE THERAPIST
0637	MANUAL ARTS THERAPIST
0639	EDUCATIONAL THERAPIST
0660	PHARMACIST
0662	OPTOMETRIST
0665	SPEECH PATHOLOGY AND AUDIOLOGY
0668	PODIATRIST
0671	HEALTH SYSTEMS SPECIALIST
0680	DENTAL OFFICER
0690	INDUSTRIAL HYGIENE
0699	MEDICAL AND HEALTH STUDENT TRAINEE
0701	VETERINARY MEDICAL SCIENCE

0799	VETERINARY STUDENT TRAINEE
0801	GENERAL ENGINEERING
0803	SAFETY ENGINEERING
0804	FIRE PROTECTION ENGINEERING
0806	MATERIALS ENGINEERING
0807	LANDSCAPE ARCHITECTURE
0808	ARCHITECTURE
0810	CIVIL ENGINEERING
0819	ENVIRONMENTAL ENGINEERING
0830	MECHANICAL ENGINEERING
0840	NUCLEAR ENGINEERING
0850	ELECTRICAL ENGINEERING
0854	COMPUTER ENGINEERING
0855	ELECTRONICS ENGINEERING
0858	BIOMEDICAL ENGINEERING
0861	AEROSPACE ENGINEERING
0871	NAVAL ARCHITECTURE
0880	MINING ENGINEERING
0881	PETROLEUM ENGINEERING
0890	AGRICULTURAL ENGINEERING
0892	CERAMIC ENGINEERING
0893	CHEMICAL ENGINEERING
0894	WELDING ENGINEERING
0896	INDUSTRIAL ENGINEER
0899	ENGINEERING AND ARCHITECTURE STUDENT TRAINEE
0901	GENERAL LEGAL AND KINDRED ADMINISTRATION
0904	LAW CLERK
0905	GENERAL ATTORNEY
0950	PARALEGAL SPECIALIST
0958	PENSION LAW SPECIALIST
0965	LAND LAW EXAMINING
0967	PASSPORT AND VISA EXAMINING
0987	TAX LAW SPECIALIST
0991	WORKERS' COMPENSATION CLAIMS EXAMINING
0993	SOCIAL INSURANCE CLAIMS EXAMINING
0996	VETERANS CLAIMS EXAMINING
0999	STUDENT TRAINEE
1001	GENERAL ARTS AND INFORMATION
1008	INTERIOR DESIGN
1010	EXHIBITS SPECIALIST
1015	MUSEUM CURATOR
1020	ILLUSTRATOR
1035	PUBLIC AFFAIRS
1040	LANGUAGE SPECIALIST
1056	ART SPECIALIST
1060	PHOTOGRAPHY
1071	AUDIOVISUAL PRODUCTION
1082	WRITING AND EDITING
1083	TECHNICAL WRITING AND EDITING
1084	VISUAL INFORMATION
1099	ARTS STUDENT TRAINEE
1101	GENERAL BUSINESS AND INDUSTRY
1102	CONTRACTING
1103	INDUSTRIAL PROPERTY MANAGEMENT

1104	PROPERTY DISPOSAL
1130	PUBLIC UTILITIES
1140	TRADE SPECIALIST
1144	COMMISSARY STORE MANAGEMENT
1145	AGRICULTURE PROGRAM SPECIALIST
1146	AGRICULTURAL MARKETING
1147	AGRICULTURAL MARKETING REPORTING
1150	INDUSTRIAL SPECIALIST
1160	FINANCIAL ANALYSIS
1163	INSURANCE EXAMINING
1165	LOAN SPECIALIST
1169	INTERNAL REVENUE
1170	REALTY
1171	APPRAISING
1173	HOUSING MANAGEMENT
1176	BUILDING MANAGEMENT
1199	BUSINESS AND INDUSTRY STUDENT TRAINEE
1210	COPYRIGHT
1220	PATENT ADMINISTRATOR
1221	PATENT ADVISOR
1222	PATENT ATTORNEY
1223	PATENT CLASSIFYING
1224	PATENT EXAMINING
1226	DESIGN PATENT EXAMINING
1299	COPYRIGHT AND PATENT STUDENT TRAINEE
1301	GENERAL PHYSICAL SCIENCE
1306	HEALTH PHYSICS
1310	PHYSICS
1313	GEOFYSICS
1315	HYDROLOGY
1320	CHEMISTRY
1321	METALURGY
1330	ASTRONOMY AND SPACE SCIENCE
1340	METEOROLOGY
1350	GEOLOGY
1360	OCEANOGRAPHY
1370	CARTOGRAPHY
1372	GEODESY
1373	LAND SURVEYING
1380	FOREST PRODUCTS TECHNOLOGY
1382	FOOD TECHNOLOGY
1384	TEXTILE TECHNOLOGY
1386	PHOTOGRAPHIC TECHNOLOGY
1397	DOCUMENT ANALYSIS
1399	PHYSICAL SCIENCE STUDENT TRAINEE
1410	LIBRARIAN
1412	TECHNICAL INFORMATION SERVICES
1420	ARCHIVIST
1499	LIBRARY AND ARCHIVES STUDENT TRAINEE
1501	GENERAL MATHEMATICS (AFIT FACULTY ONLY)
1510	ACTUARY
1515	OPERATIONS RESEARCH
1520	MATHEMATICS
1529	MATHEMATICAL STATISTICAN

1530	STATISTICAN
1540	CRYPTOGRAPHY
1541	CRYPTANALYSIS
1550	COMPUTER SCIENCE
1599	MATHEMATICAL AND STATISCAL STUDENT TRAINEE
1601	GENERAL FACILITIES AND EQUIPMENT
1630	CEMETARY ADMINISTRATION
1640	FACILITY MANAGEMENT
1654	PRINTING MANAGEMENT
1670	EQUIPMENT SPECIALIST
1699	EQUIPMENT AND FACILITIES MANAGEMENT STUDENT TRAINEE
1701	GENERAL EDUCATION AND TRAINING
1710	EDUCATION AND VOCATIONAL TRAINING
1712	TRAINING INSTRUCTION
1715	VOCATIONAL REHABILITATION
1720	EDUCATION PROGRAM
1725	PUBLIC HEALTH EDUCATION
1730	EDUCATION RESEARCH
1740	EDUCATION SERVICES
1750	INSTRUCTIONAL SYSTEMS
1799	EDUCATION STUDENT TRAINEE
1801	GENERAL INSPECTION, INVESTIGATION AND COMPLIANCE
1802	COMPLIANCE, INSPECTION AND SUPPORT
1810	GENERAL INVESTIGATING
1816	IMMIGRATION INSPECTION
1822	MINE SAFETY AND HEALTH
1825	AVIATION SAFETY
1831	SECURITIES COMPLIANCE
1854	ALCOHOL, TOBACCO AND FIREARMS INSPECTION
1862	CONSUMER SAFETY INSPECTION
1863	FOOD INSPECTION
1864	PUBLIC HEALTH QUARANTINE INSPECTION
1889	IMPORT SPECIALIST
1890	CUSTOMS INSPECTION
1899	INVESTIGATION STUDENT TRAINEE
1910	QUALITY ASSURANCE
1980	AGRICULTURAL COMMODITY
1999	COMMODITY GRADING QUALITY INSPECTION STUDENT TRAINEE
2001	GENERAL SUPPLY
2003	SUPPLY PROGRAM MANAGEMENT
2010	INVENTORY MAANGEMENT
2030	DISTRIBUTION FACILITIES AND STORAGE MANAGEMENT
2032	PACKAGING
2050	SUPPLY CATALOGING
2099	SUPPLY STUDENT TRAINEE
2101	TRANSPORTATION SPECIALIST
2110	TRANSPORTATION INDUSTRY ANALYSIS
2121	RAILROAD SAFETY
2123	MOTOR CARRIER SAFETY
2125	HIGHWAY SAFETY
2130	TRAFFIC MANAGEMENT

2150	TRANSPORTATION OPERATIONS
2152	AIR TRAFFIC CONTROL
2161	MARINE CARGO
2181	AIR CRAFT OPERATIONS
2183	AIR NAVIGATION
2199	TRANSPORTATION STUDENT TRAINEE
2210	INFORMATION TECHNOLOGY MANGEMENT

TECHNICAL MANAGEMENT SUPPORT (NJ)	
SERIES NUMBER	SERIES TITLE
0019	SAFETY TECHNICIAN
0021	COMMUNITY PLANNING TECHNICIAN
0102	SOCIAL SCIENCE AIDE AND TECHNICIAN
0181	PSYCHOLOGY AID AND TECHNICIAN
0187	SOCIAL SERVICES
0332	COMPUTER OPERATION
0342	SUPPORT SERVICES ADMINISTRATION
0390	TELECOMMUNICATIONS PROCESSING
0392	GENERAL TELECOMMUNICATIONS
0404	BIOLOGICAL SCIENCE TECHNICIAN
0421	PLANT PROTECTION TECHNICIAN
0455	RANGE TECHNICIAN
0458	SOIL CONSERVATION TECHNICIAN
0459	IRRIGATION SYSTEMS OPERATION
0462	FORESTRY TECHNICIAN
0526	TAX TECHNICIAN
0592	TAX EXAMINING
0620	PRACTICAL NURSE
0621	NURSING ASSISTANT
0622	MEDICAL SUPPLY AIDE AND TECHNICIAN
0640	HEALTH AIDE AND TECHNICIAN
0642	NUCLEAR MEDICINE TECHNICIAN
0644	MEDICAL TECHNOLOGIST
0645	MEDICAL TECHNICIAN
0646	PATHOLOGY TECHNICIAN
0647	DIAGNOSTIC RADIOLOGIC TECHNOLOGIST
0648	THERAPEUTIC RADIOLOGIC TECHNOLOGIST
0649	MEDICAL INSTRUMENT TECHNICIAN
0661	PHARMACY TECHNICIAN
0664	RESTORATION TECHNICIAN
0672	PROSTHETIC REPRESENTATIVE
0675	MEDICAL RECORDS TECHNICIAN
0682	DENTAL HYGIENE
0683	DENTAL LABORATORY AIDE AND TECHNICIAN
0698	ENVIRONMENTAL HEALTH TECHNICIAN
0802	ENGINEERING TECHNICIAN
0809	CONSTRUCTION CONTROL
0817	SURVEYING TECHNICIAN
0818	ENGINEERING DRAFTING
0856	ELECTRONICS TECHNICIAN
0873	SHIP SURVEYING
0895	INDUSTRIAL ENGINEERING TECHNICIAN
0962	CONTACT REPRESENTATIVE

0963	LEGAL INSTRUMENTS EXAMINING
1016	MUSEUM SPECIALIST AND TECHNICIAN
1152	PRODUCTION CONTROL
1202	PATENT TECHNICIAN
1311	PHYSICAL SCIENCE TECHNICIAN
1316	HYDRAULIC TECHNICIAN
1341	METEOROLOGICAL TECHNICIAN
1371	CARTOGRAPHIC TECHNICIAN
1374	GEODETTIC TECHNICIAN
1411	LIBRARY TECHNICIAN
1421	ARCHIVES TECHNICIAN
1521	MATHEMATICS TECHNICIAN
1531	STATISTICAL ASSISTANT
1658	LAUNDRY AND DRY CLEANING PLANT MANAGEMENT
1667	STEWARD
1702	EDUCATION AND TRAINING TECHNICIAN
2005	SUPPLY CLERICAL AND TECHNICIAN
2185	AIRCREW TECHNICIAN

ADMINISTRATIVE SUPPORT (NK)	
SERIES NUMBER	SERIES TITLE
0029	ENVIRONMENTAL PROTECTION ASSISTANT
0085	SECURITY GUARD
0086	SECURITY CLERICAL AND ASSISTANCE
0105	SOCIAL INSURANCE ADMINISTRATOR
0107	HEALTH INSURANCE ADMINISTRATOR
0119	ECONOMICS ASSISTANT
0186	SOCIAL SERVICES AIDE AND ASSISTANCE
0189	RECREATION AIDE AND ASSISTANCE
0203	HUMAN RESOURCES ASSISTANCE
0303	MISCELLANEOUS CLERK AND ASSISTANT
0304	INFORMATION RECEPTIONIST
0305	MAIL AND FILE
0309	CORRESPONDENCE CLERK
0312	CLERK-STENOGRAPHER AND REPORTER
0313	WORK UNIT SUPERVISOR
0318	SECRETARY
0319	CLOSED MICROPHONE REPORTER
0322	CLERK TYPIST
0326	OFFICE AUTOMATION CLERICAL AND ASSISTANCE
0335	COMPUTER CLERK AND ASSISTANCE
0344	MANAGEMENT AND PROGRAM CLERICAL AND ASSISTANCE
0350	EQUIPMENT OPERATOR
0351	PRINTING CLERICAL
0356	DATA TRANSCRIBER
0357	CODING
0361	EQUAL OPPORTUNITY ASSISTANCE
0382	TELEPHONE OPERATING
0394	COMMUNICATIONS CLERICAL
0503	FINANCIAL CLERICAL AND ASSISTANCE
0525	ACCOUNTING TECHNICIAN

0530	CASH PROCESSING
0540	VOUCHER EXAMINING
0544	CIVILIAN PAY
0545	MILITARY PAY
0561	BUDGET CLERICAL AND ASSISTANCE
0625	AUTOPSY ASSISTANT
0650	MEDICAL TECHNICIAN
0679	MEDICAL CLERK
0681	DENTAL ASSISTANT
0986	LEGAL ASSISTANCE
0998	CLAIMS CLERICAL
1087	EDITORIAL ASSISTANCE
1105	PURCHASING
1106	PROCUREMENT CLERICAL AND ASSISTANCE
1107	PROPERTY DISPOSAL CLERICAL AND TECHNICIAN
2091	SALES STORE CLERICAL
2102	TRANSPORTATION CLERK AND ASSISTANT
2131	FREIGHT RATE
2132	TRAVEL
2134	SHIPMENT CLERICAL
2135	TRANSPORTATION LOSS AND DAMAGE CLAIMS EXAMINING
2144	CARGO SCHEDULING
2151	DISPATCHING
2154	AIR TRAFFIC ASSISTANCE

Any future modifications to the OPM occupational families and classification standards are assumed to be incorporated in this table, so long as they meet the requirements outlined in the *Federal Register*.

APPENDIX B

DEFINITIONS OF CAREER PATHS AND CAREER BROADBAND LEVELS

Career Path: Business Management and Technical Management Professional (NH)

Includes professional and management positions in science, engineering, and business management. These positions often have positive degree requirements.

Level I. Includes student trainees. Education and employment must be part of a formal student employment program. Specific, clear and detailed instructions and supervision are given. The level of education and experience completed is a major consideration in establishing the level of on-the-job training and work assignments.

Level II. This is the entry or developmental stage, preparing employees for the full and independent performance of their work. Specific, clear, and detailed instructions and supervision are given upon entry; recurring assignments are carried out independently. Conducts successive activities with objectives and priorities identified by supervisor or team leader; assistance given on new or unusual projects or situations. Finished work is reviewed to ensure accuracy and technical soundness.

Level III. This is the advanced developmental/target career level of this career path. Employee plans and carries out assignments independently; conceives and defines solutions to highly complex problems; analyzes, interprets, and reports findings of projects; and guides technical and programmatic work of team members in comparable junior grades. Completed work and reports are reviewed for feasibility, compatibility with other work or effectiveness in meeting requirements or expected results.

