Operating Guide

DOD CIVILIAN ACQUISITION WORKFORCE PERSONNEL DEMONSTRATION PROJECT

(AcqDemo)

July 31, 2020

EXECUTIVE SUMMARY

DoD Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo)

The Department of Defense (DoD) AcqDemo transforms civilian personnel management policies and procedures to better support DoD's acquisition mission. Specifically, AcqDemo aims to provide a system that retains, recognizes, and rewards employees for their contributions, and supports their personal and professional development.

Background

Beginning with the Naval Aviation Warfare Center - Weapons Division at China Lake in California, Congress has provided DoD special personnel demonstration authorities to support complex laboratory mission and technical workforce needs. In 1999, Congress provided DoD similar personnel demonstration project authority to support DoD's complex acquisition mission and workforce needs. DoD implemented AcqDemo as a contribution-based, broadband compensation, and personnel system for acquisition organizations. AcqDemo expansion was interrupted from 2007 through 2010 by the Congressionally-directed National Security Personnel System (NSPS). AcqDemo, although similar to NSPS as a broadband system, differs from NSPS through its design and management flexibilities. Also, unlike NSPS, AcqDemo garners union support as it requires for local union bargaining agreements. After Congress repealed NSPS, AcqDemo participation returned to 16,000 and remained stable until 2015. Since 1999, Congress has repeatedly extended AcqDemo's temporary authority, which now would expire on December 31, 2023. As a result of the National Defense Authorization Act for Fiscal Year (NDAA) 2016 extension, AcqDemo participation has more than doubled. By June 2020, the population count has expanded to approximately 47,000. To enhance DoD's AcqDemo success, Congress, through the FY17 NDAA, transferred full management authority for AcqDemo from the Office of Personnel Management (OPM) to the Secretary of Defense (SECDEF). Using the new SECDEF authority, DoD is now positioned to make the most significant improvements to the AcqDemo design and management flexibilities since 1999.

Section 1762 of Title 10, United States Code, provides the Secretary of Defense authority to establish personnel management system demonstration project. AcqDemo is described in the revised Federal Register Notice, (FRN), 82 FR 52104, dated November 9, 2017. A PDF copy is located on the AcqDemo website: http://acqdemo.hci.mil/library.html.

Organizational and team participation in AcqDemo is voluntary and to be eligible each organization or team will have:

a) At least one-third of their civilian workforce occupying positions coded as meeting the requirements of the Defense Acquisition Workforce Improvement Act (DAWIA); and
b) At least two-thirds of the civilian workforce consisting of members of the AWF and supporting personnel assigned to work directly with the AWF.

The total number of participants is limited to 130,000.

The purpose of AcqDemo is to demonstrate that the effectiveness of DoD acquisition can be

enhanced by allowing greater managerial control over personnel processes and functions and, at the same time, expand the opportunities available to employees through a more responsive and flexible personnel system. To this end, the proposed project involves: (1) simplified job classification; (2) broadbanding; (3) streamlined hiring processes; (4) contribution-based compensation and appraisal system; (5) other pay flexibilities such as supervisory and team leader cash differential; (6) accelerated compensation for developmental positions (ACDP); (7) expanded training opportunities; (8) sabbaticals; (9) a voluntary emeritus program; and (10) revised reduction-in-force procedures. AcqDemo 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. Participation has varied over the 20 years of AcqDemo. From a starting population of 4,000 in 1999, it increased to a peak of 11,392 in 2006 just before the National Security Personnel System (NSPS) started. Since the return from NSPS in 2011, the AcqDemo population has grown to approximately 47,000 as of June 2020.

Broadbanding

AcqDemo includes appointment flexibilities designed to make DoD's acquisition organizations more agile and improve their ability to compete for talent, especially from the private sector. A key flexibility that distinguishes AcqDemo from General Schedule (GS) is its use of broadbanding. As shown in the table below, the AcqDemo workforce is divided into three career paths, each with either three or four broadband levels. These bands are comparable to GS grades and salaries and provide employees with the opportunity to earn a salary commensurate with the value of their positions and contributions to the organization within the band in which they fall.

Career Paths and Broadband Structure

Business management and technical management professional (NH)

I	II	III	IV
(GS 1–4)	(GS 5–11)	(GS 12–13)	(GS 14–15)

Technical management support (NJ)

I	II	III	IV
(GS 1–4)	(GS 5–8)	(GS 9–11)	(GS 12–13)

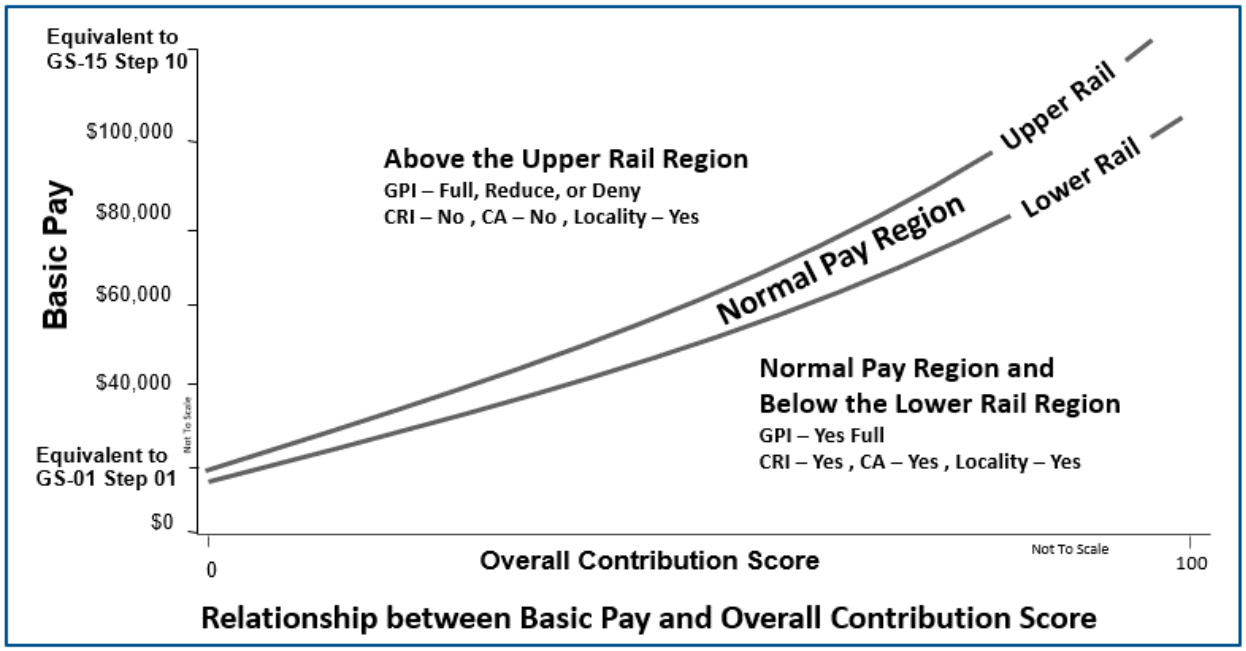
Administrative support (NK)

I	II	III
(GS 1–4)	(GS 5–7)	(GS 8–10)

Link between Contribution and Pay

AcqDemo's Contribution-based Compensation and Appraisal System (CCAS) links pay and awards to contribution to the mission and value of the position rather than to longevity. CCAS is designed to provide an equitable and flexible method for evaluating and compensating the workforce's contribution. In the figure below, the Standard Pay Line (SPL) defines the relationship between pay and contribution. The SPL is determined by an Overall Contribution Score (OCS) of 0 for pay of GS-1/1 and 100 for GS-15/10. The Upper Rail (UR) is 8% above the SPL and the Lower Rail (LR) is 8% below. The Normal Pay Region (NPR) is defined as the region between the UR and the LR.

A. Employees whose OCS and basic pay plot in the NPR or below the LR receive the General Pay Increase (GPI) and are eligible for a contribution-based basic pay increase called the Contribution Rating Increase (CRI) and a Contribution-based Award (CA). Employees who plot above the UR, the GPI may be denied, reduced, or given in full, but are not eligible for the CRI and CA. See the example below:



Relationship between Basic Pay and Overall Contribution Score

B. Overview of AcqDemo Flexibilities from the Federal Register notice include:

1) Broadbanding
   a) More competitive hiring by using the larger pay range of the broadband to set pay
   b) Wider range of reassignment possibilities (reassignment to positions within the broadband)
   c) Pay-setting flexibilities to competitively attract and retain highly skilled professionals

d) Larger range of pay available without a promotion
e) Simplified classification
f) Use of Position Requirements Documents (PRDs) versus Position Descriptions (PDs) reduces classification standards from 236 standards to 3 for each career path
g) Position classification delegation to heads of participating organizations

2) Contribution-based pay rather than longevity-based
   a) Link pay to contribution to mission of the organization and the value of the position
   b) Reward for mission contributors (relative to pay) rather than longevity
   c) Wide range of pay increases – rewards increase with contribution

3) Hiring Authorities
   a) Direct hire for NH-Business and Technical Management Professional career path
   b) Veteran direct hire for NH and NJ-Technical Management Support career paths
   c) Acquisition student intern
   d) Scholastic achievement

4) Compensation Costs
   a) Initial within grade increase buy-in
   b) Overall growth in basic pay under AcqDemo is virtually the same as under GS with a mandated funding level for contribution-based salary increase
   c) Employees who are capped out at the top of the band, including those on retained pay, may receive a lump sum carry-over award equal to the calculated contribution rating increase (CRI) due to a basic pay cap
   d) Mandated funding level for contribution-based awards
   e) Supervisory or Team Leader Cash Differential
   f) Accelerated Compensation for Developmental Positions (ACDP)

5) Other Features that Help Organizations Better Meet Mission Needs
   a) Mandated regular supervisor-employee interactions throughout the annual appraisal cycle (contribution planning, midpoint review, and annual appraisal results)
   b) Opportunities for greater professional development
   c) Career growth and development through the use of 3 to 12 month sabbaticals
   d) Voluntary Emeritus Program offering AcqDemo separated/retired civilians and former military members an opportunity to keep working after accepting retirement or a buyout

This document provides the detail needed to implement the flexibilities listed above.

Summary

AcqDemo is a proven and innovative performance management system. The growth in 2018 and 2019 indicates more acquisition organizations are realizing the need for AcqDemo in order

to be competitive with the private sector, other demonstration projects, and other federal agencies in attracting and retaining a high quality workforce. AcqDemo's flexibilities are intended to help organizations achieve their mission by ensuring they have a highly qualified and motivated workforce and by making employees more agile and adept in responding to evolving mission needs or changes in the environment.

Operating Guide

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AcqDemo Chapter 1

AcqDemo Introduction

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1.0 AcqDemo Introduction

1.1 Table of Changes

Date of Change	Chapter(s)/ Section(s)	Topic	Remarks
11/09/17	All	Update for new Federal Register Notice (FRN)	This chapter rewritten to align to 82 FR 52104, dated Nov 9, 2017.
06/07/18	All	Administrative Updates	Various administrative updates. Realignment/renumbering due to admin changes.
06/07/18	1.2.4	Operating Procedures dtd May 15, 2003 and AcqDemo Memorandums	To cancel AcqDemo Operating Procedures dtd May 15, 2003 and AcqDemo Memorandums issued prior to November 9, 2017. Relevant information from these documents retained and inserted into this Ops Guide.
03/08/19	All	Administrative Updates	Various administrative updates. Realignment/renumbering due to admin changes.
07/31/20		Glossary	Moved Glossary with Acronyms to end of Ops Guide

1.2 Purpose

This Operating Guide (Ops Guide) is designed to outline AcqDemo processes, including detailed information on specific procedures, which are designed for use by participating employees, civilian and military supervisors, support personnel, and other stakeholders. The Ops Guide details 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.

1.2.1 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.

1.2.2 This Ops Guide has been written to implement the provisions of the Federal Register Notice, 82 FR 52104-52172, dated November 9, 2017 (aka 82 FR 52104). If any provision in the Ops Guide should inadvertently contradict a requirement in the FRN, the FRN, being statute, will prevail.

1.2.3 Personnel actions not addressed in the FRN or the Ops Guide are considered under Title 5 of the United States Code (U.S.C.) and/or Title 5 of the Code of Federal Regulations based on civilian policy, laws, rules, and regulations.

1.2.4 This Ops Guide cancels AcqDemo Operating Procedures dated May 15, 2003 and the AcqDemo Memorandums recorded below. Relevant information from these documents was retained and inserted into this Ops Guide in the appropriate chapter covering the subject matter. A listing of the cancelled AcqDemo Memorandums is provided below:

1) AcqDemo Memorandum (AM) 12-01 – Career Ladder Positions Within the Civilian Acquisition Workforce Personnel Demonstration Project, December 5, 2012
2) AcqDemo Memorandum (AM) 13-01 – Suspension of Use of the AcqDemo Extended Probationary Period Provision, January 3, 2013
3) AcqDemo Memorandum (AM) 13-02 – Release of Aggregate Appraisal Feedback to the AcqDemo Workforce, February 19, 2013
4) AcqDemo Memorandum (AM) 13-03 – AcqDemo Assessment Requirements upon a Rating Official Change or Employee Movement, July 1, 2013
5) AcqDemo Memorandum (AM) 13-04 – Retained Pay Entitlement Upon Promotion, March 28, 2013
6) AcqDemo Memorandum (AM) 14-02 – Change 2 to AcqDemo Memorandum (AM) 14-02 – Pay Setting for New Hires, Reinstatement Eligible and Non-AcqDemo Federal Employees Entering AcqDemo through Actions Other than Conversion and Associated Changes, dated Jul 30, 2014, October 21, 2014
7) AcqDemo Memorandum (AM) 14-03 – Part-time and Intermittent Work Schedules under the Contribution-based Compensation and Appraisal System (CCAS), September 19, 2014
8) AcqDemo Memorandum (AM) 14-04 – Nature of Action Code (NOAC (NOAC) 891, Performance-based Pay Increase Provided on a Regular Cycle, 23 September 2014

1.3 Background

1.3.1 Over the last several decades, 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. The acquisition community has taken on the challenge to reform and modernize itself in order to perform efficiently in the present and future environment. The Acquisition Workforce (AWF) community has adopted many new practices from private industry, as well as streamlined existing personnel practices. In general, AcqDemo broke old paradigms and built new processes to be more efficient and effective.

1.3.2 Central to the objectives of the Defense Acquisition Workforce Improvement Act (DAWIA) and acquisition initiatives which emphasize continuing efforts to increase the productivity, efficiency, and effectiveness of the Department's many acquisition, technology, and logistics efforts and the professionalism of the acquisition workforce, DoD must change the

personnel management system that governs the AWF and AcqDemo works to support these objectives.

1.4 Personnel Issues Affecting the Workforce

1.4.1 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.

1.4.2 The purpose of AcqDemo is to demonstrate the effectiveness of DoD acquisition can be enhanced by allowing greater managerial control over personnel processes and functions and, at the same time, improve the AWF by expanding the opportunities available to employees through a more responsive and flexible personnel management system. To address the personnel issues affecting the AWF, AcqDemo's original initiatives require waivers of civil service law and/or Government-wide regulations, and accordingly are contained in the demonstration project plan published in the FRN 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.

1.5 Project Design

1.5.1 In September 1996, a Process Action Team (PAT) was formed by the Secretary of Defense (SECDEF) 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 AWF personnel issues.

1.5.2 The team included acquisition representatives from the Components and Defense Agencies, 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.

1.5.3 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.

1.6 FRN and Amendments

1.6.1 The March 24, 1998 FRN establishes the intent to conduct a personnel demonstration for acquisition workforce personnel and describes the proposed initiatives.

1.6.2 The January 8, 1999 FRN (64 FR 1426 – 1492) describes the personnel initiatives to be implemented under this demonstration project.

1.6.3 The May 21, 2001 (66 FR 28006-28007) 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.

1.6.4 The April 24, 2002 (67 FR 20192-20193) 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.

1.6.5 The July 1, 2002 (67 FR 44250-44256) amendment lists all organizations that are eligible to participate in the project and made the resulting adjustments to the table that describes the project's workforce demographics and union representation.

1.6.6 The October 16, 2002 (67 FR 63948-63949) notice of intent aimed to change the method for determining and translating retention service credit for Reduction in Force (RIF). A subsequent FRN to implement the proposal was not published.

1.6.7 The October 4, 2006 amendment* facilitates the transition of Acquisition Demonstration Project employees to the National Security Personnel System (NSPS) by authorizing an out-of-cycle Contribution-based Compensation and Appraisal System (CCAS) payout and amending conversion out procedures.

Note: All October 4, 2006 amendment provisions were eliminated from this publication in their entirety. The amendment pertains solely to the transition from AcqDemo to NSPS. NSPS was repealed in the FY10 NDAA, returning former AcqDemo employees back to the personnel system from which they came. This amendment no longer applies.

1.6.8 The March 31, 2015 (80 FR 17109-17117) amendment announces the repeal and replacement of AcqDemo's original legal authorization and modifies the project plan to include new provisions. The revisions updated the project plan to address changes resulting from new title 5 regulations and operational experience; announced guidelines for a formal process for interested DoD civilian acquisition organizations to use to request approval to participate in AcqDemo; and provided notice of the expansion of coverage to new or realigned organizations.

1.6.9 The February 9, 2016 (81 FR 6902) document publishes three technical corrections to 80 FR 17109-17117 (March 31, 2015) to ensure access for the entirety of an organization to participate in AcqDemo.

1.6.10 This version of the Ops Guide reflects new or modified initiatives and/or topics approved and published in the latest FRN dated November 9, 2017. This amendment includes maximum broadband level; reduction of the six classification and appraisal factors to three factors; direct hire authority; modified expedited hiring authority; rule of many; expanded supervisory probationary period; expanded detail and temporary promotion authority; revised reduction-in-force procedures; compensation management; clarification of various pay setting procedures for conversions, new hires, employee movement within AcqDemo, and employees joining AcqDemo; supervisory and team leader cash differentials; accelerated compensation for developmental positions; student intern relocation incentive; overall assessment of the quality of

performance; CCAS very high score methodology; and modified contribution improvement period procedures.

1.7 Participating Organizations

1.7.1. A list of organizations approved to participate in AcqDemo is in **Table 1 and Table 1.A of Appendix B of the 82 FR 52104, dated November 9, 2017.** See **Chapter 2**, Organizational Conversion and Employee Voluntary Movement Into and From AcqDemo of this Ops Guide, for more detail. A list of the participating unions and their population by component is located on the AcqDemo website; http://acqdemo.hci.mil/, using the "Workforce Demographics" link under the "About AcqDemo" tab.

1.7.2. AcqDemo encourages union participation. The American Federation of Government Employees (AFGE) and the National Federation of Federal Employees (NFFE) represent the largest number of bargaining unit employees. The National Association of Government Employees (NAGE), International Association of Firefighters (IAFF), International Federation of Professional and Technical Engineers (IFPTE), and Laborers' International Union of North America (LIUNA) represent the remainder of AcqDemo bargaining unit employees. See **Chapter 2**, Organizational Conversion and Employee Voluntary Movement Into and From AcqDemo for additional information on bargaining union requirements. A complete list of Unions and bargaining unit employee counts can be found on the AcqDemo website.

1.8 Governance

1.8.1. Management Oversight

AcqDemo was originally established under SECDEF authority, with the approval of OPM. However, the FY17 NDAA (Public Law 114-328) transferred authority of AcqDemo from OPM to the SECDEF. Subject to the authority, direction, and control of the SECDEF, the USD (AT&L) carries out the powers, functions, and duties of the SECDEF concerning the DoD AWF. The USD (AT&L) is authorized to establish policies and procedures, in coordination with the Under Secretary of Defense for Personnel and Readiness (USD (P&R)), for the effective management of the acquisition, technology, and logistics workforce in the DoD, which includes management and oversight of the DoD AcqDemo. To assist in this endeavor, the USD (AT&L) chartered the AcqDemo Program Office in September 1999. The Office of Human Capital Initiatives (HCI) was chartered by the USD (AT&L) in November 2015, and the Director was designated as the senior official responsible for the AcqDemo program. The HCI Director, is responsible for oversight, policy, direction, design, and centralized management of the AcqDemo. Subject to the authority, direction, and control of the HCI Director, the AcqDemo Program Manager is responsible for the centralized management of AcqDemo. The Program Manager also has authority to establish and chair an Executive Council comprised of a representative from each DoD Component, Agency, and Field Activity with organizations and/or teams participating in the AcqDemo Project (hereafter referred to as Participating Organizations), plus USD(P&R) and/or USD(AT&L) representatives serving in advisory roles, as appropriate. Each Participating Organization has authority to manage and oversee AcqDemo implementation and operation within overarching USD (AT&L), HCI, and/or AcqDemo Program Office policy and guidance.

1.8.2. Personnel Policy Boards

Each Participating Organization, to include subordinate AcqDemo participating organizations and/or teams, will establish a Personnel Policy Board (PPB) or give the PPB duties listed below to an existing group/board in the organization. The PPB is the body to manage, evaluate, and make policy and procedural changes for its respective organization within the parameters published in 82 FR 52104, dated November 9, 2017, DoD Instructions (DoDIs), DoD AcqDemo Program Office Ops Guide, memorandums, and advisories. The Executive Director, members, and staff of the PPB are designated by the Head of the Participating Organization.

The PPB is tasked at a minimum, with the following:

1) Overseeing the civilian pay budget;

2) Addressing issues associated with two or more pay systems (e.g. AcqDemo, GS, and other pay banded systems);

3) Determining the composition of the CCAS pay pool in accordance with the established guidelines and statutory constraints;

4) Reviewing operation of the organization's CCAS pay pools;

5) Providing guidance to pay pool managers;

6) Administering funds to CCAS pay pool managers;

7) Reviewing hiring and promotion salaries;

8) Monitoring award pool distribution by organization and AWF employees vs. non- AWF employees; AND

9) Assessing the need for and making changes to local demonstration project procedures and policies when needed to further define specific interventions to ensure standard application across the participating AcqDemo organization(s) and/or team(s).

1.8.3. AcqDemo Project Plan Revisions

Modifications to AcqDemo must be made from time to time as experience is gained, results are analyzed, and conclusions are reached on how the various flexibilities are working individually and within the overall project. Minor policy and procedural modifications of this Ops Guide within already existing waivers may be made by the HCI Director, with delegation to the AcqDemo Program Manager. Memorandums and advisories will be published at http://acqdemo.hci.mil to inform stakeholders such as USD (P&R); AcqDemo Executive Council; Defense Civilian Personnel Advisory Service; Participating Organizations; employees; Unions; and/or other interested parties, as appropriate. New waivers from laws or regulations

must be approved by the USD (A&S), in coordination with the USD (P&R) and published in a FRN.

1.8.4. AcqDemo Internal Guidance

The AcqDemo Program Office is responsible for preparing and/or issuing implementation, operational, sustainment, and other internal guidance such as the AcqDemo Ops Guide, memoranda and advisories, and/or DoDIs regarding the AcqDemo provisions to Participating Organizations. These internal guidance documents, which can be found at http://acqdemo.hci.mil, supplement the general guidelines and limitations established through legislation and FRNs. To ensure standard application across AcqDemo participating subordinate organizations and teams, Participating Organizations may issue supplemental internal guidance and business rules. All personnel laws, regulations, and guidelines not waived by the AcqDemo FRN will remain in effect. Basic employee protections and entitlements such as grievance, merit system principles, equal opportunity, prohibited personnel practices, anti-discrimination laws, retirement and annuities, Thrift Saving Plan, health and life insurance, leave, work schedule, allowances and travel/subsistence expenses, whistleblower protection, and fundamental due process are unchanged by AcqDemo and remain applicable.

1.8.5. Nature of Action and Legal Authority Codes

Nature of Action Codes (NOACs), Legal Authority Codes (LACs), and Remark Codes in the Office of Personnel Management (OPM) Operating Manual, "Guide to Processing Personnel Actions" will be used under this demonstration project for standard title 5 authorities not waived or modified by the AcqDemo under 5 U.S.C. Chapter 47, as appropriate. However, when a LAC, such as ZLM, calls for "Other citation (Law, Executive Order, or Regulation)," the AcqDemo FRN reference of "82 FR 52104, dated November 9, 2017, Section (appropriate identifier, e.g. I.7.6) will be used to fill in the blank if the action is described in the FRN. If not, follow the OPM Guide instructions. In addition, the AcqDemo Project LAC, "Z2W - P.L. 111-383," will be entered as either the only or the second primary LAC for personnel actions described in the FRN for employees covered by AcqDemo. Information and guidance on new AcqDemo codes will be updated in this Ops Guide, as well as through AcqDemo advisory notices.

1.9 Program Evaluation Plan

1.9.1 Internal Evaluation

Demonstration-authorizing legislation (5 U.S.C. 4703) mandates evaluation of AcqDemo to assess the effects of project features and outcomes. In addition, the project will be evaluated to determine the feasibility of application to other Federal Agencies. The overall program management evaluation will consist of two components- internal and external evaluation. The internal evaluation will be ongoing and accomplished by the staff of the AcqDemo Program Office, to include contracted resources and the results reviewed by the Executive Council. The main purpose of the internal evaluation is to determine the effectiveness of the personnel system in meeting the needs of the AWF.

1.9.2 External Evaluation

External evaluations will be conducted on a regular basis as prescribed by the SECDEF. The SECDEF may designate an independent evaluator to conduct the external assessments with the results overseen by the USD (AT&L)/HCI and the Deputy Assistant Secretary of Defense (Civilian Personnel Policy).

1.9.3 Purpose

The evaluations are conducted to determine the effectiveness of the personnel system changes implemented. To the extent possible, strong direct or indirect relationships will be established between AcqDemo features, outcomes, 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. **Appendix F** of 82 FR 52104, dated November 9, 2017 presents the Intervention Impact Evaluation Model to be used for this demonstration project for initiatives affecting title 5 U.S.C. and title 5 CFR.

1.10 Overview of Chapters

Chapter #	Chapter Title	Summary
1	AcqDemo Introduction	Outlines the AcqDemo processes, including detailed information on specific procedures as listed below by chapter. It covers the management oversight, PPBs, legal authorities, eligible organizations, workforce coverage, and bargaining requirements.
2	Organizational Conversion and Voluntary Employee Movement Into and From AcqDemo	Adds additional information on a Participating Organization's conversion into AcqDemo. Bargaining requirements for employees within a unit to which a labor organization is accorded exclusive recognition under 5 U.S.C., chapter 71.
3	Classification System	Classification modifications include: Occupational Series and Titles; Classification Standards; Classification Authority; Position Requirement Documents (PRD) and 3 fillable PRD templates; Maximum Broadband Level; Accretion of Duties; and Classification Appeals.
4	Staffing Initiatives	Clarifies the existing Career-Conditional, Career, and Temporary Limited Appointments, as well as other existing competitive service or excepted service appointing authorities, etc. It also describes other simplified processes such as name request, Rule of Many, and the Voluntary Emeritus Program.
5	Pay Administration	Provides general guidance on compensation strategies that may be appropriate for Participating Organizations. Also provides an improved definition of promotion; a revised range of basic pay; new instructions for setting an employee's pay while on a temporary promotion; pay and compensation ceilings; special rates; promotions; retained pay; accelerated compensation for development positions; supervisory and team leader cash differentials; highest previous rate; Recruitment, Relocation & Retention (3 Rs) Incentives and Awards.

6	Contribution-Based Compensation and Appraisal System (CCAS)	Consolidates and formats CCAS process description by steps in the process to include both compensation equity and quality of performance. States type of pay used to calculate pay pool funding, i.e., basic pay budget for contribution rating increases and adjusted basic pay budget for contribution awards. Change to include an incremental range of Very High Scores process added and also clarifies what may and may not be grieved under CCAS and when a Contribution Improvement Plan (CIP) may be implemented.
7	Contribution-Based Actions	Provides updated guidance on inadequate contribution and poor performance. An employee with either (1) compensation is higher than the value of the position or (2) during the assessment period one or more factors considered to have a performance appraisal quality level of 1-unacceptable.
8	Employee Development	General guidance on Academic Degree and Certificate Training which adds a continued service agreement for tuition assistance (up to 3 years); Paid Sabbaticals; and, Student Intern Relocation Incentive whose worksite is in a different geographic location than college/university or permanent residence.
9	Reduction-in-Force	Inclusion of quality of performance as the basis for a RIF. Provide provisions for a more refined competitive area, i.e., no additional years of service based on contribution appraisal and displacement limitations.

AcqDemo Chapter 2

Organizational Conversion &
Employee Voluntary Movement Into & From the

Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo)

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2.0 Organizational Conversion & Employee Voluntary Movement Into & From AcqDemo

2.1 Table of Changes

Date of Change	Chapter(s)/ Section(s)	Topic	Remarks
11/09/17	All	Update for new Federal Register Notice (FRN)	This chapter rewritten to align to 82 FR 52104, dated November 9, 2017.
06/07/18	All	Administrative Updates	Various administrative updates. Realignment/renumbering due to admin changes. Moved Section 2.3 Definitions section to Glossary.
06/07/18	2.4.1.4	g) Submit copy of Organization chart.	Include Organization Chart to application process.
06/07/18	2.4.1.4; 2.5.1.4; 2.7.2; 2.8.2	Positions Involving 51% or More of Time in Direct Support to AWF	Clarification that these support positions are non-AWF positions.
06/07/18	2.4.1.9 and 2.4.2	Revised approval process for expansion memo for participation	Memorandum will come from Commander of organization through SAE and DACM vs coming from SAE or DACM through Commander
06/07/18	2.9.2.3	Revision to career ladder promotion buy-in calculation in example #1	Clarification of Actions 1-5
06/07/18	All 2.11	AcqDemo Basic Pay and GS Base Pay	Terminology clarified.
06/07/18	Definitions	AcqDemo Basic Pay and GS Base Pay	Description of the two different pay structures.
03/08/19	1.2.4; 2.7.1.2; and 3.8.2	Cancelled AcqDemo Memorandum (AM) 12-01 – Career Ladder Positions Within the Civilian AWF Personnel Demonstration Project, December 5, 2012.	To reinsert guidance allowing employees in GS career ladder positions at the time of their organization's conversion to AcqDemo to remain in their GS career ladder position until they reach the full performance level at which time they should be assigned to an AcqDemo position.

Date of Change	Chapter(s)/ Section(s)	Topic	Remarks
03/08/19	All	Administrative Updates	Administrative Updates
9/11/19	2.4.3 and 2.4.4	Change in approval authority in Step 3 and Step 4	Change approval authority form HCI to AcqDemo Program Manager
9/11/19		Administrative Updates	Administrative Updates
7/31/20	2.9.1.3 & Appendix D	Eligibility	Added reference to Appendix D AcqDemo Pay Rate Determinants and the new Appendix
7/31/20	2.3.1.2	Administrative Change	Corrected referenced section
7/31/20	2.6.1.3 and 2.6.1.4	Union Certification	Added new paragraph and Union certification requirement
7/31/20		Glossary	Moved Acronyms and Definitions to end of Ops Guide

2.2 Introduction

This chapter describes the processes for organizations and their employees to move into and from AcqDemo, as well as the procedures covering employee voluntary movement into and from AcqDemo external to a conversion.

2.3 Organizational Conversion into AcqDemo

2.3.1 Key Eligibility Determinants

2.3.1.1 10 U.S.C. 1762 lists the following criteria for eligibility of a participating workforce:

2.3.1.1.1 "(i) at least one-third of the workforce participating in the demonstration project consists of members of the AWF"; AND

2.3.1.1.2 ''(ii) at least two-thirds of the workforce participating in the demonstration project consists of members of the AWF and supporting personnel assigned to work directly with the AWF."

2.3.1.2 In addition, Appendix B, Table 1, and Table 1A of the AcqDemo Federal Register Notice (FRN), Vol. 82, No. 216, dated November 9, 2017 establishes the list of eligible organizations and Appendix C and Appendix B of Chapter 3, Classification of this Ops Guide lists the occupational series eligible to be included in the project. If all of the eligibility requirements are met, notify the AcqDemo Program Office at AcqDemo.Contact@hci.mil and follow the application process outlined in Section 2.4. If your organization is not identified as an eligible organization, as indicated in the AcqDemo FRN, contact the AcqDemo Program Office.