Level IV. Professionals at this level are experts within their functional areas; heads of branches or divisions; or key program administrators. Conducts or directs activities or assists higher levels on challenging and innovative program development with only general guidance on policy, resources and planning; develops solutions to highly complex problems requiring various disciplines; responsible for fulfilling program objectives. Results are authoritative and impact programs or the well-being of substantial numbers of people.

Career Path: Technical Management Support (NJ)

Includes nonprofessional positions that support science and engineering activities through application of various skills in areas such as the following: engineering, physical, chemical, biological and mathematical sciences.

Level I. This includes trainees who develop technical support knowledge through actual work experience. Performs repetitive tasks using knowledge of standardized procedures and operations. Receives specific, clear and detailed instruction and supervision. Completed work is reviewed for technical soundness.

Level II. Technicians at this level require a practical knowledge of standard procedures in a technical field. Skill in applying knowledge of basic principles, concepts, and methodology

of occupational and/or technical methods is required. Carries out prescribed procedures and relies heavily on precedent methods. Work is reviewed for technical adequacy and accuracy, and adherence to instructions.

Level III. This is the advanced developmental level of this career path, requiring extensive training or experience. Work requires some adapting of existing precedents or techniques. Receives outline of objectives desired and description of operating characteristics and theory involved. Completed assignments are reviewed for compliance with instructions, adequacy, judgment, and satisfaction of requirements.

Level IV. Technicians at this level are considered to have professional level knowledge of a specific field. Receives general guidance on overall objectives and resources. Conceives, recommends, and tests new techniques or methods. Completed work is reviewed for overall soundness and compliance with overall project objectives.

Career Path: Administrative Support (NK)

Includes clerical, secretarial and assistant work in nonscientific/engineering occupations.

Level I. This includes student trainees as well as advanced entry level that requires a fundamental knowledge of clerical/administrative field. Developmental assignments may be given which lead to duties at a higher group level. Performs repetitive tasks; specific, clear, and detailed instruction and supervision; with more experience utilizes knowledge of standardized procedures and operations. Assistance is given on new or unusual projects. Completed work is reviewed for technical soundness.

Level II. This is the journey level that requires knowledge of standardized rules, procedures or operations requiring considerable training. General guidance is received on overall objectives and resources. Completed assignments may be reviewed for overall soundness or meeting expected results.

Level III. This is the senior level that requires knowledge of extensive procedures and operations requiring extensive training. Receives general guidance on overall resources and objectives. Skilled in applying knowledge of basic principles, concepts and methodology of administrative occupation and/or technical methods. Results are accepted as authoritative and normally without significant change.

APPENDIX C

BROADBAND LEVEL DESCRIPTORS

CAREER PATH: (1) BUSINESS MANAGEMENT AND TECHNICAL MANAGEMENT PROFESSIONAL (NH)

FACTOR: 1. - PROBLEM SOLVING

FACTOR DESCRIPTION: This factor describes/captures personal and organizational problem-solving results.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
Work is timely, efficient, and of acceptable quality. Completed work meets projects/programs objectives. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level.
Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
<p>Level I</p> <ul style="list-style-type: none">• Performs activities on a task; assists supervisor or other appropriate personnel.• Resolves routine problems within established guidelines.• Independently performs assigned tasks within area of responsibility; refers situations to supervisor or other appropriate personnel when existing guidelines do not apply.• Takes initiative in determining and implementing appropriate procedures.	<ul style="list-style-type: none">- Scope/Impact- Complexity/Difficulty- Independence- Creativity
<p>Level II</p> <ul style="list-style-type: none">• Plans and conducts functional technical activities for projects/programs.• Identifies, analyzes, and resolves complex/difficult problems.• Independently identifies and resolves conventional problems which may require deviations from accepted policies or instructions.• Adapts existing plans and techniques to accomplish complex projects/programs. Recommends improvements to the design or operation of systems, equipment, or processes.	<ul style="list-style-type: none">- Scope/Impact- Complexity/Difficulty- Independence- Creativity

<p>Level III</p> <ul style="list-style-type: none"> • Independently defines, directs, or leads highly challenging projects/programs. Identifies and resolves highly complex problems not susceptible to treatment by accepted methods. • Develops, integrates, and implements solutions to diverse, highly complex problems across multiple areas and disciplines. • Anticipates problems, develops sound solutions and action plans to ensure program/mission accomplishment. • Develops plans and techniques to fit new situations to improve overall program and policies. Establishes precedents in application of problem-solving techniques to enhance existing processes. 	<ul style="list-style-type: none"> - Scope/Impact - Complexity/Difficulty - Independence - Creativity
<p>Level IV</p> <ul style="list-style-type: none"> • Defines, establishes, and directs organizational focus (on challenging and highly complex project/programs). Identifies and resolves highly complex problems that cross organizational boundaries and promulgates solutions. Resolution of problems requires mastery of the field to develop new hypotheses or fundamental new concepts. • Assesses and provides strategic direction for resolution of mission critical problems, policies, and procedures. • Works at senior level to define, integrate, and implement strategic direction for vital programs with long-term impact on large numbers of people. Initiates actions to resolve major organizational issues. Promulgates innovative solutions and methodologies. • Works with senior management to establish new fundamental concepts and criteria and stimulate the development of new policies, methodologies, and techniques. Converts strategic goals into programs or policies. 	<ul style="list-style-type: none"> - Scope/Impact - Complexity/Difficulty - Independence - Creativity

FACTOR: 2. - TEAMWORK/COOPERATION

FACTOR DESCRIPTION: This factor, applicable to all teams, describes/captures individual and organizational teamwork and cooperation.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
 Work is timely, efficient, and of acceptable quality. Personal and organizational interactions exhibit and foster cooperation and teamwork. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
Level I <ul style="list-style-type: none"> • Works with others to accomplish routine tasks. • Contributes ideas in own area of expertise. Interacts cooperatively with others. • Regularly completes assignments in support of team goals. 	- Scope of Team Effort - Contribution to Team - Effectiveness
Level II <ul style="list-style-type: none"> • Works with others to accomplish projects/programs. • Uses varied approaches to resolve or collaborate on projects/programs issues. Facilitates cooperative interactions with others. • Guides/supports others in executing team assignments. Proactively functions as an integral part of the team. 	- Scope of Team Effort - Contribution to Team - Effectiveness
Level III <ul style="list-style-type: none"> • Works with others to accomplish complex projects/programs. • Applies innovative approaches to resolve unusual/difficult issues significantly impacting important policies or programs. Promotes and maintains environment for cooperation and teamwork. • Leads and guides others in formulating and executing team plans. Expertise is sought by peers. 	- Scope of Team Effort - Contribution to Team - Effectiveness
Level IV <ul style="list-style-type: none"> • Leads/guides/mentors workforce in dealing with complex problems. • Solves broad organizational issues. Implements strategic plans within and across organizational components. Ensures a cooperative teamwork environment. • Leads/guides workforce in achieving organizational goals. Participates on high-level teams. Is sought out for consultation. 	- Scope of Team Effort - Contribution to Team - Effectiveness

FACTOR: 3. - CUSTOMER RELATIONS

FACTOR DESCRIPTION: This factor describes/captures the effectiveness of personal and organizational interactions with customers (anyone to whom services or products are provided), both internal (within an assigned organization) and external (outside an assigned organization).

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
 Work is timely, efficient, and of acceptable quality. Personal and organizational interactions enhance customer relations and actively promote rapport with customers. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
Level I <ul style="list-style-type: none"> • Independently carries out routine customer requests. • Participates as a team member to meet customer needs. • Interacts with customers on routine issues with appropriate guidance. 	<ul style="list-style-type: none"> - Breadth of Influence - Customer Needs - Customer Interaction Level
Level II <ul style="list-style-type: none"> • Guides the technical/functional efforts of individuals or team members as they interact with customers. • Initiates meetings and interactions with customers to understand customer needs/expectations. • Interacts independently with customers to communicate information and coordinate actions. 	<ul style="list-style-type: none"> - Breadth of Influence - Customer Needs - Customer Interaction Level
Level III <ul style="list-style-type: none"> • Guides and integrates functional efforts of individuals or teams in support of customer interaction. Seeks innovative approaches to satisfy customers. • Establishes customer alliances, anticipates and fulfills customer needs, and translates customer needs to programs/projects. • Interacts independently and proactively with customers to identify and define complex/difficult problems and to develop and implement strategies or techniques for resolving program/project problems (e.g., determining priorities and resolving conflict among customers' requirements). 	<ul style="list-style-type: none"> - Breadth of Influence - Customer Needs - Customer Interaction Level
Level IV <ul style="list-style-type: none"> • Leads and manages the organizational interactions with customers from a strategic standpoint. • Works to assess and promulgate political, fiscal, and other factors affecting customer and program/project needs. Works with customer at management levels to resolve problems affecting programs/projects (e.g., problems that involve determining priorities and resolving conflicts among customers' requirements). • Works at senior level to stimulate customer alliances for program/project support. Stimulates, organizes, and leads overall customer interactions. 	<ul style="list-style-type: none"> - Breadth of Influence - Customer Needs - Customer Interaction Level

FACTOR: 4. - LEADERSHIP/SUPERVISION

FACTOR DESCRIPTION: This factor describes/captures individual and organizational leadership and/or supervision. Recruits, develops, motivates, and retains quality team members in accordance with EEO/AA and Merit Principles. Takes timely/appropriate personnel actions, communicates mission and organizational goals; by example, creates a positive, safe, and challenging work environment; distributes work and empowers team members.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels): Work is timely, efficient, and of acceptable quality. Leadership and/or supervision effectively promote commitment to mission accomplishment. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
<p>LEVEL I</p> <ul style="list-style-type: none"> • Takes initiative in accomplishing assigned tasks. • Provides inputs to others in own technical/functional area. • Seeks and takes advantage of developmental opportunities. 	<ul style="list-style-type: none"> - Leadership Role - Breadth of Influence - Mentoring/Employee Development
<p>LEVEL II</p> <ul style="list-style-type: none"> • 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. 	<ul style="list-style-type: none"> - Leadership Role - Breadth of Influence - Mentoring/Employee Development
<p>Level III</p> <ul style="list-style-type: none"> • 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. 	<ul style="list-style-type: none"> - Leadership Role - Breadth of Influence - Mentoring/Employee Development
<p>LEVEL IV</p> <ul style="list-style-type: none"> • 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. 	<ul style="list-style-type: none"> - Leadership Role - Breadth of Influence - Mentoring/Employee Development

FACTOR: 5. - COMMUNICATION

FACTOR DESCRIPTION: This factor describes/captures the effectiveness of oral/written communications.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
 Work is timely, efficient, and of acceptable quality. Communications are clear, concise, and at appropriate level. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
<p>LEVEL I</p> <ul style="list-style-type: none"> • Communicates routine task status/results as required. • Provides timely data and written analyses for input to management/technical reports or contractual documents. • Explains status/results of assigned tasks. 	<ul style="list-style-type: none"> - Level of Interaction (Audience) - Written - Oral
<p>LEVEL II</p> <ul style="list-style-type: none"> • Communicates team or group tasking results, internally and externally, at peer levels. • Writes, or is a major contributor to, management/technical reports or contractual documents. • Presents informational briefings. 	<ul style="list-style-type: none"> - Level of Interaction (Audience) - Written - Oral
<p>LEVEL III</p> <ul style="list-style-type: none"> • Communicates project or program results to all levels, internally and externally. • Reviews and approves, or is a major contributor to/lead author of, management reports or contractual documents for external distribution. Provides inputs to policies. • Presents briefings to obtain consensus/approval. 	<ul style="list-style-type: none"> - Level of Interaction (Audience) - Written - Oral
<p>LEVEL IV</p> <ul style="list-style-type: none"> • Determines and communicates organizational positions on major projects or policies to senior level. • Prepares, reviews, and approves major reports or policies of organization for internal and external distribution. Resolves diverse viewpoints/controversial issues. • Presents organizational briefings to convey strategic vision or organizational policies. 	<ul style="list-style-type: none"> - Level of Interaction (Audience) - Written - Oral

FACTOR: 6. - RESOURCE MANAGEMENT

FACTOR DESCRIPTION: This factor describes/captures personal and organizational utilization of resources to accomplish the mission. (Resources include, but are not limited to, personal time, equipment and facilities, human resources, and funds.)

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
 Work is timely, efficient, and of acceptable quality. Resources are utilized effectively to accomplish mission. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
<p>LEVEL I</p> <ul style="list-style-type: none"> • Uses assigned resources needed to accomplish tasks. • Plans individual time and assigned resources to accomplish tasks. • Effectively accomplishes assigned tasks. 	<ul style="list-style-type: none"> - Scope of Responsibility - Planning/Budgeting - Execution/Efficiency
<p>LEVEL II</p> <ul style="list-style-type: none"> • Plans and utilizes appropriate resources to accomplish project goals. • Optimizes resources to accomplish projects/programs within established schedules. • Effectively accomplishes projects/programs goals within established resource guidelines. 	<ul style="list-style-type: none"> - Scope of Responsibility - Planning/Budgeting - Execution/Efficiency
<p>LEVEL III</p> <ul style="list-style-type: none"> • Plans and allocates resources to accomplish multiple projects/programs. • Identifies and optimizes resources to accomplish multiple projects/programs goals. • Effectively accomplishes multiple projects/programs goals within established guidelines. 	<ul style="list-style-type: none"> - Scope of Responsibility - Planning/Budgeting - Execution/Efficiency
<p>LEVEL IV</p> <ul style="list-style-type: none"> • Develops, acquires, and allocates resources to accomplish mission goals and strategic objectives. • Formulates organizational strategies, tactics, and budget/action plan to acquire and allocate resources. • Optimizes, controls, and manages all resources across projects/programs. Develops and integrates innovative approaches to attain goals and minimize expenditures. 	<ul style="list-style-type: none"> - Scope of Responsibility - Planning/Budgeting - Execution/Efficiency

CAREER PATH: (2) TECHNICAL MANAGEMENT SUPPORT (NJ)

FACTOR: 1. - PROBLEM SOLVING

FACTOR DESCRIPTION: This factor describes/captures personal and organizational problem-solving.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
 Work is timely, efficient, and of acceptable quality. Completed work meets project/program objectives. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
<p>LEVEL I</p> <ul style="list-style-type: none"> • Conducts activities on a task; assists supervisors or other appropriate personnel. • Resolves routine problems within established guidelines. • Works with others in solving problems with appropriate guidance. • Takes initiative in selecting and implementing appropriate procedures. 	<ul style="list-style-type: none"> - Scope/Impact - Complexity/Difficulty - Independence - Creativity
<p>LEVEL II</p> <ul style="list-style-type: none"> • Plans and conducts technical activities for projects. • Identifies and resolves non-routine technical problems utilizing established patterns and methods. • Identifies and resolves problems; adapts accepted policies, procedures, or methods with moderate guidance. • Adapts existing plans and techniques to accomplish projects. 	<ul style="list-style-type: none"> - Scope/Impact - Complexity/Difficulty - Independence - Creativity
<p>LEVEL III</p> <ul style="list-style-type: none"> • Plans and conducts challenging and difficult technical activities for projects/programs. • Develops, integrates, and implements solutions to complex problems on projects/programs. • Identifies problems; develops solutions and action plans with minimal guidance. • Develops plans and techniques to fit new situations. 	<ul style="list-style-type: none"> - Scope/Impact - Complexity/Difficulty - Independence - Creativity
<p>LEVEL IV</p> <ul style="list-style-type: none"> • Identifies and resolves complex problems that may cross functional/technical boundaries and promulgates solutions. • Develops, integrates/implements solutions to diverse, complex problems which may cross multiple projects/programs or functional/technical areas. • Independently resolves and coordinates technical problems involving multiple projects/programs. • Develops plans and techniques to fit new situations and/or to address issues that cross technical/functional areas. 	<ul style="list-style-type: none"> - Scope/Impact - Complexity/Difficulty - Independence - Creativity

FACTOR: 2. - TEAMWORK/COOPERATION

FACTOR DESCRIPTION: This factor describes/captures individual and organizational teamwork and cooperation.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
 Work is timely, efficient, and of acceptable quality. Personal and organizational interactions exhibit and foster cooperation and teamwork. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I <ul style="list-style-type: none"> • Works with others to accomplish routine tasks. • Contributes ideas in own area of expertise. Interacts cooperatively with others. • Regularly completes assignments in support of team goals. 	<ul style="list-style-type: none"> - Scope of Team Effort - Contribution to Team - Effectiveness
LEVEL II <ul style="list-style-type: none"> • Works with others in accomplishing projects. • Contributes ideas in own area of expertise. Facilitates cooperative interactions with others. • Supports others in executing team assignments. Proactively functions as an integral part of the team. 	<ul style="list-style-type: none"> - Scope of Team Effort - Contribution to Team - Effectiveness
LEVEL III <ul style="list-style-type: none"> • Works with others to accomplish complex projects/programs. • Guides others to resolve or collaborate on complex projects/programs issues. Promotes cooperative interactions with others. • Integrates technical expertise and guides activities to support team accomplishment. 	<ul style="list-style-type: none"> - Scope of Team Effort - Contribution to Team - Effectiveness
LEVEL IV <ul style="list-style-type: none"> • Leads others to accomplish complex projects and programs. • Applies innovative approaches to resolve unusual/difficult technical/management issues. Promotes and maintains environment for cooperation and teamwork. • Leads and guides others in formulating and executing team plans. Expertise is sought by others. 	<ul style="list-style-type: none"> - Scope of Team Effort - Contribution to Team - Effectiveness

FACTOR: 3. - CUSTOMER RELATIONS

FACTOR DESCRIPTION: This factor describes/captures the effectiveness of personal and organizational interactions with customers (anyone to whom services or products are provided), both internal (within an assigned organization) and external (outside an assigned organization).

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
 Work is timely, efficient, and of acceptable quality. Personal and organizational interactions enhance customer relations and actively promote rapport with customers. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I <ul style="list-style-type: none"> • Assists customer support activities. • Participates as a team member to meet customer needs. • Interacts with customers on routine issues with appropriate guidance. 	<ul style="list-style-type: none"> - Breadth of Influence - Customer Needs - Customer Interaction Level
LEVEL II <ul style="list-style-type: none"> • Actively participates with others to satisfy customer requests. • Interacts with customers to respond to customer needs/expectations. • Interacts with customers to communicate information and coordinate action. 	<ul style="list-style-type: none"> - Breadth of Influence - Customer Needs - Customer Interaction Level
LEVEL III <ul style="list-style-type: none"> • Guides the technical efforts of individuals or teams as they relate with customers. Deviates from standard approaches when necessary. • Initiates meetings and interactions with customers to understand customer needs/expectations. • Interacts independently and proactively with customers to identify/define problems and to implement solutions. 	<ul style="list-style-type: none"> - Breadth of Influence - Customer Needs - Customer Interaction Level
LEVEL IV <ul style="list-style-type: none"> • Leads and coordinates technical efforts of individuals or teams in support of customer interactions. Develops innovative approaches to satisfy customers. • Establishes customer alliances; anticipates and fulfills customer needs and translates customer needs to projects/programs. Organizes and leads customer interactions. • Interacts proactively with customers to identify and define complex/controversial problems and to develop and implement strategies or techniques for resolving projects/programs issues. 	<ul style="list-style-type: none"> - Breadth of Influence - Customer Needs - Customer Interaction Level

FACTOR: 4. - LEADERSHIP/SUPERVISION

FACTOR DESCRIPTION: This factor describes/captures individual and organizational leadership and/or supervision. Recruits, develops, motivates, and retains quality team members in accordance with EEO/AA and Merit Principles. Takes timely/appropriate personnel actions, communicates mission and organizational goals; by example, creates a positive, safe, and challenging work environment; distributes work and empowers team members.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels): Work is timely, efficient, and of acceptable quality. Leadership and/or supervision effectively promote commitment to mission accomplishment. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
<p>LEVEL I</p> <ul style="list-style-type: none"> • Takes initiative in accomplishing assigned tasks. Asks for assistance as appropriate. • Provides input to others in technical/functional area. • Seeks and takes advantage of developmental opportunities. 	<ul style="list-style-type: none"> - Leadership Role - Breadth of Influence - Mentoring/Employee Development
<p>LEVEL II</p> <ul style="list-style-type: none"> • Actively contributes as team member; takes initiative to accomplish assigned projects. • Consults and coordinates with others to complete projects within established guidelines. • Identifies and pursues individual/team developmental opportunities. 	<ul style="list-style-type: none"> - Leadership Role - Breadth of Influence - Mentoring/Employee Development
<p>LEVEL III</p> <ul style="list-style-type: none"> • Actively contributes as team member or leader. Recognized for functional/technical expertise. • Defines, organizes, and assigns activities to accomplish goals. Guides, motivates and oversees others in accomplishing projects/programs. • Promotes developmental opportunities for self and team. Advises others to seek specific training. 	<ul style="list-style-type: none"> - Leadership Role - Breadth of Influence - Mentoring/Employee Development
<p>LEVEL IV</p> <ul style="list-style-type: none"> • Provides guidance to individuals/teams; resolves conflicts. Serves as subject matter expert. • Guides, motivates, and oversees multiple complex projects/programs. • Directs assignments to encourage employee development and cross-technical/functional growth to meet organizational needs. Pursues self-development. 	<ul style="list-style-type: none"> - Leadership Role - Breadth of Influence - Mentoring/Employee Development

FACTOR: 5. - COMMUNICATION

FACTOR DESCRIPTION: This factor describes/captures the effectiveness of oral/written communications.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels): Work is timely, efficient, and of acceptable quality. Communications are clear, concise, and at appropriate level. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I <ul style="list-style-type: none"> • Communicates routine task/status/results as required. • Provides data and accurate draft documentation of assigned tasks for input to reports or documents. • Explains status/results of assigned tasks. 	<ul style="list-style-type: none"> - Level of Interaction (Audience) - Written - Oral
LEVEL II <ul style="list-style-type: none"> • Communicates team or group project status/results at equivalent levels within the agency. • Writes segments of management/technical reports or documents. • Communicates group/team results. 	<ul style="list-style-type: none"> - Level of Interaction (Audience) - Written - Oral
LEVEL III <ul style="list-style-type: none"> • Communicates projects/programs status/results to management. • Consolidates input and writes management/technical reports/documents for projects/programs. • Presents projects/programs briefings. 	<ul style="list-style-type: none"> - Level of Interaction (Audience) - Written - Oral
LEVEL IV <ul style="list-style-type: none"> • Determines and communicates projects/programs positions at senior levels. • Prepares, reviews, and approves management/technical reports for internal and external distribution. • Presents projects/programs briefings to obtain consensus/approval. Represents the organization as technical subject matter expert. 	<ul style="list-style-type: none"> - Level of Interaction (Audience) - Written - Oral

FACTOR: 6. - RESOURCE MANAGEMENT

FACTOR DESCRIPTION: This factor describes/captures personal and organizational utilization of resources to accomplish the mission.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels): Work is timely, efficient, and of acceptable quality. Resources are utilized effectively to accomplish mission. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I <ul style="list-style-type: none"> • Uses assigned resources to accomplish tasks. • Plans individual time to accomplish tasks. • Effectively accomplishes assigned tasks with appropriate guidance. 	<ul style="list-style-type: none"> - Scope of Responsibility - Planning/Budgeting - Execution/Efficiency
LEVEL II <ul style="list-style-type: none"> • Identifies and uses resources appropriately to accomplish projects. • Plans resources to achieve task schedules. • Independently accomplishes assigned tasks. 	<ul style="list-style-type: none"> - Scope of Responsibility - Planning/Budgeting - Execution/Efficiency
LEVEL III <ul style="list-style-type: none"> • Plans and utilizes appropriate resources to accomplish projects/programs. • Optimizes resources to accomplish projects within established milestones. • Effectively accomplishes projects/programs within established resource guidelines. 	<ul style="list-style-type: none"> - Scope of Responsibility - Planning/Budgeting - Execution/Efficiency
LEVEL IV <ul style="list-style-type: none"> • Plans and allocates resources to accomplish multiple project/program goals. • Identifies and optimizes resources to accomplish multiple project/program goals. • Effectively accomplishes multiple project/program goals within established thresholds. Develops innovative approaches to attain goals and minimize resource expenditures. 	<ul style="list-style-type: none"> - Scope of Responsibility - Planning/Budgeting - Execution/Efficiency

CAREER PATH: (3) ADMINISTRATIVE SUPPORT (NK)

FACTOR: 1. - PROBLEM SOLVING

FACTOR DESCRIPTION: This factor describes/captures personal and organizational problem solving.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
 Work is timely, efficient, and of acceptable quality. Completed work meets project/program objectives. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level.
 Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
<p>LEVEL I</p> <ul style="list-style-type: none"> • Conducts activities on a segment of a task. Assists supervisor or other appropriate personnel. • Applies standard rules, procedures, or operations to resolve routine problems. • Independently carries out routine tasks. • Takes initiative in selecting and implementing appropriate procedures. 	<ul style="list-style-type: none"> - Scope/Impact - Complexity/Difficulty - Independence - Creativity
<p>LEVEL II</p> <ul style="list-style-type: none"> • Plans and conducts administrative activities for projects. • Develops, modifies, and/or applies rules, procedures, or operations to resolve problems of moderate complexity/difficulty. • Independently plans and executes assignments; resolves problems and handles deviations. • Identifies and adapts guidelines for new or unusual situations. 	<ul style="list-style-type: none"> - Scope/Impact - Complexity/Difficulty - Independence - Creativity
<p>LEVEL III</p> <ul style="list-style-type: none"> • Plans and conducts complex administrative activities. • Develops rules, procedures, or operations for complex/difficult organizational tasks. • Identifies issues and determines approaches and methods to accomplish tasks. Initiates effective actions and resolves related conflicts. • Identifies issues requiring new procedures and develops appropriate guidelines. 	<ul style="list-style-type: none"> - Scope/Impact - Complexity/Difficulty - Independence - Creativity

FACTOR: 2. - TEAMWORK/COOPERATION

FACTOR DESCRIPTION: This factor describes/captures individual and organizational teamwork and cooperation.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
 Work is timely, efficient, and of acceptable quality. Personal and organizational interactions exhibit and foster cooperation and teamwork. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I <ul style="list-style-type: none"> • Works with others to accomplish routine tasks. • Contributes ideas on routine procedures. Interacts cooperatively with others. • Regularly completes tasks in support of team goals. 	<ul style="list-style-type: none"> - Scope of Team Effort - Contribution to Team - Effectiveness
LEVEL II <ul style="list-style-type: none"> • Works with others to accomplish tasks. • Resolves administrative problems; facilitates cooperative interactions with others. • Guides others and coordinates activities in support of team goals. Proactively functions as an integral part of the team. 	<ul style="list-style-type: none"> - Scope of Team Effort - Contribution to Team - Effectiveness
LEVEL III <ul style="list-style-type: none"> • Works with others on complex issues/problems that may cross functional areas. • Applies expertise in resolving complex administrative issues. Promotes and maintains environment for cooperation/teamwork. Sets tone for internal/external cooperation. • Leads and guides others in formulating and executing plans in support of team goals. 	<ul style="list-style-type: none"> - Scope of Team Effort - Contribution to Team - Effectiveness

FACTOR: 3. - CUSTOMER RELATIONS

FACTOR DESCRIPTION: This factor describes/captures the effectiveness of personal and organizational interactions with customers (anyone to whom services or products are provided), both internal (within an assigned organization) and external (outside an assigned organization).

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels): Work is timely, efficient, and of acceptable quality. Personal and organizational interactions enhance customer relations and actively promote rapport with customers. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I <ul style="list-style-type: none"> • Assists customer support activities. • Meets routine customer needs. • Interacts with customers on routine issues within specific guidelines. 	<ul style="list-style-type: none"> - Breadth of Influence - Customer Needs - Customer Interaction Level
LEVEL II <ul style="list-style-type: none"> • Guides the administrative efforts of individuals or team members as they interact with customers. • Independently interacts with customers to understand customer needs/expectations. • Interacts independently with customers to communicate information and coordinate actions. 	<ul style="list-style-type: none"> - Breadth of Influence - Customer Needs - Customer Interaction Level
LEVEL III <ul style="list-style-type: none"> • Identifies, defines, and guides administrative efforts in support of customer interactions; coordinates and focuses activities to support multiple customers. • Establishes customer alliances and translates needs to customer service. • Works independently with customers at all levels to define services and resolve non-routine problems. 	<ul style="list-style-type: none"> - Breadth of Influence - Customer Needs - Customer Interaction Level

FACTOR: 4. - LEADERSHIP/SUPERVISION

FACTOR DESCRIPTION: This factor describes/captures individual and organizational leadership and/or supervision. Recruits, develops, motivates, and retains quality team members in accordance with EEO/AA and Merit Principles. Takes timely/appropriate personnel actions, communicates mission and organizational goals; by example, creates a positive, safe, and challenging work environment; distributes work and empowers team members.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels): Work is timely, efficient, and of acceptable quality. Leadership and/or supervision effectively promote commitment to mission accomplishment. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
<p>LEVEL I</p> <ul style="list-style-type: none"> • Takes initiative in accomplishing assigned tasks. Asks for assistance as appropriate. • Provides input in administrative/functional area. • Seeks and takes advantage of developmental opportunities. 	<ul style="list-style-type: none"> - Leadership Role - Breadth of Influence - Mentoring/Employee Development
<p>LEVEL II</p> <ul style="list-style-type: none"> • Actively contributes as team member or leader; takes initiative to accomplish assigned projects. • Guides others in accomplishing projects. • Identifies and pursues individual/team developmental opportunities. 	<ul style="list-style-type: none"> - Leadership Role - Breadth of Influence - Mentoring/Employee Development
<p>LEVEL III</p> <ul style="list-style-type: none"> • Provides guidance to individuals/teams; resolves conflicts. Expertise solicited by others. • Guides and accounts for results or activities of individuals, teams, or projects. • Promotes individual/team development; leads development of training programs for self and others. 	<ul style="list-style-type: none"> - Leadership Role - Breadth of Influence - Mentoring/Employee Development

FACTOR: 5. - COMMUNICATION

FACTOR DESCRIPTION: This factor describes/captures the effectiveness of oral/written communications.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels): Work is timely, efficient, and of acceptable quality. Communications are clear, concise, and at appropriate level. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I <ul style="list-style-type: none"> • Communicates routine task/status results as required. • Writes timely and accurate draft documentation. • Explains status/results of assigned tasks. 	<ul style="list-style-type: none"> - Level of Interaction (Audience) - Written - Oral
LEVEL II <ul style="list-style-type: none"> • Interprets and communicates administrative procedures within immediate organization. • Prepares, coordinates, and consolidates documents, reports, or briefings. • Communicates/presents internal administrative/functional procedures and tasks internally and externally. 	<ul style="list-style-type: none"> - Level of Interaction (Audience) - Written - Oral
LEVEL III <ul style="list-style-type: none"> • Develops and advises on administrative procedures and communicates them to all levels, both internally and externally. • Prepares, reviews, and/or approves documents, reports, or briefings. • Explains and/or communicates administrative/functional procedures at all levels. 	<ul style="list-style-type: none"> - Level of Interaction (Audience) - Written - Oral

FACTOR: 6. - RESOURCE MANAGEMENT

FACTOR DESCRIPTION: This factor describes/captures personal and organizational utilization of resources to accomplish the mission. (Resources include, but are not limited to, personal time, equipment and facilities, human resources, and funds.)