2.4 Application Process

2.4.1 **Step 1:** Eligible organizations/teams may apply for AcqDemo participation via memorandum (sample memorandum template at **Appendix B**). The following information is required to be submitted for consideration:

1) Complete DoD Component, DoD Agency, or DoD Field Activity Address
2) Identification of the acquisition-related mission and brief discussion of major functions performed by the requesting organization or team population.
3) Provide any applicable local workforce challenges being encountered that are not covered in FRN Vol. 82, No. 216, dated November 9, 2017, and indicate how it is anticipated that AcqDemo could help address such challenges.
4) Identification of the following workforce demographic data for the population requested for AcqDemo participation:

    a) Identifiable description of requested organization/team population such that Defense Civilian Personnel Data System (DCPDS) status of acquisition/non-acquisition coding can be determined;
    b) On-board civilian employees assigned in AWF (i.e., Defense Acquisition Workforce Improvement Act (DAWIA)-designated) positions;
    c) On-board non-AWF civilian employees assigned to work directly with the AWF at least 51% of their work time;
    d) If applicable, on-board civilian employees represented by union(s) and the name of the union(s)
    e) Total on-board civilian employees to participate in AcqDemo; and
    f) Identification of any occupational series included in the requested workforce population that is not reflected in **Appendix B of Chapter 3, Classification System**
    g) Submit a copy of a current organization chart requesting conversion, mapping the organization to its acquisition organization or parent command.

5) Communication plan as applicable

6) Confirmation that applicable Within-Grade Increase (WGI) buy-in conversion costs have been estimated and do not present adverse financial impact on payroll budgeting/execution.
7) AcqDemo FRN Vol. 82, No. 216, dated November 9, 2017, provides the rationale for the design and acquisition business environment conditions created by the GS system that AcqDemo is intended to address.
8) Desired date of conversion of requesting organization/team population. Note that this date may be adjusted by the AcqDemo Program Office based on assessment of conversion support required and progress of organization/team in accomplishing conversion tasks.
9) Memorandum will be submitted through the appropriate organization lead, component AcqDemo Program Office, Defense Acquisition Career Manager (DACM) or Service Acquisition Executive (SAE).

2.4.2 **Step 2**. The SAE, or equivalent authority, will review applicable requests for AcqDemo participation for impact on enterprise acquisition mission performance conditions. The Organization Commander will sign the endorsement to the Director, Human Capital Initiatives (HCI). The endorsement and attachments may be sent via email to AcqDemo.Contact@hci.mil.

2.4.3 **Step 3.** The AcqDemo Program Manager will review applications for compliance with information requirements and timeline for conversion.

2.4.4 **Step 4**. The AcqDemo Program Manager will provide written notice to requesting official through appropriate SAE, or organization lead, of approval to participate and conversion date, or the rationale for disapproval of entry into AcqDemo.

2.4.5 If approved, the organization will notify their workforce (See Appendix C).

2.5 Eligibility Questionnaire

Appendix A of this chapter includes the initial eligibility criteria in the form of a questionnaire for organizations to complete to determine whether they meet the requirements for participating in AcqDemo.

2.6 Bargaining Requirements

2.6.1 Written Agreement

2.6.1.1 The parties may use mediation or any other mutually acceptable means to resolve disputes over the implementation of AcqDemo with respect to bargaining unit employees. Neither party may request the assistance of the Federal Service Impasses Panel to resolve such disputes. Either labor or management may unilaterally withdraw from negotiations over the AcqDemo application to bargaining unit members at any time up until final agreement approval, without such action being considered an unfair labor practice under Section 7116 of title 5, U.S.C., for refusing to negotiate in good faith.

2.6.1.2 Written agreements addressing the initial implementation of the demonstration project to bargaining unit members of Participating Organizations are subject to agency head review and approval within DoD prior to implementation. All agreements shall be reviewed as provided in 5 U.S.C. 7114(c).

2.6.1.3 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 during negotiations. DoD has authority to operate only ONE project with the initiatives applying to all Participating Organizations. Revisions to initiatives may only be made in accordance with Section I.B.3 of this project plan, the Federal Register.

It is highly recommended that the parties do not include any reference to any document below the government-wide level (such as the Operating Guide) as incorporating any such document directly into an agreement subjects that document to DCPAS Labor Relations Agency Head Review as well as to the negotiated grievance procedure.

2.6.1.4 The written agreement will include the union certification as an attachment. Signed written agreement will be emailed to the Participating Organization's AcqDemo Program Office or Director, Acquisition Career Management (DACM), or Senior Acquisition Executive (SAE), who will in turn forward to DCPAS, Labor Relations, for review and approval; send the agreement to DCPAS at: dodhra.mc-alex.dcpas.mbx.hrops-lerd-labor-relations@mail.mil. The email with the written agreement must include the complete mailing address of the Participating Organization and the union. A copy will be forwarded to the DoD AcqDemo Program Office.

2.7 Concurrent Procedures for Employee Transition under an Organizational Conversion

2.7.1 Career Path and Broadband Level

2.7.1.1 As a rule, GS employees will be placed into the AcqDemo career path and broadband level that corresponds to the employees' occupational series, permanent GS grade of record, and base pay at the time of conversion. Employees' currently on grade and/or pay retention will be placed in the appropriate broadband level that is commensurate with their existing grade.

2.7.1.2 Individuals occupying a GS career ladder position under the Pathways, Recent Graduate, or Presidential Management Fellow Program or under other traditional career ladder programs or positions scheduled for conversion to an organization or team participating in the AcqDemo may remain in their career ladder position as determined by their participating organization. However, if not placed in an AcqDemo position and pay plan when their organization converts, once the employees reach the full performance level for their General Schedule position, they must be transitioned to their appropriate AcqDemo position and pay plan.

2.7.2 New Position Description

Management in organizations converting into AcqDemo will: (1) cancel the existing position descriptions; (2) prepare an AcqDemo (Position Requirements Documents (PRD) placing the appropriate text from the previous position description and record new items, such as whether the non-AWF position provides direct support to acquisition positions 51% or more of its time, into the prescribed format using a Participating Organization-specified format, or the PRD as defined in **Chapter 3**, Classification System; and (3) move employees to the newly prepared PRDs. Any existing classification problems with the current position must be corrected prior to conversion.

2.7.3 NOAC, LAC, and Remark

All eligible employees regardless of service or appointment will be transitioned into AcqDemo at the time of implementation by means of an official personnel action. The personnel action will be NOAC 890 (Miscellaneous Pay Adjustment); LACs ZLM – FRN Vol. 82, No. 216, dated 11/9/2017, (Acq-Misc Pay Adj) Section II.F.1, and Remark Code P02 – Pay rate fixed to include rate increase due on the same date. (NOTE: If no buy-in, no remark is required).

2.7.4 Temporary Promotions

Employees serving on temporary promotions or on details must be returned to their permanent position of record and its accompanying base pay before being moved into AcqDemo. Employees transition to AcqDemo from their permanent position of record.

2.7.5 Temporary Appointments

Employees serving under temporary appointments when their organization converts to the demonstration project will be transitioned to AcqDemo using NOAC 890 and LACs ZLM – FRN Vol. 82, No. 216, Section II.F.1 and Z2W – Pub. L. 111-383 and they may continue on their temporary appointment up to their established, current not-to-exceed date. Extensions of temporary appointments after conversion not-to exceed a total of 3 years may be granted in accordance with 5 U.S.C. Section 9902.

2.7.6 Term Appointments

Employees serving under term appointments at the time of conversion to the demonstration project will be transitioned on their current modified term appointment using NOAC 890 and LACs ZLM – FRN Vol. 82, No. 216, Section II.F.1 and Z2W – Pub. L. 111-383 provided they were hired for their current positions under competitive procedures. These employees will be eligible for conversion to career or career-conditional appointments in the competitive service provided they:

1) Have served two years of continuous service in the term position;

2) Were selected for the term position under competitive procedures; and

3) Are contributing at an adequate contribution level, or meeting fully successful performance objectives, or their equivalent, in a non-AcqDemo performance management system.

Converted term employees who do not meet these criteria may continue on their term appointment up to the not-to-exceed date established under their current appointment. Extensions of term appointments for employees who do not meet the above criteria may be granted after conversion in accordance with the provision of this regulation.

2.7.7 Performance Improvement Plans

Employees who are on a Performance Improvement Plan (PIP) at the time of conversion will not be converted into the AcqDemo until successful completion of the PIP. These employees are ineligible for a buy-in until they successfully complete the PIP. Upon completion, the employee will be converted as of the date of the successful completion of the PIP, and their buy-in adjustment to basic pay will be calculated as of the original conversion date of the organization.

2.7.8 Mandated Placement Programs

In accomplishing initial conversion, internal and external priorities, including the DoD Priority Placement Program (PPP and also referred to as DoD "Stopper List"), do not need to be cleared.

2.7.9 Special Salary Rates

Special salary rates are not applicable to demonstration project employees. Employees on special salary rates at the time of conversion into the demonstration will receive a new basic pay rate. The process of converting a special salary rate employee into AcqDemo follows:

Step 1. (Current special salary rate) / (Use current locality percentage for the appropriate area) = (New base pay)

Step 2. (New base pay) + (Prorated share of within grade increase based on GS Base Pay Table for all of US) = (New AcqDemo basic pay)

Step 3. **(**New AcqDemo basic pay) + (Locality adjustment) = (Total AcqDemo adjusted basic pay).

Example: Entered AcqDemo: GS-2210-9, Step 6, on January 22, 2017.
Weeks at Step 6: 90 of 104 (received Step 6 on May 3, 2015). Official duty station is Huntsville, Alabama

Action 1: Gather data. 2017 Special Rate Table for 2210 in Huntsville, Alabama -GS-2210-9, Step 6 - $65,599; Step 6 to Step 7 – 104 weeks (2 years). Time in step – 90 weeks of 104 weeks; Locality Percentage of 17.82% in Huntsville; and WGI of $1,442 from GS Base Pay Table.

Action 2: Determine New Base Pay: Divide Employee's Current Special Rate Pay by 1.0 plus Current Locality Rate ($65,599/1.1782 = $55,677)

Action 3: Determine New AcqDemo Basic Pay: Add New Base Pay to the Prorated Share of the Within Grade Increase based on GS Base Pay Table step increment ($55,677 + {90/104 * $1,442 = $1,248} = $56,925)

Action 4: Determine AcqDemo Adjusted Basic Pay: Add New Basic Pay and Locality Pay ($56,925 + {$56,925 * 17.82% = $10,144} = $67,069)

Action 5: Convert in as NH-II

2.8 Conversion into AcqDemo: Pay Adjustments Based on Geographical Factors

When initial conversion into AcqDemo 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 into the AcqDemo pay system. A full locality adjustment will then be added to the new basic pay rate. Once converted into AcqDemo, all employees will be eligible for the future locality pay increases of their geographic area; there are no special rates in AcqDemo. The AcqDemo Adjusted Basic Pay is defined as basic pay and includes any locality pay.

2.9 Employee Buy-In

2.9.1 Within-grade Increase (WGI) and Career Ladder Promotion Buy-ins

2.9.1.1 Buy-ins

WGIs inherent in the GS system are discontinued under this demonstration project. In order to compensate employees equitably at the time of their organization's initial conversion into AcqDemo, adjustments to the employees' base pay for a step increase and/or non-competitive career ladder promotion will be made. This process is known as a "buy-in."

2.9.1.2 Calculation

Specifically, "buy-in" adjustments to an employee's base pay for a step increase and/or a non-competitive career ladder promotion will be computed based on the organization's implementation date, according to 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.

2.9.1.3 Eligibility

Employees will not be eligible for the WGI buy-in if their current rating of record is unacceptable at the time of conversion, are at step 10, or are receiving retained pay at the time of

conversion. An employee on retained pay whose base pay exceeds the maximum basic pay of the broadband level (as determined by the employee's grade) is not eligible for a buy-in adjustment. As such, an employee's rate of basic pay remains the same under AcqDemo as it was previously. Employees on retained grade at the time of conversion into AcqDemo 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 basic pay will then be set at that rate in the career path and broadband level for their position of record.

Employees on grade retention at the time of conversion transition into AcqDemo who would not receive a WGI prior to expiration of their grade retention will not receive a buy-in for their WGI. Their basic pay will be set at the rate in the broadband for their position of record. Employees whose pay exceeds the top rate of the broadband level will have their pay retained. See Appendix D for a listing of valid Pay Rate Determinants for AcqDemo.

2.9.2 Career Ladder Promotion Buy-ins

Similar computation applies for a career ladder promotion 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. Next, the WGI/career ladder promotion buy-in adjustment is added to the new rate. (This processing sequence is significant because it yields a higher rate of basic pay under the demonstration than the reverse sequence would.)

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

2.9.2.2 For employees on career ladder positions, no within-grade increase (WGI) equity adjustment will be made if the employee's base pay is adjusted for a promotion that would be effective before the next scheduled WGI. For more details, see Example #1 below.

2.9.2.3 Career Ladder Buy-in Example #1:

Example Assumptions - Promotion to GS-1102-5, Step 7, is May 1, 2016, with next promotion due on April 30, 2017. Completion of three years (156 weeks) is required to reach Step 8. Project implementation occurs on March 19, 2017.

Action 1: Since the promotion from GS-5 to GS-7 would occur before the next WGI, increase GS-5 base pay equivalent to a 2-step increase. New Base Pay = GS-5, step 7 ($34,257) to GS-5, step 9 ($36,161).

Action 2: Determine new Grade/Step by determining the GS-7 steps that bracket the GS-5, step 9 ($36,161). The GS-5, step 9, falls between the GS-7, Step 1's $35,359, and Step 2's $36,538. Salary is adjusted to Step 2's $36,538.

Action 3: Do a career ladder promotion adjustment.
(Time in grade / Time between promotions) * Promotion Increase + Base Pay = New AcqDemo Basic Pay. 46/52 * $2,281 (GS-7/2 $36,538 – GS 5/7 $34,257)) = $2,018 + $34,257 (base pay from Action 1) = $36,275 (New AcqDemo Basic Pay) then apply applicable locality rate.

Action 4: No prorated share toward the GS-5, step 8, will be given**.**

Action 5: Determine AcqDemo broadband level. GS-1102-7, step 2 converts into an NH-II.

2.9.2.4 Career Ladder Buy-in Example #2:

Example Assumptions - career ladder promotion to GS-1102-5, Step 2 was December 11, 2016, with next career ladder promotion to GS- on December 10, 2017 and WGI to Step 3 also due on December 10, 2017. Project implementation occurs on May 21, 2017.

Action 1: Since the WGI (GS-5, Step 2 to Step 3) is concurrent with the career ladder promotion, do a WGI adjustment first.
(23 weeks (time in step / time between steps) 52 weeks) * Step Increase + Base Pay = New AcqDemo Basic Pay
23/52 * $952 + $29,497 = $29,918 (New AcqDemo Basic Pay with WGI buy-in)

Action 2: Do a career ladder promotion adjustment.
(Time in grade / Time between promotions) * Promotion Increase + New AcqDemo Basic Pay with WGI buy-in = New AcqDemo Basic Pay with promotion buy-in
23/52 * $5862 (GS-7/1 $35,359 - GS 5/2 $29,497) + $29,918 = $2,593 + $29,918 (AcqDemo Basic Pay from Action 1) = $32,511 (New AcqDemo Basic Pay) then apply applicable locality rate

Action 3: Determine AcqDemo broadband level. GS-1102-7/1 converts into an NH-II.

2.10 Organizational Movement from AcqDemo

If the demonstration project is discontinued entirely or portions of the organization are no longer eligible to participate, the organizations and their employees would be returned to their former personnel system or a new personnel system depending on the orders received. In any case, conversion of the organization's employees would be accomplished in accordance with the gaining organization's personnel and pay system.

2.10.1 Effect of Reorganizations

2.10.1.1 10 U.S.C. 1762(d) provides that an AcqDemo organization that loses, due to reorganization, the one-third, two-thirds personnel demographic eligibility required for continued inclusion in AcqDemo may continue to participate in the AcqDemo project. Continued participation may be contingent upon such items as the amount of reduction in the number and/or kinds of positions to be counted for the one-third, two-thirds demographic eligibility

requirement; degree of personnel involvement in an organization with an acquisition mission to acquire necessary supplies, equipment, and services to support the warfighter and DoD support staff; scope of direct support to an AWF organization or closely related functional area; and/or the primary personnel system utilized by the gaining organization.

2.10.1.2 AcqDemo organizations affected by reorganization, realignment, consolidation, or other organizational changes that may impact the one-third, two-thirds personnel demographic eligibility requirement are to contact the AcqDemo Program Manager expeditiously to discuss the workforce changes in relation to continued AcqDemo participation. The AcqDemo Program Manager will decide the additional information that needs to be included in the organization's request for continued participation. The organization will submit a request for continued participation in accordance with the DoD AcqDemo Program Office's internal implementing guidance. The AcqDemo Program Office will review the rationale for and the data supplied in support of continued participation; conduct periodic audits of the participating organizations' populations as appropriate; and request additional details or formal documentation as needed. Based on an assessment of the information provided, the AcqDemo Program Manager will approve or disapprove the participation including any pertinent comments.

2.10.1.3 Conversion to a Different Pay and/or Personnel System

Prior to a management directed conversion of any AcqDemo organization and its employees to a different pay and/or personnel system, a CCAS closeout appraisal may be accomplished and an out-of-cycle payout may be made. CCAS closeout and payout procedures would be followed except that funding levels for out-of-cycle payouts may be reduced on a pro rata basis if the period between the previous CCAS payout and the out-of-cycle payout was less than one year. Funding that corresponds to the general pay increase shall not form part of the pay pools for any out-of-cycle payouts. After making the out-of-cycle payout, conversion of employees covered by this demonstration project to another pay and/or personnel system shall be accomplished in accordance with the gaining system's implementing issuances.

2.11 Employee Movement from the Demonstration Project

When an employee moves from the AcqDemo to another personnel or pay system either under a management directed organizational change or by a personal decision to leave AcqDemo, the following actions would apply. It is important to note that the term to designate the AcqDemo pay is different from the term applied to the GS pay due to the differences in the structure of the two pay systems, i.e., broadband levels vice grades and steps. For AcqDemo "basic pay" and "adjusted basic pay" are the terms used and for the GS system "base pay" is used. The GS base pay excludes locality pay. The AcqDemo adjusted basic pay is defined as basic pay and includes any locality pay.

2.11.1 Employee returns to the GS System

2.11.1.1 Equivalent GS Grade and Base Pay

When a demonstration project employee is moving to a GS position, the procedure in Sections 2.11.2 and 2.11.3 below will be used to translate the employee's project broadband level to an equivalent GS grade and the employee's demonstration rate of basic pay to an equivalent GS rate of base pay. The equivalent GS grade and GS rate of base 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 equivalent GS grade and base pay rate will become the employee's actual GS grade and base pay rate after leaving the demonstration project (before any other action). For transfers, promotions, and other actions to the GS system, the equivalent GS grade and base pay rate will be used by the gaining personnel office in applying the 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-equivalent grade and base pay rate were actually in effect immediately before the employee left the demonstration project.

2.11.1.2 Request for Preliminary Employment Data

The losing organization will provide an employee's equivalent GS grade and base pay rate to the gaining organization upon request or on receipt of the SF-75, Request for Preliminary Employment Data, by inserting the information in Part 1, Item 9, Additional Data Requested, and returning the form to the gaining organization.

2.11.1.3 Employee moves to a Non-GS System

An equivalent GS grade and base pay rate is determined for an employee who leaves AcqDemo for a position in a non-GS system by using the same calculation in Sections 2.11.2 and 2.11.3 below as when an employee moves to a GS position. The losing organization will provide an employee's equivalent GS grade and base pay rate to the gaining organization upon request or on receipt of the SF-75, Request for Preliminary Employment Data, by inserting the information in Part 1, Item 9, Additional Data Requested, and returning the form to the gaining organization. It is the responsibility of the gaining organization to establish the level of the employee's new position and the appropriate pay under the pay system for that organization. The equivalent GS grade and base pay information provided may assist in this process.

2.11.2 Determining an Equivalent GS Grade

Each broadband level in this demonstration project encompasses two or more grades. An employee is determined to have a GS-equivalent grade corresponding to one of those grades according to the following rules:

1) The employee's AcqDemo adjusted rate of basic pay 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:

    a. The GS base pay schedule;
    b. The locality rate schedule for the locality pay area in which the position is located; **or**

c. The appropriate special rate schedule for the employee's occupational series, as applicable.

2) If the employee's AcqDemo adjusted rate of basic pay equals or exceeds the applicable step four rate of the highest GS grade in the broadband level, the employee is converted to that grade.

3) If the employee's AcqDemo adjusted rate of basic pay is lower than the applicable step four rate of the highest grade, the AcqDemo adjusted rate of basic pay is compared with the step four rate of the second-highest grade in the employee's broadband level. If the employee's AcqDemo adjusted rate of basic pay equals or exceeds the step four rate of the second-highest grade, the employee is converted to that grade.

4) This process is repeated for each successively lower grade in the broadband level until a grade is found in which the employee's AcqDemo adjusted rate of basic pay equals or exceeds the applicable step four rate of the grade. The employee is then converted at that grade. If the employee's AcqDemo adjusted rate of basic pay is below the step four rate of the lowest grade in the broadband level, the employee is converted to the lowest grade. Note: If the series is a two-grade-interval series, only odd-numbered grades are considered below GS-11 to determine the conversion grade.

5) 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.

6) Exception: If the employee’s AcqDemo adjusted rate of basic pay exceeds the maximum rate of the grade assigned under the above-described step 4 rule but fits in the rate range for the next higher applicable grade (i.e., between step 1 and step 4), then the employee shall be converted to that next higher applicable grade).

2.11.3 Determining an Equivalent GS Base Rate of Pay

An employee's pay within the equivalent GS grade is set by converting the employee's AcqDemo adjusted rate of basic pay to a GS rate of base pay in accordance with the following rules:

1) 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.

2) An employee's AcqDemo adjusted ~~demonstration project~~ rate of basic pay (including any locality payment) is converted to a GS adjusted base pay rate on the

highest applicable rate range for the converted GS grade. For this purpose, a GS rate range includes a rate range in:

a. The GS base schedule,

b. An applicable locality rate schedule, **or**

c. An applicable special rate schedule.

3) If the highest applicable GS rate range is a locality pay rate range, the employee's AcqDemo adjusted rate of basic pay is converted to a GS locality rate of pay. If this rate falls between two steps in the locality-adjusted GS schedule, the rate of pay must be set at the higher step. The converted GS unadjusted rate of base pay would be the GS base rate corresponding to the converted GS locality rate (i.e., same step position).

4) If the highest applicable GS rate range is a special rate range, the employee's AcqDemo adjusted rate of basic pay 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 base pay will be the GS rate corresponding to the converted special rate (i.e., same step position).

2.11.4 Retained Pay

If an employee is receiving a retained rate under the demonstration project, the employee's GS-equivalent grade is the highest referenced grade encompassed in his/her broadband level. The employee's GS-equivalent rate of pay will equal the employee's retained rate.

2.11.5 WGI-Equivalent Increase Determination

Service under the demonstration project is potentially creditable for WGI waiting period purposes under 5 CFR 531.405(b) upon conversion back to the GS pay system. An equivalent increase under 5 CFR 531.407(b) is considered to occur at the time of an AcqDemo:

2.11.5.1 Promotion to a higher broadband level, including a zero basic pay increase (unless the promotion is cancelled and the employee's rate of basic pay is re-determined as if the promotion had not occurred), e.g., the termination of a temporary promotion.

2.11.5.2 CCAS basic pay increase (including a zero increase).

The date of the last equivalent increase, based on the opportunity to receive a CCAS basic pay increase, is the first day of the first pay period beginning on or after January 1.

2.11.5.3 WGI buy-in and/or Career Ladder promotion buy-in granted immediately upon movement to the AcqDemo from another pay system.

2.11.5.4 ACDP basic pay adjustment.

2.11.5.5 Use of Highest Previous Rate (HPR) when basic pay is set at a rate above the rate that would be established using normal AcqDemo pay setting rules.

2.11.6 CCAS Contribution and Performance Assessment

The Employee Movement Matrix provides information on the disposition of an employee's Contribution Assessment and/or payout, if appropriate, when either the supervisor or employee leaves their respective position. It may be viewed on the AcqDemo website at: http://acqdemo.hci.mil/tools/Employee_Movement_Matrix.pdf. The most recent CCAS quality of performance annual or interim rating of record will be provided to an employee and to any gaining organization for its use.

Appendix A - Eligibility Questionnaire

1. Is your organization listed in Table 1 or Table 1A of the AcqDemo Federal Register Notice (FRN), FRN Vol. 82, No. 216, dated November 9, 2017, and are your Occupational Series includes in Appendix B of Chapter 3, Classification of the AcqDemo Operating (Ops) Guide? If your organization is not identified as an eligible organization as indicated in the AcqDemo FRN, contact the AcqDemo Program Office.

2. Is your organization comprised of **at least one-third** of the workforce selected to participate in AcqDemo consist of members of the AWF (civilian employees occupying positions coded as meeting the requirements of the DAWIA of 1990 as amended)?

3. Do **at least two-thirds** of the workforce participating in AcqDemo consists of members of the AWF and supporting personnel assigned to work directly with the AWF?

4. If all of the eligibility requirements are met, notify the AcqDemo Program Office at AcqDemo.Contact@hci.mil and follow the application process outlined in Chapter 2, Organizational Conversion and Employee Voluntary Movement into and From AcqDemo.

5. If applicable, have you coordinated with labor organizations representing your employees on participation?

6. What are the exact number of participants and their location(s)?

7. Have you reviewed your organization's chart/structure and identified where your AcqDemo Workforce fits into the organizational chart?

8. Have you reviewed the AcqDemo design with the AcqDemo Program Office?

9. Have you informally coordinated concurrence of your participation within your component leadership for any planning or conversion impacts?

10. Have you assessed the acceptance level of your workforce with participation, views of stakeholders, such as local bargaining union leadership (if applicable), and consideration of any other local climate and/or operational issues that would impact effective implementation of the project?

11. Have you identified a mission-related outcome you wish to achieve through participation? This data will assist in evaluating the project's ability to address and resolve such challenges, which confront the AWF.

12. Has a workforce demographic data table been established for submission?

13. Have you coordinated with your servicing HRO to ensure positions are prepared to convert from a Position Description (PD) to the AcqDemo Position Requirement Document (PRD), and for the mass buy-in upon conversion?

14. Has your organization utilized a formal application and approval process for your organization and teams desiring to participate in AcqDemo and has that request to participate in AcqDemo been coordinated through your chain of command?

15. Once the initial criteria listed above is complete, your organization will be required to submit a formal application memorandum for participation signed by your command and routed thru your component AcqDemo Program Office or DACM, if there is not a component AcqDemo Program Office, Service Acquisition Executive (SAE), or equivalent authority to the HCI/AcqDemo Program Office.

Appendix B - Sample Command Letterhead

(Note: Should have proper format as much as possible)

(THROUGH ORGANIZATION CHANNELS, AS APPROPRIATE)
MEMORANDUM FROM: ASSISTANT SECRETARY OF (COMPONENT), MANPOWER AND RESERVE AFFAIRS (or equivalent, or as delegated by Component)

FOR: EXECUTIVE DIRECTOR, HUMAN CAPITAL INITIATIVES

SUBJECT: Request for Participation in the Department of Defense (DoD) Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo)

1. I have reviewed the AcqDemo design and operations with my senior leaders and have concluded that participation in the AcqDemo would benefit the acquisition mission performance and workforce opportunities for the below described population of this organization. In addition, I have requested and received workforce feedback on the acceptance of our desire to convert to AcqDemo and find no substantial issue that would adversely impact workforce management operations of the population described below. I am, therefore, requesting approval for the following described workforce population to participate in AcqDemo.

2. This population performs the acquisition related mission of *(describe mission of participating population)*. Major functions performed include *(list major functions performed by the participating population)*.

3. In addition to the wide spectrum of human resources management conditions described in the AcqDemo Federal Register Notice Vol. 82, No. 216, dated November 9, 2017 for which the AcqDemo design was developed to address, this organization has experienced challenges in the area(s) of…*(describe other workforce management challenges that you believe AcqDemo will help address and anticipated improvement/benefits from participation)*.

4. As such, the following population is proposed for participation in AcqDemo:
    a) Component, DoD Agency, or DoD Field Activity: *(e.g. Army, Air Force, etc.)*.
    b) Organization title to include activity/command, division/directorate, branch/section, unit, team name: *(e.g. Acquisition Directorate, Washington Headquarters Services)*.
    c) Unit Identification Code (UIC) or Personnel Accounting Symbol (PAS) applicable to population requesting participation.
    d) The following data table provides demographic data for the population requesting participation:

POPULATION PROPOSED FOR PARTICIPATION						EXEMPT PERSONNEL WITHIN ORGANIZATION OF PROPOSED POPULATION			
ORG NAME	GS/GM DAWIA	GS/GM DIRECT SPT	GS/GM STAFF SPT	TOTAL	BU EMPLOYEES	SES	ST/SL	WG	*OTHER (Describe Below)
REQUEST TOTAL									

* OTHER EXEMPT PERSONNEL: *(e.g. other pay systems, laboratory demonstration projects, Defense Civilian Intelligence Personnel System (DCIPS), etc.)*

e) The following occupational series were identified in the proposed population, but are not found in **Table 2** of the AcqDemo Federal Register Notice: (If any)

LIST OCCUPATIONAL SERIES:

f) The cost of the conversion Within-Grade Increase (WGI) Buy-In provision has been estimated, assessed, and does not present adverse financial impact on civilian labor costs for this population.

g) Communication Plan: The following outlines key steps for communicating plans for conversion to AcqDemo to key stakeholders and the workforce proposed for participation, such as:

   a. *Senior Leadership Orientation – Completed (enter date)*
   b. *Senior Leader Assessment of Workforce Acceptance – Completed (enter date)*
   c. *Initial Notification to Employees of Intent to Participate in AcqDemo: (enter date)*
   d. *Notification to Employees to Review AcqDemo Website/Documentation: (enter date)*
   e. *Initial Town Hall to Discuss AcqDemo: (enter date) Workforce Orientation Training: (enter dates)*
   f. *Notification to Employees to solicit suggestions/comments for optimizing AcqDemo operations for this population: (enter date)*
   g. *Notification to Employees of conversion classification decisions: (enter date)*

5. I have considered the actions required to prepare the recommended population for conversion and request a conversion date of: *(enter desired date)*. I understand this date may be adjusted, after discussion with our identified point of contact, by the AcqDemo Program Office based on conversion support required and progress of my conversion team to execute actions required to prepare the population for conversion.

6. My point of contact for this request is: *(include position title, phone, and email address).*

Signature Block

/signed/

(Name)

Commander *(equivalent)*

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Appendix C- Sample Letter of Notification of Conversion into AcqDemo

Office Symbol Date

MEMORANDUM FOR ALL (insert ORGANIZATION/ACTIVITY) EMPLOYEES

SUBJECT: Conversion into the Department of Defense Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo)

1. It is with great satisfaction that I inform you of my decision to convert (**insert organization's name**) into the Department of Defense (DOD) AcqDemo. AcqDemo provides us a tremendous opportunity to improve the effectiveness of our (**command/activity)** through a simplified and more responsive personnel management system. While there will undoubtedly be some challenges as we develop and gain experience with the new procedures, I am counting on your cooperation to fully utilize the numerous innovative civilian personnel management initiatives which this project offers.

2. One of the most important steps in a smooth conversion to AcqDemo will be the extensive training that will need to occur. This training will consist of a mixture of online and platform training that will target your specific areas of interest. Please stay tuned for specific information addressing our training plan and schedule. Because AcqDemo changes some of the basic conditions of employment, including pay and annual evaluations, I have decided that these training sessions should be attended or viewed by both supervisory and non-supervisory personnel and should be considered mandatory for all.

3. (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.

4. Questions pertaining to our conversion schedule or our training plan should be addressed to (**insert name of point of contact, phone number, and email address**).

Signature Block

Appendix D – Pay Rate Determinants for AcqDemo

There are four valid pay rate determinants (PRDs) for AcqDemo.

Prior to conversion, review the following PRDs and determine the applicability of retaining the employee's current PRD designation:

For example, upon conversion a Contracting Specialist, GS-1102-12, Step 00, with a PRD A would no longer be applicable. The GS-12 employee is converted to the NH-3 broadband that includes the former retained rate and so the PRD would change to 0; however, if the retained rate remains greater than the maximum pay for NH-3 then the PRD A would change to PRD K – Retained Pay-Different Position. The reason for the change from PRD A-Retained Grade in Different Position to PRD K-Retained Pay-Different Position is there are no "grades" in AcqDemo.

PRD 0 is Regular Rate. This code is used for all employees, regardless of pay system, who receive a scheduled rate and for whom none of the following codes apply.

PRD J is Retained Pay--Same Position. Employee is receiving a retained rate of pay under 5 U.S.C. 5363(a)(1) or (3), 5 CFR 536.301 (except a retained rate resulting from a reduction or elimination of special rates under section 536.301(a)(3) or (a)(6), which is covered by PRD code 3), or 5 CFR 536.302, and continues to occupy the same position held before the reduction in grade or other action that otherwise would have resulted in a reduction in basic pay. (Note: The employee's pay rate may have been reduced to 150 percent of the maximum rate of basic pay payable for the present grade of the position.)