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
 Work is timely, efficient, and of acceptable quality. Available resources are utilized effectively to accomplish mission. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I <ul style="list-style-type: none"> • Uses assigned resources to accomplish tasks. • Plans individual time and assigned resources to accomplish tasks. • Effectively accomplishes assigned tasks. 	<ul style="list-style-type: none"> - Scope of Responsibility - Planning/Budgeting - Execution/Efficiency
LEVEL II <ul style="list-style-type: none"> • Identifies and uses resources to accomplish projects. • Plans resources to achieve project schedules. • Effectively accomplishes projects within established resource guidelines. 	<ul style="list-style-type: none"> - Scope of Responsibility - Planning/Budgeting - Execution/Efficiency
LEVEL III <ul style="list-style-type: none"> • Plans, acquires, and allocates resources to accomplish objectives. • Coordinates resources across projects. • Optimizes resource utilization across projects. 	<ul style="list-style-type: none"> - Scope of Responsibility - Planning/Budgeting - Execution/Efficiency

APPENDIX D

CCAS SALARY APPRAISAL FORM

The Contribution-based Compensation and Appraisal System (CCAS) uses sets of factor descriptors and key elements to annually assess the employee's level of contribution to the organization. Based on the assessment, the broadband level and salary are reviewed and appropriately adjusted. The CCAS Appraisal Form is a three-part form which documents the annual evaluation of an employee's contribution. Part I of this form is a summary CCAS assessment, Part II is the supervisor's assessment of each factor, and Part III is the employee's self-assessment with regard to each evaluation factor.

INSTRUCTIONS FOR COMPLETING CCAS SALARY APPRAISAL FORM

Part III

Towards the end of the appraisal cycle, the supervisor requests the employee complete a self-assessment which will be returned to the supervisor. The Part III Employee Self-Assessment form can be used for this purpose. A sample of this form is provided on following page.

The employee provides a bulletized or brief written description of his/her contribution against each of the evaluation factors. Additional pages of narrative may be added to the form by the employee as he/she deems necessary. The employee signs and dates the self-assessment and provides it to the supervisor. The supervisor may discuss this input with the employee; however, categorical/numerical scores should not be discussed with the employee until officially approved by the pay pool manager.

PART III	Employee's Self-Assessment	Name:							Factor Weight:
Instruction: Provide narrative comments regarding your contribution against each contribution factor during the current year.									
Problem Solving:									
Teamwork:									
Customer Relations:									
Leadership/Supervision:									
Communications:									
Resource Management:									
Employee signature:					Date:				

Part II.

After receiving the self-assessment from the employee, the supervisor completes a draft of the Part II, Supervisor Assessment, for each employee. The supervisor may consider input from the employee, personal observations, and other sources as appropriate. The draft assessment is normally completed by 30 October, before the Pay Pool Panel convenes.

The draft assessment is the basis for discussions during the annual pay pool meeting which is normally held in early November. The Pay Pool Panel receives recommendations for categorical/numerical scores from the supervisors assigned to the pay pool. After internal discussions and agreement within the pay pool, results are submitted to the PPM for approval. Upon approval, supervisors formalize Part II, Supervisor Assessment, including completion of the Pay Pool Manager approved factor scores and weighted values (factor score times corresponding factor weight). Completion of Part II normally will be accomplished in mid-November. The completed form becomes the basis for discussion with each employee on management's assessment of annual contribution.

PART II	Supervisor Assessment	Name:				Factor Weight:	Factor Score:	Weighted Score:
Instruction: Provide narrative comments regarding your contribution against each contribution factor during the current year.								
Problem Solving:						_____	_____	_____
Teamwork:						_____	_____	_____
Customer Relations:						_____	_____	_____
Leadership/Supervision:						_____	_____	_____
Communications:						_____	_____	_____
Resource Management:						_____	_____	_____
Signature:			Date:					

Part I

Part I, Summary Evaluation, is completed prior to the annual CCAS payout. Part I is a computer generated form that is produced for each employee and contains the overall contribution score and space for the signature of the PPM, the supervisor, and the employee. The overall contribution score shown in Part I is an average of the sum of the weighted scores for the factors as determined by the Pay Pool Panel. The signatures of the PPM (optional) and the supervisor (required) will be completed before presentation of the form to the employee. After discussing the evaluation with the employee, the employee will be asked to sign the form indicating a copy of the evaluation was provided to him or her. If the employee refuses to sign the form, the form will be appropriately annotated by the supervisor.

Upon completion of the employee-supervisor discussion and signatures on Part I of the form, a copy of all parts of the form will be given to the employee and one copy will be retained in the Supervisor's Record of Employee. The original of Part I will be maintained in accordance with agency procedures.

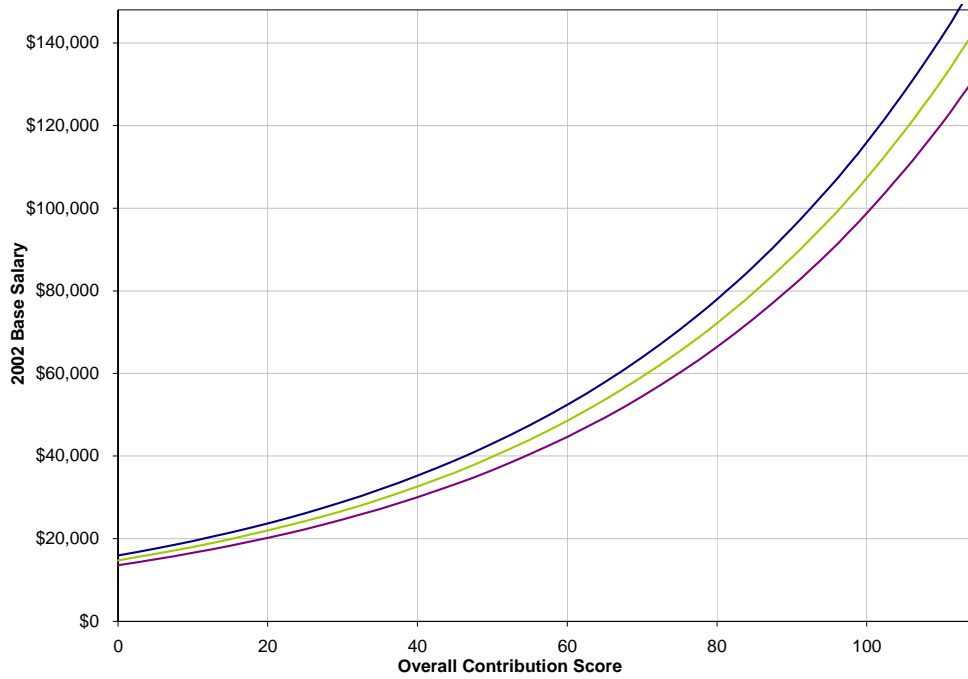
The Part I form contains an optional second page that the pay pool may decide to print and distribute to employees. It can contain any combination of the following elements: Delta OCS, factor scores (categorical and numerical), Relative Score, and an additional larger OCS plot. The pay pool may make the determination which elements, if any, to include for its employees.

Part I: CCAS Salary Appraisal Form

Name: SSAN: Organization: Career Path:	Series: Broadband Level: Retained Pay: Presumptive:	Appraisal Period: From: To:																				
Discuss evaluation with employee and obtain signature confirming discussion. Signature of employee does not constitute agreement with CCAS appraisal.																						
_____		_____																				
		Date																				
_____		_____																				
		Date																				
_____		_____																				
		Date																				
_____		_____																				
Employee Signature		Date																				
Appraisal Detail Overall Contribution Score _____ Upper Rail OCS _____ Next Year's Expected SPL OCS _____ SPL OCS _____ Lower Rail OCS _____																						
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 style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 10%;"></td> <td style="width: 50%;">Current Rate of Base Pay</td> <td style="width: 40%;"></td> </tr> <tr> <td>+ \$</td> <td>- G Increase</td> <td style="text-align: right;">0.0%</td> </tr> <tr> <td>+</td> <td>CRI Increase</td> <td style="text-align: right;">0.00%</td> </tr> <tr> <td>=</td> <td>New Rate of Basic Pay</td> <td></td> </tr> <tr> <td>+</td> <td>Locality Pay _____ @ 16.05%</td> <td></td> </tr> <tr> <td>=</td> <td>New Total Salary</td> <td></td> </tr> <tr> <td></td> <td>Contribution Award</td> <td></td> </tr> </table>		Current Rate of Base Pay		+ \$	- G Increase	0.0%	+	CRI Increase	0.00%	=	New Rate of Basic Pay		+	Locality Pay _____ @ 16.05%		=	New Total Salary			Contribution Award	
	Current Rate of Base Pay																					
+ \$	- G Increase	0.0%																				
+	CRI Increase	0.00%																				
=	New Rate of Basic Pay																					
+	Locality Pay _____ @ 16.05%																					
=	New Total Salary																					
	Contribution Award																					
	Remarks 																					
Privacy Act Statement (552a of 5 U.S.C.) 1. AUTHORITY: Section III.D, Federal Register Notice dated January 8, 1999. 2. PURPOSE: This form summarizes the annual evaluation of an employee's contribution through CCAS assessment. 3. ROUTINE USE: This form is a computer-generated form that is produced for each employee and contains the overall contribution score and space for the signature of the PPM, the supervisor, and the employee. The original of this form will be maintained in accordance with agency procedures. 4. DISCLOSURE: Failure to verify the SSN may result in a delayed or erroneous processing of the individual's CCAS and applicable payouts. The information contained within this form is personal in nature and is restricted to those with appropriate permissions. Information collected on this form may be used for statistical and impact analysis.																						

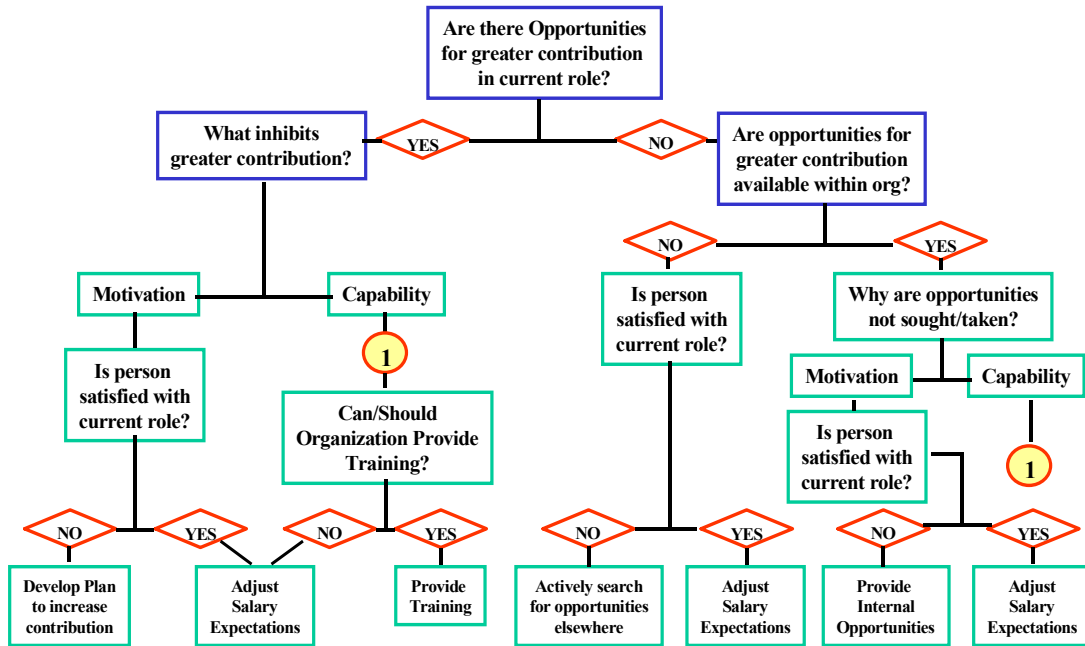
Part I: CCAS Salary Appraisal Form

Name:	Series:	Appraisal Period:
SSAN:	Broadband Level:	From:
Organization:	Retained Pay:	To:
Career Path:	Presumptive:	
Factor	Category Score	Final Score
Problem Solving		
Teamwork		
Customer Relations		
Leadership		
Communications		
Resource Management		
OCS		
Delta OCS		
Relative Score		



APPENDIX E

OPPORTUNITIES FOR INCREASED CONTRIBUTION (FLOW CHART)



Note: This guide may be used by the supervisor to address ways in which an employee can increase his/her opportunities to contribute.

APPENDIX F

RELATIVE SCORE AND ALPHA DELTA Y EXAMPLES

Relative Score Example

Relative Score (RS) is defined as the percent difference between an employee's current base salary and the base salary that would place the employee on the Standard Pay Line (SPL) for his or her Overall Contribution Score (OCS). It is a measure of the degree to which an employee is over- or under-compensated, given their contribution to the organization's mission. For example, the following table shows a hypothetical pay pool consisting of 15 employees, sorted by Relative Score from the most negative (most under-compensated) to the most positive (most over-compensated). Employee 1's salary is 28.78% below the SPL for an OCS of 92. Employee 15's salary is 24.96% above the SPL for an OCS of 30. Compensation can now be adjusted based on RS; the most under-compensated employee should receive the greatest percentage salary increase and award. Although other employees may receive greater dollar increases and awards due to having higher base salaries, the employee at the top of the list should always receive the greatest percentage salary increase and percentage award.

Employee	Base Salary	Expected OCS	OCS	Delta OCS	Relative Score
1	\$65,233	75	92	17	-28.78
2	\$45,874	57	69	12	-20.95
3	\$85,000	88	97	9	-15.97
4	\$62,555	73	81	8	-15.05
5	\$45,886	57	63	6	-10.93
6	\$35,222	44	49	5	-9.74
7	\$29,125	34	37	3	-5.29
8	\$66,522	76	78	2	-4.12
9	\$95,114	94	95	1	-2.16
10	\$45,365	57	56	-1	1.18
11	\$77,458	84	81	-3	5.19
12	\$69,445	78	73	-5	10.54
13	\$81,236	86	79	-7	14.79
14	\$64,255	74	65	-9	19.87
15	\$33,445	41	30	-11	24.96

Note: this chart is based on the 2002 GS Pay Table; Expected OCS and Delta OCS are to the SPL

FORMULAS:

$$\text{Salary}_{\text{upper rail}} = (\text{Salary}_{\text{GS-1 Step 1}}) * (1.0800) * (\text{SPL factor})^{\text{OCS}}$$

$$\text{Salary}_{\text{SPL}} = (\text{Salary}_{\text{GS-1 Step 1}}) * (\text{SPL factor})^{\text{OCS}}$$

$$\text{Salary}_{\text{lower rail}} = (\text{Salary}_{\text{GS-1 Step 1}}) * (0.9200) * (\text{SPL factor})^{\text{OCS}}$$

$$\text{Relative Score} = ((\text{Salary}_{\text{Current Base}} / \text{Salary}_{\text{SPL}}) - 1) * 100$$

$$\text{SPL factor} = (\text{Salary}_{\text{GS-15 Step 10}} / \text{Salary}_{\text{GS-1 Step 1}})^{(1/100)}$$

Notes:

- Relative Score is a percent (+ or -).
- **Salary** upper rail is 8% above the **Salary** SPL
- **Salary** lower rail is 8% below the **Salary** SPL
- The SPL factor can be thought of as 1 + the percent change in pay associated with a one point change in contribution. The SPL factor changes every year because it is based on the GS Pay Table.

Example (using the 2002 GS Pay Table):

Employee 1 has a base pay of \$65,233, which correlates to an expected contribution level (expected OCS) of 75. The Pay Pool Panel in employee 1's organization assigns her an OCS of 92. Her delta OCS = 17 (92 minus 75).

The equation for Relative Score is **Relative Score = ((Salary_{Current Base} / Salary_{SPL}) - 1) * 100**

What we know:

Salary Current Base = \$65,233

What we don't know:

Salary SPL = ?

Think of **Salary** SPL as the salary that corresponds to the OCS that the Pay Pool Panel assigned her (92), just as her expected OCS corresponded to her current base salary (**Salary** Current Base).

The equation for **Salary** SPL = (**Salary** GS-1 Step 1) * (**SPL factor**)^{OCS}

What we know:

Salary GS-1 Step 1 = \$14,757 = salary of a GS-1 Step 1 employee

What we don't know:

SPL factor = ?

The equation for the **SPL factor** = (**Salary** GS-15 Step-10 / **Salary** GS-1 Step 1)^(1/100)

What we know:

Salary GS-15 Step 10 = \$107,357

Salary GS-1 Step 1 = \$14,757

If we do the calculations, we find the following:

SPL factor = (\$107,357 / \$14,757)^(1/100)

SPL factor = 7.274988^(1/100)

SPL factor = 1.0200426

So, now that we know the **SPL factor** we can solve for **Salary** SPL
Remember that **Salary** SPL = (**Salary** GS-1 Step 1) * (**SPL factor**)^{OCS}

What we know:

Salary GS-1 Step 1 = \$14,757

SPL factor = 1.0200426

OCS = 92

If we do the calculations, we can solve for **Salary** SPL

Salary SPL = (\$14,757) * (1.0200426)⁹²

Salary SPL = (\$14,757) * 6.207039

Salary SPL = \$91,597

So now that we know **Salary** SPL we can solve for Relative Score.

Remember that **Relative Score** = ((**Salary** Current Base / **Salary** SPL) - 1) * 100

What we know:

Salary_{Current Base} = \$65,233

Salary_{SPL} = \$91,597

If we do the calculations, we can solve for **Relative Score**

Relative Score = ((Salary_{Current Base} / Salary_{SPL}) - 1) * 100

Relative Score = ((\$65,233 / \$91,597) - 1) * 100

Relative Score = (0.712174 - 1) * 100

Relative Score = (-0.2878) * 100

Relative Score = -28.78%

Alpha Delta Y Example

Delta Y is the amount of salary on the vertical axis which is the difference between the employee's current salary and the Standard Pay Line (or the reference line used by the organization) for their OCS. Delta Y provides the exact salary differential that it would take to bring the employee to the SPL (or reference line used). Alpha is a constant (<1.0) computed to preserve the CRI budget allocated by the default algorithm. In other words, given a pay pools funding level, alpha is the % of an employee's delta Y that will be distributed as CRI. Alpha * Delta Y is the method commonly used to distribute the salary and award dollars.

Example (same as above, using the 2002 GS Pay Table, and all salaries based upon the SPL):

From the above example, we know that employee 1 has a base pay of \$65,233, which correlates to an expected contribution level (expected OCS) of 75. The Pay Pool Panel in employee 1's organization assigns her an OCS of 92 that corresponds to a salary of \$91,597 (Salary_{SPL}). Her delta OCS = 17 (92 minus 75).

Assume that employee 1's pay pool has an Alpha of 0.50.

Employee 1's Delta Y = Salary_{SPL} minus current base salary

Employee 1's Delta Y = \$91,597 - \$65,233

Employee 1's Delta Y = \$26,364

If we apply the Alpha * Delta Y algorithm to the above salaries, we will get employee 1's salary increase for that year (**assuming all pay rules and caps are met**).

Salary Increase = Alpha * Delta Y

Salary Increase = 0.50 * \$26,364

Salary Increase = \$13,182

Relationship between Relative Score and Alpha Delta Y (assuming all salaries based upon the SPL)

According to AcqDemo guidance, an employee's percentage increase in pay should be inversely proportional to his or her Relative Score. In other words, the employee with the largest negative Relative Score should receive the largest percentage pay increase. In mathematical terms, this can be stated as:

Pay Increase % = Alpha * (-Relative Score)

Where Alpha is a constant (<1.0) computed to preserve the CRI budget allocated to the default algorithm. Converting the pay increase percent to dollars, yields:

$$\text{Pay Increase \$} = \text{Alpha} * (\text{Relative Score} / 100) * \text{Salary}_{\text{SPL}}$$

Substituting for Relative Score and simplifying terms, we get:

$$\begin{aligned} \text{Pay Increase \$} &= \text{Alpha} * (-(\text{Salary}_{\text{Current Base}} - \text{Salary}_{\text{SPL}}) / \text{Salary}_{\text{SPL}}) * \text{Salary}_{\text{SPL}} \\ \text{Pay Increase \$} &= \text{Alpha} * (\text{Salary}_{\text{SPL}} - \text{Salary}_{\text{Current Base}}) \end{aligned}$$

However, $(\text{Salary}_{\text{SPL}} - \text{Salary}_{\text{Current Base}})$ is Delta Y, so:

$$\text{Pay Increase \$} = \text{Alpha} * \text{Delta Y}$$

This is the default algorithm in the CCAS software.

The reason why Delta Y is used in the default algorithm instead of Relative Score is that the budget-control constant (Alpha) is much easier to compute using dollars than it is using percentages.

APPENDIX G

PROCESSING PERSONNEL ACTIONS UNDER THE DEMONSTRATION PROJECT

Demo Authority Code: **Z2W**

Demo Legal Authority: **P.L. 104-106**

NOA for initial movement of an organization into the Demo: **894/721**

Nature of action codes (NOACs) and Legal Authority Codes (LACs) in the OPM Operating Manual, "Guide to Processing Personnel Actions" will be used under this demonstration project, as appropriate. OPM has given the AcqDemo project authority to process AcqDemo unique actions using Z2W and P.L. 104-106. For example: Using Demo Delegated Examining Authority to make a selection would be processed: NOA 101 Career-Cond Appointment and Z2W, P.L. 104-106. Whereas hiring an employee not covered by the AcqDemo off an OPM certificate would be processed: NOA 101 Career-Cond Appointment and ACM CW Cert No._____.

Remarks for AcqDemo actions follow below:

Adjustment reflects initial buy-in to the Acquisition Demonstration Project which includes proportional increase based on time completed towards within grade waiting period

Change In Broadband Level To Next Lower Level Within Career Path. This Action Is Not An Adverse Action

Change In Broadband Level As A Result Of Adverse Action

Reflects A Voluntary Decrease In Total Salary Of \$_____, Per Your Request Dated _____.

Broadband Level Has Been Lowered Due To This Voluntary Reduction In Salary

Demonstration Salary Is Compatible To GS-Step 4

Lump Sum Realignment Incentive Under The Acquisition Workforce Personnel Demonstration Project

Appointment is based on Scholastic Achievement as defined in the Acquisition Demonstration Project

This action reflects a contribution award under the Acquisition Demonstration Project

TYPE OF ACTION	NOA CODE	NATURE OF ACTION	AUTHORITY
APPOINTMENT			
Career a) Appointed under demo DE auth. or b) Appointed under other than demo DE auth.	100	Career Appointment	PL104-106
Career-Cond a) Appointed under demo DE auth. or b) Appointed under other than demo DE auth.	101	Career-Cond Appointment	PL104-106
Conv. To Career a) Under demo DE auth. or b) Under other than demo DE auth.	500	Conv. to Career Appointment	PL104-106
Conv. To Career-Cond a) Converted under demo DE auth. or b) Conv. under other than demo DE auth.	501	Conv. To Career-Cond Appt.	PL104-106
Reassignment	721	Reassignment	PL104-106
Temporary NTE a) Appointed under demo DE auth. or b) Appt under other than demo DE auth	115	Appt NTE (date)	PL104-106
Conv Temp Limited to NTE a) Under demo DE auth. or b) Under other than demo DE auth	515	Conv to Appt NTE (date)	PL104-106
Modified Term NTE Under demo DE auth	108	Modified Term Appt NTE (date)	PL104-106
Conv to Modified Term NTE Under demo DE auth	508	Conv to Modified Term Appt NTE (date)	PL104-106
Extension of Modified Term Appointment	765	Extension of Modified Term Appt NTE (date)	PL104-106

Volunteer Emeritus Service	(none)	Volunteer Service – Without Pay	PL104-106
Termination of Volunteer Emeritus Service	(none)	Termination of Volunteer Service – Without Pay	PL104-106
Sabbatical	480	Sabbatical NTE	PL104-106
Promotion (includes temporary & Ext. of temporary promotion) Competitive Promotion to a Higher BB level	702/703/ & 769		PL104-106
Chg to Lower Level Effected through CCAS Not effected through CCAS	713	Chg to Lower Grade/Level	PL104-106
AWARDS AND BONUSES			
Contribution Based Compensation Appraisal System (CCAS) Award (CA)	840/841	Cash Award	PL104-106
SEPARATIONS			
Separation Actions Reduction in Force Removal	356 330	Reduction in Force Removal	PL104-106 PL104-106
SALARY			
Salary Adjustments	894	Enter or Leaving the Demo	PL 104-106

APPENDIX H

SAMPLE COREDOC POSITION REQUIREMENT DOCUMENT (PRD)

Under the demonstration project's classification system, a new Position Requirements Document (PRD) replaces the current agency developed position description. The following is an example of a completed PRD for the Business Management and Technical Management Professional (NH) career path, broadband level II, Management and Program Analyst occupational series 343.

COREDOC is available on the AcqDemo website:

SAMPLE POSITION REQUIREMENTS DOCUMENT (PRD)

Acquisition Workforce Demonstration Project DOCUMENT NAME/#: PRGANAL1

I. POSITION AND ORGANIZATION INFORMATION

Position:

Management and Program Analyst, NH-0343-II

Purpose of position:

The primary purpose of the position is to provide managers with objectively based information for making decisions on the administrative and programmatic aspects of agency operations and management, by accomplishing a wide variety of assignments concerned with effectiveness and efficiency of programs and operations.

Organization:

Wigget Program Office

Organization mission/goals:

Procure the best Wigget at the least cost.

II. MAJOR DUTIES

A. Duty:

Provides program support, assessment, and consultation services for interrelated readiness issues/programs ranging from identification of required contingency response missions and support plans, natural disaster, war damage repair, to effective management of limited resources. (10%)

Selected Staffing KSAs: A4, A5, A6, A7, A8, A9, A10

B. Duty:

Provides substantive management support services in the areas of program cost analysis, annual and multi-year fiscal planning, development of annual work-plan(s), and/or commercial activity for organizations whose operations are interrelated and fairly stable in nature. (20%)

Selected Staffing KSAs: A4, A6, A7, A8, A9, A11, A12, A13

C. Duty:

Performs substantive information management reviews and/or studies for several organizations at different echelons and geographic locations with interrelated functions, and monitor and advise on control and maintenance of documents, files, forms, records, etc., to promote organization efficiency. (16%)

Selected Staffing KSAs: A4, A6, A7, A8, A9

D. Duty:

Prepares detailed plans and performs work measurement, methods and procedures, benchmarking, and/or time engineered studies for substantive work processes and functions that are interrelated, to improve production efficiency. (22%)

Selected Staffing KSAs: A4, A6, A7, A8, A9

E. Duty:

Conducts management surveys and research projects and provides advisory services on substantive issues of moderate scope and impact to assess the effectiveness of program operations. (17%)

Selected Staffing KSAs: A4, A6, A7, A8, A9

F. Duty:

The employee studies the structure and/or functions of organizations with interrelated work processes or functions, to resolve substantive issues, of moderate scope, and propose new organizational structures, realignment of functions, solution to space/supplies/equipment issues, and/or staffing levels, to improve efficiency. (15%)

Selected Staffing KSAs: A4, A6, A7, A8, A9

G. Other Work Requirements

1. The employee must obtain and maintain the appropriate security clearance.
2. This position requires the employee to frequently travel away from the normal duty station.
3. The employee may be required to work overtime.
4. This is a Testing Designated Position. The employee is subject to random drug testing.
5. This position requires the employee to sign a mobility agreement under the provisions of the agency mobility program.
6. This position requires that the employee be certified in the use of a respirator.

III. KNOWLEDGES, SKILLS AND ABILITIES (KSAs)

A. Selected Staffing KSAs:

1. Ability to maintain good working relations
2. Ability to plan and execute complex, multi-faceted projects
3. Ability to recognize and analyze problems, conducts research, summarizes results, and makes appropriate recommendations
4. Ability to access or locate information through the use of a personal computer or terminal
5. Ability to meet and deal with customers using a high degree of tact and diplomacy
6. Ability to communicate orally and in writing
7. Ability to review, analyze, and manage Contingency Mobilization Planning, and/or War Reserves Programs
8. Ability to stratify resources against approved programs; to plan, present, and execute budgets; to analyze budget impacts on programs; and to forecast long-term funding requirements
9. Ability to execute projects and/or studies within established financial and time constraints
10. Knowledge of cost and economic analyses principles, techniques, and practices

B. Basic Training Competencies:

1. Ability to maintain good working relations
2. Ability to plan and execute complex, multi-faceted projects
3. Ability to recognize and analyze problems, conducts research, summarizes results, and makes appropriate recommendations
4. Ability to access or locate information through the use of a personal computer or terminal
5. Ability to meet and deal with customers using a high degree of tact and diplomacy
6. Ability to research, analyzes, interpret and apply rules, regulations, and procedures
7. Knowledge of the operations, products, services, needs, and goals of the program(s) and the organizations studied or served, and related customers, functions, resources, and users
8. Ability to develop and utilize appropriate data collection techniques
9. Ability to communicate orally and in writing
10. Ability to advise others
11. Knowledge of logistics management principles, concepts, policies, and regulations.
12. Ability to review, analyze, and manage Contingency, Mobilization Planning, and/or War Reserves Programs
13. Ability to stratify resources against approved programs; to plan, present, and execute budgets; to analyze budget impacts on programs; and to forecast long-term funding requirements
14. Ability to execute projects and/or studies within established financial and time constraints
15. Knowledge of DoD acquisition and life cycle management policies, procedures, and practices
16. Knowledge of cost and economic analyses principles, techniques, and practices
17. Ability to plan, conduct and record surveys and inspections

IV. FACTORS:

Factor: 1. - Problem Solving Level II.