PRD K is Retained Pay--Different Position. Employee is receiving a retained rate of pay under 5 U.S.C. 5363(a)(1) or (3), 5 CFR 536.301 (except a retained rate resulting from a reduction or elimination of special rates under section 536.301(a)(3) or (a)(6), which is covered by PRD code 3), or 5 CFR 536.302, but is currently occupying a different position than that held before the reduction in grade or other action that otherwise would have resulted in a reduction in basic pay. (Note: The employee's pay rate may have been reduced to 150 percent of the maximum rate of basic pay payable for the grade of the position now occupied.)

PRD Y is NSPS Retained Pay. Retained rate based on former pay rate under the National Security Personnel System (NSPS) and established when an employee is converted out of NSPS, consistent with section 1113(c)(1) of Public Law 111-84. Normally applicable pay retention codes do not apply because (1) the employee has a time-limited appointment at time of conversion out of NSPS; (2) the employee's retained rate exceeds 150 percent of the applicable step 10 rate of pay; or (3) the employee's retained rate exceeds the rate of pay for level IV of the Executive Schedule. This NSPS retained pay code applies while the employee is in DOD or another agency, until one of the conditions for terminating pay retention in 5 CFR 536.308 apply. This code also applies when an employee is temporarily retaining a rate above step 10 of the assigned grade based on a former rate of basic pay held by the employee during an NSPS temporary promotion or temporary reassignment (in effect immediately before conversion out of NSPS). This code also applies when an employee is converted out of NSPS to a non-GS system

within DoD and is retaining a rate above the applicable rate range based on transition from NSPS, consistent with section 1113(c)(1) of Public Law 111-84. This code also applies when an employee's recruitment, relocation, or retention incentive under 5 U.S.C. 5753-5754 is temporarily protected from reduction under the normal rules governing such incentives.

AcqDemo Chapter 3

Classification System

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3.0 Classification System

3.1 Table of Changes

Date of Change	Chapter(s)/ Section(s)	Topic	Remarks
11/09/17	All	Update for new Federal Register Notice (FRN)	This chapter rewritten to align to 82 FR 52104, dated November 9, 2017.
02/28/18	Appendix A	Update PRD information	Updated sample PRDs in Appendix A
06/07/18	All	Administrative Updates	Administrative Updates
06/07/18	3.6.2	Positions Involving 51% or More of Time in Direct Support to Acquisition Workforce (AWF)	Clarification that these support positions are non-AWF positions.
06/07/18	Appendix B	Occupational Series	Addition of 0670 Occupational Series and Title to the NH Career Path
03/08/19	1.2.4; 2.7.1.2; and 3.8.2	Cancelled AcqDemo Memorandum (AM) 12-01 – Career Ladder Positions Within the Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo), December 5, 2012.	To reinsert guidance allowing employees in GS career ladder positions at the time of their organization's conversion to AcqDemo to remain in their GS career ladder position until they reach the full performance level at which time, they should be assigned to an AcqDemo position.
03/08/19	All	Administrative Updates	Administrative Updates
05/01/19	Appendix A	Update PRD information	Remove Control Point information from sample PRD
07/31/20	3.4 & 3.9.2	Classification Standards	Added functional guide as an additional source
07/31/20	Appendix B	Occupational Series	Removed Canceled Occupational Series
07/31/20	Glossary Definitions	Control Points	Replaced definition to align with Chapter 5.3.2.2.1 and moved Glossary to end of Ops Guide

3.2 Introduction

This chapter supplements the classification provisions provided in AcqDemo Federal Register Notice (FRN), 82 FR 52104, dated November 9, 2017, Section II.A. The AcqDemo provides managers, at the lowest practical level, the authority, control, and flexibility required to support the mission.

3.3 Classification Authority

Under the AcqDemo, Heads of Participating Organizations (or equivalent) will have delegated classification authority and may re-delegate this authority to subordinate management levels to a level not lower than one management level above the first-line supervisor of the position under review, except in the case of those employees reporting directly to the Head of the Participating Organization or equivalent. Individuals granted classification authority must receive appropriate training on the classification process.

3.4 Classification Standards

Office of Personnel Management (OPM) classification standards are used for identification of occupational series and titles. The AcqDemo classification and contribution broadband level factor 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. Classification principles described in OPM's The Classifier's Handbook, are an excellent reference source for different situations such as interdisciplinary work, and impact of the person on the job. However, when establishing compensation methodologies, the use of OPM position classification standards and functional guides as a reference is encouraged as one method to provide justification and support for the determined methodologies such as control points and pay ranges within a broadband level.

3.5 Position Requirements Document (PRD)

3.5.1 AcqDemo utilizes a Position Requirements Document (PRD) in place of a Position Description. This normally requires preparation of a new PRD for each position at the time of conversion to AcqDemo. Fillable templates have been developed for each career path and broadband and may be used in conjunction with a participating organization's PRDs as determined by the participating organization. The PRD fillable templates may be found on the AcqDemo website at: http://acqdemo.hci.mil/PRD.html. A sample PRD template with instructions for completion is contained in **Appendix A** of this chapter. Participating organizations may substitute this PRD template with component-specific forms as long as the data elements outlined in the sample PRD template are included.

3.5.2 Under AcqDemo's classification system, a PRD combines the following data elements for position information, those specifically covered by the Defense Acquisition Workforce Improvement Act (DAWIA) (10 U.S.C. 1733 and 1737); major duties; supplemental work

requirements such as, travel, licenses, etc.; staffing requirements; factors, descriptors, and discriminators; expected contribution criteria for the assigned broadband level; and position evaluation statement. At a minimum, a position evaluation statement is required for those positions with control points or an established Overall Contribution Score (OCS).

3.5.3 First-level supervisors are responsible for determining position requirements and the preparation of PRDs to accurately reflect the duties, scope, and difficulty of positions under their purview. Supervisors must ensure that the principles of sound position management are followed. Individuals knowledgeable and experienced in classification methodology, to include Human Resources Specialists, may provide ongoing consultation and guidance to managers and supervisors throughout the classification process.

3.5.4 Each PRD will have an identifying number, which is assigned to be consistent with each participating organization's practices and procedures. For positions having identical requirements, a standardized PRD may be developed and assigned the same identifying number. The PRD will be signed and certified for documented use in AcqDemo by the first-level supervisor of the position and by the locally established Delegated Classification Official (DCO). A copy of the PRD 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 DoD Instruction (DoDI) 1400.25-V511, dated May 28, 2015, is a key reference for the AcqDemo classification program as it contains direction for proper classification of positions, consistency reviews, and appeals procedures.

3.6 Classification Process

3.6.1 PRD Criteria

AcqDemo differs from the OPM classification system by utilizing only three factor levels instead of the nine factors commonly used in the OPM Classification Standards. The factor descriptors and discriminators are generally tailored to the duties and the expected contribution criteria for the occupations grouped within the respective career path and broadband level. While the descriptors indicate a position classification and/or contribution level appropriate at the upper end of each broadband level, a broadband contains an array of positions with varying levels of work, responsibilities, and value as defined by an organization's position management structure and compensation management strategy needed to accomplish its mission.

3.6.2 Non-AWF Positions Involving 51% or More of Time in Direct Support to the AWF

Title 10 U.S.C. section 1762 authorized the Secretary of Defense to carry out a demonstration project relating to certain acquisition personnel management policies and procedures. AcqDemo is the demonstration project developed and implemented under this authority. Within this authorization is a stipulation that "for each organization or team participating in the demonstration project—(i) at least one-third of the workforce participating in the demonstration project consists of members of the AWF; and (ii) at least two-thirds of the AWF and supporting personnel assigned to work directly with the AWF; …". In addition, 82 FR 52104, dated November 9, 2017 authorized direct hire appointment authorities for qualified candidates selected for acquisition

positions as well as those qualified candidates for non-AWF positions involving 51% or more of time in direct support of acquisition positions. The PRD will be documented to reflect the 51% as appropriate. For AcqDemo positions, the direct support duties are to be described in the major duties section of the PRD. See **Appendix A**, Sample Position Requirements Document.

3.6.3 Percentage of Time

The use of percentage of time in defining the major, substantive, and/or minor duties described in an AcqDemo position, while optional, is very useful and in some cases required in determining the appropriate series and titles that may be used for a particular position, particularly a multidiscipline, supervisory, or leader position. For instance, the percentage of time a position is dealing with two or more distinct specialties, e.g. mathematics, operations research, and/or computer science, would dictate the proper classification for staffing the position. Participating Organizations are encouraged to include percentages of time for the major, substantive, and possibly minor duties described in a PRD.

3.6.4 Occupational Series and Title

AcqDemo utilizes the occupational series designators and position titles consistent with those authorized by OPM and the Department of Defense (DoD). AcqDemo covers approximately 340 occupational series for use in assigning the position series and titles to AcqDemo positions. The OPM classification standards must be used to determine the appropriate series and the official position title for AcqDemo positions. The list of covered series and the appropriate career path under AcqDemo can be found in **Appendix B**. References in the position classification standards to grade criteria will not be used as part of the demonstration project. Rather, AcqDemo provides definitions for each of the career paths and corresponding broadband levels within them as described in **Appendix C**.

3.6.5 Career Paths

Occupations with similar characteristics are grouped together into 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. There are three distinct career paths where AcqDemo occupations with similar characteristics are grouped together to facilitate advancement, pay progression, and a more competitive recruitment of quality candidates at differing rates. The career paths are designated as Business Management and Technical Management Professional, Pay Plan NH; Technical Management Support, Pay Plan NJ; and Administrative Support, Pay Plan NK. **Appendix C** provides definitions for each of the career paths and the corresponding broadbands within each career path.

3.6.6 Broadband Level

The broadband levels replace the current General Schedule (GS) fifteen-grade structure. The fifteen GS grades are arranged into three or four broadband levels within a career path in accordance with recognized advancement expected within the occupations assigned to the career path. Each broadband level provides for a basic pay range that represents the various phases of

career progression within each career path. Each broadband level defines the minimum and maximum rates of basic pay for that broadband. Broadband level pay ranges were derived from base pay rates under title 5 United States Code (U.S.C.) Section 5303 of the banded GS grades. The lowest basic pay rate of any given broadband level is step 1 of the lowest GS grade in that broadband level. Likewise, the highest basic pay rate of any given broadband level is step 10 of the highest GS grade in that broadband level. There is a natural overlap in base pay ranges in the GS grades that also occurs in the broadband system. The three career paths and their associated broadband levels compared to GS grades are shown in Figure 1, Career Paths and Broadband Structure.

The broadband levels represent basic pay only and are labeled I, II, III, or IV. Comparison to the GS base pay table is used in setting the minimum and maximum basic pay limits of the broadband levels. As the rates of the GS are increased for any annual across-the-board GS pay increase, the minimum and maximum basic pay rates of the broadband levels will also increase. Chapter 5, Pay Administration, offers more detail on how to set pay within a broadband level.

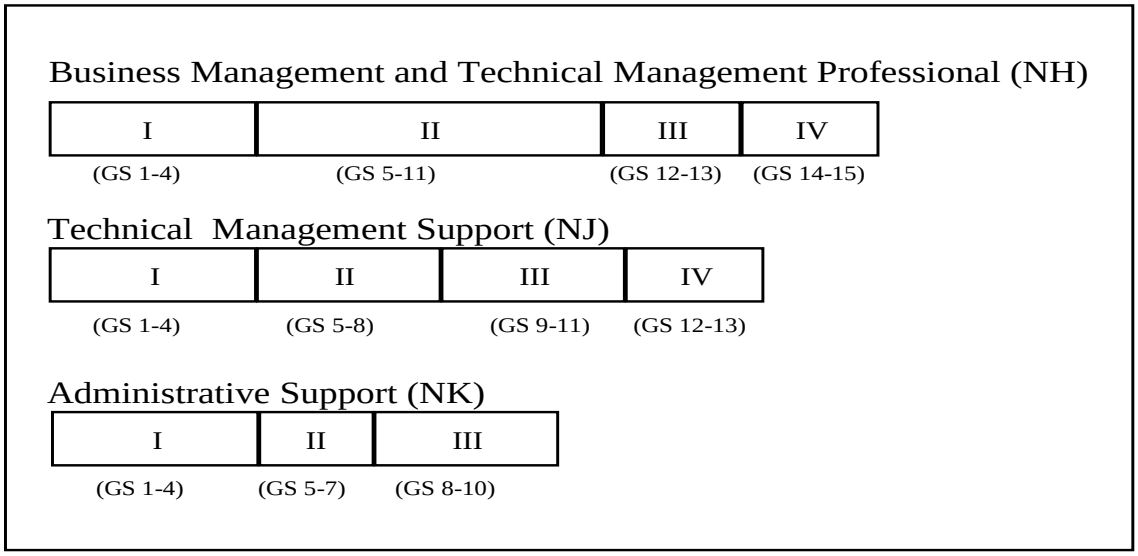

Figure 1. Career Paths and Broadband Structure

3.6.7 Classification Level and Appraisal Factors

3.6.7.1 General

Under AcqDemo, a standard set of three classification level and appraisal factors has been developed for each career path:

Factor 1. Job Achievement and/or Innovation
Factor 2. Communication and/or Teamwork
Factor 3. Mission Support

These factors comprised of expected contribution criteria and broadband level descriptors and discriminators, as aligned to the three career paths and their broadband levels will be used for broadband level classification and employee contribution assessment. The employee contribution

assessment includes both a determination of an OCS and a performance appraisal level for each factor. While the basic classification and appraisal factors, descriptors, and discriminators cannot be changed, the factors with the addition of an employee's contribution plan are fundamental to the success of an acquisition organization and capture the critical content and expectations for positions in the three career paths: Business Management and Technical Management Professional, Technical Management Support, and Administrative Support.

3.6.7.2 Factors

AcqDemo differs from the OPM classification system by utilizing only three factor levels instead of the nine evaluation factors commonly used in the OPM Classification Standards. The three AcqDemo factors are derived from the OPM, *Introduction to the Position Classification Standard*s, Appendix 3, *Primary Standard,* and represent the primary type of work and contribution typically found in the AcqDemo positions.

3.6.7.3 Descriptors

Descriptors are narrative statements that are written at increasing levels of complexity, scope, and employee contribution. They are meant to correspond with the broadband levels, and their associated ranges of basic pay for classification and appraisal purposes. While the descriptors indicate a position classification and/or contribution level appropriate at the upper end of each broadband level, a broadband may actually contain an array of positions with varying levels of work, responsibilities, and value. Descriptors are not to be used individually to determine position classification or assess contributions, but rather are to be considered as a group to derive a single evaluation of each.

3.6.7.4 Discriminators

The discriminators define the descriptors. For example, the Communication and/or Teamwork factor has four discriminators (oral, written, contribution to team, and effectiveness), which are the same for all broadband levels and career paths. The discriminators help to define the type and complexity of work; degree of responsibility; and scope of contributions that need to be ultimately accomplished to reach the highest basic pay potential within a broadband level for an employee's position and contributions. The discriminators may be used in the duties portion of the PRD to clarify the generic descriptors.

3.6.7.5 Expected Contribution

Expected contribution criteria, factor descriptors, and discriminators can only be modified by the DoD AcqDemo Program Office with an amendment to the FRN. AcqDemo utilizes baseline expected contribution criteria prepared for each of the three factors. These criteria are applicable to all contributions at all broadband levels and career paths under the appropriate factor.

3.6.7.6 Summary

The broadband factors are the basis for classification and assessing contributions and performance. Each factor contains descriptors and discriminators for each respective level within the relevant career path. The factors and descriptors are used to classify positions in the appropriate broadband level as well as to measure an employee's contributions and performance and ultimately used in compensation decisions. The definitions for the career paths and corresponding broadband levels within them are found in **Appendix C**. The classification levels with descriptors, discriminators, and appraisal factors can be found in **Appendix D**.

3.7 Supervisory and Team Leader Positions

In determining whether a position should be supervisory or leader and assigned the respective title, the duties and responsibilities must meet the OPM minimum percentage of time, i.e., 25%, as outlined in the statement of coverage for positions under the General Schedule Supervisory Guide (GSSG) or the General Schedule Leader Grade Evaluation Guide, Parts I and II. Positions not meeting this criteria would be ineligible for the supervisory or team leader cash differential. The broadband level factors and descriptors are located at **Appendix D**.

3.8 Positions with Growth Potential

3.8.1 AcqDemo Maximum Broadband Level

This maximum broadband level will be identified as the top broadband level within a career path for a particular position and the broadband level to which an incumbent, selected competitively or through merit promotion from a lower broadband level, may be advanced without further competition, e.g. incumbent selected for an NJ-II position with potential to an NJ-III position. These broadband levels will be based upon the full performance levels of positions before conversion into AcqDemo. After conversion a newly created or re-described AcqDemo position may be assigned a different maximum broadband level based on the AcqDemo organization's position management structure, change in mission, reorganization, and similar factors. Maximum broadband levels may vary based upon occupation or career path. An employee's basic pay will be capped at the maximum rate for the designated broadband level unless entitled to pay retention or if applicable until the employee has been promoted into the next higher broadband level. Also see Chapter 5, Pay Administration and Chapter 6, Contribution-Based Compensation and Appraisal System for information on the Accelerated Compensation for Developmental Positions (ACDP).

3.8.2 GS Career Ladder Positions

Individuals occupying a GS career ladder position under the Pathways, Recent Graduate, or Presidential Management Fellows Program or under other traditional career ladder programs or positions scheduled for conversion into AcqDemo may remain in their current career ladder position if determined appropriate by their participating organization. In this instance the employee will be converted upon reaching the full performance for their GS position to their appropriate AcqDemo position and pay plan.

3.9 Impact of the Person on the Job (Incumbent-Only Position)

3.9.1 Definition

Sometimes the unique capabilities, experience, or knowledge a particular employee brings to a position may have an important effect on the duties, responsibilities, and expectations of the position. As such, the impact of the person on the job is reflected in the classification when the performance of a particular individual actually makes the job materially different from what it otherwise would be, i.e., a higher broadband level position. For example, exceptional ability of the employee may result in the employee performing difficult work assignments with limited supervision, special authority to speak for and commit the organization, continuing contribution to organizational efficiency and economy, recognition as an "expert" sought out by peers, or similar considerations. Such changes affect the difficulty of work or the responsibility and authority given the employee and can be recognized in the position classification decision.

3.9.2 Procedures

When significant changes in work occur for any of the kinds of reasons mentioned above, the job changes are recorded in a new PRD to distinguish the position from descriptions of other positions. A statement that the position is an incumbent-only position will be entered in Part C, Item 2, other work duties of the PRD, or similar area in a substitute template. The classification of the position (duties, title, career path, series, and broadband level) should be reviewed annually to verify/validate the continuing conditions which warranted the original "incumbent-only" designation and revised as needed. In those situations where an encumbered position does not sustain the current broadband level based on the actual work performed, the concept of "impact of the person on the job" or "incumbent only" does not apply; therefore, appropriate action will need to be taken by the Participating Organization. An incumbent-only position should be either abolished or restored to its normal classification when the position is vacated. Use of methodologies outlined in the appropriate/applicable OPM Functional Guide is authorized to establish review panels. In order to facilitate promotions/pay increases associated with Impact of the Person on the Job/Factor IV, review panels are encouraged to align with CCAS Pay Pools.

3.10 Accretion of Duties

3.10.1 Definition

The OPM recognizes management's authority to assign any work to any position that falls within the position's normal scope of duties, and if over time the position evolves to include higher broadband level duties, an accretion of duties promotion may be appropriate for the incumbent. If this situation arises, AcqDemo Participating Organizations may reclassify an employee's position to a higher broadband level than currently held based on the assignment of the additional duties if certain conditions are met.

3.10.2 Accretion Criteria

The assignment of additional substantive new and higher broadband level duties and responsibilities occur as a result of reorganizations, new or revised organizational responsibilities or missions, and/or changes in technology. The new duties comprise at least 25% of the employee's time on a regular basis, and require a higher level of knowledge, skill, and/or ability that will be a factor when/if the need arises to recruit to fill the position at a future date. The new duties represent a gradual increase of the employee's former position over a period of time; or the organization had a program change requiring immediate performance of the new duties. The employee's "old" position has been absorbed by the "new" position, where the employee performs the same basic functions of the former position; and this employee is the ONLY one under the position's current supervisor who is capable of performing the new duties and is qualified for the "new" position. A new PRD containing a description of the new duties and reason/purpose for which they are being added to the position must be prepared, certified, and processed according to the Participating Organization's instructions.

3.10.3 Situations Not Considered an Accretion of Duties

The following are examples of situations which do not meet the accretion criteria for promotion consideration:

1) The addition of supervisory/leader duties to a non-supervisory/non-leader position within the same broadband level are not considered an accretion of duties. However, competition may be required for movement beyond a control point.

2) If the addition of higher broadband level duties to an employee's position result in an adverse impact on another encumbered position, such as abolishing the position, eroding its current broadband level or reducing its known promotion potential indicates a non-competitive promotion would be inappropriate.

3) Reclassification to a higher broadband level as a result of an accretion across occupational series, and/or a career path is a rare situation and should be closely reviewed by the servicing Human Resources Office. In this situation, the reclassification constitutes a cancel/establish/fill of the new position.

4) If the current incumbent of the "old" position received additional training or other developmental opportunities that were not made available to other employees under the position's supervision, it may be inappropriate for a promotion by accretion.

5) Management Practice. Promotions based on impact of the person on the job and accretion of duties are recognized exceptions to the merit promotion process. The use of noncompetitive promotion procedures is limited to very specific circumstances. Fair and open competition should occur whenever those conditions are not explicitly met. Following good management practices, supervisors should be aware of the duties assigned or assumed by their staff, and exercise vigilance for changes that result in the unintentional growth or erosion of assignments sufficient to affect broadband level.

3.11 Fair Labor Standards Act

Fair Labor Standards Act (FLSA) exemption or non-exemption determinations will be made

consistent with criteria found in title 5 Code of Federal Regulations (CFR) Part 551. All employees are covered by the FLSA unless they meet criteria for exemption. Positions will be evaluated as needed by comparing the duties and responsibilities assigned, the broadband level descriptors for each broadband level, and the 5 CFR Part 551 FLSA criteria. Individuals knowledgeable and experienced in classification methodology, to include Human Resources Specialists, should provide consultation and guidance to managers and supervisors on the proper FLSA determination.

3.12 Classification Appeals

3.12.1 Appealable Items

An employee may appeal the occupational series, title, or broadband level of his or her own position at any time. An employee may not appeal the accuracy of the position requirements document; the demonstration project classification criteria; the pay-setting criteria; the propriety of a salary schedule; or matters that are able to be grieved under an administrative or negotiated grievance procedure or an alternative dispute resolution procedure. See **Appendix E** – Classification Appeals Process flow chart.

3.12.2 Appeal Process

3.12.2.1 Discussion with Immediate Supervisors

An employee must formally raise the areas of concern to supervisors in the immediate chain of command, either orally or in writing. If an employee is not satisfied with the supervisory response, a Human Resources Office (HRO) representative should be consulted. The HRO representative can explain and assist in accomplishing the classification appeal process, if the matter cannot be resolved informally.

3.12.2.2 Higher Level Consideration

If an employee is not satisfied with the supervisory response, he/she may appeal to the Head of his/her organization. If the employee is not satisfied with the organizational response, he/she may then appeal to his/her organization's Component or Agency level in accordance with their instructions. If the employee is not satisfied with the Component or Agency decision, the employee may appeal to the DoD appellate level. Appellate decisions rendered by DoD will be final and binding on all administrative, certifying, payroll, disbursing, and accounting offices of the Department. The evaluation of classification appeals under this demonstration project is based upon the demonstration project classification criteria. Case files will be forwarded for adjudication through the civilian personnel/human resources office providing personnel service and will include copies of appropriate demonstration project criteria. Time periods for case processing under 5 CFR 511.605 apply.

3.12.2.3 Appeal Procedures

The appeal process is depicted in the Classification Appeal Flow Chart and information on Classification Appeals may be found in **Appendix E**.

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Appendix A – Sample PRDs

SAMPLE POSITION REQUIREMENTS DOCUMENT

SAMPLE PRD FOLLOWS

PLEASE NOTE- SOME FIELDS MAY NOT APPEAR,

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AcqDemo Position Requirements Document
NH Business and Technical Management Professional Career Path
(See Instructions for Assistance)

Part A. Position and Organization Information

1. Position Number

2. Career Path: NH

3. Broadband Level

4. Position Title and Occupational Series

5. Reason for Submission

- New
- Re-Description
- Re-Establishment
- Reassignment
- Other: AcqDemo PRD

6. Employee Name (Last, First MI) or Position Title

7. Name and Location of Position's Organization

8. Duty Station

9. Purpose of the Position

10. Acquisition Workforce Position?

- Yes
- No

10a. Acquisition Career Field

10b. Certification Level Required

11. If your answer was "Yes" to question #10, mark N/A. For all others, identify if the non-AWF position directly supports the AWF 51% of the time or more?

- Yes
- No
- N/A

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12. Career Ladder

- ○ Yes
- ○ No

13. Maximum Broadband Level

14. Position is (Duties must be 25% of time)

- ○ Supervisory
- ○ Managerial
- ○ Neither

15. Position Status

- ○ Competitive
- ○ Excepted

15a. Position Status

- ○ Permanent
- ○ Time Limited

16. Sensitivity

---

17. Financial Disclosure

- ○ Public
- ○ Confidential

18. Emergency Essential

- ○ Yes
- ○ No

19. Functional Code

00-Non Applicable

20. Testing Designated Position

- ○ Yes
- ○ No

21. Bargaining Union Status Code (Select from drop down or Type in BUS Code)

---

or

Type in Bargaining Union BUS Code:

22. Interdisciplinary

- ○ Yes
- ○ No

23. Position Start Date

24. Position End Date

25. Mobilization Indicator

B - Not E-E Employees

26. Pay Pool ID

27. Work Schedule

28. Supervisory/Leader Cash Differential Eligibility

- ○ Yes
- ○ No

29. Foreign Language Proficiency Required?

- ○ Yes
- ○ No

30. What language(s) are required?

31. Hazardous Duty?

- ○ Yes
- ○ No

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Supervisor's Certification: I certify that this is an accurate statement of the major duties and responsibilities of this position and its organizational relationships, and that the position is necessary to carry out government functions for which I am responsible. This certification is made with the knowledge that this information is to be used for statutory purposes relating to appointment and payment of public funds, and that false or misleading statements may constitute violations of such statutes or their implementing regulations.

Supervisor Name and Title (Print or Type)

Signature **Date**

Higher Level Supervisor or Manager Name and Title (optional) (Print or Type)

Signature **Date**

Classification Certification: I certify that this position has been classified in accordance with 5 U.S.C. 4703 and the DoD Civilian Acquisition Workforce Personnel Demonstration Project Plan

Certifying Official Name and Title

Signature **Date**

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Part B. NH Major Duties

1. Position Number

2. Description of Major Duties and Responsibilities

3. Description of Other Work Requirements and/or Conditions of Employment

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FACTOR 1 - Job Achievement and/or Innovation

NH Level I - Factor 1 (Score Range 0-29)
• Proactively seeks opportunities to contribute to assigned tasks. • Seeks and takes advantage of development opportunities. Takes initiative to pursue completion of qualification requirements. • Effectively accepts feedback on assigned and accomplished work, and incorporates it to create a better end product. • Resolves routine problems within established guidelines. Seeks assistance as required. • Takes initiative in determining and implementing appropriate procedures. • Conducts activities on a collective task; assists supervisor, or other appropriate personnel, as needed

NH Level II Factor 1 (Score Range 22-66)
• Actively contributes as a team member/leader; provides insight and recommends changes or solutions to problems. Identifies and pursues individual/team development opportunities. • Achieves and maintains qualification and certification requirements. • Proactively guides, coordinates, and consults with others to accomplish projects, assuming ownership of personal processes and products. • Identifies, analyzes, and resolves complex/difficult problems. • Adapts existing plans and techniques to accomplish complex projects/programs.
• Recommends improvements to the design or operation of systems, equipment, or processes.
• Plans and conducts functional technical activities for projects/ programs

NH Level III Factor 1 (Score Range 61-83)
• Considered a functional/technical expert by others in the organization; is regularly sought out by others for advice and assistance. • Pursues or creates certification, qualification, and/or developmental programs and opportunities for self and others.
• Guides, motivates, and oversees the activities of individuals and teams with focus on project/program issues. Assumes ownership of processes and products, as appropriate.• Develops, integrates, and implements solutions to diverse, highly complex problems across multiple areas and disciplines. • 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. • Defines, directs, or leads highly challenging projects/programs.

NH Level IV Factor 1 (Score Range 79-100)
• Recognized as a technical/functional authority within and outside of the organization. • Fosters the development of others by providing guidance or sharing expertise. Directs assignments to encourage employee development and cross-functional growth to meet organizational needs. Pursues professional self-development.
• Leads, defines, manages, and integrates efforts of several groups or teams. Assumes and assigns ownership of processes and products, as appropriate. • Assesses and provides strategic direction for resolution of mission-critical problems, policies, and procedures. • 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.• Defines, establishes, and directs organizational focus on challenging and highly complex projects/ programs.

FACTOR 2 - Communications and/or Teamwork

NH Level I Factor 2 (Score Range 0-29)
• Clearly explains status/results of assigned tasks.
• Provides timely data and written analyses for input to management/technical reports or contractual documents. • Contributes ideas in own area of expertise. Interacts cooperatively with others. • Routinely completes assignments, as required, in support of team goals.

NH Level II Factor 2 (Score Range (22-66)
• Presents informational briefings. • Writes, or is a major contributor to, management/technical reports or contractual documents.
• 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.

NH Level III Factor 2 (Score Range 63-83)
• Presents briefings to obtain consensus/ approval. • Reviews and approves, or is a major contributor to/ lead author of, management reports or contractual documents for external distribution. • Provides inputs to policies.
• Introduces and/or implements innovative approaches to resolve unusual/difficult issues significantly impacting important policies or programs. • Promotes and maintains environment of cooperation and teamwork.
• Leads and guides others in formulating and executing team plans. Sought by team

NH Level IV Factor 2 (Score Range 79-100)
• Presents organizational briefings to convey strategic vision or organizational policies.
• Prepares, reviews, and approves major reports or policies of organization for internal and external distribution. • Resolves diverse viewpoints/controversial issues. • 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 solutions and/or strategies.

FACTOR 3 -Mission Support

NH Level I Factor 3 (Score Range 0-29)
• Performs assigned tasks within area of responsibility; identifies situations to supervisor or other appropriate personnel when existing guidelines do not apply.
• Participates as a team member in meeting customer needs.
• Productively plans individual time and assigned resources to accomplish tasks.
• Effectively accomplishes assigned tasks.

NH Level II Factor 3 (Score Range 22-66)
• Identifies and resolves conventional problems which may require deviations from accepted policies or instructions. • Initiates meetings and interactions with customers to understand customer needs/expectations.
• Optimizes resources to accomplish projects/ programs within established schedules. • Effectively accomplishes projects'/programs' goals within established resource guidelines.

NH Level III Factor 3 (Score Range 61-83)
• Anticipates problems, develops sound solutions and action plans to ensure program/mission accomplishment. • Establishes customer alliances, anticipates and fulfills customer needs, and translates customer needs to programs/projects. Identifies and optimizes resources to accomplish multiple projects'/ programs' goals. • Effectively accomplishes multiple projects'/programs' goals within established guidelines.

NH Level IV Factor 3(Score Range 79-100)
• Defines, integrates, and implements 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. • Assess and promulgate, fiscal, and other factors affecting customer and program/project needs. • Works with customer at management levels to resolve problems affecting programs/projects (e.g., problems that involve determining priorities and resolving conflicts among customers' requirements).• 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.

VERY HIGH SCORE (Mid-level Descriptors)

(Three scores available--105, 110, or 115. Select one of these scores.)

In addition to fully meeting the expected contribution criteria:

• Contributed results substantially beyond what was expected in the face of extremely difficult obstacles; contributions were exemplary in quality, quantity, and/or impact to the stated expectations for the goals/objectives described in the contribution plan;

• Created novel and innovative business methods and processes that contributed substantially beyond expectations to accomplishment of current work and the mission of the organization; and/or

• Demonstrated the highest standards of professionalism establishing the model for others to follow. Accomplishments and outcomes were of such magnitude that they contributed to the extraordinary success of the organization in exceeding its mission goals and objectives for the year.