Work is timely, efficient, and of acceptable quality. Completed work meets project/program objectives. Flexibility, adaptability, and decisiveness are exercised appropriately. Plans and conducts functional technical activities for projects/programs. Identifies, analyzes, and resolves complex/difficult problems. Independently identifies and resolves conventional problems which may require deviations from accepted policies or instructions. Adapts existing plans and techniques to accomplish complex projects/programs. Recommends improvements to the design or operation of systems, equipment, or processes.

Factor: 2. - Teamwork/Cooperation Level II.

Work is timely, efficient, and of acceptable quality. Personal and organizational interactions exhibit and foster cooperation and teamwork. Flexibility, adaptability, and decisiveness are exercised appropriately. Works with others to accomplish projects/programs. Uses varied approaches to resolve or collaborate on project/program issues. Facilitates cooperative interactions with others. Guides/supports others in executing team assignments. Proactively functions as an integral part of the team.

Factor: 3. - Customer Relations Level II.

Work is timely, efficient, and of acceptable quality. Personal and organizational interactions enhance customer relations and actively promote rapport with customers. Flexibility, adaptability, and decisiveness are exercised appropriately. Guides the technical/functional efforts of individuals or team members as they interact with customers. Initiates meetings and interactions with customers to understand customer needs/expectations.

Factor: 4. - Leadership/Supervision Level II.

Work is timely, efficient, and of acceptable quality. Leadership and/or supervision effectively promote commitment to mission accomplishment. Flexibility, adaptability, and decisiveness are exercised appropriately. 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. Recruits, develops, motivates and retains quality team members in accordance with EEO/AA and Merit Principles.

Factor: 5. - Communication Level II.

Work is timely, efficient, and of acceptable quality. Communications are clear, concise, and at appropriate level. Flexibility, adaptability, and decisiveness are exercised appropriately. Communicates team or group tasking results, internally and externally, at peer levels. Writes, or is a major contributor to, management/technical reports or contractual documents. Presents informational briefings.

Factor: 6. - Resource Management Level II.

Work is timely, efficient, and of acceptable quality. Resources are utilized effectively to accomplish mission. Flexibility, adaptability, and decisiveness are exercised appropriately. Plans and utilizes appropriate resources to accomplish project goals. Optimizes resources to accomplish projects/programs within established schedules. Effectively accomplishes project/program goals within established resource guidelines.

V. CLASSIFICATION SUMMARY

In this position:

Duty A. 10% NH-0343-II Program Analyst
Program Readiness and Contingency Planning

Duty B. 20% NH-0343-II Program Analyst
Program Resource Analysis

Duty C. 16% NH-0343-II Management Analyst
Records Management/Documents Control

Duty D. 22% NH-0343-II Management Analyst
Workforce Measurement

Duty E. 17% NH-0343-II Program Analyst
Program Effectiveness Surveys

Duty F. 15% NH-0343-II Management Analyst
Organizational Efficiency Studies

APPENDIX I

GRIEVANCES AND APPEALS

These Notes apply to the table on page 2 of this Appendix.

^[1] The statutory basis for negotiated grievance procedures may be found at 5 U.S.C. Chapter 71, Subchapter III, Grievances, Appeals, and Review. There is no corresponding Part in the Code of Federal Regulations. The foundational authority for the administrative grievance procedures is 5 CFR Part 771, Administrative Grievance Systems.

^[2] The statutory basis for appeals to the Merit Systems Protection Board (MSPB) is 5 U.S.C. Chapter 77, Appeals. The Board has issued regulations governing appeals at 5 CFR Part 1201, Practices and Procedures.

Additional Information:

The administrative grievance system (AGS) covers bargaining unit employees when a matter covered by the AGS cannot be grieved under a negotiated grievance procedure (NGP) either because (1) no NGP was in effect at the relevant time, or (2) the NGP specifically excludes the matter being grieved.

Bargaining unit employees can elect to use the negotiated grievance procedure instead of an appeal to the MSPB.

If the Contribution-based Action Is--	And the Employee Is a--	Then the Grievance Procedure¹¹ Is--	Appeal Rights to Merit Systems Protection Board (MSPB) ¹² Are--
Reassignment without reduction in pay	Bargaining unit member	The negotiated grievance procedure (unless the matter is excluded from coverage) ¹	Not applicable
Directed change to lower broadband level without reduction in pay	Bargaining unit member	The negotiated grievance procedure (unless the matter is excluded from coverage) ¹	Not applicable
Reassignment with reduction in pay	Bargaining unit member	The negotiated grievance procedure (unless the matter is excluded from coverage) ¹	Applicable ²
Change to lower broadband level with reduction in pay	Bargaining unit member	The negotiated grievance procedure (unless the matter is excluded from coverage) ¹	Applicable ²
Removal	Bargaining unit member	The negotiated grievance procedure (unless the matter is excluded from coverage) ¹	Applicable ²
Reduction or denial of the general pay increase	Bargaining unit member	The negotiated grievance procedure (unless the matter is excluded from coverage) ¹	Not applicable
Contribution rating increase	Bargaining unit member	The negotiated grievance procedure (unless the matter is excluded from coverage) ¹	Not Applicable
Contribution award	Bargaining unit member	The negotiated grievance procedure (unless the matter is excluded from coverage) ¹	Not applicable
Overall Contribution Score	Bargaining unit	The negotiated grievance procedures (unless the matter is excluded from coverage) ¹	Not applicable
Reassignment without reduction in pay	Non-bargaining unit member	In accordance with Component's administrative grievance system	Not applicable
Reassignment with reduction in pay	Non-bargaining unit member	Not applicable	Applicable
Directed change to lower broadband level with reduction in pay	Non-bargaining unit member	Not applicable	Applicable
Removal	Non-bargaining unit member	Not applicable	Applicable
Reduction or denial of the general pay increase	Non-bargaining unit member	In accordance with Component's administrative grievance system	Not applicable
Contribution rating increase	Non-bargaining unit member	The administrative grievance system	Not applicable
Contribution award			
Overall Contribution Score	Non-bargaining unit members	The administrative grievance system	Not applicable

APPENDIX J

TRAINING PLAN

Training Overview

The DoD Civilian Acquisition Workforce Personnel Demonstration Project is an initiative designed to further enhance the quality, professionalism, and management of the DoD civilian acquisition workforce through improvements in the efficiency and effectiveness of the Human Resources Management System. An essential and critical step in this demonstration is the training on the new system which is provided to supervisors and managers, human resources personnel, labor personnel, and all other employees involved in the demonstration project.

Terminal Learning Objectives

The following terminal learning objectives³ are general statements of the desired training outcomes for each target audience. During the design phase, one or more enabling learning objectives were created for each terminal learning objective. (Note: The sequence of TLOs does not imply that the training will necessarily be presented in this sequence.)

All *employees* should be able to:

- TLO 1 - Explain the goals and objectives of the Demonstration Project and the potential benefits to the individual participant.
- TLO 2 - List the resources and references available to learn more about the Acquisition Demonstration Project.
- TLO 3 - Describe the major interventions of the Demonstration Project, to include: broadbanding, simplified classification system, Contribution-based Compensation and Appraisal System (CCAS), hiring, Priority Placement Program modifications, critical skills training, appointment authority, sabbaticals, voluntary emeritus program, and conversion from, and determining broadband equivalency to the GS system.
- TLO 4 - State how he or she (the individual employee) will be affected by the Acquisition Demonstration Project, especially in regard to pay, promotion, contribution appraisal, and other personnel actions.
- TLO 5 - Explain his or her individual responsibilities in the Contribution-based Compensation and Appraisal System.

In addition to TLOs 1-4, *supervisors and managers* should be able to (labor personnel should be provided the same training as supervisors and managers):

- TLO 6 - Articulate the major interventions and benefits of the Demonstration Project to subordinates.
- TLO 7 - Develop plans and procedures to implement the Acquisition Demonstration Project within their organizations.
- TLO 8 - Describe managers' and employees' responsibilities in the Contribution-based Compensation and Appraisal System.

³ Learning objectives are normally stated in task (behavior)/condition/standards format. However, in that no testing is envisioned in the demonstration project training program, conditions and standards have been omitted.

In addition to TLOs 1-2, *administrative support/human resources personnel* should be able to:

- TLO 9 - Describe in detail and implement the major interventions of the Demonstration Project: broadbanding, simplified classification system, Contribution-based Compensation and Appraisal System, hiring, Priority Placement Program modifications, critical skills training, workforce shaping, sabbaticals, voluntary emeritus program, and conversion back to the former system.
- TLO 10 - Develop personnel plans and procedures to implement the Demonstration Project within their organizations.

Training Phases

Effective training is critical to any organization's successful participation in the AcqDemo project. Therefore, to assist all organizations in understanding the various aspects of the AcqDemo project, the Project Office has developed a three-phase training concept designed to provide entry-level through sustained project information.

A. Phase I - AcqDemo Overview

The AcqDemo overview consists of a web-based tutorial, three introductory videos and a PMO briefing that provides a broad introduction to the eleven demonstration interventions, with a special emphasis on the Contribution-based Compensation and Appraisal System (CCAS). This set of training is designed primarily for new organizations; however it may also be used as a refresher, or to familiarize new personnel (within an existing pay pool) on the demonstration.

B. Phase II – Implementation Training

To be provided primarily through local instruction (Train-the-Trainer Program).

C. Phase III - CCAS Sustainment

To be provided primarily through contractor instruction.

Train-the-Trainer Program

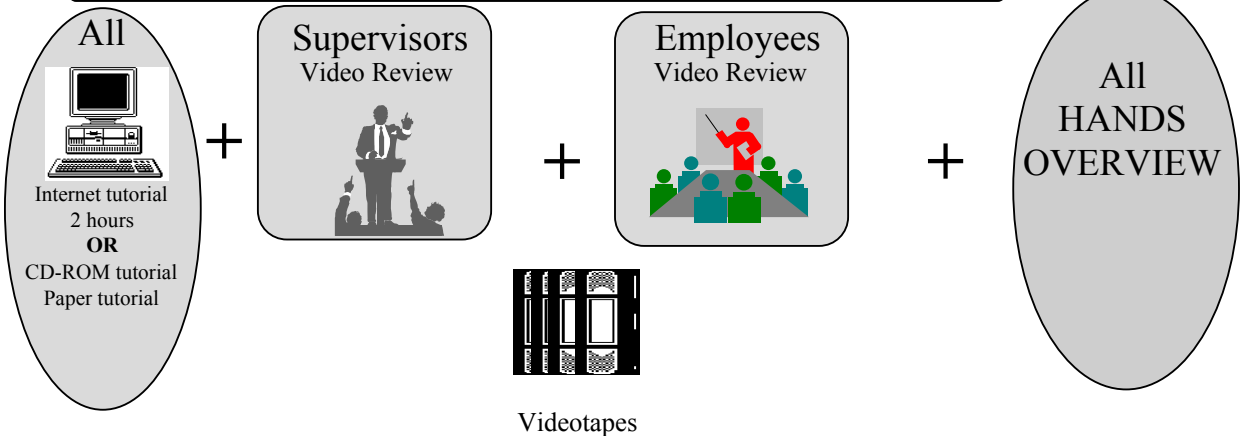
The Project Office has also instituted a Train-the-Trainer program designed to multiply the reach of the course materials. Therefore, the Project Office will continue training employee representatives at local sites to train others within their organizations.

The DoD Civilian Acquisition Workforce Demonstration Project Program Office training staff has the responsibility for development and delivery of all initial training materials and presentation of information to the organizational-level trainers. Additionally, the training staff will take the lead in coordinating the schedule for regional training. Service representatives and/or the joining organization's Implementation Team will propose and coordinate the schedule for individual organizations with the Program Office training staff.

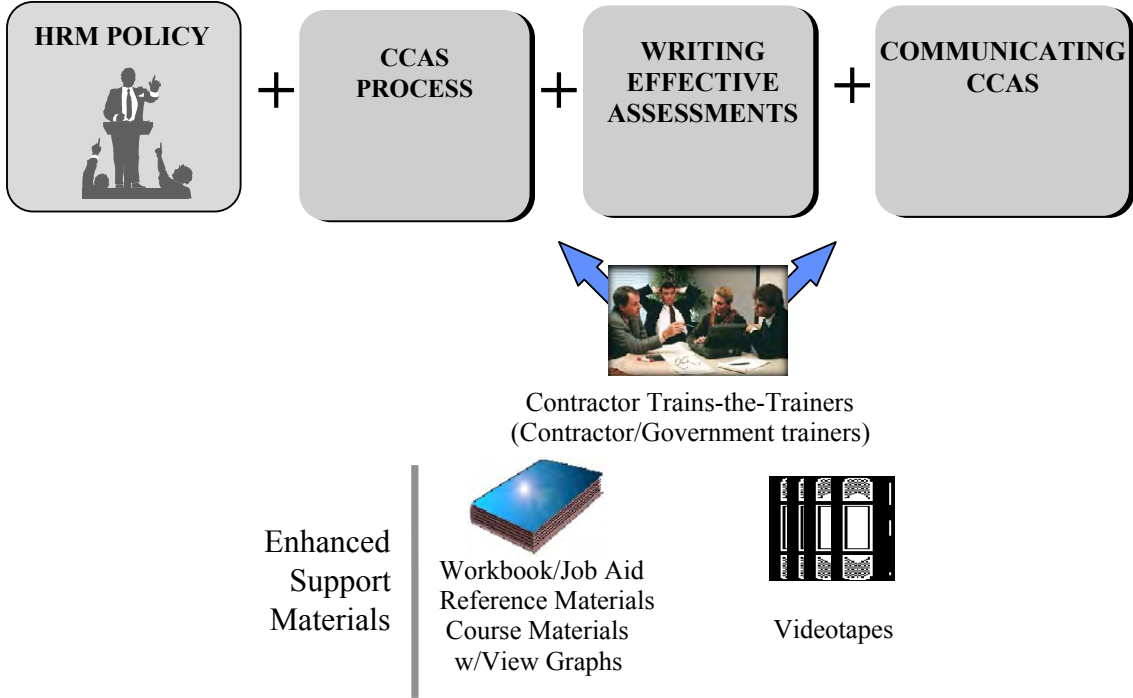
The T3 instruction will be divided into three areas: classroom-based instruction, student observations, and formal class presentations. Class materials supporting the classroom training will be distributed at the training site. These training materials will include the following: an AcqDemo Trainers' Guidebook, and copies of the AcqDemo-governing Federal Register and Operating Procedures. Additional tutorial material is located at the Program Office web site: <http://www.acq.osd.mil/acqdemo>.

Training Phases Flow

Orientation Training



Implementation Training



Sustainment



Employees:

The principal method for providing orientation training is through web-based tutorials. The AcqDemo Project Office has provided a detailed and extensive tutorial that requires no more than two hours for the average employee to complete. The tutorial is posted on the AcqDemo web site for easy access by the majority of participants in the Demonstration Project. The web site address is <http://www.acq.osd.mil/acqdemo>. Those participants who have access to a computer with a CD-ROM drive but no Internet access may receive a copy of the same tutorial on CD-ROM for use in a stand-alone mode. Additionally, instructional video tapes are available and can be attained by contacting the Training section of the AcqDemo Project Office.

The Internet-delivered tutorial and Project Office-provided video tapes should be reviewed prior to the organization receiving the “All Hands” Overview. This Overview can also be scheduled by contacting the Training section of the Project Office.

Supervisors/Managers:

All supervisors and managers involved in the demonstration project are expected to work through the tutorial. Additionally, trainers that have been trained and certified in Train-the-Trainer sessions will provide on-going training for unit personnel.

Administrative Support Staff/HR Personnel:

Administrative support personnel are expected to work through the web-based tutorial. Additionally, they attend an eight-hour DoD-led workshop focusing on personnel matters. This workshop can be scheduled by contacting the DoD Project Office.

Tutorials

The guidance from the Project Office requires the design and development of a basic tutorial on the Demonstration Project for use by all participating employees. The tutorial is provided in:

- A real-time, Internet-based format which is available to all participants with Internet access to the web site. This is the principal method of delivery of the tutorials; we anticipate that approximately 85% of employees will or have used the Internet tutorial.
- A CD-ROM format for those participants with access to multimedia computers but without Internet access.

Videos

Several videos for use in the training program have been produced and will be provided all organizations entering the AcqDemo. The videos will periodically be updated to ensure timeliness of the information provided.

The “**AcqDemo Project Experience**” Series provides a yearly update on the AcqDemo Project, to include interviews from Project Office and participating organization personnel, CCAS results. It provides both the supervisor’s and employee’s perspective of the demonstration and offers insight into lessons learned during the first year.

“**Communicating CCAS**”, for use by supervisors, focuses on communicating requirements of the Contribution-based Compensation and Appraisal System, to include required/suggested feedback periods, counseling techniques for managers, to ensure that the employee understands his or her status and the possible implications, remedial steps, and resources which may be available to assist both supervisors and employees. Professional actors, in office settings, are used to illustrate the teaching points. This video runs 12-15 minutes.

“**The Paypool Process**” provides information and examples to supervisors and pay pool managers in establishing and managing a pay pool. This video currently runs approximately 10-12 minutes.

DoD provides updated and revised (as necessary) printed materials for conducting Train-the-Trainer training sessions, principally workbooks and viewgraphs.

APPENDIX K

GLOSSARY OF TERMS

APPROPRIATELY COMPENSATED – “C” REGION. The appropriately compensated region is the area on or between the upper and lower rails of the normal pay range. Under CCAS, an employee whose salary versus OCS plots within this region must receive the full general pay increase, may receive a contribution rating increase, and may receive a contribution award.

BROADBAND LEVEL. A broadband level is a pay range derived from the General Schedule pay rates.

CAREER PATH. One of three categories that an employee is placed in which corresponds to the employee’s occupational series currently held.

CHANGE TO LOWER BROADBAND LEVEL. The movement of an employee to a lower broadband level within the same career path or to a different career path and level in which the new broadband level has a lower maximum salary range than the broadband level from which the employee is being moved.

COMPETITIVE AREA. A competitive area is the organizational unit(s) and geographical area(s) in which employees compete during a RIF.

CONTRIBUTION AWARD. A lump-sum payment based upon an individual’s contribution to the mission of the organization. This award does not affect base salary.

CONTRIBUTION-BASED COMPENSATION AND APPRAISAL SYSTEM (CCAS). CCAS is a contribution-based assessment system that links salary adjustments to the individual’s overall contribution to the organization’s mission.

CONTRIBUTION IMPROVEMENT PLAN (CIP). The contribution improvement plan is a document issued by the rating official that outlines specific areas in which the employee is inadequately contributing. This document states how the employee’s contribution is inadequate; what improvements are required; recommendations on how to achieve increased contribution; assistance that the agency will offer to the employee in improving inadequate contribution; and the consequence of failure to improve.

CONTRIBUTION RATING INCREASE (CRI). A contribution rating increase is a base salary increase based upon an individual’s contribution to the mission of the organization.

DESCRIPTORS. Descriptors are narrative statements that describe contributions typical for the broadband levels at increasing levels of contribution, and are the basis for contribution assessment. Descriptors are not used individually to assess contributions but taken as a whole to derive a single evaluation for each factor.

DISCRIMINATORS. Various categories in which an employee’s contribution is assessed. Discriminators for each factor are the same for all career paths and all broadband levels.

DISPLACEMENT. For purposes of this demonstration project, displacement means the movement via RIF procedures of a fully qualified employee into a position held by an employee of lower retention standing in the same or lower broadband level. The undue interruption standard of 5 CFR 351.403(a)(1) serves as the criterion to determine if an employee is fully qualified. In addition, to be fully qualified, the employee must meet DAWIA statutory requirements for the position, if applicable. (However, statutory waivers shall continue to apply.)

EXPECTED OCS. The expected OCS represents an employee's expected level of contribution based upon his/her current base pay. It is derived by plotting base salary in relation to the SPL.

FACTORS. Factors are the basis for assessing contributions. The same six factors (problem solving, teamwork/cooperation, customer relations, leadership/supervision, communication, resource management) apply to all career paths.

FACTOR WEIGHTS. Weights are values from 0.5 to 1.0 that may be used to define the relative importance of the factors.

FEEDBACK. Feedback is communication between the rating official and employee about the employee's contribution during the appraisal cycle. Feedback should focus on the employee's strengths and weaknesses in areas of contribution to the organization's mission, professional development, and career development activities.

GENERAL SCHEDULE PAY INCREASE. The General Schedule pay increase allows for a percentage increase to the General Schedule, as authorized by Congress and the President each year.

INADEQUATE CONTRIBUTION. An employee is considered to be inadequately contributing if his/her contribution in any factor is at or less than the midpoint of the next lower broadband level (or a factor score of zero for broadband level I employees). Additionally, when an employee's contribution plots in the area above the upper rail of the normal pay range, the employee is considered to be contributing inadequately.

INAPPROPRIATELY COMPENSATED – "A" REGION. This region is the area above the upper rail of the normal pay range. Under CCAS, an employee whose salary versus OCS plots within this region could be denied part or all of the general pay increase and will receive no contribution rating increase or contribution award.

INAPPROPRIATELY COMPENSATED – "B" REGION. This region is the area below the lower rail of the normal pay range. Under CCAS, an employee whose salary versus OCS plots within this region must receive the general pay increase, may receive a contribution rating increase, and may receive a contribution award.

LATERAL TRANSFER (Federal Employee (Outside of the Demo) Entering the Demo). Reassignment between Agencies/components without change in basic pay except as provided by any WGI or career ladder buy-in.

LOWER RAIL. The curved line that is below the standard pay line (SPL) by an 8 percent difference in salary from the SPL throughout the OCS range. It is used to define the lower bound of the NPR.

MASTER RETENTION LIST (RIF). List of competing employees in descending retention standing order as defined by their tenure, veterans' preference, and length of service as determined by their adjusted service computation date.

NEW HIRE. The first appointment to a position as a civilian employee within the Federal Government.

NORMAL PAY RANGE (NPR). The normal pay range is the region bounded by the upper and lower rails.

OCCUPATIONAL SERIES. Numeric designator that identifies lines of work under the present, Government-wide classification system.

OVERALL CONTRIBUTION SCORE (OCS). The overall contribution score (OCS) is a numerical value which represents the employee's contribution to the mission of the organization. It is computed by averaging the scores of the six contribution factors.

PAY POOL. A group of employees among whom a certain amount of salary increase and award money is distributed. Each participant in the demonstration project is a member of only one pay pool.

PAY POOL PANEL. The pay pool panel, which includes the pay pool manager and rating officials (who normally report directly to the pay pool manager), conducts a final review of the OCSs and the recommended compensation adjustments for the pay pool members.

PAY POOL MANAGER. The manager of the pay pool who has annual pay adjustment authority.

POSITION REQUIREMENTS DOCUMENT (PRD). The position requirements document for each employee provides job-specific information, broadband level descriptors, and other information pertinent to the job, including staffing requirements and contribution expectations. This document replaces the current agency-developed position description.

PROBATIONARY PERIOD. The probationary period is a period of time in which supervisors evaluate a newly hired demonstration project employee's contribution and conduct within the acquisition workplace environment to determine whether the employee should be retained.

PROMOTION (Federal Employee Within the Demo). The movement of an employee to a higher broadband level within the same career path (e.g., NK I to NK II) or a different career path and level in which the new broadband level has a higher maximum salary rate than the broadband level from which the employee is being moved (NK II to NH II). Salary may be set at 6% to 20% over current salary or the minimum of the broadband level which ever is higher.

PROMOTION (Federal Employee (Outside of the Demo) Entering the Demo). A current Federal employee selected to an Acquisition Demo position with a higher salary range than currently held or previously held. Salary may be set within the range of the broadband level.

RAILS (UPPER AND LOWER). The rails are lines +/-8.0 percent in salary from the standard pay line and define the normal pay range.

RATING OFFICIAL. The rating official is the individual who formally rates or appraises the employee for the annual rating of record. Normally, this will be the first-level supervisor. The terms “rating official” and “first-level supervisor” are frequently used interchangeably in this document.

RATING OF RECORD. The rating of record is the official rating (Overall Contribution Score) that is entered into the employee’s official personnel file (or database).

REASSIGNMENT (Federal Employee Within the Demo). The change of an employee from one position to another position within the same broadband level in the same career path or to a position in another career path and level in which the new broadband level has the same maximum salary rate than the broadband level from which the employee is being moved (e.g., NJ I to NH I). There is no change in salary for employees within the Demo.

REASSIGNMENT (Federal Employee (Outside of the Demo) Entering the Demo). Change of an employee from one competitive service position in any other pay system to an Acquisition Demo position without promotion or change to lower broadband. (Buy-in applies, refer to Federal Register Vol. 66, No. 98, 21 May 2001, Amendment to Federal Register Vol. 64, No. 05, 8 Jan 1999, Sec V A.)

RELATIVE SCORE (RS). Relative Score (RS) is the percent difference between an employee’s current base salary and the base salary that would place the employee on the Standard Pay Line (SPL) for his or her Overall Contribution Score (OCS). It is a measure of the degree to which an employee is over- or under-compensated, given their contribution to the organization’s mission. See Appendix F for a detailed explanation of Relative Score.

$$\text{Relative Score} = ((\text{Salary}_{\text{Current Base}} / \text{Salary}_{\text{SPL}}) - 1) * 100$$

STANDARD PAY LINE (SPL). The standard pay line is a mathematical relationship between contribution and salary. The standard pay line tracks from the lowest pay, GS-1 Step 1, to the highest pay, GS-15 Step 10. It is increased annually in accordance with the General Schedule pay increase.

SUPERVISOR. The first-level supervisor is usually the individual who formally rates or appraises the employee for the annual contribution assessment (rating of record). The terms “rating official” and “first-level supervisor” are frequently used interchangeably in this document.

TRANSFER (Federal Employee (Outside of the Demo) Entering the Demo). Movement of an employee from one Agency or Component to another by reassignment, promotion or change to lower broadband.

UPPER RAIL. The curved line that is above the SPL by an 8 percent difference in salary from the SPL throughout the OCS range. It is used to define the upper bound of the NPR.

APPENDIX L

SAMPLE LETTERS, FORMS AND AGREEMENTS

1. Sample Letter of Notification of Transition into the Project
2. Sample Letter of Extension of Probationary Period
3. Sample Letter of Notice of Inadequate Contribution and Contribution Improvement Plan (CIP)
4. Sample Sabbatical Application Form; Employee Request Form
5. Sample Sabbatical Application Form; Supervisory, Department Head, Executive Director/Commanding Officer Recommendation Form
6. Sample Voluntary Emeritus Work Agreement

Sample Letter of Notification of Transition into the Project

Office Symbol (340)

Date

MEMORANDUM FOR ALL (insert ORGANIZATION/ACTIVITY) EMPLOYEES

SUBJECT: Department of Defense Civilian Acquisition Workforce Personnel Demonstration Project Federal Register Notice of Approval

1. It is with great satisfaction that I forward the Department of Defense (DoD) Civilian Acquisition Workforce Personnel Demonstration Project Final Federal Register Notice, dated January XX, 1999. The revised notice incorporates many changes based on public comments, as well as many refinements and clarifications. This publication, coupled with the Office of Personnel Management's (OPM) approval to implement brings to the final stages the preparation to begin our project on (insert organization/activity's implementation date), 1999.
2. (Optional) I plan to host a/an command-/activity-wide town hall meeting on (insert date), at (insert time) in the (insert location). This is an important meeting as we will discuss the "who, what, where, when and how" of operating under the new Personnel Demonstration Project. We will also describe some of the critical actions that will take place as we convert from the old system to the new one.
3. One of the most important steps in a smooth transition to the Personnel Demonstration Project will be the extensive training scheduled for February and March of this year (or insert date or dates). Specifics addressing our training plan and scheduling will be announced through your respective chain of supervision, as well as through other means. Because the demonstration project changes some of the basic conditions of employment, including pay and annual evaluation, I have decided that these half-day training sessions should be attended by both supervisory and non-supervisory personnel and should be considered mandatory for all.
4. The Civilian Acquisition Workforce Personnel Demonstration Project provides a tremendous opportunity to improve the effectiveness of our command/activity through a simplified and more responsive personnel management system. While there will be undoubtedly be some problems as we gain experience with the procedures we have put in place, I am counting on your cooperation to fully demonstrate the numerous innovative civilian personnel management initiatives, on which this project was founded.
5. Questions pertaining to the Final Federal Register Notice or our training plan should be addressed to (insert name of point of contact, phone number, and email address).

Signature Block

SAMPLE EXTENSION OF PROBATIONARY PERIOD

(Date)

MEMORANDUM

To: (employee name)

From: (supervisor's name)

Subject: Extension of Probationary Period

Because you have not yet completed your one year probationary period and are scheduled for an extended educational/training assignment, it will be necessary to extend your probationary period. This extended period will give me time to properly, objectively and completely evaluate your contribution and conduct within the acquisition workplace environment upon your return.

Your training/education assignment(s) is scheduled to be held from (date) through (date). Accordingly, your probationary period will be extended until (date). Congratulations on your educational/training assignment(s).

SUPERVISOR'S SIGNATURE

Receipt Acknowledgment
(employee's signature)

Date

Copy to: Servicing Human Resource Office

Sample Notice of Inadequate Contribution and Contribution Improvement Plan (CIP)

MEMORANDUM FOR: (employee)

From: (supervisor)

Subj: Notice of Inadequate Contribution and Contribution Improvement Plan (CIP)

Ref: (a) Federal Register, Vol. 64, No. 5, January 8, 1999

1. Under the provisions of reference (a), when an employee's contribution in any factor is at or less than the midpoint of the next lower broadband level (*adjust for employee plotting above the upper rail*) the employee is considered to be contributing inadequately. Inadequate contribution in any one factor at any time during the appraisal period is considered grounds for initiation of reduction in pay or removal from Federal service. The factors on which you were rated were communicated to you on (*insert date*) and are outlined in the attached Position Requirements Document (PRD).

2. This is to notify you that as a (*insert title, career path, broadband level*) employee your contribution in critical factor (*list factor(s)*) is rated less than the midpoint of the next lower broad band level. Consequently, your contribution to this organization is considered inadequate and you are being placed on a Contribution Improvement Plan (CIP). Although you received an overall contribution score of (*insert score*), which is between the rails, you received a score of (*insert score in the mid-point of the next lower broad band level*) in the critical factor (*insert factor*). This CIP gives you (*60 calendar days or more*) to increase your contribution to a score above the midpoint of the next lower broadband level and sustain it at that level. The CIP period will commence the day after you receive this letter. The following outlines specific areas in which you are inadequately contributing, including standards for adequate contribution, actions required of you and the time they must be accomplished.

The attached PRD outlines the specific descriptors, discriminators and expected performance/contribution criteria for the factor (*insert critical factor*).