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Part C. Knowledge, Skills, Abilities and Competencies - NH Career Path

1. Knowledge, Skills, Abilities, Competencies

- ☐ The employee must obtain and maintain the appropriate security clearance
- ☐ Ability to maintain good working relations
- ☐ Ability to plan and execute complex, multi-faceted projects
- ☐ Ability to recognize and analyze problems, conducts research, summarizes results, and makes appropriate recommendations
- ☐ Ability to access or locate information through the use of a personal computer or terminal
- ☐ Ability to meet and deal with customers using a high degree of tact and diplomacy
- ☐ Ability to research, analyze, interpret and apply rules, regulations, and procedures
- ☐ 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 Ability to develop and utilize appropriate data collection techniques
- ☐ Ability to communicate orally and in writing
- ☐ Ability to advise others
- ☐ Knowledge of logistics management principles, concepts, policies, and regulations
- ☐ Ability to review, analyze, and manage Contingency, Mobilization Planning, and/or War Reserves Programs
- ☐ 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 Ability to execute projects and/or studies within established financial and time constraints
- ☐ Knowledge of DoD acquisition and life cycle management policies, procedures, and practices
- ☐ Knowledge of cost and economic analyses principles, techniques, and practices
- ☐ Ability to plan, conduct and record surveys and inspections

2. Other Qualification Requirements

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Part D. Evaluation Statement - NH Career Path

1. Position Number

2. Employee Name (Last, First MI.)

3. Organization Location

4. References

5. Background

6. Pay Plan, Series and Title Determination

7. Broadband Level

- **Level I**
- **Level II**
- **Level III**
- **Level IV**

NH Factor Description 1: Job Achievement and/or Innovation: This factor captures qualifications, critical thinking, calculated risks, problem solving, leadership, supervision, and personal accountability aspects appropriate for the positions classified to the broadband levels of the NH career path. This PRD accurately reflects the discriminators to accurately assign the broadband level indicated in item 7 above.

NH Factor Description 2: Communication and/or Teamwork: This factor captures communication, both verbal and written interactions with customers, coworkers, and groups and assignments crossing functional boundaries appropriate for the positions classified to the broadband levels of NH career path. This PRD accurately reflects the discrimination assigned to the broadband level indicated in item 7 above.

NH Factor Description 3: Mission Support: This factor captures understanding and execution of organizational goals and priorities, working with customers to develop a mutual understanding of their requirements; monitoring and influencing cost parameters or work, tasks, and projects; and establishing priorities that reflect mission and organizational goals appropriate for the positions classified to the broadband levels of the NH career path. This PRD accurately reflects the discriminators to accurately assign the broadband level indicated in item 7 above.

8. Final Classification Summary

9. FLSA

- Exempt
- Non Exempt

10. Classification Name and Title (Print or Type)

Signature

Email (Optional)

Approval Date

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ACQDEMO POSITION REQUIREMENTS DOCUMENT (PRD)
INSTRUCTIONS FOR COMPLETING THE PRD TEMPLATE
(Reference: AcqDemo Operating Guide and DoDI 5000.66)

Part A. Position and Organizational Information

1. Enter position number used by the Participating Organization for control purposes.

2. Hard coded for subject career path.

3. Select appropriate broadband level from drop down menu.

4. Enter position title, pay plan, series, and broadband level.

5. Select reason for submission of PRD.

6. Enter employee name or position title.

7. Enter the name and location of position's organization.

8. Enter duty station.

9. Briefly describe the purpose of the position.

10. Check the circle which indicates whether the position is an Acquisition Workforce (AWF) position. Refer to DoDI 5000.66 for definitions.

10a. Select the appropriate career field for the AWF position from one of the authorized fifteen career fields listed on the drop down menu. Refer to DoDI 5000.66 for definitions.

10b. Select the appropriate certification level required for the AWF position. Refer to DoDI 5000.66 for definitions.

11. Indicate whether the non-AWF position directly supports AWF positions 51% or more of its work time by checking one of the circles. If this is an AWF position select N/A

12. Check one circle to indicate if the position has (or has not) multiple broadband levels for growth potential (Career Ladder).

13. Select from the drop down menu the highest career path broadband level associated with the position.

14. Check the circle that indicates the position's supervisory status. Supervisory/managerial duties must comprise 25% of the position's time and meet the definition provided by the OPM General Schedule Supervisory Guide or Leader Grade Evaluation Guide.

15. Check one box that indicates whether the position is in the competitive service or excepted service.

15a. Check one box to indicate whether the position is permanent or time limited.

16. Select one category from the drop down menu to show whether the position is non-sensitive, noncritical sensitive, critical sensitive, or special sensitive for security purposes.

17. Check box if statement is required. See FPM Chapter 735, Subchapter 4, for information on the Employment and Financial Interests Statement.

18. Indicate whether the position will be designated as emergency essential pursuant to 10 U.S.C. 1580 with assigned duties and responsibilities that must be accomplished following the evacuation of non-essential personnel (including dependents) during a declared emergency or outbreak of war by checking the appropriate response—yes or no.

19. From the drop down menu select the position's code that represents the function in which the individual is "primarily engaged." Refer to the OPM *Guide to Data Standards* for additional information.

20. Refer to Department of Health & Human Services *2010 Guidance for Selection of Testing Designated Positions (TDPs)*, dtd April 5, 2010 for selecting and/or reviewing positions designated for random testing under the Federal Drug-Free Workplace Program established pursuant to Executive Order No. 164.

21. Select one of the special codes for the employee's bargaining unit status from drop down menu or select next option and type in BUS Code in block provided. The names and codes for bargaining units can be found on the OPM Federal Labor Management Information System (FLIS) website: https://apps.opm.gov/flis/start.aspx

22. Indicate whether the position is an interdisciplinary position involving duties and responsibilities closely related to more than one professional occupation. For example, the position may have duties related to mathematics, operations research analyses, and computer science.

23. Indicate the date an employee will start work in the position or the date the position is authorized.

24. Indicate the date the authorization for the position will terminate or the not to exceed date.

25. From the drop down menu, select the appropriate code for the employee's mobilization indicator.

26. Enter the pay pool ID in which the employee is a member. The Pay Pool Administrator for the employee's organization as well as the supervisor should have this ID.

27. Select the employee's work schedule from the drop down menu.

28. Check the circle that indicates if the supervisory/team leader position meets one or more of the following criteria:

a. Organizational level and scope, difficulty, and value of position warrants additional compensation;

b. Supervisory and/or team leader positions are extremely difficult to fill; or

c. Salary inequities may exist between the supervisor's or team leader's and non-supervisory/non-team leader subordinates' basic pay.

29. Check whether the employee is proficient in a foreign language the SECDEF has determined to be necessary for national security interests as described in 5 CFR 9901.364, and if they are not receiving Foreign Language Proficiency Pay as provided in 10 U.S.C. 1596 AND 10 U.S.C. 1596a.

30. Identify the language(s) in which the employee is proficient that SECDEF has determined to be necessary for national security interests.

31. Indicate whether the employee's position entails hazardous duty. Hazardous duty is duty performed under circumstances in which an accident could result in serious injury or death. Duty involving a physical hardship is duty that may not in itself be hazardous, but causes extreme physical discomfort or distress and is not adequately alleviated by protective or mechanical devices.

Part B. Major Duties

1. Enter position number used by the Participating Organization for control purposes. (Should auto populate, if not enter)

2. Provide a brief description of the major duties and responsibilities of the position. Major duties are those that represent the primary reason for the position's existence, and which govern the qualification requirements. Typically, they occupy most of the employee's time. Minor duties generally occupy a small portion of time, are not the primary purpose for which the position was established, and do not determine qualification requirements.

3. Provide a brief description minor duties and/or a list of other requirements that could result in qualification criteria. Minor duties generally occupy a small portion of time, are not the primary purpose for which the position was established, and typically do not determine qualification requirements. However, they can sometimes have a major influence on series and broadband level determinations and the qualifications required, and must be considered when classifying the position. Other requirements may include a specific license (driver's license); extensive travel; mobility agreement; overtime work; duty aboard ships or aircraft; hazardous duty; proficiency in a foreign language; drug testing position; security clearance; etc.

Part C. Knowledge, Skills, Abilities, and Competencies – NH Career Path

1. Check the boxes for the knowledge, skills, abilities, and competencies needed for successful performance in the position.

2. Provide a brief description of other qualification requirements such as a particular foreign language.

Part D. Evaluation Statement- NH Career Path

1. Enter position number used by the Participating Organization for control purposes. (Should auto populate, if not enter)

2. Enter employee name. (Should auto populate, if not enter)

3. Enter the name and location of position's organization.

4. Provide the citations, references, and/or classification standards used in the classification of the position. For example, OPM Classification Standard for the 1102, Contracting Series.

5. Provide a brief synopsis of events leading to the classification of the position at this time.

6. Enter the final position title, pay plan, and series determinations following the classification review.
7. Select the final broadband level as determined by the classification review.

8. Classification Official to provide a brief summary of findings from the classification review.

9. Check the box that indicates the Fair Labor Standards Act (FLSA) determination for the position.

10. Enter name and title of the classification official.

Appendix B – Occupational Series and Titles

SERIES INCLUDED IN THE DoD CIVILIAN ACQUISITION WORKFORCE PERSONNEL DEMONSTRATION PROJECT

BUSINESS MANAGEMENT & TECHNICAL MANAGEMENT PROFESSIONAL (NH)	
OCCUPATIONAL SERIES NUMBER	**OCCUPATIONAL SERIES TITLE**
0011	BOND SALES PROMOTION
0017	EXPLOSIVES SAFETY
0018	SAFETY AND OCCUPATIONAL HEALTH MANAGEMENT
0020	COMMUNITY PLANNING
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
0089	EMERGENCY MANAGEMENT
0095	FOREIGN LAW SPECIALIST
0099	GENERAL STUDENT TRAINEE
0101	SOCIAL SCIENCE
0106	UNEMPLOYMENT INSURANCE
0110	ECONOMIST
0130	FOREIGN AFFAIRS
0131	INTERNATIONAL RELATIONS
0135	FOREIGN AGRICULTURAL AFFAIRS
0136	INTERNATIONAL COOPERATION
0140	WORKFORCE RESEARCH AND ANALYSIS
0142	WORKFORCE DEVELOPMENT
0150	GEOGRAPHY
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 TRAINEE
0201	HUMAN RESOURCES MANAGEMENT

BUSINESS MANAGEMENT & TECHNICAL MANAGEMENT PROFESSIONAL (NH)	
OCCUPATIONAL SERIES NUMBER	**OCCUPATIONAL SERIES TITLE**
0241	MEDIATION
0243	APPRENTICESHIP AND TRAINING
0244	LABOR MANAGEMENT RELATIONS EXAMINING
0260	EQUAL EMPLOYMENT OPPORTUNITY
0299	HUMAN RESOURCES MANAGEMENT STUDENT TRAINEE
0301	MISCELLANEOUS ADMINISTRATION AND PROGRAM
0306	GOVERNMENT INFORMATION
0308	RECORDS AND INFORMATION MANAGEMENT
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 NATURAL RESOURCES MANAGMENT AND BIOLOGICAL SCIENCES
0403	MICROBIOLOGY
0405	PHARMACOLOGY
0408	ECOLOGY
0410	ZOOLOGY
0413	PHYSIOLOGY
0414	ENTOMOLOGY
0415	TOXICOLOGY
0430	BOTANY
0434	PLANT PATHOLOGY
0435	PLANT PHYSIOLOGY
0437	HORTICULTURE
0440	GENETICS
0454	RANGELAND MANAGEMENT
0457	SOIL CONSERVATION
0460	FORESTRY
0470	SOIL SCIENCE
0471	AGRONOMY
0475	AGRICULTURAL MANAGEMENT
0480	FISH AND WILDLIFE ADMINISTRATION
0482	FISH BIOLOGY
0485	WILDLIFE REFUGE MANAGEMENT
0486	WILDLIFE BIOLOGY
0487	ANIMAL SCIENCE

BUSINESS MANAGEMENT & TECHNICAL MANAGEMENT PROFESSIONAL (NH)	
OCCUPATIONAL SERIES NUMBER	**OCCUPATIONAL SERIES TITLE**
0499	BIOLOGICAL SCIENCE STUDENT TRAINEE
0501	FINANCIAL ADMINISTRATION AND PROGRAM
0505	FINANCIAL MANAGEMENT
0510	ACCOUNTING
0511	AUDITING
0512	INTERNAL REVENUE AGENT
0526	TAX SPECIALIST
0560	BUDGET ANALYSIS
0599	FINANCIAL MANAGEMENT STUDENT TRAINEE
0601	GENERAL HEALTH SCIENCE
0602	MEDICAL OFFICER
0603	PHYSICIAN ASSISTANT
0610	NURSE
0630	DIETICIAN AND NUTRITIONIST
0631	OCCUPATIONAL THERAPIST
0633	PHYSICAL THERAPIST
0635	KINESIOTHERAPY THERAPIST
0637	MANUAL ARTS THERAPIST
0639	EDUCATIONAL THERAPIST
0644	MEDICAL TECHNOLOGIST
0660	PHARMACIST
0662	OPTOMETRIST
0665	SPEECH PATHOLOGY AND AUDIOLOGY
0668	PODIATRIST
0669	MEDICAL RECORDS ADMINISTRATION
0670	HEALTH SYSTEMS ADMINISTRATOR
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
0806	MATERIALS ENGINEERING
0807	LANDSCAPE ARCHITECTURE
0808	ARCHITECTURE
0810	CIVIL ENGINEERING
0819	ENVIRONMENTAL ENGINEERING
0830	MECHANICAL ENGINEERING

BUSINESS MANAGEMENT & TECHNICAL MANAGEMENT PROFESSIONAL (NH)	
OCCUPATIONAL SERIES NUMBER	**OCCUPATIONAL SERIES TITLE**
0840	NUCLEAR ENGINEERING
0850	ELECTRICAL ENGINEERING
0854	COMPUTER ENGINEERING
0855	ELECTRONICS ENGINEERING
0858	BIOMEDICAL ENGINEERING
0861	AEROSPACE ENGINEERING
0871	NAVAL ARCHITECTURE
0881	PETROLEUM ENGINEERING
0890	AGRICULTURAL ENGINEERING
0893	CHEMICAL 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
0965	LAND LAW EXAMINING
0967	PASSPORT AND VISA EXAMINING
0987	TAX LAW SPECIALIST
0991	WORKERS' COMPENSATION CLAIMS EXAMINING
0993	RAILROAD RETIREMENT CLAIMS EXAMINING
0996	VETERANS CLAIMS EXAMINING
0999	LEGAL OCCUPATIONS STUDENT TRAINEE
1001	GENERAL ARTS AND INFORMATION
1008	INTERIOR DESIGN
1010	EXHIBITS SPECIALIST
1015	MUSEUM CURATOR
1016	MUSEUM SPECIALIST
1020	ILLUSTRATOR
1035	PUBLIC AFFAIRS
1040	LANGUAGE SPECIALIST
1060	PHOTOGRAPHY
1071	AUDIOVISUAL PRODUCTION
1082	WRITING AND EDITING
1083	TECHNICAL WRITING AND EDITING
1084	VISUAL INFORMATION
1099	INFORMATION AND ARTS STUDENT TRAINEE
1101	GENERAL BUSINESS AND INDUSTRY
1102	CONTRACTING
1103	INDUSTRIAL PROPERTY MANAGEMENT

BUSINESS MANAGEMENT & TECHNICAL MANAGEMENT PROFESSIONAL (NH)	
OCCUPATIONAL SERIES NUMBER	**OCCUPATIONAL SERIES TITLE**
1104	PROPERTY DISPOSAL
1109	GRANTS MANAGEMENT
1130	PUBLIC UTILITIES SPECIALIST
1140	TRADE SPECIALIST
1144	COMMISSARY MANAGEMENT
1145	AGRICULTURE PROGRAM SPECIALIST
1146	AGRICULTURAL MARKETING
1150	INDUSTRIAL SPECIALIST
1160	FINANCIAL ANALYSIS
1165	LOAN SPECIALIST
1169	INTERNAL REVENUE OFFICER
1170	REALTY
1171	APPRAISING
1173	HOUSING MANAGEMENT
1176	BUILDING MANAGEMENT
1199	BUSINESS AND INDUSTRY STUDENT TRAINEE
1210	COPYRIGHT
1220	PATENT ADMINISTRATION
1221	PATENT ADVISER
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	GEOPHYSICS
1315	HYDROLOGY
1320	CHEMISTRY
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

BUSINESS MANAGEMENT & TECHNICAL MANAGEMENT PROFESSIONAL (NH)	
OCCUPATIONAL SERIES NUMBER	**OCCUPATIONAL SERIES TITLE**
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
1510	ACTUARIAL SCIENCE
1515	OPERATIONS RESEARCH
1520	MATHEMATICS
1529	MATHEMATICAL STATISTICS
1530	STATISTICS
1540	CRYPTOGRAPHY
1541	CRYPTANALYSIS
1550	COMPUTER SCIENCE
1599	MATHEMATICS AND STATISTICS STUDENT TRAINEE
1601	EQUIPMENT, FACILITIES, AND SERVICES
1630	CEMETARY ADMINISTRATION SERVICES
1640	FACILITY OPERATIONS SERVICES
1654	PRINTING SERVICES
1667	FOOD SERVICES
1670	EQUIPMENT SERVICES
1699	EQUIPMENT, FACILITIES, AND SERVICES STUDENT TRAINEE
1701	GENERAL EDUCATION AND TRAINING
1702	EDUCATION AND TRAINING
1710	EDUCATION AND VOCATIONAL TRAINING
1712	TRAINING INSTRUCTION
1715	VOCATIONAL REHABILITATION
1720	EDUCATION PROGRAM
1740	EDUCATION SERVICES
1750	INSTRUCTIONAL SYSTEMS
1799	EDUCATION STUDENT TRAINEE
1801	GENERAL INSPECTION, INVESTIGATION, ENFORCEMENT, AND COMPLIANCE
1802	COMPLIANCE INSPECTION AND SUPPORT
1810	GENERAL INVESTIGATION
1822	MINE SAFETY AND HEALTH INSPECTION
1825	AVIATION SAFETY
1849	WAGE AND HOUR INVESTIGATION

BUSINESS MANAGEMENT & TECHNICAL MANAGEMENT PROFESSIONAL (NH)	
OCCUPATIONAL SERIES NUMBER	**OCCUPATIONAL SERIES TITLE**
1862	CONSUMER SAFETY INSPECTION
1863	FOOD INSPECTION
1889	IMPORT COMPLIANCE
1895	CUSTOMS AND BORDER PROTECTION
1899	INVESTIGATION STUDENT TRAINEE
1910	QUALITY ASSURANCE
1980	AGRICULTURAL COMMODITY GRADING
1999	QUALITY INSPECTION STUDENT TRAINEE
2001	GENERAL SUPPLY
2003	SUPPLY PROGRAM MANAGEMENT
2010	INVENTORY MANAGEMENT
2030	DISTRIBUTION FACILITIES AND STORAGE MANAGEMENT
2032	PACKAGING
2099	SUPPLY STUDENT TRAINEE
2101	TRANSPORTATION SPECIALIST
2121	RAILROAD SAFETY
2123	MOTOR CARRIER SAFETY
2125	HIGHWAY SAFETY
2130	TRAFFIC MANAGEMENT
2150	TRANSPORTATION OPERATIONS
2152	AIR TRAFFIC CONTROL
2181	AIRCRAFT OPERATIONS
2183	AIR NAVIGATION
2199	TRANSPORTATION STUDENT TRAINEE
2210	INFORMATION TECHNOLOGY MANAGEMENT
2299	INFORMATION TECHNOLOGY STUDENT TRAINEE

TECHNICAL MANAGEMENT SUPPORT (NJ)	
OCCUPATIONAL SERIES NUMBER	**OCCUPATIONAL SERIES TITLE**
0019	SAFETY TECHNICIAN
0021	COMMUNITY PLANNING TECHNICIAN
0102	SOCIAL SCIENCE AID AND TECHNICIAN
0181	PSYCHOLOGY AID AND TECHNICIAN
0187	SOCIAL SERVICES
0332	COMPUTER OPERATION
0342	SUPPORT SERVICES ADMINISTRATION
0390	TELECOMMUNICATIONS PROCESSING
0404	BIOLOGICAL SCIENCE TECHNICIAN

TECHNICAL MANAGEMENT SUPPORT (NJ)	
OCCUPATIONAL SERIES NUMBER	**OCCUPATIONAL SERIES TITLE**
0421	PLANT PROTECTION TECHNICIAN
0455	RANGE TECHNICIAN
0458	SOIL CONSERVATION TECHNICIAN
0459	IRRIGATION SYSTEM OPERATION
0462	FORESTRY TECHNICIAN
0592	TAX EXAMINING
0620	PRACTICAL NURSE
0621	NURSING ASSISTANT
0622	MEDICAL SUPPLY AIDE AND TECHNICIAN
0625	AUTOPSY ASSISTANT
0640	HEALTH AID AND TECHNICIAN
0645	MEDICAL TECHNICIAN AND LABORATORY AIDE
0646	PATHOLOGY TECHNICIAN
0647	DIAGNOSTIC RADIOLOGIC TECHNOLOGIST
0648	THERAPEUTIC RADIOLOGIC TECHNOLOGIST
0649	MEDICAL INSTRUMENT TECHNICIAN
0650	MEDICAL TECHNICAL ASSISTANT
0661	PHARMACY TECHNICIAN
0664	RESTORATION TECHNICIAN
0667	ORTHOTIST AND PROSTHETIST
0672	PROSTHETIC REPRESENTATIVE
0675	MEDICAL RECORDS TECHNICIAN
0679	MEDICAL SUPPORT ASSISTANCE
0681	DENTAL ASSISTANT
0682	DENTAL HYGIENE
0683	DENTAL LABORATORY TECHNICIAN/AIDE
0802	ENGINEERING TECHNICAL
0809	CONSTRUCTION CONTROL TECHNICAL
0817	SURVEY TECHNICAL
0818	ENGINEERING DRAFTING
0856	ELECTRONICS TECHNICAL
0873	MARINE SURVEY TECHNICAL
0895	INDUSTRIAL ENGINEERING TECHNICAL
0962	CONTACT REPRESENTATIVE
0963	LEGAL INSTRUMENTS EXAMINING
0990	GENERAL CLAIMS EXAMINING
0992	LOSS AND DAMAGE CLAIMS EXAMINING
0995	DEPENDENT AND ESTATES CLAIMS EXAMINING
1016	MUSEUM AID AND TECHNICIAN
1152	PRODUCTION CONTROL

TECHNICAL MANAGEMENT SUPPORT (NJ)	
OCCUPATIONAL SERIES NUMBER	**OCCUPATIONAL SERIES TITLE**
1202	PATENT TECHNICIAN
1211	COPYRIGHT TECHNICIAN
1311	PHYSICAL SCIENCE TECHNICIAN
1316	HYDROLOGIC TECHNICIAN
1341	METEOROLOGICAL TECHNICIAN
1371	CARTOGRAPHIC TECHNICIAN
1374	GEODETIC TECHNICIAN
1411	LIBRARY TECHNICIAN
1421	ARCHIVES TECHNICIAN
1521	MATHEMATICS TECHNICIAN
1531	STATISTICAL ASSISTANT
1702	EDUCATION AND TRAINING TECHNICIAN
2005	SUPPLY CLERICAL AND TECHNICIAN
2185	AIRCREW TECHNICIAN

ADMINISTRATIVE SUPPORT (NK)	
OCCUPATIONAL SERIES NUMBER	**OCCUPATIONAL SERIES TITLE**
0029	ENVIRONMENTAL PROTECTION ASSISTANT
0085	SECURITY GUARD
0086	SECURITY CLERICAL AND ASSISTANCE
0105	SOCIAL INSURANCE ADMINISTRATION
0107	HEALTH INSURANCE ADMINISTRATION
0119	ECONOMICS ASSISTANT
0186	SOCIAL SERVICES AID AND ASSISTANCE
0189	RECREATION AID AND ASSISTANCE
0203	HUMAN RESOURCES ASSISTANCE
0204	MILITARY PERSONNEL CLERICAL AND TECHNICIAN
0303	MISCELLANEOUS CLERK AND ASSISTANT
0304	INFORMATION RECEPTIONIST
0305	MAIL AND FILE
0318	SECRETARY
0326	OFFICE AUTOMATION CLERICAL AND ASSISTANCE
0335	COMPUTER CLERK AND ASSISTANCE
0344	MANAGEMENT AND PROGRAM CLERICAL AND ASSISTANCE
0350	EQUIPMENT OPERATOR
0356	DATA TRANSCRIBER
0357	CODING

ADMINISTRATIVE SUPPORT (NK)	
OCCUPATIONAL SERIES NUMBER	**OCCUPATIONAL SERIES TITLE**
0361	EQUAL OPPORTUNITY ASSISTANCE
0382	TELEPHONE OPERATING
0503	FINANCIAL CLERICAL AND TECHNICIAN
0525	ACCOUNTING TECHNICIAN
0530	CASH PROCESSING
0540	VOUCHER EXAMINING
0544	CIVILIAN PAY
0545	MILITARY PAY
0561	BUDGET CLERICAL AND ASSISTANCE
0986	LEGAL ASSISTANCE
0998	CLAIMS ASSISTANCE AND EXAMINING
1016	MUSEUM AID
1105	PURCHASING
1106	PROCUREMENT CLERICAL AND TECHNICIAN
1603	EQUIPMENT, FACILITIES, AND SERVICES ASSISTANCE
2091	SALES STORE CLERICAL
2102	TRANSPORTATION CLERK AND ASSISTANT
2131	FREIGHT RATE
2151	DISPATCHING
2154	AIR TRAFFIC ASSISTANCE

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Appendix C – Career Paths and Corresponding Broadbands

DEFINITIONS OF CAREER PATHS AND CORRESPONDING BROADBAND LEVELS

Career Path: Business Management and Technical Management Professional

Includes professional and management positions in science, engineering, medicine, 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

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

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

Level I. This entry level, which includes student trainees as well as others with some experience, 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 D – Classification Level and Appraisal Factors

CLASSIFICATION LEVEL AND APPRAISAL FACTORS

AcqDemo has three distinct career paths where AcqDemo occupations with similar characteristics are grouped together to facilitate classification of positions, contribution appraisal, and compensation decisions. The career paths are designated as Business Management and Technical Management Professional, Pay Plan NH; Technical Management Support, Pay Plan NJ; and Administrative Support, Pay Plan NK.

AcqDemo provides definitions for each of the career paths and corresponding broadband levels within them. Classification factors comprised of expected contribution criteria and broadband level descriptors and discriminators, as aligned to the three career paths and broadband levels, will be used for both classification of a position and assessment of an employee's contribution. While the descriptors indicate the level, scope, complexity, and difficulty of the duties and type of contribution appropriate at the upper end of each broadband level, a broadband may actually contain an array of positions with varying levels of work, responsibilities, and value. These attributes range from just above the upper end on the next lower broadband level to an employee's position to the upper end of the employee's position as defined by an organization's position management structure needed to accomplish its mission. This structure in turn would be used to set the stage for determination of position classification, contribution assessment (Overall Contribution Score (OCS) and performance appraisal), and ultimately compensation decisions.

Descriptors are not to be used individually to determine position classification or assess contributions, but rather are to be taken as a group to derive a single evaluation of each factor. The three factor evaluations when taken as a whole result in either a classification determination of broadband level for the position or an OCS and performance appraisal for contribution assessment depending on the action being addressed. The career paths and their associated broadband levels, referenced General Schedule grades, and Overall Contribution Score range are shown in the **Table 1** below as a reference tool.

Classification Level and Appraisal Descriptors Reference Tool						
Business Management and Technical Management Professional (NH) Career Path						
Broadband Levels:	I	II		III	IV	Very High Score
Referenced GS Grades:	GS-1 to 4	GS-5 to 11		GS-12 and 13	GS-14 and 15	N/A
OCS[1] Ranges:	0 – 29	22 – 66		61 – 83	79 -100	105, 110, or 115
Technical Management Support (NJ) Career Path						
Broadband Levels:	I	II	III	IV	Very High Score	
Referenced GS Grades:	GS-1 to 4	GS-5 to 8	GS-9 to 11	GS-12 and 13	N/A	
OCS Ranges:	0 - 29	22 - 51	43 - 66	61 - 83	87, 91, or 95	
Administrative Support (NK) Career Path						
Broadband Levels:	I	II	III	Very High Score		
Referenced GS Grades:	GS-1 to 4	GS-5 to 7	GS-8 to 10	N/A		
OCS Ranges:	0 - 29	22 - 46	38 - 61	64, 67, or 70		

[1] OCS = Overall Contribution Score

CAREER PATH: Business Management and Technical Management (NH)

FACTOR 1: Job Achievement and/or Innovation

FACTOR DESCRIPTION: This factor captures qualifications, critical thinking, calculated risks, problem solving, leadership, supervision, and personal accountability aspects appropriate for the positions classified to the broadband levels of the NH career path.

Expected Contribution Criteria	Classification Level and Appraisal Descriptors	Discriminators
Produces desired results, in the needed timeframe, with the appropriate level of supervision through the use of appropriate knowledge, skills, abilities, and understanding of the technical requirements of the job. Achieves, demonstrates, and maintains the appropriate qualifications necessary to assume and execute key acquisition and/or support requirements. Demonstrates skilled critical thinking in identifying, analyzing, and solving complex issues, as appropriate. Takes and displays personal accountability in leading, overseeing, guiding, and/or managing programs and projects within assigned areas of responsibility. Work is timely, efficient and of acceptable quality. Completed work meets project/program	**NH Level I (Score Range 0 – 29)**	
	• Proactively seeks opportunities to contribute to assigned tasks.	• Leadership Role
	• Seeks and takes advantage of development opportunities. Takes initiative to pursue completion of qualification requirements.	• Mentoring/Employee Development
	• Effectively accepts feedback on assigned and accomplished work, and incorporates it to create a better end product.	• Accountability
	• Resolves routine problems within established guidelines. Seeks assistance as required.	• Complexity/Difficulty
	• Takes initiative in determining and implementing appropriate procedures.	• Creativity
	• Conducts activities on a collective task; assists supervisor, or other appropriate personnel, as needed.	• Scope/Impact
	NH Level II (Score Range 22 – 66)	
	• Actively contributes as a team member/leader; provides insight and recommends changes or solutions to problems.	• Leadership Role
	• Identifies and pursues individual/team development opportunities. Achieves and maintains qualification and certification requirements.	• Mentoring/Employee Development
	• Proactively guides, coordinates, and consults with others to accomplish projects, assuming ownership of personal processes and products.	• Accountability
	• Identifies, analyzes, and resolves complex/difficult problems	• Complexity/ Difficulty

objectives. Leadership and/or supervision effectively promotes commitment to organization goals. Flexibility, adaptability, and decisiveness are exercised appropriately. For Supervisors (as appropriate): Recruits, develops, motivates, and retains quality team members in accordance with EEO/AA and Merit System Principles. Takes timely/appropriate personnel actions, communicates mission and organizational goals; by example, creates a positive, safe, and challenging work environment; distributes work and empowers team members.	• Adapts existing plans and techniques to accomplish complex projects/programs. Recommends improvements to the design or operation of systems, equipment, or processes.	• Creativity
	• Plans and conducts functional technical activities for projects/programs.	• Scope/Impact
	NH Level III (Score Range 61 – 83)	
	• Considered a functional/technical expert by others in the organization; is regularly sought out by others for advice and assistance.	• Leadership Role
	• Pursues or creates certification, qualification, and/or developmental programs and opportunities for self and others.	• Mentoring/Employee Development
	• Guides, motivates, and oversees the activities of individuals and teams with focus on project/ program issues. Assumes ownership of processes and products, as appropriate.	• Accountability
	• Develops, integrates, and implements solutions to diverse, highly complex problems across multiple areas and disciplines.	• Complexity/ Difficulty
	• 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.	• Creativity
	• Defines, directs, or leads highly challenging projects/programs.	• Scope/Impact
	NH Level IV (Score Range 79 – 100)	
	• Recognized as a technical/functional authority within and outside of the organization	• Leadership Role
	• Fosters the development of others by providing guidance or sharing expertise. Directs assignments to encourage employee development and cross-functional growth to meet organizational needs. Pursues professional self-development.	• Mentoring/Employee Development
	• Leads, defines, manages, and integrates efforts of several groups or teams. Assumes and assigns ownership of processes and products, as appropriate.	• Accountability
	• Assesses and provides strategic direction for resolution of mission-critical problems, policies, and procedures.	• Complexity/Difficulty

	• 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. • Defines, establishes, and directs organizational focus on challenging and highly complex projects/programs.	• Creativity • Scope/Impact
	NH - VERY HIGH SCORE (Mid-level Descriptors) **(Three scores available -- 105, 110, or 115. Select only one score.)**	
	In addition to fully meeting the expected contribution criteria: • Contributed results substantially beyond what was expected in the face of extremely difficult obstacles; contributions were exemplary in quality, quantity, and/or impact to the stated expectations for the goals/objectives described in the contribution plan. • Created novel and innovative business methods and processes that contributed substantially beyond expectations to accomplishment of current work and the mission of the organization. • Demonstrated the highest standards of professionalism establishing the model for others to follow. Accomplishments and outcomes were of such magnitude that they contributed to the extraordinary success of the organization in exceeding its mission goals and objectives for the year.	