3. The reasons your score was below the adequate level are as follows:

(Describe specific examples in which the employee is inadequately contributing (e.g., assignment/task/project, include dates assigned or dates due, result. Why or how was it inadequate?)

4. In order to increase your contribution to the adequate level you must accomplish the following:

(Provide specific expected tasks/accomplishments as well as outcomes; include completion dates for each (i.e., what needs to be done? What do you expect as an end product? When is it due?))

5. To assist you in achieving an adequate level of contribution:

(Describe what the agency will do to assist the employee (e.g., send to training, meet with the employee on a weekly basis for status and provide in-put as needed, OJT)

6. We will meet (*weekly or bi-weekly*) to discuss your progress. I will notify you in advance of the time and date for these meetings and will take into account your personal needs. Should you have any questions or encounter difficulties at any time see me immediately so that I may assist you. (*Supervisor must document these sessions, status or progress of assignments, outcomes, make a copy of the product, if necessary*)

7. I have no reason to believe your contribution deficiencies are related to any personal or medical problems. However, if you have a medical condition you wish to be considered, you may provide medical documentation of this condition. The costs of any medical evaluation would be your responsibility. Medical documentation may not be simply conclusive in nature but must fully explain the nature of the medical condition, the evidence on which the diagnosis is based and clearly indicate how the condition impacted your ability to contribute adequately. Additionally, if you are experiencing any personal problems which may impact your ability to contribute adequately, you may contact Employee Assistance for guidance and assistance. You can contact them directly at telephone (*insert number*) or I can set up an appointment for you.

8. It is my desire for you to succeed in your position. I believe this situation can be eliminated by positive action on your part, providing you understand the seriousness of your failure to contribute at an acceptable level and providing you have the desire to make improvements. If your contribution remains at an inadequate level following this CIP period you may be reduced in pay (which may include a change to a lower broadband level and/or reassignment) or removed from Federal service.

9. This is to notify you of inadequacies in your contribution and that you have an opportunity to improve and meet the requirements of your position. My goal is to assist you to improve to an acceptable level within the next (*period given*).

Supervisor's Signature

Receipt acknowledgement:

Employee Signature Date

SAMPLE SABBATICAL APPLICATION FORM

EMPLOYEE REQUEST FORM

To: Executive Director/Commanding Officer

Via: Department Head (Name)
Immediate Supervisor (Name)

From: Employee

Employee Name: _____
Title, Series, Career Path and Broadband Level: _____

Employee Office Telephone: _____
Organizational Department/Division: _____

Supervisor's Name: _____
Telephone Number: _____

Department Head's Name: _____
Telephone Number: _____

Member (Check): Acquisition Corps _____
Acquisition Workforce _____

Service Computation Date: _____

Years with Current Organization: _____

Type and Purpose of Sabbatical Request (e.g., study or work experience):

Location of Sabbatical:
Address of organization/school _____
Telephone number of organization/school _____

Dates of Sabbatical: From _____ to _____

(Page 1 of 2, Application)

Employee Sabbatical Request Form (Cont'd)

Describe the benefit of Sabbatical for employee and how it will contribute to his/her effectiveness or development (use additional paper, if necessary).

Describe the product, service, report or study that will result from this Sabbatical and explain how it will benefit the acquisition community and the organization's mission.

Estimated costs: Salary _____
Other: (describe) _____

Upon completion and/or during this Sabbatical, I agree to the following terms: (insert organizational requirements):

Home Address: _____

Home Telephone Number: _____

Employee's Signature: _____

Date: _____

SAMPLE SABBATICAL APPLICATION REQUEST

SUPERVISORY RECOMMENDATION

To: Executive Director/Commanding Officer

Via: Department Head (Name)

From: Immediate Supervisor (Name)

I recommend approval of the Sabbatical Requested by _____.
____ Yes ____ No

Describe below the benefits the employee should receive from this Sabbatical.

Describe below the benefits the organization and particularly the Acquisition community will receive from completion of this Sabbatical.

As the immediate supervisor, are you aware of any budgetary constraints which may impact approval of this request? ____ Yes ____ No

If yes, explain:

What is the impact on the Command's mission as the result of losing this employee for the period requested?

Immediate Supervisor's Signature

Date

SAMPLE SABBATICAL APPLICATION FORM

DEPARTMENT HEAD'S RECOMMENDATION

As Department Head, I recommend this request be: _____ Approved _____ Disapproved

My Department/Directorate can fund payment of estimated costs.

Department Head's Signature Date

**SABBATICAL REQUEST
EXECUTIVE DIRECTOR/COMMANDING OFFICER
APPROVAL/DISAPPROVAL**

To: Department Head (Name)

From: Executive Director/Commanding Officer

Having reviewed the application and the recommendations of the Supervisor and Department Head, this request for sabbatical is:

_____ Approved

_____ Disapproved

Describe any modifications/stipulations to request

Executive Director/CO Date

HUMAN RESOURCES OFFICE

Forward copy to: Human Resources Office
NOA 480, Public Law 104-106

Employees Full Name: _____ S.S. #: _____
Department/Division: _____

Sabbatical Dates: From _____ NTE _____

Department Head's Signature Date

SAMPLE VOLUNTARY EMERITUS WORK AGREEMENT

Work agreement between (Activity/Department/Division name), and (Volunteer's Name).

STATEMENT OF UNDERSTANDING:

Voluntary assignment does not constitute an appointment in the civil service.

Volunteer service is to be uncompensated and gratuitous and unconditionally given.

Volunteer waives any and all claims against the Government because of the voluntary assignment except for purposes of:

- (i) Subchapter I of Chapter 81 of Title 5, U.S.C. (using the formula established in 10 U.S.C. 1588 for determination of compensation) (work-related injury compensation);
- (ii) Chapter 171 of Title 28, U.S.C. (tort claims procedures);
- (iii) Section 552a of Title 5, U.S.C. (records maintained on individuals); and
- (iv) Chapter 11 of Title 18, U.S.C. (conflict of interest).

Volunteer may be required to submit a financial disclosure form annually.

Volunteer's federal retirement pay (whether military or civilian) will not be affected while serving in this voluntary capacity.

Volunteer will receive no retirement, severance pay, or leave credit as a result of being a designated Volunteer Emeritus.

Volunteer will not be permitted to monitor contracts on behalf of the government.

Volunteer will not be permitted to participate on any contracts or solicitations where a conflict of interest exists.

Volunteer service will end on _____ (defined by weeks or months)

Support provided by the activity will consist of: (List all space, equipment, administrative services, travel, etc. which will be provided to volunteer.)

Level of Security Clearance is _____.

A statement of duties and experience is attached.

THE VOLUNTEER AGREES TO:

Be responsible for _____ (number) of site hours per _____ (period).

The volunteer's work schedule will be: _____;
The volunteer will be responsible to the site supervisor for the duration of the volunteer service;
and comply with regulations governing the site.

The volunteer is obligated to protect trade secrets and other proprietary information from
unauthorized disclosure and may be required to sign nondisclosure agreements as a condition of
the voluntary assignment.

EITHER PARTY MAY VOID THIS AGREEMENT WITHIN 10 WORKING DAYS OF
WRITTEN NOTICE.

(Volunteer) _____
(Date) _____
(Commander/Director) _____
(Date)

(Human Resources) _____
(Date)

APPENDIX M

REDUCTION IN FORCE (RIF) DISPLACEMENT ENTITLEMENTS

1. RIF Displacement Entitlements for Business Management and Technical Management Professional (NH).
2. RIF Displacement for Technical Management Support (NJ).
3. RIF Displacement for Administrative Support (NK).

RIF Displacement Entitlements (1)		Then employee may displace another employee (2)	Remarks
If employee is in			
Career Path	BBL	Career Path	BBL
Business Mgmt. and Technical Mgmt. Professional	I	Prof	I
		Tech	I
		Admn	I
	II	Prof	II and I
		Tech	III, II, and I
		Admn	III, II, and I
	III	Prof	III and II
		Tech	IV and III
		Admn	III
	IV	Prof	IV and III
		Tech	IV
			Encompasses current and lower Tech BBL grades
			Encompasses current and lower Prof BBL grades
			Encompasses current and lower Prof BBL grades
			Encompasses current and lower Tech BBL grades
			Encompasses lower Prof BBL grades
			Current and lower Tech BBLs
			Encompasses lower Prof BBL grades
			Current and lower Tech BBLs
			Encompasses lower Prof BBL grades
			Encompasses lower Prof BBL grades
			Encompasses lower Prof BBL grades

Career Path and 1999 Pay Schedule (Base Salary w/o Locality Pay)

Bus. Mgmt & Tech Mgmt Professional	BBL I (GS 1-4) \$13,362-23,918	BBL II (GS 5-11) \$20,588-49,066	BBL III (GS 12-13) \$45,236-69,930	BBL IV (GS 14-15) \$61,567-97,201
Technical Mgmt Support	BBL I (GS 1-4) \$13,362-23,918	BBL II (GS 5-8) \$20,588-49,066	BBL III (GS 9-11) \$31,195-49,066	BBL IV (GS 12-13) \$45,236-69,930
Administrative Support	BBL I (GS 1-4) \$13,362-23,918	BBL II (GS 5-7) \$20,588-33,151	BBL III (GS 8-10) \$28,242-44658	

Career Path and GS Grades

Bus. Mgmt & Tech Prof	BBL 1 (GS 1-4)	BBL II (GS 5-11)	BBL III (GS 12-13)	BBL IV (GS 14-15)
Technical Mgmt Support	BBL I (GS 1-4)	BBL II (GS 5-8)	BBL III (GS 9-11)	BBL IV (GS 12-13)
Administrative Support	BBL I (GS 1-4)	BBL II (GS 5-7)	BBL III (GS 8-10)	

(1) Entitlements are based on the range of GS grades encompassed by each Career Path BBL. Employees have no displacement entitlement to a BBL in another career path that would result in greater GS grade/pay potential than the employee's current Career Path and BBL confers (see Chapter 5). Employees also have no displacement entitlement to a BBL in another career path that encompasses a lower GS grade/pay rate than the next lower BBL in the employees current career path.

(2) Preference-eligible (Veteran) employee with a compensable service-connected disability of 30 percent or more may displace up to two BBLs below the employee's present BBL (equivalent of five GS grades.)

RIF Displacement Entitlements (1)		Then employee may displace another employee (2)		Remarks
If employee is in		another employee (2)		
Career Path	BBL	Career Path	BBL	
Technical Management Support	I	Tech	I	Current BBL-no lower BBL
		Prof	I	
		Admin	I	
	II	Tech	II and I	Current and lower Tech BBLs
		Prof	I	Encompasses lower Tech BBL
		Admin	II and I	Encompasses lower Tech BBL Equivalent
			II and I	Encompasses lower Tech BBL grades-
			II and I	No Current Tech BBL grades
	III	Tech	III and II	Current and Lower Tech BBLs
		Prof	II	Encompasses current and lower Tech BBL grades
		Admin	III and II	Encompasses lower Tech BBL grades-No current
				Tech BBL grades
	IV	Tech	IV and III	Current and lower Tech BBLs
		Prof	III and II	Encompasses current and lower Tech BBL grades
		Admin	III	Encompasses grades of lower Tech BBL

Career Path and 1999 Pay Schedule (Base Salary w/o Locality Pay)

Bus. Mgmt & Tech Mgmt Professional	BBL I (GS 1-4) \$13,362-23,918	BBL II (GS 5-11) \$20,588-49,066	BBL III (GS 12-13) \$45,236-69,930	BBL IV (GS 14-15) \$61,567-97,201
Technical Mgmt Support	BBL I (GS 1-4) \$13,362-23,918	BBL II (GS 5-8) \$20,588-49,066	BBL III (GS 9-11) \$31,195-49,066	BBL IV (GS 12-13) \$45,236-69,930
Administrative Support	BBL I (GS 1-4) \$13,362-23,918	BBL II (GS 5-7) \$20,588-33,151	BBL III (GS 8-10) \$28,242-44,658	

Career Path and GS Grades

Bus. Mgmt & Tech Prof	BBL I (GS 1-4)	BBL II (GS 5-11)	BBL III (GS 12-13)	BBL IV (GS 14-15)
Technical Mgmt Support	BBL I (GS 1-4)	BBL II (GS 5-8)	BBL III (GS 9-11)	BBL IV (GS 12-13)
Administrative Support	BBL I (GS 1-4)	BBL II (GS 5-7)	BBL III (GS 8-10)	

(1) Entitlements are based on the range of GS grades encompassed by each Career Path BBL. Employees have no displacement entitlement to a BBL in another career path that would result in greater GS grade/pay potential than the employee's current Career Path and BBL confers (see Chapter 5). Employees also have no displacement entitlement to a BBL in another career path that encompasses a lower GS grade/pay rate than the next lower BBL in the employees current career path.

(2) Preference-eligible (Veteran) employee with a compensable service-connected disability of 30 percent or more may displace up to two BBLs below the employee's present BBL (equivalent of five GS grades.)

RIF Displacement Entitlements (1)			Remarks		
If employee is in	Then employee may displace another employee (2)				
Career Path	BBL	Career Path	BBL		
Administrative Support	I	Admin	I		Current BBL-no lower BBL
		Prof	I		
		Tech	I		
	II	Admin	II and I		Current and lower Admin BBLs
		Prof	I		Encompasses lower Admin BBL grades-No Current BBL Match
		Tech	I		Encompasses lower Admin BBL grades-No Current BBL match
	III	Admin	III and II		Current and Lower Admin BBLs
		Prof	No entitlement		No Prof BBL encompasses current and/or lower Admin BBL grades
		Tech	II		Encompasses one current Admin BBL grade and lower Admin BBL grades

Career Path and 1999 Pay Schedule (Base Salary w/o Locality Pay)

Bus. Mgmt & Tech	BBL I (GS 1-4)	BBL II (GS 5-11)	BBL III (GS 12-13)	BBL IV (GS 14-15)
Mgmt Professional	\$13,362-23,918	\$20,588-49,066	\$45,236-69,930	\$61,567-97,201
Technical Mgmt Support	BBL I (GS 1-4)	BBL II (GS 5-8)	BBL III (GS 9-11)	BBL IV (GS 12-13)
	\$13,362-23,918	\$20,588-49,066	\$31,195-49,066	\$45,236-69,930
Administrative Support	BBL I (GS 1-4)	BBL II (GS 5-7)	BBL III (GS 8-10)	
	\$13,362-23,918	\$20,588-33,151	\$28,242-44,658	

Career Path and GS Grades

Bus. Mgmt & Tech Prof	BBL 1 (GS 1-4)	BBL 2 (GS 5-11)	BBL 3 (GS 12-13)	BBL 4 (GS 14-15)
Technical Mgmt Support	BBL I (GS 1-4)	BBL II (GS 5-8)	BBL III (GS 9-11)	BBL IV (GS 12-13)
Administrative Support	BBL I (GS 1-4)	BBL II (GS 5-7)	BBL III (GS 8-10)	

(1) Entitlements are based on the range of GS grades encompassed by each Career Path BBL. Employees have no displacement entitlement to a BBL in another career path that would result in greater GS grade/pay potential than the employee's current Career Path and BBL confers (see Chapter 5). Employees also have no displacement entitlement to a BBL in another career path that encompasses a lower GS grade/pay rate than the next lower BBL in the employees current career path.
(2) Preference-eligible (Veteran) employee with a compensable service-connected disability of 30 percent or more may displace up to two BBLs below the employee's present BBL (equivalent of five GS grades.)