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CAREER PATH: Business Management and Technical Management (NH)

FACTOR 2: Communication and/or Teamwork

FACTOR DESCRIPTION: This factor captures communication, both verbal and written; interactions with customers, coworkers, and groups; and assignments crossing functional boundaries appropriate for the positions classified to the broadband levels of the NH career path.

Expected Contribution Criteria	Classification Level and Appraisal Descriptors	Discriminators
Effectively communicates, verbally and in writing, as needed to coordinate work and keep chain-of-command, coworkers, and customers informed of work-related issues, developments, and statuses. Actively seeks and promotes diverse ideas and inputs. Works well with and in groups, and with others to accomplish mission requirements. Work is timely, efficient, and of acceptable quality. Communications are clear, concise, and at the appropriate level. Personal and organizational interactions exhibit and foster teamwork. Flexibility, adaptability, and decisiveness are exercised appropriately.	**NH Level I (Score Range 0 – 29)**	
	• Clearly explains status/results of assigned tasks. • Provides timely data and written analyses for input to management/technical reports or contractual documents. • Contributes ideas in own area of expertise. Interacts cooperatively with others. • Routinely completes assignments, as required, in support of team goals.	• Oral • Written • Contribution to Team • Effectiveness
	NH Level II (Score Range 22 – 66)	
	• Presents informational briefings. • Writes, or is a major contributor to, management/technical reports or contractual documents. • 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.	• Oral • Written • Contribution to Team • Effectiveness
	NH Level III (Score Range 61 – 83)	
	• Presents briefings to obtain consensus/approval. • Reviews and approves, or is a major contributor to/ lead author of, management reports or contractual documents for external distribution. Provides inputs to policies. • Introduces and/or implements innovative approaches to resolve unusual/difficult issues significantly impacting important policies or programs. Promotes and maintains environment of cooperation and teamwork.	• Oral • Written • Contribution to Team

	• Leads and guides others in formulating and executing team plans. Sought by team members to contribute to teaming effort.	• Effectiveness
	NH Level IV (Score Range 79 – 100)	
	• Presents organizational briefings to convey strategic vision or organizational policies.	• Oral
	• Prepares, reviews, and approves major reports or policies of organization for internal and external distribution. Resolves diverse viewpoints/controversial issues.	• Written
	• Solves broad organizational issues. Implements strategic plans within and across organizational components. Ensures a cooperative teamwork environment.	• Contribution to Team
	• Leads/guides workforce in achieving organizational goals. Participates on high-level teams. Is sought out for solutions and/or strategies.	• Effectiveness
	NH - VERY HIGH SCORE (Mid-level Descriptors) **(Three scores available -- 105, 110, or 115. Select one of these scores.)**	
	In addition to fully meeting the expected contribution criteria: • Contributed results substantially beyond what was expected in the face of extremely difficult obstacles; contributions were exemplary in quality, quantity, and/or impact to the stated expectations for the goals/objectives described in the contribution plan; • Created novel and innovative business methods and processes that contributed substantially beyond expectations to accomplishment of current work and the mission of the organization; and/or • Demonstrated the highest standards of professionalism establishing the model for others to follow. Accomplishments and outcomes were of such magnitude that they contributed to the extraordinary success of the organization in exceeding its mission goals and objectives for the year.	

CAREER PATH: Business Management and Technical Management (NH)

FACTOR 3: Mission Support

FACTOR DESCRIPTION: This factor captures understanding and execution of organizational goals and priorities; working with customers to develop a mutual understanding of their requirements; monitoring and influencing cost parameters or work, tasks, and projects; and establishing priorities that reflect mission and organizational goals appropriate for the positions classified to the broadband levels of the NH career path.

Expected Contribution Criteria	Classification Level and Appraisal Descriptors	Discriminators
Possesses an operational understanding of organizational goals and priorities and fully complies with administrative policies, regulations, and procedures when performing job operations. Works with customers to develop a mutual understanding of their requirements. Probes for detail, as appropriate, and pays attention to crucial details of needs or requests. Monitors and influences cost parameters of work, tasks, and projects, ensuring an optimum balance between cost and value. Establishes priorities that reflect mission and organizational needs. Work is timely, efficient, and of acceptable quality. Completed work meets project/program objectives. Personal and organizational interactions enhance customer relations and actively	**NH Level I (Score Range 0 – 29)**	
	• Performs assigned tasks within area of responsibility; identifies situations to supervisor or other appropriate personnel when existing guidelines do not apply.	• Independence
	• Participates as a team member in meeting customer needs.	• Customer Needs
	• Productively plans individual time and assigned resources to accomplish tasks.	• Planning/Budgeting
	• Effectively accomplishes assigned tasks.	• Execution/Efficiency
	NH Level II (Score Range 22 – 66)	
	• Identifies and resolves conventional problems which may require deviations from accepted policies or instructions.	• Independence
	• Initiates meetings and interactions with customers to understand customer needs/expectations.	• Customer Needs
	• Optimizes resources to accomplish projects/programs within established schedules.	• Planning/Budgeting
	• Effectively accomplishes projects/programs goals within established resource guidelines.	• Execution/Efficiency
	NH Level III (Score Range 61 – 83)	
	• Anticipates problems, develops sound solutions and action plans to ensure program/mission accomplishment.	• Independence
	• Establishes customer alliances, anticipates and fulfills customer needs, and translates customer needs to programs/projects.	• Customer Needs
	• Identifies and optimizes resources to accomplish multiple projects'/programs' goals.	• Planning/Budgeting
	• Effectively accomplishes multiple projects/programs goals within established guidelines.	• Execution/Efficiency

promote rapport with customers. Resources are utilized effectively to accomplish mission. Flexibility, adaptability, and decisiveness are exercised appropriately.	**NH Level IV (Score Range 79 – 100)**	
	• Defines, integrates, and implements 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.	• Independence
	• Assess and promulgate, fiscal, and other factors affecting customer and program/project needs. Works with customer at management levels to resolve problems affecting programs/projects (e.g., problems that involve determining priorities and resolving conflicts among customers' requirements).	• Customer Needs
	• Formulates organizational strategies, tactics, and budget/action plan to acquire and allocate resources.	• Planning/Budgeting
	• Optimizes, controls, and manages all resources across projects/programs. Develops and integrates innovative approaches to attain goals and minimize expenditures.	• Execution/Efficiency
	NH - VERY HIGH SCORE (Mid-level Descriptors) **(Three scores available -- 105, 110, or 115. Select one of these scores.)**	
	In addition to fully meeting the expected contribution criteria: • Contributed results substantially beyond what was expected in the face of extremely difficult obstacles; contributions were exemplary in quality, quantity, and/or impact to the stated expectations for the goals/objectives described in the contribution plan; • Created novel and innovative business methods and processes that contributed substantially beyond expectations to accomplishment of current work and the mission of the organization; and/or • Demonstrated the highest standards of professionalism establishing the model for others to follow. Accomplishments and outcomes were of such magnitude that they contributed to the extraordinary success of the organization in exceeding its mission goals and objectives for the year.	

CAREER PATH: Technical Management Support (NJ)

FACTOR 1: Job Achievement and/or Innovation

FACTOR DESCRIPTION: This factor captures qualifications, critical thinking, calculated risks, problem solving, leadership, supervision, and personal accountability aspects appropriate for the positions classified to the broadband levels of the NJ career path.

Expected Contribution Criteria	Classification Level and Appraisal Descriptors	Discriminators
Produces desired results, in the needed timeframe, with the appropriate level of supervision through the use of appropriate knowledge, skills, abilities, and understanding of the technical requirements of the job. Achieves, demonstrates, and maintains the appropriate qualifications necessary to assume and execute key acquisition and/or support requirements. Demonstrates skilled critical thinking in identifying, analyzing, and solving complex issues, as appropriate. Takes and displays personal accountability in leading, overseeing, guiding, and/or managing programs and projects within assigned areas of responsibility. Work is timely, efficient and of acceptable quality. Completed work meets project/program objectives. Leadership and/or supervision effectively promotes commitment to organization goals. Flexibility, adaptability, and decisiveness are exercised appropriately.	**NJ Level I (Score Range 0 – 29)**	
	• Proactively seeks opportunities to contribute to assigned tasks. Asks for assistance as appropriate.	• Leadership Role
	• Seeks and takes advantage of developmental opportunities. Takes initiative to pursue completion of qualification requirements.	• Mentoring/Employee Development
	• Effectively accepts feedback on assigned and accomplished work, and incorporates it to create a better end product.	• Accountability
	• Resolves routine problems within established guidelines.	• Complexity/Difficulty
	• Takes initiative in selecting and implementing appropriate procedures.	• Creativity
	• Performs activities on a task; assists supervisor or other appropriate personnel.	• Scope/Impact
	NJ Level II (Score Range 22 – 51)	
	• Actively contributes as team member; takes initiative to accomplish assigned projects.	• Leadership Role
	• Identifies and pursues individual/team developmental opportunities.	• Mentoring/Employee Development
	• Consults and coordinates with others to complete projects within established guidelines, assuming ownership of personal processes and products.	• Accountability/ Complexity
	• Identifies and resolves non-routine technical problems utilizing established patterns or methods.	• Difficulty
	• Adapts existing plans and techniques to fit new situations.	• Creativity
	• . Plans and conducts technical activities for projects.	• Scope/Impact
	NJ Level III (Score Range 43 – 66)	
	• Actively contributes as team member or leader. Recognized for functional/technical expertise.	• Leadership Role
	• Promotes developmental opportunities for self and team. Advises others to seek specific training.	• Mentoring/Employee Development

For Supervisors (as appropriate): Recruits, develops, motivates, and retains quality team members in accordance with EEO/AA and Merit System Principles. Takes timely/appropriate personnel actions, communicates mission and organizational goals; by example, creates a positive, safe, and challenging work environment; distributes work and empowers team members.	• Guides, motivates, and oversees others in accomplishing projects/programs. Assumes ownership of processes and products, as appropriate. • Develops, integrates, and implements solutions to complex problems on projects/programs. • Develops plans and techniques to fit new situations. • Plans and conducts challenging and difficult technical activities for projects/programs.	• Accountability • Complexity/ Difficulty • Creativity • Scope/Impact
	NJ Level IV (Score Range 61 – 83)	
	• Provides guidance to individuals/teams; resolves conflicts. Serves as subject matter expert. • Directs assignments to encourage employee development and cross-technical/functional growth to meet organizational needs. Pursues self-development. • Guides, motivates, and oversees multiple complex projects/programs. Assumes and assigns ownership of processes and products, as appropriate. • Develops, integrates/implements solutions to diverse, complex problems which may cross multiple projects/programs or functional/technical areas. • Develops concepts and techniques to address new situations or challenges, and/or to address issues that cross technical/ functional areas. • Identifies and resolves complex problems that may cross functional/technical boundaries and promulgates solutions.	• Leadership Role • Mentoring/Employee Development • Accountability • Complexity/Difficulty • Creativity • Scope/Impact
	NJ - VERY HIGH SCORE (Mid-level Descriptors) **(Three scores available -- 87, 91, or 95. Select only one score.)**	
	In addition to fully meeting the expected contribution criteria: • Achieved outcomes and results that are far superior in quality, quantity, timeliness and impact to the expectations described in the Contribution Plan for Level IV accomplishments; • Persisted in overcoming obstacles and putting forth extra effort to accomplish difficult assignments with contributed results significantly beyond expectations; • Contributions to successful organizational performance are well beyond what is expected; and/or • Demonstrated the highest standards of professionalism establishing the model for others to follow.	

CAREER PATH: Technical Management Support (NJ)

FACTOR 2: Communication and/or Teamwork

FACTOR DESCRIPTION: This factor captures communication, both verbal and written; interactions with customers, coworkers, and groups; and assignments crossing functional boundaries appropriate for the positions classified to the broadband levels of the NJ career path.

Expected Contribution Criteria	Classification Level and Appraisal Descriptors	Discriminators
Effectively communicates, verbally and in writing, as needed to coordinate work and keep chain-of-command, coworkers, and customers informed of work-related issues, developments, and statuses. Actively seeks and promotes diverse ideas and inputs. Works well with and in groups, and with others to accomplish mission requirements. Work is timely, efficient, and of acceptable quality. Communications are clear, concise, and at the appropriate level. Personal and organizational interactions exhibit and foster teamwork. Flexibility, adaptability, and decisiveness are exercised appropriately.	**NJ Level I (Score Range 0 – 29)**	
	• Explains status/results of assigned tasks. • Provides data and accurate draft documentation of assigned tasks for input to reports or documents. • Contributes ideas in own area of expertise. Interacts cooperatively with others. • Regularly completes assignments in support of team goals.	• Oral • Written • Contribution to Team • Effectiveness
	NJ Level II (Score Range 22 – 51)	
	• Communicates individual and group/team results. • Writes segments of management/technical reports or documents. • 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.	• Oral • Written • Contribution to Team • Effectiveness
	NJ Level III (Score Range 43 – 66)	
	• Presents projects/programs briefings. • Consolidates input and writes management/technical reports/documents for 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.	• Oral • Written • Contribution to Team • Effectiveness
	NJ Level IV (Score Range 61 – 83)	
	• Presents projects/programs briefings to obtain consensus/approval. Represents the organization as technical subject matter expert.	• Oral

	• Prepares, reviews, and approves management/technical reports for internal and external distribution. • 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.	• Written • Contribution to Team • Effectiveness
	NJ - VERY HIGH SCORE (Mid-level Descriptors) **(Three scores available -- 87, 91, or 95. Select one of these scores.)**	
	In addition to fully meeting the expected contribution criteria: • Achieved outcomes and results that are far superior in quality, quantity, timeliness and impact to the expectations described in the Contribution Plan for Level IV accomplishments; • Persisted in overcoming obstacles and putting forth extra effort to accomplish difficult assignments with contributed results significantly beyond expectations; • Contributions to successful organizational performance are well beyond what is expected; and/or • Demonstrated the highest standards of professionalism establishing the model for others to follow.	

CAREER PATH: Technical Management Support (NJ)

FACTOR 3: Mission Support

FACTOR DESCRIPTION: This factor captures understanding and execution of organizational goals and priorities; working with customers to develop a mutual understanding of their requirements; monitoring and influencing cost parameters or work, tasks, and projects; and establishing priorities that reflect mission and organizational goals appropriate for the positions classified to the broadband levels of the NJ career path.

Expected Contribution Criteria	Classification Level and Appraisal Descriptors	Discriminators
Possesses an operational understanding of organizational goals and priorities and fully complies with administrative policies, regulations, and procedures when performing job operations. Works with customers to develop a mutual understanding of their requirements. Probes for detail, as appropriate, and pays attention to crucial details of needs or requests. Monitors and influences cost parameters of work, tasks, and projects, ensuring an optimum balance between cost and value. Establishes priorities that reflect mission and organizational needs. Work is timely, efficient, and of acceptable quality. Completed work meets project/program objectives. Personal and organizational interactions enhance	**NJ Level I (Score Range 0 – 29)**	
	• Works with others in solving problems with appropriate guidance.	• Independence
	• Participates as a team member in meeting customer needs.	• Customer Needs
	• Plans individual time to accomplish tasks.	• Planning/Budgeting
	• Effectively accomplishes assigned tasks with appropriate guidance.	• Execution/Efficiency
	NJ Level II (Score Range 22 – 51)	
	• Identifies and resolves problems; adapts accepted policies, procedures, or methods with moderate guidance.	• Independence
	• Interacts with customers to respond to customer needs/expectations.	• Customer Needs
	• Plan resources to achieve task schedules.	• Planning/Budgeting
	• Accomplishes assigned tasks.	• Execution/Efficiency
	NJ Level III (Score Range 43 – 66)	
	• Identifies problems; develops solutions and action plans with minimal guidance.	• Independence
	• Initiates meetings and interactions with customers to understand customer needs/expectations.	• Customer Needs
	• Optimizes resources to accomplish projects within established milestones.	• Planning/Budgeting
	• Effectively accomplishes projects/programs within established resource guidelines.	• Execution/Efficiency
	NJ Level IV (Score Range 61 – 83)	
	• Resolves and coordinates technical problems involving multiple projects/programs.	• Independence

customer relations and actively promote rapport with customers. Resources are utilized effectively to accomplish mission. Flexibility, adaptability, and decisiveness are exercised appropriately.	• Establishes customer alliances; anticipates and fulfills customer needs and translates customer needs to projects/programs. Organizes and leads customer interactions. • Identifies and optimizes resources to accomplish multiple projects/programs goals. • Effectively accomplishes multiple projects/programs goals within established thresholds. Develops innovative approaches to attain goals and minimize resource expenditures.	• Customer Needs • Planning/Budgeting • Execution/Efficiency
	NJ - VERY HIGH SCORE (Mid-level Descriptors) **(Three scores available -- 87, 91, or 95. Select one of these scores.)**	
	In addition to fully meeting the expected contribution criteria: • Achieved outcomes and results that are far superior in quality, quantity, timeliness and impact to the expectations described in the Contribution Plan for Level IV accomplishments; • Persisted in overcoming obstacles and putting forth extra effort to accomplish difficult assignments with contributed results significantly beyond expectations; • Contributions to successful organizational performance are well beyond what is expected; and/or • Demonstrated the highest standards of professionalism establishing the model for others to follow.	

CAREER PATH: Administrative Support (NK)

FACTOR 1: Job Achievement and/or Innovation

FACTOR DESCRIPTION: This factor captures qualifications, critical thinking, calculated risks, problem solving, leadership, supervision, and personal accountability aspects appropriate for the positions classified to the broadband levels of the NK career path.

Expected Contribution Criteria	Classification Level and Appraisal Descriptors	Discriminators
Produces desired results, in the needed timeframe, with the appropriate level of supervision through the use of appropriate knowledge, skills, abilities, and understanding of the technical requirements of the job. Achieves, demonstrates, and maintains the appropriate qualifications necessary to assume and execute key acquisition and/or support requirements. Demonstrates skilled critical thinking in identifying, analyzing, and solving complex issues, as appropriate. Takes and displays personal accountability in leading, overseeing, guiding, and/or managing programs and projects within assigned areas of responsibility. Work is timely, efficient and of acceptable quality. Completed work meets project/program objectives. Leadership and/or supervision effectively promotes commitment to organization goals. Flexibility, adaptability, and	**NK Level I (Score Range 0 – 29)**	
	• Proactively seeks opportunities to contribute to assigned tasks. Asks for assistance as appropriate.	• Leadership Role
	• Seeks and takes advantage of developmental opportunities. Takes initiative to pursue completion of qualification requirements.	• Mentoring/Employee Development
	• Effectively accepts feedback on assigned and accomplished work, and incorporates it to create a better end product.	• Accountability
	• Applies standard rules, procedures, or operations to resolve routine problems.	• Complexity/Difficulty
	• Takes initiative in selecting and implementing appropriate procedures.	• Creativity
	• Conducts activities on a segment of a task. Assists supervisor or other appropriate personnel.	• Scope/Impact
	NK Level II (Score Range 22 – 46)	
	• Actively contributes as team member; takes initiative to accomplish assigned projects.	• Leadership Role
	• Identifies and pursues individual/team developmental opportunities.	• Mentoring/Employee Development
	• Guides others in accomplishing projects, assuming ownership of personal processes and products.	• Accountability
	• Develops, modifies, and/or applies rules, procedures, or operations to resolve problems of moderate complexity/difficulty.	• Complexity/Difficulty
	• Identifies and adapts guidance for new or unusual situations.	• Creativity
	• Plans and conducts administrative activities for projects.	• Scope/Impact

decisiveness are exercised appropriately. For Supervisors (as appropriate): Recruits, develops, motivates, and retains quality team members in accordance with EEO/AA and Merit System Principles. Takes timely/appropriate personnel actions, communicates mission and organizational goals; by example, creates a positive, safe, and challenging work environment; distributes work and empowers team members.	**NK Level III (Score Range 38 – 61)**	
	• Provides guidance to individuals/teams; resolves conflicts. Expertise solicited by others.	• Leadership Role
	• Promotes individual/team development; leads development of training programs for self and others.	• Mentoring/Employee Development
	• Guides and accounts for results or activities of individuals, teams, or projects. Assumes ownership of processes and products, as appropriate.	• Accountability
	• Develops rules, procedures, or operations for complex/difficult organizational tasks.	• Complexity/Difficulty
	• Identifies issues requiring new procedures and develops appropriate guidelines.	• Creativity
	• Plans and conducts complex administrative activities.	• Scope/Impact
	NK - VERY HIGH SCORE (Mid-level Descriptors) **(Three scores available -- 64, 67, or 70. Select only one score.)**	
	In addition to fully meeting the expected contribution criteria: • Achieved outcomes and results that are far superior in quality, quantity, timeliness and impact to the expectations described in the Contribution Plan for Level III accomplishments; • Persisted in overcoming obstacles and putting forth extra effort to accomplish difficult assignments with contributed results significantly beyond expectations; • Contributions to successful organizational performance are well beyond what is expected; and/or • Demonstrated the highest standards of professionalism establishing the model for others to follow.	

CAREER PATH: Administrative Support (NK)

FACTOR 2: Communication and/or Teamwork

FACTOR DESCRIPTION: This factor captures communication, both verbal and written; interactions with customers, coworkers, and groups; and assignments crossing functional boundaries appropriate for the positions classified to the broadband levels of the NK career path.

Expected Contribution Criteria	Classification Level and Appraisal Descriptors	Discriminators
Effectively communicates, verbally and in writing, as needed to coordinate work and keep chain-of-command, coworkers, and customers informed of work-related issues, developments, and statuses. Actively seeks and promotes diverse ideas and inputs. Works well with and in groups, and with others to accomplish mission requirements. Work is timely, efficient, and of acceptable quality. Communications are clear, concise, and at the appropriate level. Personal and organizational interactions exhibit and foster teamwork. Flexibility, adaptability, and decisiveness are exercised appropriately.	**NK Level I (Score Range 0 – 29)**	
	• Explains status/results of assigned tasks.	• Oral
	• Writes timely and accurate draft documentation.	• Written
	• Contributes ideas on routine procedures. Interacts cooperatively with others.	• Contribution to Team
	• Regularly completes tasks in support of team goals.	• Effectiveness
	NK Level II (Score Range 22 – 46)	
	• Communicates/presents internal administrative/functional procedures and tasks internally and externally.	• Oral
	• Prepares, coordinates, and consolidates documents, reports, or briefings.	• Written
	• Resolves administrative problems; facilitates cooperative interactions with others.	• Contribution to Team
	• Guides others and coordinates activities in support of team goals. Proactively functions as an integral part of the team.	• Effectiveness
	NK Level III (Score Range 38 – 61)	
	• Explains and/or communicates administrative/functional procedures at all levels.	• Oral
	• Prepares, reviews, and/or approves documents, reports, or briefings.	• Written
	• Promotes and maintains environment for cooperation/teamwork. Sets tone for internal/external cooperation.	• Contribution to Team
	• Leads and guides others in formulating and executing plans in support of team goals.	• Effectiveness

	NK - VERY HIGH SCORE (Mid-level Descriptors) **(Three scores available -- 64, 67, or 70. Select one of these scores.)**
	In addition to fully meeting the expected contribution criteria: • Achieved outcomes and results that are far superior in quality, quantity, timeliness and impact to the expectations described in the Contribution Plan for Level III accomplishments; • Persisted in overcoming obstacles and putting forth extra effort to accomplish difficult assignments with contributed results significantly beyond expectations; • Contributions to successful organizational performance are well beyond what is expected; and/or • Demonstrated the highest standards of professionalism establishing the model for others to follow.

CAREER PATH: Administrative Support (NK)

FACTOR 3: Mission Support

FACTOR DESCRIPTION: This factor captures understanding and execution of organizational goals and priorities; working with customers to develop a mutual understanding of their requirements; monitoring and influencing cost parameters or work, tasks, and projects; and establishing priorities that reflect mission and organizational goals appropriate for the positions classified to the broadband levels of the NK career path.

Expected Contribution Criteria	Classification Level and Appraisal Descriptors	Discriminators
Possesses an operational understanding of organizational goals and priorities and fully complies with administrative policies, regulations, and procedures when performing job operations. Works with customers to develop a mutual understanding of their requirements. Probes for detail, as appropriate, and pays attention to crucial details of needs or requests. Monitors and influences cost parameters of work, tasks, and projects, ensuring an optimum balance between cost and value. Establishes priorities that reflect mission and organizational needs. Work is timely, efficient, and of acceptable quality. Completed work meets project/program objectives. Personal and organizational interactions enhance customer relations and actively promote rapport with customers. Resources are utilized effectively to accomplish mission. Flexibility, adaptability, and	**NK Level I (Score Range 0 – 29)**	
	• Carries out routine tasks. • Meets routine customer needs. • Plans individual time and assigned resources to accomplish tasks. • Effectively accomplishes assigned tasks.	• Independence • Customer Needs • Planning/Budgeting • Execution/Efficiency
	NK Level II (Score Range 22 – 46)	
	• Plans and executes assignments; resolves problems and handles deviations. • Independently interacts with customers to understand customer needs/expectations. • Plan resources to achieve project schedules. • Effectively accomplishes projects within established resource guidelines.	• Independence • Customer Needs • Planning/Budgeting • Execution/Efficiency
	NK Level III (Score Range 38 – 61)	
	• Identifies issues and determines approaches and methods to accomplish tasks. Initiates effective actions and resolves related conflicts. • Establishes customer alliances and translates needs to customer service. • Coordinates resources across projects. • Optimizes resource utilization across projects.	• Independence • Customer Needs • Planning/Budgeting • Execution/Efficiency

decisiveness are exercised appropriately.	**NK - VERY HIGH SCORE (Mid-level Descriptors)** **(Three scores available -- 64, 67, or 70. Select one of these scores.)**
	In addition to fully meeting the expected contribution criteria: • Achieved outcomes and results that are far superior in quality, quantity, timeliness, and impact to the expectations described in the Contribution Plan for Level III accomplishments; • Persisted in overcoming obstacles and putting forth extra effort to accomplish difficult assignments with contributed results significantly beyond expectations; • Contributions to successful organizational performance are well beyond what is expected; and/or • Demonstrated the highest standards of professionalism establishing the model for others to follow.

Appendix E – Classification Appeals Process

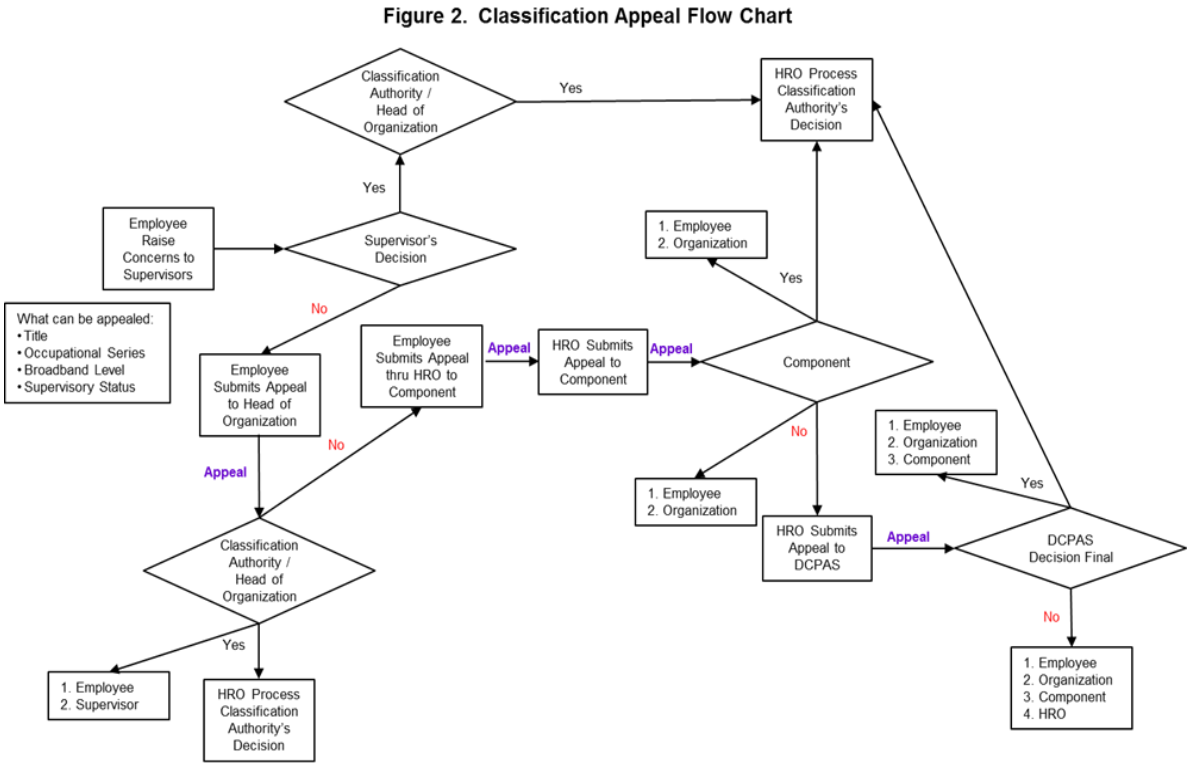

Figure 2: Classification Appeal Flow Chart

1. Filing Procedures

An employee may file an appeal regarding the classification of his or her position to the supervisors in the immediate chain of command, either orally or in writing. Employees must submit appeals through their HRO. This procedure ensures that appeal files contain all required information, provides for review of the classification by the authorized management official, and allows the HRO to provide technical assistance to the employee.

2. Documentation - An employee must provide the following documentation when filing an appeal:

a) The employee's name, mailing address, and office telephone and fax numbers, and email address;

b) The employing Component and the exact location of the employee's position within the Component (installation name, mailing address, organization, division, branch, section, unit);

c) The name, address, and business telephone, fax numbers and email address of the employee's representative, if any;

d) A statement of the employee's requested pay system, official position title, occupational series, pay schedule, and/or broadband level; and

e) Reasons why the employee believes the position is incorrectly classified.

f) The employee must refer to classification standards that support the appeal and state specific points of disagreement with the current classification. The employee may also include a statement of facts that he or she thinks may affect the final classification decision.

3. The HRO must provide the following:

a) Administrative report. Include all of the information provided by the appellant, as required as part of the record;

b) Position documentation. Complete identification of the appealed position, including a copy of the official PRD and the written basis for the Participating Organization's classification decision;

c) Organization documentation. The exact location of the position within the Participating Organization, including accurate organization charts and mission and function statements;

d) Official Personnel Action. A copy of the employee's latest SF 50, "Notification of Personnel Action," showing the position to which the employee is permanently assigned;

e) Classification statement. The HRO or Head of the Participating Organization statement on any classification issues presented in the employee's appeal;

f) Other information. Any supplementary information bearing on the position's duties and responsibilities; copies of any previously issued Head of the Participating Organization, or DoD, Component, Agency, or Field Activity interpretive guidance addressing the classification of the position(s) under appeal;

g) Contribution/Performance Objectives. Employee(s) contribution/performance objectives for the position(s) under appeal;

h) Supervisory documentation. A copy of the official PRD to the employee's immediate supervisor; and

i) HRO Contact. Name, address, business telephone and fax numbers, and email address.

4. Missing Documentation

If any documentation is missing, deciding officials may suspend the appeal and request required documents from the HRO or the employee, as appropriate, before proceeding. If deciding officials do not receive the required documents within the time periods specified, they may cancel the appeal.

5. Employee Claims of Classification Inconsistency

Appeals may include identification of other positions that the employee believes have duties, responsibilities, and competency requirements identical to his or her position, but that are

classified differently. DCPAS may require classification consistency reviews and reports from Components, Agencies, Field Activities, and/or other Participating Organizations. If an employee makes a claim of classification inconsistency, his or her appeal must include the title, series, pay schedule, and pay band of the position(s) the employee believes are classified inconsistently with the employee's position; specific location of the position(s), including the organization where they are located; and, the rationale for citing the position(s), including documentation that the positions are essentially identical to the employee's position.

6. Employee Representation

The designation of a particular representative may be disallowed by the Head of the Participating Organization under the provisions of Title 5, Code of Federal Regulations, section 9901.223(a)(1) through (3). Under such circumstances, an employee wanting representation may select another representative. An employee's representative cannot be a supervisor with line or staff authority over the position, any authorized management official with classification authority over the position, or any human resources employee. Employee representatives have the same obligation as employees to cooperate in prompt processing of the appeal. Employee representatives generally cannot participate in on-site audits and fact-finding unless specifically requested by deciding officials or unless a collective bargaining agreement provides otherwise.

7. Official Time Use

Supervisors or managers must provide employees and their representatives with a reasonable amount of time for the preparation of an appeal case. Employees and their representatives must make advance arrangements with their supervisors for the use of official time. Disagreements are referred through the chain of command for resolution. The Head of the Participating Organization is the final authority when disputes cannot be resolved at lower levels.

8. Employee Appeal Assistance

The HRO will provide assistance to employees by making available regulatory material; reviewing the classification of the position; assembling the appeal submission and file; providing a copy of the appeal file to the employee; advising on requirements for retroactive corrective action; and, providing other advisory services as necessary.

9. Time Periods for Initial Appeal File Processing

a) The HRO will assemble and forward the employee's appeal file and its administrative report to DCPAS within 30 calendar days of receipt of the employee's appeal request, unless deciding officials grant a longer. DCPAS will notify the employee, the representative, if designated, the Head of the Participating Organization, and the HRO upon receipt of the appeal.

b) Timeframe for Submission of Additional Required Information:
Employees, their representatives, and the HRO must provide requested information to DCPAS within 15 calendar days from the date of the request unless DCPAS deciding officials extend this time limit.

10. Appeal Decisions

In accordance with DoDI 1400, 25, Volume 771, DCPAS will make its decision based on the written record and may conduct an audit or collect additional information if considered necessary. DCPAS will provide the appeal decision directly to the employee and/or the employee's representative with information copies to the Head of the Participating Organization and the employee servicing HRO.

11. Employee Cancellation

An employee or representative may cancel an appeal at any time before DCPAS issues a decision by providing a written notification to the DCPAS deciding official. Cancellation notification will include an information copy to the HRO.

12. DCPAS Cancellation

In accordance with DoDI 1400, 25, Volume 771, DCPAS must provide written notification to employees, their representatives, and HROs, with an information copy to the DOD Component, when DCPAS cancels an appeal. An employee's detail or temporary promotion to another position does not cancel an appeal. DCPAS may cancel an appeal if:

- The employee, or his or her representative, does not furnish requested information within the required timeframe.
- The employee is no longer officially assigned to, or is removed from, the position and there is no entitlement to retroactive benefits;
- The duties and responsibilities of the position are significantly changed while the case is pending and there is no entitlement to retroactive benefits; or
- The position is abolished and there is no entitlement to retroactive benefits.

13. Compliance with Classification Appeal Decisions

a) Implementation of Appeal Decisions. All parties must take prompt action to review decisions that change the title, occupational series, broadband level, or career path of a position.

b) Requests for Reconsideration. The Head of a Participating Organization who believes a DCPAS classification appeal decision is in error must forward any request for reconsideration to DCPAS within 45 calendar days after the date of the original appeal decision. Under exceptional circumstances, deciding officials may extend the 45-day deadline. The DoD Component request must provide a complete explanation of why the original decision is not technically accurate, must identify material facts not previously presented that may justify a change to the original decision, and/or must identify any DoD Component-wide perspective, if appropriate.

c) Compliance with Certificates. HROs must comply with effective dates specified in the decision letter. HROs and authorized management officials must not change the classification of DCPAS-certified positions unless there is a change in the classification criteria used to evaluate the position or there is a significant change in the position. The Head of the Participating Organization may initiate temporary implementation of a

DCPAS appeal decision if the Head of the Participating Organization requests reconsideration under *DoDI 1400.25-V511 – "Classification Program*." Reconsideration requests do not automatically suspend the requirement to implement the appeal decision. The Head of the Participating Organization may include a request for authority to take a temporary personnel action pending a DCPAS decision as part of a request for reconsideration. Heads of the Participating Organization may not utilize temporary compliance unless authorized by DCPAS.

14. Reductions Subsequently Reversed On Appeal

HROs must review all personnel actions taken when a reduction in broadband level and/or pay plan is subsequently reversed on appeal. The HRO must reconstruct each action based on the correct classification as specified in the appeal decision, with full regard to the rules governing effective dates.

AcqDemo Chapter 4

Staffing Initiatives

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4.0 Staffing Initiatives

4.1 Table of Changes

Date of Change	Chapter(s)/ Section(s)	Topic	Remarks
11/09/17	All	Update for new Federal Register Notice (FRN)	This chapter aligns to FRN, 82 FR 52104, dated 11/9/2017.
02/01/18	Appendix A	Veterans' Preference Language for Job Announcements	Sample Veterans' Preference language for job opportunity announcements
02/01/18	Appendix C	Addition of AcqDemo LAC Z2W to NOAC 849 Award	Change made in order to recognize and track the usage of the authority in the new AcqDemo FRN that allows a Service Acquisition Executive to approve an AcqDemo cash award not CCAS rating based between $10,000 not to exceed $25,000.
06/07/18	All	Administrative Updates	Various administrative updates. Updated verbiage for 4.9.4 and 4.95 with correct verbiage.
06/07/18	4.5.1; 4.5.2;	Positions Involving 51% or More of Time in Direct Support to AWF	Clarification that these support positions are non-AWF positions.
06/07/18	4.10.3	Simplified Internal Merit Promotion Procedures	Add procedures for using a simplified Internal merit promotion process for management identification of internal candidates for a position.
06/07/18	4.13.3.9	CAC Procedures for the Voluntary Emeritus Program	Add the procedures for a volunteer to receive a CAC card under the Voluntary Emeritus Program
06/07/18	Appendix D	AcqDemo Appointment and Hiring Authorities	Add Reference Sheet for AcqDemo Appointment and Hiring Authorities
03/08/19	4.4.4	DoD Modified Term Appointment	Added section on AcqDemo guidance for DoD Modified Term Appointments
03/08/19	4.9.4.1	Administrative Careers with America	Provides additional information on rating applicants for AcqDemo NH-II positions in specific occupational series and grades.

Date of Change	Chapter(s)/ Section(s)	Topic	Remarks
03/08/19	4.11.7.5	Examples of Other Non-Competitive Movements	Corrects placement of an employee currently in a non-AcqDemo pay band containing reference grades GS-12 and GS-13 into an AcqDemo NJ-802-IV position. Corrects "from a noncompetitive reassignment without a WGI Buy-in" to "a competitive promotion into the NJ-802-IV position with a promotion pay increase."
03/08/19	Appendix B	Processing AcqDemo Personnel Actions - Conversions	Inserts Conversion NOACs 501 and 500 for an employee's move from an either AcqDemo Term Appointment to a Career-Conditional or Career Appointment.
03/08/19	Appendix B	Processing AcqDemo Personnel Actions – Relocation Incentive and Supervisory/Team Leader Differential	Deletes use of LAC Z2W Pub. L. 111-383, dated 1/7/2011 with a: NOAC 816 – Relocation Incentive for AcqDemo Student Intern Relocation Incentive and NOAC 810 – Change in Diff for a Supervisory/Team Leader Cash Differential
03/08/19	Appendix B	Rule 21	Added remark "Cash differentials are reviewed and validated yearly during the CCAS annual assessment and may be terminated as dictated by fiscal limitations or changes in assignment or scope of work".
03/08/19	Appendix C	Matrix of Competitive & Non-Competitive Movements of GS and non-AcqDemo Employees into AcqDemo, Ops Guide Chapter 4.	Clarifies competitive and non-competitive placement of employees in broadband levels using basic pay increases. Provides sample movements of selectees from an STRL Demo into the AcqDemo.
03/08/19	Appendix E	Student Intern Hiring Program	Draft Guidance on the Human Capital Initiatives (HCI) Student Intern Hiring Program

Date of Change	Chapter(s)/ Section(s)	Topic	Remarks
03/08/19	All	Administrative Updates	Administrative Updates
09/11/19	4.4.3.2	Non-Competitive Conversion from Term Appointment to a Permanent Position	Added that continuous service in a term position is without a break in service of 3 days or less.
09/11/19	4.5	External Recruitment Appointment Authorities	Information updated regarding applicability of ICTAP and PPP.
09/11/19	4.8	Volunteer/Non-paid Experience	Added: "Credit should also be given for paid and unpaid job-related experience, e.g., work in civic, religious, welfare, service, and organizational activities."
09/11/19	4.9.1.6	Unscreened Referral List under Direct Hire Authority (DHA)	Added: "Applicants who claimed Veterans' Preference may be included with candidates having no-preference eligibility."
09/11/19	Appendix C, Table 2	Competitive vs. Non-Competitive Movements within and Across AcqDemo Career Paths in Current or a Different AcqDemo Organization	Added pay setting information for different types of movement into demonstration projects.
09/11/19	Appendix D	AcqDemo Appointment and Hiring Authorities Chart	Added Administrative Careers with America procedures
09/11/19	Appendix E	DoD College Acquisition Internship Program	Added updated information.
09/11/19	Appendix G	DoD Intelligence Components/Civil Service Interchange Agreement	Inserts copy of interchange agreement.
09/11/19	Table 1	Comparison of DoD and AcqDemo Modified Term Appointment Authorities	Inserts table showing similarities/ differences between the DoD and AcqDemo Term Appointment Authorities
09/11/19	Glossary, Definitions	Added AcqDemo Definition: Reassignment (Federal Employee Outside of the AcqDemo) Entering the AcqDemo	Adds additional pay changes that may occur with a reassignment action.
07/31/20	4.5.	External Recruitment Appointment Authorities	Modified language and removed EHA.

Date of Change	Chapter(s)/ Section(s)	Topic	Remarks
07/31/20	4.10.3	Simplified Internal Merit Promotion	Modified language to define area of consideration and PPP/MSP requirements for reassignments.
07/31/20	Appendix B	Rule 21	Added remark: It is used for establishment, change in percentage or termination of differential.
07/31/20	Appendix D	Table 3	Corrected Table to show NJ-I as non-applicable to NH-III and NH-IV.
07/31/20	Glossary, Definitions	Control Points Definition	Revised the definition to align with Chapter 5.3.2.2.1 and moved Glossary to end of Ops Guide.

4.2 Introduction

One of the goals of the Defense AWF Education, Training, Experience, and Career Development Program established under the provisions of Chapter 87 of Title 10, United States Code (U.S.C.), referred to in this guide as the "AWF Program," and implemented by DoD Instruction 5000.66, dated July 27, 2017, is to create well-trained, multi-skilled professionals who can effectively manage multi-million dollar programs. The AWF program has statutory and regulatory requirements necessitating substantial education, training and experience, special certifications, and continuous learning designed to create a cadre of highly skilled acquisition professionals ready for assignment to DoD's AWF.

4.2.1 The position management structure for the AWF Program contains three categories of AWF members and positions that may be found in each of the acquisition career fields and career paths.

4.2.2 The largest category is comprised of persons assigned to developmental and mid-level acquisition positions.

4.2.3 The next category encompasses AWF Positions which are senior acquisition positions with significant responsibility, primarily involving supervisory or management duties in acquisition systems.

4.2.4 The top-level position, Key Leadership Positions (KLP), requires special USD (A&S) attention, have significant leadership responsibilities, are held by personnel in the most demanding acquisition positions, and are critical to the success of the DoD acquisition program.

4.3 General Principles

When exercising AcqDemo hiring authorities, Participating Organizations will adhere to all applicable authorities and the following principles:

4.3.1 A highly qualified workforce is critical to the Department's acquisition mission

4.3.2 Recruitment efforts should be designed to attract diverse candidates who are representative of all segments of society

4.3.3 Merit factors shall be the basis for selecting individuals for positions. All personnel programs and practices shall be administered in accordance with DoD Directive 1020.02E, "Diversity Management and Equal Opportunity in the DoD."

4.3.4 The criteria in 5 U.S.C. 2108 and 5 U.S.C. 2108a for determining the preference eligibility of each applicant shall apply to AcqDemo without change. DoD AcqDemo Program Office and Participating Organizations' procedures shall ensure that, at a minimum:

4.3.4.1 Selecting officials treat Veterans' Preference eligibility as a positive factor when making a selection from external recruitment sources or where Veterans' Preference is otherwise applicable. The detailed definition of "positive factor" rests with Participating Organizations and is expected to be described in internal issuances and on vacancy announcements. The AcqDemo Program Office guidance is stated generally to keep Veterans' Preference as a highlighted item to define how it will be addressed in external recruiting and to provide maximum flexibility to Participating Organizations in developing their policy.

4.3.4.2 When making final selections, any candidates with Veterans' Preference should be considered for appointments if they are found to best meet mission requirements. To define the best meet mission requirements definition would mean the applicant has the knowledge, skills, abilities, and/or competencies to substantially exceed the minimum qualification requirements for the position. This equates to the best qualified assessment criteria established for the vacancy and based on overall demonstrated experience, education, training, appraisals/evaluations, job-related awards, certifications, honors and relevant outside activities.

4.3.4.3 If a non-preference eligible candidate is selected over a veteran considered to best meet mission requirements, the reason for non-selection of the veteran considered to best meet mission requirements must be documented in writing. Non-selection documentation must be made part of the permanent selection record. Reasons for non-selection will be provided to the veteran candidate by the servicing Human Resources Office if requested by the veteran. Participating Organizations may establish a higher-level review and/or approval process above the selecting official if appropriate. **Appendix A** is a sample of Veterans' Preference Language that can be used for job announcements.

4.3.5 Displaced employee procedures such as the Interagency Career Transition Assistance plan (ICTAP) and Priority Placement Program (PPP), shall be adhered to when applicable to the hiring

authority being used. For instance, both the PPP and ICTAP have been waived for the Acquisition Student Intern Appointment hiring authority.

4.3.6 Participating Organizations must ensure transparency, accountability, and auditability in hiring processes.

4.4 Types of Appointments

Under AcqDemo, appointments may be made under both the competitive and excepted service. Appointments may be made as permanent, temporary (time-limited), and modified term.

4.4.1 Permanent Appointments

A permanent appointment has no time limitation and consists of career-conditional and career appointments under both the competitive and excepted service.

4.4.2 Temporary Appointments

A temporary or time-limited appointment is an appointment that may be used to fill a short-term position, i.e., one that is not expected to last longer than one year. However, if warranted, the temporary limited appointment may be extended up to a maximum of two additional years for a combined total of 36 months of service in accordance with 5 U.S.C. 9902.

4.4.3 AcqDemo Modified Term Appointments

An AcqDemo modified term is an appointment made to a position that is expected to last longer than one year but not to exceed five years unless a one-year extension is locally approved for a total not to exceed six years when the need for the employee's service is not permanent. It is expected that the job will terminate upon completion of the project (maximum six years). Most selections for AcqDemo modified term appointments will be made under the competitive examining processes or by using direct-hire procedures. However, an AcqDemo Participating Organization may give a noncompetitive modified term appointment to a selectee who is qualified for the position and is eligible for one of the categories listed in 5 CFR 316.302(b), items (1) through (8).

Reasons for making an AcqDemo modified term appointment include, but are not limited to:

a) Carrying out special project work;
b) Staffing new or existing programs of limited duration;
c) Filling a position in activities undergoing review for reduction or closure;
d) Replacing permanent employees who have been temporarily assigned to another position, are on extended leave, or have entered military service, and
e) Hiring college students for the Acquisition Student Intern Program.

4.4.3.1 A Participating Organization may place an AcqDemo modified term employee into any other modified term position provided the employee meets the qualifying requirements of the position. However, such movement will not serve to extend the appointment beyond the original term appointment timeframe. The minimum eligibility requirements for the position will be determined according to OPM's Operating Manual "Qualifications Standards for General Schedule Positions" and DAWIA requirements, if applicable. DAWIA requirements may be used as quality ranking factors. Both sets of eligibility requirements to provide waivers by an appropriate authority.

4.4.3.2 Employees hired under the AcqDemo modified term appointment may be eligible for conversion to career-conditional appointments or career appointments, if applicable. To be converted, the employee must meet all of the following:

a) Have been selected for the term position under competitive procedures, with the announcement specifically stating that the individual(s) selected for the term positions(s) may be eligible for conversion to career-conditional or career appointments at a later date; and

b) Have served two years of continuous service in the term position without a break in service of 3 days or less; and

c) Have been considered to have adequate contributions and a fully successful performance rating for two assessment cycles (including the current assessment cycle) immediately preceding conversion. Service under a modified term appointment immediately prior to a permanent appointment shall count toward the probationary period requirements described in 10 U.S.C. Section 1599e.

4.4.4 Comparison of DoD and AcqDemo Modified Term Appointment

4.4.4.1 Authorities

Section 1105(a) and (d) of the National Defense Authorization Act for FY 2017 provides that the SecDef may make competitive service term appointments up to 6 years and extend the appointment beyond 6 years, up to 8 years. DepSecDef Memo of August 10, 2018 issued the implementing procedures for the NDAA FY 17, section 1105 flexibility. Section 9902(b)(2) of title 5, U.S.C. allows the SecDef, in coordination with the Director, OPM, to waive the requirements of chapter 33 of title 5 U.S.C. to achieve better efficiency and effectiveness in appointment procedures. USD(P&R) memo of June 12, 2017 provided implementation procedures for the modification of term appointments within the DoD. The modifications allow term appointments to be extended up to a total of 6 years with non-competitive conversion under specific conditions.

4.4.4.2 Comparison to AcqDemo Modified Term Appointment.

Both the AcqDemo and the DoD Modified Term Appointment authorities may be used by AcqDemo organizations. However, while the DoD Modified Term Appointment has an option for extensions up to 8 years (2 years longer than the AcqDemo Modified Term Appointment), there are other differences between the two authorities as listed below in Table 1 that could

impact the use of one authority rather than the other based on purpose of the position and nature of hire.

Conditions	DoD Modified Term Appointment	AcqDemo Modified Term Appointment
Authority	NDAA FY-17, Section 1105(a) and (d); OUSD(P&R) Memo "Modification of Temporary and Term Appointments Within the Department of Defense," dated June 12, 2017; 5 USC 9902(b)(2); and waivers to Chapter 33 of title 5 USC and Sections 316.401(c), 316.401(d)(2), 316.301, and 316.303(a) of title 5 CFR.	10 USC 1762, Federal Register Notice 82 FR 52117, November 9, 2017, & waivers to 5 CFR 316.301 & 316.303(a)
Appointment Type	Term Appt NTE (date)	Term Appt NTE (date)
Term Length	1 to not more than 6 years unless extended up to 8 years in accordance with DoD Memo dated June 12, 2017.	1 not to exceed 5 years unless a 1-year extension is approved for a total not to exceed 6 years.
Extensions	• DoD Components may extend beyond 6 years up to 8 years under DoD Memo dated June 12, 2017. • Potential beyond 6-years stated in vacancy announcement or documented before appointment. • Extensions beyond 8-year limitation approved by DASD(CPP).	1-year extension beyond 5 years approved locally by AcqDemo Participating Organization.
Applicable Pay Systems	General Schedule and Federal Wage System (or equivalent pay bands) at or below GS-15 (or comparable level). Note: Would include AcqDemo.	AcqDemo pay plans NH, NJ, and NK.
Authority Delegated To	Secretaries of the Military Departments, Directors of Defense Agencies, and Directors of DoD Field Activities with independent appointing authority. AcqDemo organizations fall under their appropriate DoD-level organization for use of this appointment authority.	AcqDemo Participating Organizations.
Vacancy Announcements	Open, competitive examination. Requires Public Notice.	Vacancy announcements used to attract/ applicant sources through any legal means such as OPM USAJOBS, organization hosted website, or other means consistent with Merit System Principles.
Veterans' Preference	Application varies based on type of preference and hiring options.	Candidates with Veterans' Preference should be considered for appointments if they are found to best meet mission requirements.
Clearance of PPP & ICTAP	Requires outplacement program requirements be met.	PPP clearance yes. ICTAP clearance no.
Non-Competitive Conversion to Career-Conditional or Career Appointment	• Appointed under open, competitive exam; • Announcement stated potential for conversion; • Employee completed 2 years continuous service under a term appointment; • Performance was fully successful or equivalent; • Outplacement program requirements met; and • Similarly situated employees have been considered under internal competition procedures.	• Appointed under open, competitive exam; • Announcement stated potential for conversion; • Served two years in the term position; • Adequate contribution and fully successful performance.

Table 1 Comparison of DoD and ACQDEMO Modified Term Appointment Authorities

4.5 External Recruitment Appointment Authorities

AcqDemo's external hiring authorities listed below in section 4.5.1-4.5.4 were developed under the demonstration project provisions of 5 U.S.C. 4703 to test alternative hiring concepts to determine their likely effects and consequences on reducing hiring timelines and simplifying hiring processes. The use of these demo authorities does not preclude AcqDemo Participating Organizations from using the regular Title 5 appointment authorities or existing OPM and DoD Direct-Hire Authorities (DHA). However, non-AcqDemo organizations may not use the AcqDemo appointment authorities.

4.5.1 Direct Hire Appointment for the Business Management and Technical Management Career Path

The Head of a Participating Organization may appoint: 1) qualified candidates possessing at least a baccalaureate degree required by OPM or DoD qualification standards covering acquisition positions and/or 2) qualified candidates for those non-AWF positions involving 51% or more of time in direct support of acquisition positions in an acquisition career field classified to the Business and Technical Management Professional, NH, career path without regard to the provisions of 5 U.S.C. chapter 33, subchapter I (other than sections 3303, 3308, and 3328 of such title). Clearance of the Priority Placement Program is required for this appointment authority but clearance of the Interagency Career Transition Assistance Program is not.

4.5.2 Veteran Direct Hire Appointments for the Business Management and Technical Management Professional and Technical Management Support Career Paths

The Head of a Participating Organization may appoint qualified veteran candidates to acquisition positions in an acquisition career field and to those non-AWF positions involving 51% or more of time in direct support of an acquisition position classified to either the Business and Technical Management Professional, NH, career path or to the Technical Management Support, NJ, career path, without regard to the provisions of 5 U.S.C. chapter 33, subchapter I (other than sections 3303, and 3328 of such title). The term "veteran" has the meaning given that term in 38 U.S.C. section 101. Clearance of the Priority Placement Program is required for this appointment authority but clearance of the Interagency Career Transition Assistance Program is not.

4.5.3 Acquisition Student Intern Appointments

The Head of a Participating Organization, without regard to the provisions of 5 U.S.C. chapter 33, subchapter I (other than sections 3303, and 3328 of such title), may appoint candidates enrolled in a program of undergraduate or graduate instruction at an institution of higher education leading to either:

a) A baccalaureate degree in a course of study required by OPM qualification standards for an acquisition position in an acquisition career field; or

b) A degree the completion of which (including any additional essential credit hours or related experience in an acquisition–related field as defined by DoD internal issuances provides competencies, knowledge, skills, etc., directly linked to an acquisition position's requirements (selective placement or quality ranking factors) for one of the acquisition career fields.

4.5.3.1 An "institution of higher education" for this purpose has the same meaning as that term is defined in Sections 101 and 102 of the Higher Education Act of 1965 (20 U.S.C. 1001). Appointments under this authority may be made using a term appointment authority or the Pathways appointment authority.

4.5.3.2 The Acquisition Student Intern Appointment hiring authority is exempt from both the Priority Placement Program and the Interagency Career Transition Assistance Program.

4.5.4 Scholastic Achievement Appointment

AcqDemo establishes a Scholastic Achievement Appointment that provides the authority to appoint candidates with degrees to acquisition positions with positive education requirements without regard to the provisions of subchapter I of chapter 33 of Title 5, U.S.C. (other than sections 3303 and 3328 of such title). This authority allows for competitive appointment to acquisition positions classified to either the NH-II or NH-III broadband level of the Business Management and Technical Management Professional career path. Candidates may be appointed under this procedure if:

a) They have at least a baccalaureate degree required by OPM or DoD qualification standards, or a degree the completion of which (including any additional essential credit hours or specialized experience in an acquisition- related field as identified by DoD internal issuances) provides competencies, knowledge, skills, etc., directly linked to an acquisition position's requirements for one of the acquisition career fields plus any selective factors

b) The candidate has cumulative grade point average (GPA) of 3.25 or better (on a 4.0 scale) in those courses in those fields of study that are specified in the OPM Qualification Standards for the occupational series and an overall undergraduate GPA of at least 3.0 on a 4.0 scale; and

c) The appointment is into permanent or term position at a pay level within the NH-II broadband level basic pay range. Appointments may also be made to the NH-III broadband level on the basis of graduate education and/or experience, but with the requirement of a GPA of at least 3.5 on a scale of 4.0 for graduate courses in the field of study required for the occupation.

4.5.4.1 Clearance of the Priority Placement Program is required but clearance of the Interagency Career Transition Assistance Program is not for this appointment authority.

4.5.5 Interchange Agreement Covering Employee Movement Between DoD Intelligence Components and the Civil Service System

In accordance with the authority provided in 5 CFR 6.7 and pursuant to the interchange agreement provided in Appendix G with the DoD, employees serving in the Defense Civilian Intelligence Personnel System (DCIPS), in the Defense Security Service (DSS), the National Reconnaissance Office, the DoD Consolidated Adjudication Facility (DoD CAF), the Office of the Secretary of Defense, and in the Military Departments (Army, Navy (which includes the Marine Corps), and Air Force), hereafter referred to as the DoD Components of the Agreement, may be appointed to positions in the competitive civil service in and among the DoD Components of the Agreement. Likewise, employees serving in positions in the competitive civil service may be appointed to positions under DCIPS in the DoD Components of the Agreement, subject to the conditions explained in Appendix G of this chapter.

4.6 Target Recruitment and Outreach

Hiring managers of Participating Organizations are encouraged to use a variety of sources for their targeted recruitment and outreach efforts for both permanent and time-limited positions in the competitive and excepted services, including:

a) Colleges/Universities with degree programs that meet acquisition position requirements;
b) Job fairs;
c) Virtual career fairs;
d) Professional organizations;
e) Alumni associations;
f) USAJOBS and non-Federal employment websites;
g) Employee referrals;
h) Contractors, and
i) Separating or retiring military members.

4.7 Announcements

Short-term or long-term job announcements may be posted for current and/or projected vacancies, multiple vacancies, broadband levels, and/or geographic locations as appropriate based upon the availability of qualified candidates and the type of position being filled. Hiring managers have, in consultation with their human resources offices, the option of making on-the-spot tentative job offers at job fairs and other recruiting events when using a noncompetitive or direct hiring authority. These offers are contingent upon meeting applicable public notice requirements, clearing local priorities to include priority placement program, reemployment priority list, and interagency career transition assistance plan, and meeting any other requirements (e.g., security clearances, certifications). Refer to Section 4.9.1.2 for additional information.

4.8 Qualifications and Assessments

An applicant's basic eligibility for a position will be determined using OPM's operating manual, "Qualifications Standards for General Schedule Positions," and DAWIA requirements, as

appropriate. Experience gained in both permanent and time-limited competitive and excepted service positions as well as private sector positions may be considered as appropriate. Credit may also be given for paid and unpaid job-related experience, e.g., work in civic, religious, welfare, service, and organizational activities.

4.8.1 Qualifications

Minimum eligibility requirements will be those corresponding to the lowest GS grade referenced in the broadband level of the position being filled. Qualifying experience is defined as one year of specialized experience at the next lower broadband level in AcqDemo or an equivalent career path and broadband level in a different pay banding system; or one GS grade (dependent on whether it is 1-graded interval or 2-graded interval series) or equivalent level lower than the lowest GS grade referenced in the AcqDemo broadband level of the position being filled; or a combination of both AcqDemo and GS experience.

4.8.2 Assessment

For assessment purposes, selective placement factors may be established in accordance with OPM's Operating Manual, "Qualifications Standards for General Schedule Positions," when judged to be critical to successful job performance. Selective factors identify any qualifications that are required when a selectee starts the job. Based on his/her qualifications, if an applicant does not meet a selective factor, he/she is ineligible for further consideration. Quality ranking factors are experience, competencies, knowledge, skills, abilities, and DAWIA certifications required that are expected to enhance performance in a position and focus on the level of proficiency the selectee brings to the job. Unlike selective factors, quality ranking factors are not used to "screen out" applicants but to focus on the level of proficiency applicants would bring to the position. Both the selective factors and/or quality ranking factors, when used for applicant assessment, will be communicated to applicants via a vacancy announcement or public notice when such is required.

4.9 Simplified Recruitment Processes

The goal of the simplified recruitment processes is to enable AcqDemo Participating Organizations to expedite the hiring and appointment of qualified persons to acquisition positions as well as to direct support positions using the approaches described below:

Direct Hire

Participating Organizations are delegated the authority to implement a Simplified Recruitment Process (SRP) to be used for filling positions under the AcqDemo Direct Hire, Scholastic Achievement, and Acquisition Student Intern appointment authorities within the authority of the FRN and guidance provided in this section. Participating Organizations will determine the appropriate use of the direct hire authorities relating to recruitment needs, specific occupational series, and broadband levels in relation to the mission of their organization and in accordance with merit system principles and applicable collective bargaining agreements. Program guidance

below in 4.9.1.1 to 4.9.1.9 will be followed when using these authorities, and may be further supplemented by local policy or business rules.

4.9.1.1 This SRP may be used to fill select acquisition-coded positions and those non-AWF direct support positions involving 51% or more of time in direct support of acquisition-coded positions in an acquisition career field classified to the Business and Technical Management Professional, NH, career path; appoint qualified veteran candidates to acquisition-coded and non-AWF coded direct support positions involving 51% or more of time in direct support of acquisition-coded positions in an acquisition career field to either the Business and Technical Management Professional, NH, career path or to the Technical Management Support, NJ, career path; to hire acquisition student interns; and appoint qualified candidates under a Scholastic Achievement Appointment authority where there exists a shortage of candidates or there is a critical hiring need.

4.9.1.2 When required, vacancy announcements will need to be developed in a manner that is most likely to attract diverse candidates who are representative of all segments of society. Vacancy announcements should inform applicants on how to apply and/or be considered (e.g., provide a publicly accessible link to a website that provides further information on how to apply and/or be considered). The information must include: position title, series, and broadband level; geographic location of the position; how to apply and/or be considered; qualification and eligibility requirements; and any other pertinent information. Vacancy announcements may be on a one-time basis or via an open announcement, or centralized into standing registers open for specific periods of time for multiple locations. Refer to Section 4.7 Announcements for additional information.

4.9.1.3 Participating Organizations/Human Resource Offices (HROs) must ensure merit principles are followed when posting vacancy announcements, receiving applications, rating, and referring candidates and notifying applicants regarding receipt of their applications and their status. Merit factors shall be the basis for selecting individuals for positions. All personnel programs and practices shall be administered in accordance with DoD Directive 1020.02E, "Diversity Management and Equal Opportunity in the DoD."

4.9.1.4 Participating Organizations/HROs will assess candidates against job-related criteria, ensuring that applicants have the skills, knowledge, abilities, and behavioral attributes that would lead to successful contribution and performance in the position. Selectees for entry-level positions requiring the Administrative Careers with America (ACWA) assessment must be assessed using the most recent, streamlined ACWA examination or a validated alternative assessment instrument (e.g., USA Hire Assessments).

4.9.1.5 A selecting official may identify a qualified candidate to directly appoint to a covered acquisition position.

4.9.1.6 The selecting official may request a list of candidates. An unscreened referral list is pulled from the vacancy announcements/public notice announcements and forwarded to the selecting official with a deadline determined by the Participating Organization/HRO. Applicants who claimed veterans' preference may be included with candidates having no-preference

eligibility. When making final selections, any candidates with veterans' preference should be considered for appointments if they are found to best meet mission requirements. Once a decision has been reached on whom to hire, the selection is processed in the same way as for a name request candidate.

4.9.1.7 If a non-preference eligible candidate is selected over a veteran considered to best meet mission requirements, the reasons for non-selection of any veteran considered to best meet mission requirements must be documented in writing. Non-selection documentation must be made part of the permanent selection record. Reasons for non-selection will be provided to the veteran candidate by the servicing Human Resources Office if requested by the veteran. Participating Organizations may establish a higher level review and/or approval process above the selecting official if appropriate.

4.9.1.8 Displaced employee procedures should be followed as required.

4.9.1.9 Participating Organizations/HROs must ensure transparency, accountability, and auditability in their hiring processes.

4.9.2 Delegating Examining

AcqDemo established a streamlined AcqDemo Delegated Examining-Category Rating process. This process may be used to fill both acquisition positions and those in direct support of acquisition positions covered by this demonstration project.

4.9.2.1 An applicant's basic eligibility will be determined using OPM's Operating Manual "Qualifications Standards for General Schedule Positions" and any DAWIA requirements as needed. Minimum eligibility qualification requirements will be those corresponding to the lowest GS grade referenced in the broadband level of the position being filled. Qualifying experience is defined as one year at the next lower broadband level in AcqDemo or an equivalent career path and broadband level in a different pay banding system; or one GS grade (dependent on whether it is 1-graded interval or 2-graded interval series), or equivalent level lower than the lowest GS grade referenced in the AcqDemo broadband level of the position being filled; or a combination of both AcqDemo and GS experience. Selective placement factors may be established in accordance with OPM's Operating Manual "Qualifications Standards for General Schedule Positions" when judged to be critical to successful job performance and become part of the minimum qualification requirements for the position being filled. Selective placement factors identify any qualifications that are required when a selectee starts the job. Based on the applicant's qualifications, if an applicant does not meet a selective factor, he/she is ineligible for further consideration. Quality ranking factors are experience, competencies, knowledge, skills, abilities, and DAWIA certifications required that are expected to enhance performance in a position and focus on the level of proficiency the selectee brings to the job. Unlike selective factors, quality ranking factors are not used to "screen out" applicants but to focus on assessing the level of proficiency applicants would bring to the position. Both the selective factors and/or quality ranking factors, when used for applicant assessment, will be communicated to applicants via a vacancy announcement, public notice, or job announcement when such notice is required.

4.9.2.2 Candidates who meet the basic minimum eligibility qualifications will be further evaluated based on competencies, knowledge, skills, and abilities which are directly linked to the positions(s) to be filled. Based on this assessment, candidates will be placed in one of the quality groups, i.e., Superior, Highly Qualified, or Basically Qualified. The process for listing names within each specific category is to be determined by the Participating Organization/HRO.

4.9.2.3 Selecting officials should be provided with a reasonable number of qualified candidates from which to choose. 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 (i.e., Superior, Highly Qualified, or Basically Qualified). Veterans' Preference eligibility will be determined when making final selections. When making final selections, any candidates with Veterans' Preference should be considered for appointments if they are found to best meet mission requirements.

4.9.3 Name Request

A selecting official may identify a qualified candidate to directly appoint to a covered acquisition position. The name request information and supporting documentation (resume, transcripts, etc.) must be attached to the RPA and forwarded to the applicable HRO for processing.

4.9.4 Certificate of Eligibles

A Certificate of Eligibles may be developed from qualified applicants to a public notice/vacancy announcement who have been evaluated or rated under an appropriate assessment methodology such as the Administrative Careers with America (ACWA) examination, USA Hire, or OPM category rating procedures.

4.9.4.1 ACWA Requirements. NH-II positions are not exempt from the ACWA requirements for specific occupational series and entry levels of work. Selectees for AcqDemo entry-level positions requiring the ACWA assessment must be assessed using the most recent, streamlined ACWA examination or a validated alternative assessment instrument (e.g., USA Hire Assessments). This will allow for the recruitment of all positions classified to the NH-II broadband level. While it is recognized that many NH-II positions require full performance work above the entry level which cannot be met by the ACWA standard as written, the use of selective placement and/or quality ranking factors may still be used to distinguish higher level knowledge, experience, skills, and competencies.

4.9.4.2 If the USA Hire Assessments are used, the GS-grade equivalent for the expected contribution score the Participating organization plans to assign to the applicant should be used (e.g. NH-201-II to be hired at the GS-7 Equivalent OCS would use the GS-201-7 USA Hire assessment).

4.9.5 Rule of Many

When there are no more than 25 applicants for an acquisition position or a direct support position in any career field, all eligible applicants regardless of Veterans' Preference may be referred. Veterans' Preference eligibility will be determined when making final selections. When making final selections, any candidates with Veterans' Preference should be considered for appointments if they are found to best meet mission requirements.

4.10 Internal Staffing Processes

4.10.1 AcqDemo Assignment Processes

AcqDemo waivers to Title 5 U.S.C. and Title 5 CFR enable organizations to have the maximum flexibility under the broadbanding structure to assign an employee within broad descriptions, consistent with the needs of the organization and the individual's qualifications. Employees may receive subsequent organizational assignments to projects, tasks, or functions within their broadband level requiring the same occupational series, level and area of expertise, knowledge, skills, abilities, competencies, qualifications, and DAWIA certification, as appropriate, as their current position and typically without change in their rate of basic pay. For example, a technical expert can be assigned to any project, task, or function requiring similar technical expertise. Likewise, a manager could be assigned to manage any similar function or organization consistent with that individual's qualifications.

Assignments generally may be accomplished as Realignments using Nature of Action Code 790 and do not constitute a position change. However, if the assignment results in an occupational series change; broadband level change; change to competencies; change in acquisition certification levels; change in official duty station; change to a different agency, a different Nature of Action Code, an official SF-50, and/or Defense Civilian Personnel Data System (DCPDS) data field updates may be required by the OPM *Guide to Processing Personnel Actions* or internal guidance.

4.10.2 Expanded Detail and Temporary Promotion Authority

AcqDemo Participating Organizations are able to effect temporary promotions and details to higher broadband level positions than AcqDemo employees currently hold or previously held without competition as long as the temporary promotion, detail, or a combination of a detail and temporary promotion does not exceed one year within a 24-month period to positions within the demonstration project. If any detail and/or temporary promotion is needed beyond one year, competition is required. In addition, extending the detail or temporary promotion in 120-day or other short-term extensions is waived under AcqDemo.

4.10.3 Simplified Internal Merit Promotion

The Management Identification of Internal Candidates (MIIC) merit staffing initiative is a simplified internal AcqDemo flexibility developed under the authority of 5 CFR 335.103(b). This allows some positions to be filled competitively without issuing a formal vacancy announcement when the area of consideration, as determined by the AcqDemo organization, consists of at least

two permanent internal candidates being considered and the hiring manager has firsthand knowledge of the qualifications and skills of the potential candidates.

4.10.3.1 MIIC could be used in two different scenarios:

4.10.3.1.1 Promotion**:** For movement from a specialized position at a lower broadband level to a higher broadband level on a promotion where the only qualified candidates are within a smaller area of consideration under a manager's cognizance, e.g., a Division, Branch, or Section Head or the position is in a highly specialized area like contracts and all of the employees are located in that area.

4.10.3.1.2 Movement Within a Broadband Level: For movement within a broadband level to a position with higher pay potential by a management directed reassignment, e.g., vacant position basic pay is above a control point such as the midpoint of the broadband level, is in a higher monetary tier (or pay range within the broadband level), or encompasses wider scope, more difficult assignments, and/or supervisory duties.

4.10.3.2 The steps to follow for a MIIC are:

a) Consult, call, or meet with the servicing HR advisor.

b) Position Requirements Document (PRD): A different PRD from that of the selectee's current position is required.

c) Advertising the Position:

a. A formal USAJOBS job opportunity announcement posting or issuance of a certificate of eligibles is not required.

b. The hiring managers may solicit interest via a memorandum which contains pertinent information about the position such as organizational location, duties, qualifications, control points, final date for submitting interest, etc and pick the best candidate.

c. Hiring managers may select a promotion candidate when the AOC is small enough that the manager has knowledge of all the potential candidates.

d) The Priority Placement Program (PPP) must be cleared to include Military Preference eligibles.

e) Documentation: A list of the candidates considered as well as the selection criteria used to make the selection must be retained for two years. No rating of candidates is required.

4.10.4 Exceptions to Competition

The use of noncompetitive promotions is limited to very specific circumstances. Fair and open competition should occur whenever these specific conditions are not explicitly met. See section ***4.11 Non-Competitive Movements Involving Promotion*** for exceptions from competitive procedures.

4.11 Non-Competitive Movements Involving Promotion

4.11.1 Promotion, re-promotion, reassignment, change to a lower broadband level, transfer, or reinstatement to an AcqDemo position in a broadband level having a referenced GS grade or level of work and no greater promotion potential than the GS grade or level of work and promotion potential of the position a reinstatement candidate held or an employee currently holds or previously held on a permanent basis in the competitive service.

4.11.2 Promotion without current competition when the employee was appointed through competitive procedures to a position with a documented GS career ladder position or target pay band/broadband level or promotion potential equivalent to a referenced GS grade or level of work in, or maximum basic pay of, a higher broadband level than the broadband/pay band level containing the employee's current GS grade, level of work, or maximum basic pay or that of a previously held position.

4.11.3 A temporary promotion or detail of an AcqDemo employee to a position in a higher broadband level not to exceed one year in a 24-month period.

4.11.4 A promotion resulting from the correction of an initial classification error or the issuance of a new classification standard.

4.11.5 Reclassification to include an accretion of duties or impact of the person in the job promotion.

4.11.6 Addition of supervisory duties to a position within its assigned broadband level.

4.11.7 Examples of Other Non-Competitive Movements:

4.11.7.1 Movement is to a position in a broadband level having a referenced GS grade or level of work equal to that of the employee's current position and no promotion potential. For example: Employee's current position is a GS-318-7 without promotion potential and the employee is moving to an NK-318-II position which contains the GS-7 as the highest grade and offers no promotion potential.

4.11.7.2 Movement of a general schedule (GS) employee to a broadband, which includes his/her present series/grade or a series/grade, previously held:

4.11.7.2.1 Example 1: Employee's current GS grade is a GS-343-12 and may enter, by a non-competitive reassignment, career path NH, broadband level III with a WGI Buy-in equivalent base pay increase only (if eligible), without competition, since the GS-12 grade is encompassed in broadband level III.

4.11.7.2.2 Example 2: Employee's current grade is a GS-1102-13. However, employee is being considered for a broadband level NH-IV position. Employee previously held a GS-1102-15. Since the GS-15 grade is encompassed in broadband level NH-IV, employee may be non-

competitively promoted from the current GS-13 position into broadband level NH-IV with eligibility for a promotion basic pay increase.

4.11.7.3 Movement to a position in a broadband level having a referenced range of GS grades or levels of work containing that of the employee's current position with no potential to a higher broadband level. For example: Employee's current position is a GS-1102-12 with potential to a full performance level of GS-1102-13 and the employee is moving to an NH-1102-III position which contains both the referenced GS-12 and the referenced full performance level of GS-13 without further promotion potential to a higher referenced GS grade found in the NH-IV broadband level. Follow conversion rules in Chapter 2.

4.11.7.4 Referenced GS grade or level of work or potential of the new position is no greater than the GS grade or level of work of a position previously held by the employee on a permanent basis in the competitive service. For example: Employee held a competitive service GS-855-7 position with potential to GS-855-11 from May 1, 2012 to April 30, 2014 and is returned to an NH-855-II position on July 6, 2015 which contains the range of referenced GS grades GS-7 through 11 and levels of work without potential to a higher referenced GS grade found in the NH-III or other higher broadband level.

4.11.7.5 Movement to an AcqDemo position from a different demonstration project with referenced GS grades of selectee's current pay banded position split between two AcqDemo broadband levels without further promotion potential. For example: Employee's current position is an Engineering Technician, Pay Band DT-IV, which includes referenced GS grades 11 and 12. Candidate is being considered for either an AcqDemo NJ-802-III position containing referenced GS grades 9 and 11 or an NJ-802-IV position containing referenced GS grades 12 and 13. As both AcqDemo broadband levels contain one of the referenced GS grades in the employee's current pay band, candidate could be placed into the NJ-802-III position by a noncompetitive reassignment or by a competitive promotion into the NJ-802-IV position with a promotion pay increase. NOTE: In this example, employee's demonstration project does not have WGIs.

4.11.7.6 A position change permitted by demonstration project reduction-in-force procedures.

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

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

4.11.7.9 Any other non-competitive action as authorized under 5 CFR 335.103.

4.11.7.10 Matrix of Competitive and Non-competitive Movements of GS Employees into AcqDemo.

Appendix C contains a pictorial representation of the application of competitive and non-competitive procedures for movement of employees in GS positions into the AcqDemo career paths and broadband levels.

4.12 Probationary Periods

4.12.1 Expanded Initial Probationary Period

4.12.1.1 10 U.S.C. 1599e requires a two-year probationary period for "… any individual appointed to a permanent position within the competitive service at the DoD…"

4.12.1.2 Use of this provision is required for Participating Organizations

4.12.2 Expanded Supervisory and/or Managerial Probationary Periods

4.12.2.1 New supervisors, that is, those who have not previously completed a civil service supervisory probationary period, will be required to complete a one-year probationary period for the initial appointment to a supervisory position.

4.12.2.2 An additional supervisory probationary period of one year may be required when an employee is officially assigned to a different supervisory position that constitutes a major change in supervisory responsibilities from any previously held supervisory position, e.g. moving from a journeyman level supervisory acquisition position to an AWF Position or moving from an AWF Position to a Key Leadership Position.

4.12.2.3 If, during a supervisory probationary period, the decision is made to return the employee to a non-supervisory position for reasons related to conduct or supervisory contribution and/or performance, the probationary employee's supervisor will provide written notification subject to higher level management approval and the employee will be returned to a comparable position of no lower basic pay than the position from which promoted or reassigned.

4.12.2.4 Reference 5 CFR 315, Subparts H and I for details regarding process for initial and supervisory probationary termination.

4.13 Voluntary Emeritus Program

4.13.1 Eligibility and Program Criteria

Under the demonstration project, Heads of Participating Organizations have the authority to offer voluntary assignments in Participating Organizations and to accept the gratuitous services of the following individuals:

4.13.1.1 AcqDemo retired or separated civilian employees who served in either DAWIA-covered positions or positions in direct support to DAWIA-coded positions (for the Voluntary Emeritus Program, hereinafter referred to as AcqDemo employees); and

4.13.1.2 Non-AcqDemo DoD retired or separated civilian employees and former military members who worked in DAWIA-covered positions.

4.13.2 The Federal Government (except as indicated below) does not consider voluntary Emeritus Program assignments. Thus, such assignments do not affect a former civilian employee's entitlement to buy-outs or severance payments based on earlier separation from Federal Service. This program may not be used to replace or substitute for work performed by civilian employees occupying regular acquisition positions required to perform the mission of the Participating Organization.

4.13.2.1 The Voluntary Emeritus Program will ensure continued quality acquisition by allowing experienced, former civilian and military DoD acquisition professionals who served in DAWIA-covered positions and former AcqDemo employees to accept retirement incentives with the opportunity to retain a presence in the acquisition community. The program will be beneficial during manpower reductions as program managers, engineers, other skilled acquisition professionals and former AcqDemo employees who provided direct support to acquisition professionals to accept retirement and return to provide a continuing source of corporate knowledge and valuable on-the-job training or mentoring to less experienced employees.

4.13.2.2 To be accepted into the Voluntary Emeritus Program, a volunteer must be recommended to the decision-making authority by one or more acquisition managers familiar with the skills that the volunteer offers to the organization. Acquisition managers at any level may initiate the decision process; however, the decision-making documentation must be routed through the senior acquisition manager of the organization where the volunteer will be assigned, in route to the Head of the Participating Organization making the decision. No one who applies is entitled to an emeritus position. The decision-making authority must document the decision process for each applicant (whether accepted or rejected) and retain the documentation throughout the assignment. Documentation of rejections will be maintained for two years.

4.13.2.3 To ensure success and encourage participation, the volunteer's Federal retirement pay (whether the retirement pay is based upon military or civilian service) will not be affected while the volunteer is serving in emeritus status. Retired or separated AcqDemo employees, non-AcqDemo DoD civilian employees and military members who served in DAWIA-coded positions may accept an emeritus position without a "break in service" or mandatory waiting period.

4.13.2.4 Voluntary Emeritus Program volunteers will not be permitted to monitor contracts on behalf of the Government but may participate on any contract if no conflict of interest exists. 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 currently apply to source selection members will apply to volunteers.

4.13.3 Agreement Requirements

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:

4.13.3.1 A statement that the service provided is gratuitous, does not constitute an appointment in the Civil Service, is without compensation or other benefits except as provided for in the agreement itself, and that, except as provided in the agreement regarding work-related injury compensation, any and all claims against the Government because of the service are waived by the volunteer.

4.13.3.2 A statement that the volunteer will be considered a Federal employee for the purposes of:

Subchapter I of 5 U.S.C. Chapter 81 (using the formula established in 10 U.S.C. 1588 for determination of compensation) (work-related injury compensation);

a) 28 U.S.C. Chapter 171 (tort claims procedure);

b) U.S.C. 552a (records maintained on individuals); and

c) 8 U.S.C. Chapter 11 (conflicts of interest).

4.13.3.3 The volunteer's work schedule.

4.13.3.4 Length of agreement (defined by length of project or time defined by weeks, months, or years).

4.13.3.5 Support provided by the activity (travel, administrative, office space, supplies, etc.).

4.13.3.6 A one-page statement of duties and experience.

4.13.3.7 A statement specifying that no additional time will be added to a volunteer's service credit for such purposes as retirement, severance pay, and leave as a result of being a member of the Voluntary Emeritus Program.

4.13.3.8 A provision allowing either party to void the agreement with ten days' written notice.

4.13.3.9 The level of security access required by the volunteer (any security clearance required by the position will be managed by the Participating Organization and may or may not result in a delay in setting the volunteer's reporting date). The volunteer may require a Common Access Card (CAC). The Human Resources Office can sponsor the volunteer and have the volunteer vetted through the DoD Homeland Security Presidential Directive-12 (HSPD-12) process for a specified period of time, normally not to exceed a year. The volunteer must complete a packet that includes an OF-306, an E-QIP (SF-86) so they can receive a NACI or equivalent investigation to include finger printing and a DD-1172-2 (application for CAC). Usually the sponsoring agency sets the rules on what they require. Retired or prior military personnel are not given CACs unless they are on a Government contract. The volunteer is processed through the sponsoring agencies, HR Department and then forwarded to the Security office for further processing.

4.14 DoD College Acquisition Internship Program

4.14.1 The DoD College Internship Program (DCAIP) is a highly competitive program that seeks to attract a diverse group of bright and innovative full-time college students for AWF positions located throughout the country. The DoD College Acquisition Internship Program and the implementing guidance is shown in Appendix E.

4.14.2 Appendix F is the Priority Placement Program (PPP) Exceptions for AcqDemo Intern Positions. This memorandum grants a PPP exception pursuant to section 1762 of title 10 U.S. Code (U.S.C.) and Federal Register Notice (FRN), 82 FR 52104, 52118 dated November 9, 2017. This authority expires on December 31, 2023, and the PPP exemption will not apply thereafter.

4.15 Processing Personnel Actions

Appendix B contains a detailed description of Nature of Action Codes, Legal Authority Codes, and Remarks to be used in Processing AcqDemo Personnel Actions. **Appendix A** provides an example on Veterans' Preference Language for Job Announcements**.**

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Appendix A – Sample Veterans' Preference Language for Job Announcements

How you will be evaluated:

You will be evaluated for this position on how well you meet the qualifications below.

- Traditional rating and ranking of applications does not apply to this vacancy. Your application (resume and supporting documentation) will be evaluated to determine if you meet the minimum qualifications required as listed on the announcement under qualification requirements.

- Veterans' Preference eligibility under 5 U.S.C. 2108 and 2108a applies and is treated as a positive factor when making a selection from external sources. When making final selections, any candidate with Veterans' Preference should be granted preference in selection over non-preference eligible candidates with substantially equal qualifications as described in the Best Meets Mission Requirements definition below. If you are a veteran claiming Veterans' Preference, as defined by section 2108 of Title 5 U.S.C., you must submit documents verifying your eligibility with your application package.

Best Meets Mission Requirements definition: Applicant has the knowledge, skills, abilities, and/or competencies to substantially exceed the minimum qualification requirements for the position. This equates to the best qualified assessment criteria established for the vacancy and based on overall demonstrated experience, education, training, appraisals/evaluations, job-related awards, certifications, honors and relevant outside activities.

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Appendix B – Processing AcqDemo Personnel Actions

November 2017

Demo Legal Authority: **P.L. 111-383**

Demo Regulation Citation: **82 FR 52104-dated 11/9/2017, (Title of Intervention) Section (Cite from FRN)** Example: 82 FR 52104, dated 11/9/2017, (Acq-Reassignment) Section II.C.9.c.(1)

Nature of Action Codes (NOACs), Legal Authority Codes (LACs), and Remark Codes in the OPM Operating Manual, *"Guide to Processing Personnel Actions"* will be used under this demonstration project for standard Title 5 authorities not waived or modified by the AcqDemo under 5 U.S.C. Chapter 47, as appropriate. However, when a LAC, such as ZLM, calls for "Other citation (Law, Executive Order, or Regulation", the AcqDemo FRN reference of "82 FR 52104, dated 11/9/2017, (Title) Section (XX)" will be used to fill in the blank if the action is described in the FRN. If not, follow the OPM Guide instructions. In addition, the AcqDemo Project LAC, "Z2W – P.L. 111-383," will be entered as either the only or the second primary LAC for personnel actions described in the FRN for employees covered by AcqDemo.

For example: Hiring a selectee off an OPM certificate for a career-conditional appointment would be processed: NOAC 101, Career-Conditional Appointment and LAC ACM, CS Cert No.____. Using AcqDemo Direct Hire Authorities to recruit, select, and hire a candidate would be processed: NOAC 101, Career-Conditional Appointment (one of the appropriate LACs for the AcqDemo direct hire authority) Z5C, 82 FR 52104, dated 11/9/2017, (Acq-Vet Bus and Tech Mgmt). Section II.B.4.b and LAC Z2W, P.L. 111-383. The remarks appropriate for the action would be selected from those in the OPM Operating Manual and Guide to Data Standards and any special AcqDemo remarks shown in the table below.

Rule	Intervention/ Action	Nature of Action Code	Legal Authority Code(s)	Remarks
Position Change				
1.	Maximum Broadband Level	Std[1] (or AcqDemo specific) position change NOAC.	**Std LAC** (or specific AcqDemo position change action) and **Z2W –** Pub. L. 111-383, dated 1/7/2011	**K-18** – Position is at the full performance level or band. Or **K20** – Full Performance level of employee's position is (–enter pay plan and broadband level).

[1] **Std** = Current NOACs and/or LACs found in OPM's "*The Guide to Data Standards"* for Title 5 or AcqDemo authorized actions, e.g., NOAC 108, Term Appt. NTE (date); NOAC 703, Promotion NTE (date); LAC Z2W, Pub. L. 111-383 (AcqDemo).

Rule	Intervention/ Action	Nature of Action Code	Legal Authority Code(s)	Remarks
				NOTE: Under AcqDemo, full performance level is synonymous with maximum broadband level.
2.	[2]Non-competitive reassignment of a non-AcqDemo selectee to an AcqDemo position in a broadband level containing a referenced grade the same as the employee's current grade. Discretionary action wherein selectee may receive a basic pay increase not to exceed amount of selectee's WGI Buy-in, if appropriate. Competition is normally required to set pay higher than the WGI-Buy-in.	Two SF-50's may be required. NOACs are: **721 –** Reassignment and **890** – Misc. Pay Adjustment If WGI/Career Ladder Buy-in is authorized, the two SF-50s are required. If no Buy-in, only one SF-50 for the 890 Misc. Pay Adjustment. Note: If reassignment changes locality area, reassignment is processed before any WGI/Career Ladder Buy-in.	For this reassignment: **N2M –** FRN Vol. 82, No. 216 dated 11/9/17, (Acq-Reassignment) Section II.C.9.c.(1) and **Z2W –** Pub. L. 111-383, dated 1/7/2011 For a misc. pay adjustment: **ZLM** – FRN Vol 82, Nov 2016 dated 11/9/17, (Acq-Misc. Pay Adj.) Section II.C.9.c.(1) and **Z2W –** Pub. L. 111-383, dated 1/7/2011	**K-18** – Position is at the full performance level or band. For a misc. pay adjustment: **P02 –** Pay rate fixed to include rate increase due on same date.
3.	Reclassification (or description) of employee's position due to implementation of a new or	**721 –** Reassignment	**VGP** – 5 U.S.C. 5107 and **Z2W –** Pub. L. 111-383, dated 1/7/2011	**K23 –** Result of change in classification standards. Or **K18** – Position is at the full performance level or band. Or

[2] Waiver to Part 335, section 335.103(c): Agency Promotion Programs. This section is waived to the extent necessary to expand discretionary exemptions to agency promotion programs to include non-competitive reassignments with WGI-Buy in potential as described in the FRN. Waiver to Chapter 53 U.S.C. Sections 5331-5336: General Schedule Pay Rates. These sections are waived in their entirety. The pay administration and compensation system provisions in the FRN apply in place of sections 5331 – 5336.

Rule	Intervention/ Action	Nature of Action Code	Legal Authority Code(s)	Remarks
	revised OPM classification standard			**K20** – Full performance level of employee's position is (enter pay plan and broadband level **NOTE:** Under AcqDemo, full performance level is synonymous with maximum broadband level.
4.	Realignment occurs when an employee receives a subsequent organizational assignment to projects, tasks, or functions within their broadband level requiring the same occupational series, level and area of expertise, knowledge, skills, abilities, competencies, qualifications, and DAWIA certification, as appropriate, as their current position and typically without change in their rate of basic pay.	790 – Realignment	**UNM –** (Cite the letter, memo, directive, or order that authorized the action.) and **Z2W –** Pub. L. 111-383, dated 1/7/2011	**NOTE:** Follow HRO instructions for whether a SF-52 or SF-50 should be used to record the realignment.
5.	Reclassification (or description) of employee's position (i.e., change in title, series, and/or	**721 –** Reassignment	**N7M** – Reg. 335.102 Reclass and **Z2W –** Pub. L. 111-383, dated 1/7/2011	**K26 –** Result of additional duties and responsibilities. Or **K27 –** Result of position review. And

Rule	Intervention/ Action	Nature of Action Code	Legal Authority Code(s)	Remarks
	duties) when Rule 3 does not apply.			**K-18** – Position is at the full performance level or band. Or **K20** – Full performance level of employee's position is (enter pay plan and broadband level **NOTE:** Under AcqDemo, full performance level is synonymous with maximum broadband level.
6.	Change to a lower broadband level effected through a CCAS-based action when conduct is not a factor	**713 -** Chg to Lower Grade, Level or Band	**QHM –** Req. 432.101 Eq and **Z2W –** Pub. L. 111-383, dated 1/7/2011	Std remarks as appropriate.
7.	Removal based on unacceptable or unsatisfactory performance effected through a CCAS-based action (when employee's conduct is not a factor).	**330 –** Removal	**QHM –** Req. 432.101 Eq and **Z2W –** Pub. L. 111-383, dated 1/7/2011	Std remarks as appropriate.
Appointments				
8.	Based on selection under the AcqDemo Modified Term Appointment Option.	**108 –** Term Appointment Not-to-exceed (date). Not on agency rolls.	**ZLM –** FRN Vol. 82, No. 216 dated 11/9/17, (Acq-Modified Term) Section II.B.1.b. and **Z2W –** Pub. L. 111-383, dated 1/7/2011	If appointment is for more than two years, following remark may be appropriate: **A35 –** This appointment may confer eligibility to be noncompetitively converted to a term, career, or career-conditional appointment in the competitive service.
		508 – Conv to Term Appt NTE (date). On agency rolls.	**ZLM –** FRN Vol. 82, No. 216 dated 11/9/17, (Acq-Modified Term) Section II.B.1.b.	If appointment is for more than two years, following remark may be appropriate: **A35 –** This appointment

Rule	Intervention/ Action	Nature of Action Code	Legal Authority Code(s)	Remarks
			and **Z2W –** Pub. L. 111-383, dated 1/7/2011	may confer eligibility to be noncompetitively converted to a term, career, or career-conditional appointment in the competitive service.
		765 – Ext of Term Appt NTE (date). On agency rolls.	**ZLM –** FRN Vol. 82, No. 216 dated 11/9/17, (Acq-Modified Term) Section II.B.1.b. and **Z2W –** Pub. L. 111-383, dated 1/7/2011	If appointment is for more than two years, following remark may be appropriate: **A35 –** This appointment may confer eligibility to be noncompetitively converted to a term, career, or career-conditional appointment in the competitive service.
		501 – Conv to Career-Conditional Appointment	**Z2W –** Pub. L. 111-383, dated 1/7/2011	Standard remarks apply as appropriate.
		500 – Conv to Career Appointment	**Z2W –** Pub. L. 111-383, dated 1/7/2011	Standard remarks apply as appropriate.
9.	Based on selection under the AcqDemo Direct Hire Appointment Authority for the Business and Technical Management Professional Career Path.	Std[1] (Std appointment NOACs).	**Z5C –** DoD Direct Hire – FRN Vol. 82, No 216 dated 11/9/17, (Acq-Bus and Tech Mgmt) Section II.B.4.b and **Z2W –** Pub. L. 111-383, dated 1/7/2011	Std remarks as appropriate.
10.	Based on selection under the AcqDemo Veteran Direct Hire Appointment Authority for the Business Management and Technical Management Professional and Technical	Std[1] (Std appointment NOACs).	**Z5C –** DoD Direct Hire – FRN Vol. 82, No. 216 dated 11/9/17, (Acq-Vet Bus and Tech Mgmt.) Section II.B.4.c. and **Z2W –** Pub. L. 111-383, dated 1/7/2011	Std remarks as appropriate.

Rule	Intervention/ Action	Nature of Action Code	Legal Authority Code(s)	Remarks
	Management Support Career Paths.			
11.	Based on selection under the AcqDemo Acquisition Student Intern Appointment Authority.	Std[1] (Std appointment NOACs).c	**Z5C –** DoD Direct Hire – FRN Vol. 82, No. 216 dated 11/9/17, (Acq-Student Intern) Section II.B.4.d. and **Z2W –** Pub. L. 111-383, dated 1/7/2011	Std remarks as appropriate.
12.	Based on selection under the AcqDemo Scholastic Achievement Appointment Authority.	Std[1] (Std appointment NOACs).	**Z5C** – DoD Direct Hire – FRN Vol. 82, No. 216 dated 11/9/17, (Acq-Scholastic Achievement) Section II.B.4.e and **Z2W –** Pub. L. 111-383, dated 1/7/2011	Std remarks as appropriate.
13.	AcqDemo Delegated Examining-Category Rating	Std[1] (Std appointment NOACs).	**ZLM –** FRN Vol. 82, No. 216 dated 11/9/17, (Acq-Category Rating) Section II.B.4.f(3) and **Z2W –** Pub. L. 111-383, dated 1/7/2011	**K15** – Selected from Cert (enter #) under Delegated Examining; (enter name of installation issuing certificate).
14.	Voluntary Emeritus Program	Volunteer Service – Without Pay Termination of Volunteer Service – Without Pay	**ZLM –** FRN dated 11/9/17, (Voluntary Emeritus Program) Section II.B.4.f(5) and Pub. L. 111-383	Agreement between employer and volunteer. No SF-52 or SF-50 prepared.
Internal Staffing				
15.	Expanded Supervisory and/or Managerial Probationary Period associated with a position change	Std promotion, change to lower band, reassignment, position change, or detail NOAC.	**Std LAC** (or specific AcqDemo position change action) and **Z2W –** Pub. L. 111-383, dated 1/7/2011	Use OPM Remark Code **E45, E44,** or **E46** as appropriate for employee's prior probationary period service.

Rule	Intervention/ Action	Nature of Action Code	Legal Authority Code(s)	Remarks
	a. Employee's failure to satisfactorily complete probationary period for supervisory (or managerial) position.	**721** – Reassignment	**Std LAC** (or specific AcqDemo position change action), and **Z2W –** Pub. L. 111-383, dated 1/7/2011	**K43 –** Result of failure to satisfactorily complete probationary period for supervisory (or managerial) position.
	b. Employee's failure to satisfactorily complete probationary period for supervisory (or managerial) position.	**713** – Change to Lower Grade, Level or Band	**Std LAC** (or specific AcqDemo position change action), and **Z2W –** Pub. L. 111-383, dated 1/7/2011	**K43 –** Result of failure to satisfactorily complete probationary period for supervisory (or managerial) position.
16.	Expanded Detail Authority to Higher Broadband Level Duties NTE one year in a 24-month period.	**930** – Detail NTE (date) and if needed **931 –** Extension of Detail NTE (date)	**ZLM –** FRN Vol. 82, No. 216 dated 11/9/17, (Acq-Expanded Detail Auth) Section II.B.6.c. and **Z2W –** Pub. L. 111-383, dated 1/7/2011 and if needed **ZLM –** FRN Vol. 82, No. 216 dated 11/9/17, (Acq-Expanded Detail Auth) Section II.B.6.c. and **Z2W –** Pub. L. 111-383, dated 1/7/2011	**9QA–** AcqDemo Expanded Detail Authority to Higher Broadband Level Duties NTE one year in a 24-month period.
17.	Reduction in Force	Std RIF NOACs.	**Std LACs** and **Z2W –** Pub. L. 111-383, dated 1/7/2011	Std remarks as appropriate.
Compensation				
18.	Accelerated Compensation for Developmental Positions	890 – Miscellaneous Pay Adjustment	**ZLM –** FRN Vol. 82, No. 216 dated 11/9/17, (Accelerated Comp for Dev Psns) Section II.B.6.c. and	**9Q8**– Pay adjustment in block 20 reflects a (percentage) increase in basic pay for successful achievement of job-related competencies.

Rule	Intervention/ Action	Nature of Action Code	Legal Authority Code(s)	Remarks
			Z2W – Pub. L. 111-383, dated 1/7/2011	
19.	Expanded Non-Competitive Temporary Promotion Authority NTE one year in a 24-month period.	**703 –** Promotion NTE (date) and if needed **769 –** Extension of Promotion NTE (date**)**	**Std LAC** (or specific AcqDemo LAC), and **Z2W –** Pub. L. 111-383, dated 1/7/2011 and if needed **Std LAC** (or specific AcqDemo LAC), and **Z2W –** Pub. L. 111-383, dated 1/7/2011	**9Q9–** AcqDemo Expanded Temporary Promotion Authority NTE one year in a 24-month period.
20.	Reclassification of a position at a higher grade because of additional duties and responsibilities. (NOTE: Use for impact of the person on the job and accretion of duties promotions under AcqDemo.)	**702 –** Promotion	**N7M** – Reg. 335.102 Reclass and **Z2W –** Pub. L. 111-383, dated 1/7/2011	**K26 –** Result of additional duties and responsibilities. And **K-18** – Position is at the full performance level or band.
21.	Supervisory/ Team Leader Cash Differentials	**810** – Change in Diff for a Supervisory/Team Leader Cash Differential NOTE: Applies to both types of differentials. It is used for establishment, change in percentage or termination of differential. Remarks	**ZLM –** FRN Vol. 82, No. 216 dated 11/9/17, (Acq-Change in Diff) Section II.C.12 And **Z2W** – Pub. L. 111-383, dated 1/7/2011	**9Q6–** Salary in block 20 includes a supervisory cash differential of ($_____) per pay period. **9Q7–** Salary in block 20 includes a team leader cash differential of ($_____) per pay period. Cash differentials are reviewed and validated yearly during the annual CCAS assessment and may be terminated as dictated by fiscal limitations or changes

Rule	Intervention/ Action	Nature of Action Code	Legal Authority Code(s)	Remarks
		are different for each type.		in assignment or scope of work.
22.	Defense Senior Acquisition Executive Cash Award	Std award NOAC applicable to type of achievement.	**Std LAC** (or specific AcqDemo position change action) and **Z2W –** Pub. L. 111-383, dated 1/7/2011	Select appropriate std award remark for type of achievement.
23.	Contribution-based Compensation and Appraisal System	**886 –** Lump Sum Rating Based Individual Cash Award–Not in lieu of pay adjustment.	**Z2W** – Pub. L. 111-383, dated 1/7/2011	(CCAS Contribution Award)
		885 – Lump Sum Performance Payment Rating Based – In Lieu of Pay Adjustment due to range maximum or control point.	**V3A –** FRN Vol. 82, No. 216 dated 11/9/17, (Acq Range Maximum) Section II.D.4.a and **Z2W** – Pub. L. 111-383, dated 1/7/2011	(CCAS Carry Over)
		894 – General Pay Adjustment	**ZLM** – FRN Vol. 82, No. 216 dated 11/9/17, (Acq General Pay Adjustment) Section II.C.7 and **Z2W –** Pub. L. 111-383, dated 1/7/2011	(General Pay Increase)
		891 – Regular Performance Pay Performance-based Pay Increase Provided on an Annual Cycle.	**Q3A** – FRN Vol. 82, No. 216 dated 11/9/17, (Acq Regular Performance Pay) Section II.D.4 and **Z2W –** Pub. L. 111-383, dated 1/7/2011	(Contribution Rating Increase)
24.	Chapter 45 – Incentive Awards	**842** – Individual Suggestion or Invention Award		(Chapter 45 Award)

Rule	Intervention/ Action	Nature of Action Code	Legal Authority Code(s)	Remarks
		846 – Individual Time Off Award		(Chapter 45 Award)
		849 – Individual Cash Award not Rating Based		(Chapter 45 Award given for a specific achievement such as an On-the Spot Award)
		849 – Individual Cash Award not CCAS Rating Based for an amount between $10,000 not to exceed $25,000 approved by a Service Acquisition Executive (SAE).	**Z2W –** Pub. L. 111-383, dated 1/7/2011	Non-CCAS rating based award for an AcqDemo employee for an amount between $10,000 not to exceed $25,000 approved by an AcqDemo Service Acquisition Executive.
Employee Development				
25.	Sabbatical	**480** – Sabbatical Not-to-exceed (date).	**V3M -** 5 U.S.C. 3396I(1) and **Z2W –** Pub. L. 111-383, dated 1/7/2011	**M53 –** Employee is to suffer no loss of, or reduction in: pay, leave, credit for time or service, or performance or efficiency rating.
26.	Student Intern Relocation Incentive	**816 –** Relocation Incentive for AcqDemo Student Intern Relocation Incentive	**VPW** – FRN Vol. 82, No. 216 dated 11/9/17, (Acq-Student Intern) Section II.E.3	
Transition to AcqDemo				
27.	Conversion into AcqDemo	**890 –** Miscellaneous Pay Adjustment	**ZLM –** FRN Vol. 82, No. 216 dated 11/9/17, (Acq-Misc. Pay Adj.) Section II.F.1 and **Z2W –** Pub. L. 111-383, dated 1/7/2011	**P02 –** Pay rate fixed to include rate increase due on same date. NOTE: If no buy-in, no remark is required.

Appendix C – Competitive and Non-Competitive Movements of GS Employees entering AcqDemo, Other Demo Employees Entering AcqDemo, and AcqDemo Employees Moving Within and Across AcqDemo Career Paths with Pay Setting Guidance

	NH Career Path								NJ Career Path								NK Career Path					
Going To ➡ Coming From ⬆	NH-I		NH-II		NH-III		NH-IV		NJ-I		NJ-II		NJ-III		NJ-IV		NK-I		NK-II		NK-III	
GS-1	N	C							N	C							N	C				
GS-2	N	C							N	C							N	C				
GS-3	N	C							N	C							N	C				
GS-4	N			C					N			C					N			C		
GS-5	L		N	C					L		N	C					L		N	C		
GS-6	L			C					L		N	C					L		N	C		
GS-7	L		N	C					L		N	C					L		N			C
GS-8	L			C					L		N			C			L		L		N	C
GS-9	L		N	C					L		L		N	C			L		L		N	C
GS-10	L			C					L		L		N	C			L		L		N	
GS-11	L		N			C			L		L		N			C	L		L			
GS-12	L		L		N	C			L		L		L		N	C	L		L			
GS-13	L		L		N			C	L		L		L		N		L		L			
GS-14	L		L		L		N	C	L		L		L				L		L			
GS-15	L		L		L		N		L		L		L				L		L			

Table 2 Matrix of Competitive & Non-Competitive Movements of GS Employees into AcqDemo

N – Noncompetitive movement:
Placement, with a basic pay increase equivalent to employee's WGI Buy-in, into a broadband level containing a referenced grade the same as the employee's current GS grade. A basic pay increase larger than an employee's WGI Buy-in is available only under a competitive action. NOTE: Use of highest previous rate does not require competition or a NOAC. Refer to Ops Chapter 4, Section 4.11 for additional information.

Nature of Action Codes:
721 Reassignment and 890 Miscellaneous Pay Adjustment for WGI Buy-in.
OR
721 Reassignment (Employee not eligible for a WGI Buy-in. Therefore, NOAC 890 Miscellaneous Pay Adjustment not needed. No pay increase unless highest previous rate is applicable.) Use of highest previous rate does not require competition or a NOAC.

C – Competitive movement:
Placement, with a promotion pay increase, in a broadband level containing the referenced GS grade the same as the employee's current grade or (2) placement in a broadband level that has a maximum basic pay and/or referenced grades higher than the employee's current GS grade. The basic pay for a permanent or temporary promotion action will be set within the broadband level for the employee's

new position, starting at 0% not to exceed 20% of the employee's current base pay. However, if the minimum rate of the employee's new broadband level is more than 20 percent greater than his/her current base pay, then the minimum rate of the new broadband level is the new basic pay. The employee's basic pay shall not exceed the maximum basic pay range of the new broadband level.

Nature of Action Code: 702 Promotion or 703 Promotion NTE (date)

L – Change to Lower Broadband Level:

Nature of Action Code: 713 Change to Lower Grade, Level or Band

– Not applicable

Going To ➡ Coming From ⬆	NH-I	NH-II	NH-III	NH-IV	NJ-I	NJ-II	NJ-III	NJ-IV	NK-I	NK-II	NK-III
NH-I	N	C			N	C			N	C	
NH-II	L	N	C		L	L	N	C	L	L	L
NH-III	L	L	N	C	L	L	L	N	L	L	L
NH-IV	L	L	L	N	L	L	L	L	L	L	L
NJ-I	N	C			N	C			N	C	
NJ-II	L	C			L	N	C		L	L	C
NJ-III	L	N	C		L	L	N	C	L	L	L
NJ-IV	L	L	N	C	L	L	L	N	L	L	L
NK-I	N	C			N	C			N	C	
NK-II	L	C			L	C	C		L	N	C
NK-III	L	C			L	L	C		L	L	N

Table 3 Competitive vs. Non-Competitive Movements Within and Across AcqDemo Career Paths

N – Noncompetitive movement:
Movement of an employee from his/her current AcqDemo position to another AcqDemo position in the same or a different career path having a broadband level with the same maximum basic pay would be a reassignment normally without a pay increase. If the employee is eligible for highest previous rate, this may offer an opportunity for a pay adjustment.

Nature of Action: 721- Reassignment

C – Competitive movement:
When an AcqDemo employee moves from his/her current broadband level to a higher broadband level within the same career path (e.g. NK-I to NK-II) or a different career path and broadband level in which the new broadband level has a higher maximum basic pay than the broadband level from which the employee is moving (e.g., NK-II to NH-II) a permanent or temporary promotion action may occur. The basic pay for a permanent or temporary promotion action will be set within the broadband level for the employee's new position, starting at 0% not to exceed 20% of the employee's current basic pay. However, if the minimum rate of the employee's new broadband level is more than 20 percent greater than his/her current basic pay, then the minimum rate of the new broadband level is the new basic pay. The employee's basic pay shall not exceed the maximum basic pay range of the new broadband level.

Nature of Action: 702 – Promotion or 703 – Promotion NTE (date)

L – Movement to Lower Broadband Level:

Nature of Action: 713 Change to Lower Grade, Level or Band

– Not applicable

GOING TO ➡ COMING FROM ⬆ STRL PAY BAND	NH-I (GS-1-4)		NH-II (GS-5-11)		NH-III (GS-12-13)		NH-IV (GS-14-15)		NJ-I (GS-1-4)		NJ-II (GS-5-8)		NJ-III (GS-9-11)		NJ-IV (GS-12-13)		NK-I (GS-1-4)		NK-II (GS-5-7)		NK-III (GS-8-10)	
DP-1 (GS-1-4)	N			C					N			C					N			C		
DP-2 (GS-5-9)	L		N	C					L		L		N	C			L		N		N	C
DP-3 (GS-9-11	L		N	C		C			L		L		N			C	L		L		L	
DP-4 (GS-12-13)	L		L		N			C	L		L		L		N		L		L		L	
DP-5 (GS-14-15)	L		L		L		N		L		L		L		L		L		L		L	
DP-6 (GS >15)																						
DT-1 (GS-1-4)	N			C					N			C					N			C		
DT-2 (GS 5-8)	L		N	C					L		N	C		C			L		N		N	C
DT-3 (GS 9-10)	L		N	C					L		L		N	C			L		L		N	C
DT-4 (GS 11-12)	L		N	C	N	C			L		L		L		N	C	L		L		L	
DT-5 (GS 12-13)	L		L	L	N			C	L		L		L		N		L		L		L	
DA-1 (GS 1-4)	N			C					N			C					N			C		
DA-2 (GS 5-8)	L		N	C					L		N	C		C			L		N		N	C
DA-3 (GS 9-10)	L		N	C					L		L		N	C			L		L		N	C
DA-4 (GS 11-12)	L		N	C	N	C			L		L		N	C	N	C	L		L		L	
DA-5 (GS 12-13)	L		L		N			C	L		L		L		N		L		L		L	
DA-6 (GS 14-15)	L		L		L	L	N		L		L		L		L		L		L		L	
DS-1 (GS 1-4)	N			C					N			C					N			C		
DS-2 (GS 5-8)	L		N	C					L		N	C		C			L		N		N	C
DS-3 (GS 9-10)	L		N	C					L		L		N	C			L		L		N	C
DS-4 (GS 11-12)	L		N	C	N	C			L		L		N	C	N	C	L		L		L	
DS-5 (GS 12-13)	L		L		N	C		C	L		L		L		N		L		L		L	
DS-6 (GS >13)	L		L		L	L		C	L		L		L		L		L		L		L	
DG-1 (GS 1-3)	N								N								N					
DG-2 (GS 4-5)	N	C	N	C					N	C	N	C					N	C	N	C		
DG-3 (GS 5-6)	L		N	C					L		N	C					L		N	C		
DG-4 (GS-6-7)	L		N	C					L		N	C					L		N	C		C
DG-5 (GS 8-9)	L		N	C					L		N	C	N	C			L		L		N	C
DG-6 (GS 10-11)	L		N	C		C			L		L		N	C		C	L		L		N	C
NM-2 (GS 6-8)	L		N	C					L		N	C		C			L		N	C	N	C
NM-3 (GS-9-12)	L		N	C	N	C			L		L		N	C	N	C	L		L		N	C
NM-4 (GS 13-14)	L		L		N	C	N	C	L		L		L		N	C	L		L		L	
NM-5 (GS 14-15)	L		L		L		N		L		L		L		L		L		L		L	
NM-6 (GS >15)																						

Table 4 Sample of Competitive & Non-Competitive Movements of Employees with Pay Setting from another Demo into AcqDemo, Ops Guide Chapter 4

N – Noncompetitive movements:
Placement, without a basic pay increase, into a broadband level containing a referenced grade found in the broadband level employee is leaving.

Nature of Action Code: 721 Reassignment

C – Competitive movements:
Placement, with a promotion pay increase, in a broadband level that does **not** contain a referenced grade found in the broadband level the employee is leaving or (2) placement in a broadband level that has a maximum basic pay and/or referenced grades higher than the employee's current broadband level. The basic pay for a permanent or temporary promotion action will be set within the broadband level for the employee's new position, starting at 0% not to exceed 20% of the employee's current basic pay. However, if the minimum rate of the employee's new broadband level is more than 20 percent greater than his/her current basic pay, then the minimum rate of the new broadband level is the new basic pay. The employee's basic pay shall not exceed the maximum basic pay range of the new broadband level.

Nature of Action Codes: 702 Promotion or 703 Promotion NTE (date)

Additional Discussion: An employee in a Demo DP-2 pay band (GS 5-9) moving to AcqDemo broadband level NH-2 (5-11), the employee could be non-competitively reassigned into AcqDemo NH-2 without a pay increase or competitively promoted into AcqDemo NH-2 with a promotion pay increase. NOTE: Movement to a career ladder position's maximum broadband level may be a non-competitive promotion if previously competed. Also, use of highest previous rate does not require competition or a NOAC.

L – Change to Lower Broadband Level:

Nature of Action Code: 713 Change to Lower Grade, Level or Band

- Not Applicable

New Hires (Refer to Chapter 5, Section 5.15 for Additional Information)

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

Pay Setting: For new hires, initial basic pay will be set within the basic pay range for the broadband level of the position for which hired at a level consistent with the individual's qualifications, or the level of work, and contribution expected for the position at the time of hire.

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Appendix D – AcqDemo Appointment & Hiring Authorities

ACQDEMO APPOINTMENT & HIRING AUTHORITIES				
Topic	**Direct Hire Authority for Business and Technical Management Career Path (NH)**	**Veteran Direct Hire for NH Career Path, and Technical Management Support Career Path (NJ)**	**Acquisition Student Intern Appointments**	**Scholastic Achievement Appointment**
Authority	Federal Register Notice 82 FR 52104-52172 dated November 9, 2017 and 10 U.S.C. 1762. For these authorities, Participating Organizations may appoint qualified candidates without regard to the provisions of 5 U.S.C., Chapter 33, Subchapter 1, other than 3303, 3308, and 3328.			
Applicability	DoD AcqDemo Participating Organizations			
Position Levels	AWF and/or Direct Support (51%) of acquisition positions in the NH Career Path	AWF and/or Direct Support (51%) of acquisition positions in NH or NJ Career path, all broadband levels, filled by Veterans	AWF positions in broadband levels I, II, and III of all three career paths: NH, NJ, and Administrative Support (NK)	AWF positions in broadband levels NH- II and NH-III
Covered Positions	AWF positions in all DAWIA Career Fields and non-AWF positions in direct support (51%) of acquisition positions filled using the direct hire authority for the NH career path or the veterans direct hire authority for positions in the NH and NJ career paths. Only AWF positions filled by Acquisition Student Intern and Scholastic Achievement Appointments.			
Appointment Type	Competitive - Permanent (Career, Career-Conditional), Term & Temporary			
Public Notice	Not required			
Vacancy Announcements	Short-term or long-term job announcements may be posted for current and/or projected vacancies, multiple vacancies, broadband levels, and/or geographic locations as appropriate based upon the availability of qualified candidates and the type of position being filled. Vacancy announcements are used to attract and access applicant sources through any legal means such as OPM USAJOBS website, ICTAP, DoD PPP, DoD Component hosted websites; newspaper and periodic publications; job fairs or college recruiting activities; employee referral programs; or other means consistent with the merit system principles.			
Administrative Careers with America	Administrative Careers with America procedures must be used when filling positions at the GS-5 and GS-7 level (and equivalent positions) in occupational series identified in Appendix D of the Delegated Examining Operations Handbook.			

Topic	DHA for NH	Veteran DHA for NH and NJ	Acquisition Student Intern Appointments	Scholastic Achievement Appointments
Veterans' Preference	Qualified candidates with veterans' preference should be considered when best meet mission requirements			
Clearance of PPP & ICTAP	Yes PPP No ICTAP	Yes PPP No ICTAP	No PPP No ICTAP	Yes PPP No ICTAP
AcqDemo DHA	• AcqDemo DHA may be used for: • AWF positions in all DAWIA Career Fields. • Non-AWF positions in direct support (51%) of acquisition positions filled using the direct hire authority for the NH career path or the veterans direct hire authority for positions in the NH and NJ career paths. • Only AWF positions filled by Acquisition Student Intern and ScholasticAchievement Appointments.			
Limitations	There are no numerical controls on the number of hires made under the four AcqDemo direct hire. However, Participating Organizations may implement hiring controls if necessary.			
			Enrolled in a program of undergraduate or graduate instruction at an institution of higher education leading to either: * A baccalaureate degree in a course of study required by OPM qualification standards for an acquisition position in an acquisition career field or * A degree providing competencies, knowledge, and skills directly linked to an acquisition position's requirements.	Cumulative grade point average (GPA) of 3.25 or better (on a 4.0 scale) in those courses in those fields of study that are specified in the OPM Qualification Standards for the occupational series and an overall undergraduate GPA of at least 3.0 on a 4.0 scale; and the appointment is into a permanent or term position at a pay level within the NH-II broadband level basic pay range. Appointments may also be made to the NH-III broadband level on the basis of graduate education and/or experience, but with the requirement of a GPA of at least 3.5 on a scale of 4.0 for graduate courses in the field of study required for the occupation
Expiration	December 31, 2023			

Appendix E – DoD College Acquisition Internship Program (DCAIP)

Department of Defense (DoD) College Acquisition Internship Program (DCAIP) (Implementing Guidance)

(07/11/2019)

Department of Defense (DoD) College Acquisition Internship Program

Mission

The Office of Human Capital Initiatives (HCI) is responsible for assisting the OUSD (A&S) in carrying out statutory powers, functions, and duties of the Secretary of Defense with respect to the Defense Acquisition Workforce (AWF) as it relates to the Defense Acquisition Improvement Act (DAWIA). HCI executes Department of Defense-wide acquisition workforce governance, strategies, policies, and talent management initiatives to equip a highly-qualified workforce of professionals in acquiring and delivering world-class warfighting capabilities to our Soldiers, Sailors, Airmen, and Marines.

Overview

Lethality and readiness are not just functions of our Service Members. DoD's civilian workforce is essential to sustaining the viability and capabilities of the All-Volunteer Force – among other things providing the critical equipment maintenance; weapons acquisition and sustainment; base support, logistics and engineering expertise; family support programs; business operations; and medical care that ensure our Soldiers, Sailors, Airmen, and Marines are ready to deploy, world-wide, and answer the call of our operational Commanders. The 2018 National Defense Strategy (NDS) states that "A modern, agile, information-advantaged Department also requires a motivated, diverse, and highly skilled civilian workforce, sufficiently sized and appropriately resourced. DoD civilians are an essential enabler of our mission capabilities and operational readiness." The NDS further directs efforts to build-up its civilian workforce to best serve mission requirements.

In support of the National Defense Strategy, DoD Human Capital Operating Plan, and the DoD Acquisition Workforce Strategic Plan, HCI recognizes we must cultivate the talent of our acquisition workforce. As part of our strategic talent acquisition effort, HCI created a branding platform for DoD civilian acquisition careers to increase national awareness of our outstanding career acquisition opportunities. Since 2017, HCI has engaged with numerous colleges and universities across the country, through exchanges with provosts, chancellors, and deans to significantly improve college and student awareness of DoD civilian opportunities. Our outreach efforts have laid the groundwork for the Department of Defense College Acquisition Internship Program (DCAIP).

Program Authority

To enhance Department of Defense (DoD) Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo) success, Congress, through the FY17 NDAA, transferred full management authority for AcqDemo from the Office of Personnel Management (OPM) to the Secretary of Defense (SECDEF).

Section 1742 of Title 10, United States Code (U.S.C), provides the Secretary of Defense authority to establish and implement an intern program for the purpose of providing highly qualified and talented individuals opportunities for accelerated promotions, career broadening assignments, and specified training to prepare them for entry into the Acquisition Work Force.

GENERAL PROVISIONS

1. Purpose.

The Department of Defense (DoD) College Acquisition Internship Program (DCAIP) is a highly competitive program that seeks to attract a diverse group of bright and innovative full-time college students for Acquisition Workforce (AWF) positions located throughout the country. The program is a paid, 10 week, summer hire opportunity designed to expose students, pursuing relevant undergraduate degrees, to the DoD AWF culture and to provide real world experience in various acquisition career fields. As part of our talent acquisition strategy to attract and retain, HCI centrally funds TERM positions specifically for full-time students currently enrolled in institutions of higher learning for a period during their summer and winter break, if desired. Students that successfully complete the internship program may be offered non-competitive conversion into permanent positions within the federal government.

The DoD College Acquisition Internship Program will:

- Emulate industry talent acquisition best practices;
- Make the acquisition workforce competitive with industry on college campuses;
- Promulgate the use of direct hire authorities and adopt hiring policies and procedures consistent with the new authorities;
- Reduce the burden on DoD Components by developing a program in which they can easily duplicate, or participate.

2. Roles and Responsibilities.

A Memorandum of Agreement (MOA) signed between the DoD Component and the Under Secretary of Acquisition and Sustainment USD (A&S) Human Capital Initiatives (HCI) will provide the framework for cooperation between the two parties to participate in the DoD College Acquisition Internship Program (DCAIP). The MOA will establish roles and responsibilities such as:

a. HCI will:

(1) Establish and manage the DoD College Acquisition Internship Program;

(2) Centrally fund the DCAIP student labor and relocation incentives;

(3) Issue and maintain strategic and program guidance;

(4) Provide DCAIP strategic communications, public notice and outreach to DoD components and academic institutions;

(5) Host DCAIP student application on website;

(6) Review applications to verify eligibility;

(7) Provide examples of DCAIP "student trainee" position descriptions;

(8) Distribute eligible applicant certification packages to participating DoD components;

(9) Maintain student application records complying with OPM requirements and NARA standards.

b. The DoD Component agrees to:

(1) Adopt all DoD Component provisions and duties included in DoD College Acquisition Internship Program Guide;

(2) Designate a DCAIP component lead responsible to:

a) Serve as the Components intern advocate;

b) Liaison with HCI;

c) Manage and oversee the component program;

d) Execute DCAIP in accordance with HCI program guidance;

e) Assist with outreach and branding;

f) Participate in the intern selection process;

g) Respond to HCI reporting requirements;

h) Ensure execution of DAWDF funds for student labor and incentives

(3) Execute Human Resources functions

a) Designate an HR Advocate that will participate in all DCAIP meetings;

b) Prepare DCAIP "student trainee" positions descriptions i.e. 0399, 0899, 0599, as applicable;

c) Participate in the intern selection process;

d) Generate Request for Personnel Actions (RPAs);

e) Issue/Rescind Tentative Job Offers (TJOs), as appropriate and No Later Than (NLT) 15 December;

f) Initiate security clearance investigations upon acceptance of TJOs;

g) Initiate drug test, if required;

h) Issue Firm Job Offers (FJOs);

i) Maintain student records complying with OPM requirements and NARA standards.

(4) Provide a meaningful on-boarding process;

(5) Assign each intern a mentor/sponsor;

(6) Document training and development;

(7) Convert ***eligible*** DCAIP interns to full-time entry level acquisition positions upon graduation;

(8) Notify HCI of any change in status, to include appointment, reappointment, extension of appointment, certification of completion of program, resignation, termination, readmission, and/or conversion.

c. PARTIES SHALL:

(1) Communicate and collaborate with each other to ensure timely and accurate reporting of the status of selections, job offers, security clearances, on- boarding, intern progress, and funding;

(2) Cooperate to resolve issues;

(3) Evaluate the effectiveness of the Program;

3. <u>Public Notification.</u>

HCI will develop and implement public notification and will advertise the DCAIP. Notification will include information such as: program information, duties, series and grade, salary, geographic locations, eligibility requirements, and how to apply.

- HCI WEBSITE: http://www.hci.mil/dodcareers/internship.html
- For questions about the DoD College Acquisition Intern Program, contact DoDCollegeInternship@hci.mil.

4. Program Accountability and Oversight.

The Director of HCI retains exclusive authority to establish and maintain oversight of the program and to establish caps on the number of individuals who may participate. Students selected to participate in the DoD College Acquisition Internship Program confer no right to further employment in the competitive or excepted service.

5. Selection.

Applicants will be assessed on basic eligibility using OPM qualification standards for student trainees and specific DoD Component qualification requirements.
Applicants meeting all eligibility requirements and submitting all required documentation by 2359 (11:59 p.m.) EST 1 October are place on a selection certificate by geographic location. All additional selection criteria will be determined by the participating DoD Component utilizing their internal Human Resource procedures.
DoD Components will issue Tentative Job Offers (TJOs) no later than 15 December. DoD Components will use internal procedures to ensure students are processed/on-boarded in a timely and meaningful manner. Appointments are subject to the same requirements governing term, career, or career-conditional employment.

6. Veterans' Preference.

If a student is claiming veterans' preference, they must submit a copy of their DD-214 (Member 4 copy), or other official documentation from a branch of the Armed Forces or the Department of Veterans Affairs showing dates of service and type of discharge. For more information on veterans' preference view FedsHireVets.

7. Citizenship.

Student applicants must be United States citizens to be eligible for security clearances and noncompetitive conversion to the competitive service upon approval of successful completion of the program.

8. Security Clearance.

DCAIP positions will require a security clearance. The security clearance level will depend on access to classified information and secure facilities that the intern will need to perform their job. The position description will annotate the appropriate clearance designation.

9. Drug Testing.

Drug Testing is a pre-employment requirement at various participating DoD Components.

10. Appointment.

Participating DoD Components will make appointments to DCAIP, pursuant to the implementation guidance of their applicable Direct Hire Authorities (DHAs) such as:

a. Post-Secondary Students and Recent Graduates (Appendix 1)

b. AcqDemo Student Intern (Appendix 2)

c. Department of Defense Science and Technology Reinvention Laboratory (STRL) (Appendix 3)

d. Defense Civilian Intelligence Personnel System (DCIPS) DoDI 1400.25, Volume 2005 (Appendix 4)

11. <u>Classification.</u>

a. Interns whose positions are under AcqDemo are to be classified as student trainees, in the xx99 series of the appropriate occupational group. As an example: NH I 0899 (Technical), or NH I 0399 (Non-Technical).

b. Interns whose positions are under the General Schedule (GS) are to be classified as student trainees, in the xx99 series of the appropriate occupational group. As an example: GS 0899 (Technical), GS 0399 (Non-Technical), or GS 0599 (financial).

c. Interns whose positions are under the Science and Technology Reinvention Laboratory (STRL) Demo are to be classified as student trainees, in the xx99 series of the appropriate occupational group. As an example: GS 0899 (Technical), or GS 0399 (Non-Technical).

d. Interns whose positions are under the Defense Civilian Intelligence Personnel System (DCIPS) are to be classified as student trainees, in the xx99 series of the appropriate occupational group. As an example: GG 0899 (Technical), or GG 0399 (Non-Technical).

12. <u>Intern Schedules.</u>

Interns will work full-time for 10 weeks of each summer. Participating DoD Components will arrange intern work schedules. Interns may also work full-time for 2 weeks over "winter" break should the employing DoD Component desire. Participating DoD Components will arrange intern work schedules.

13. <u>Non-Duty Status.</u>

At the conclusion of the 10 week Summer Internship DoD Components my place Interns into a Non-duty status upon their return to school, so they may be returned to duty over Winter break, or for the following summer providing they still meet the eligibility requirements of the program. Interns still meeting the provisions of the DCAIP program will not need to reapply. Participating DoD Components will need to verify that their Interns still meet the eligibility requirements of the DCAIP program such as:

- Holding a security clearance i.e. it has not been revoked; Continuing to be enrolled full-time in an undergraduate program at an accredited university;

- Maintaining a minimum GPA of 3.0/4.0;

- Verifying the Intern is not graduating before the start of the next Summer program.

14. Conversion to the Competitive Service.

A DoD Component may noncompetitively convert a student intern who has met all program requirements to a position in the competitive or excepted service under a term or permanent appointment.

To be eligible for conversion, an intern must:

- Complete the required number of hours of work experience (generally, at least 400 hours) while enrolled as a full-time degree-seeking student;

- Complete all educational requirements from a qualifying institution;

- Receive a favorable recommendation by an official of the DoD Component;

- Meet the OPM qualification requirements for the position to which the intern will be converted;

- Complete all other requirements as stipulated by the DoD Component.

15. Separations.

A DoD Component may terminate a student intern for misconduct, poor performance, ineligibility, or suitability issues. In the event of separation, DoD Components shall notify the HCI point of contact.

INTERNSHIP PROGRAM

1. Application Period.

Applications will be accepted starting on **1 September 2019** until the maximum number of applications per location have been received, or 2359 (11:59 p.m.) EST 1 October 2019. Applicants are encouraged to submit early as the window for popular locations will close much earlier than 1 October. Incomplete application packages will NOT be considered. Applicants must follow all the instructions on the checklist and submit their completed application package to: DoDCollegeInternship@hci.mil.

2. Participating DoD Components.

Students will have the opportunity to perform their internships within DoD Components participating in the DoD College Acquisition Internship Program. Participating DoD Components may vary year to year based on resources. Students selected will be placed in a DoD Component according to their geographic preference.

3. Program Tracks.

The DoD College Acquisition Internship Program generally has several tracks such as technical, financial, contracting, and business. Students in all degree fields are encouraged to apply.

4. Program Length.

Students selected will work full-time (40 hours/week) over 10 consecutive weeks between June and August of each year. There may be opportunities to work over winter break, based on the DoD Components requirements and needs.

5. Location.

Students will choose from a list of geographic locations coinciding with participating DoD Components.

6. Salary.

Students selected will earn an hourly rate based on their qualifications, education level, and set within the basic hourly range of ($13.00-$22.00); this rate includes a locality adjustment, which varies depending on geographic location.

7. Benefits.

Students selected to participate will benefit the most! The program offers interns an opportunity to gain the relevant work experience required when hiring within the U.S. government. Other benefits include:

- Opportunity to gain experience in research, analysis, report writing, oral briefings, policy development, program analysis, and computer applications as related to the acquisition workforce
- Paid Salary
- Training/Mentoring
- Security Clearance
- Earn annual leave, sick leave and paid federal holidays
- May qualify for a Student Intern Relocation Incentive (DoD Components determine)
- May gain the opportunity to non-competitively convert to a permanent Acquisition workforce position upon successful completion of the program

8. Eligibility Requirements.

This program is for currently enrolled, full-time college students. To be considered a student must not graduate before August of the summer program. To be eligible a student MUST:

- Be a U.S. citizen (Interns cannot hold dual-citizenship);
- Be suitable for Federal employment, determined by a background investigation;
- Be able to obtain and hold a security clearance;
- Be enrolled full-time as a sophomore or junior in an undergraduate program at an accredited university and have completed a minimum of 24 credit hours toward a specific degree program;
- Have a minimum GPA of 3.0/4.0;
- Be available for an interview and other applicable processing between October and December;
- Be available for the 10-week summer program June through August;
- If male, over 18 years of age, and born after December 31, 1959, you have registered with the Selective Service System;
- NOTE: Some positions require pre-employment drug testing.

9. Required Documents.

Application packets MUST NOT include Personally Identifiable Information (PII) such as Social Security Numbers, Financial Information, Race/Ethnicity, or Photographs.

Applications MUST include:

1. A completed Application Checklist (available on 1 September 2019);

2. Résumé that includes the following information:
   a. contact information;
   b. completed course work (unit/credit hours);
   c. academic standing/GPA;
   d. work/volunteer experience including the work schedule and hours worked per week as well as dates or employment; and title, series, and grade, if applicable;
   e. two (2) references that include the name, phone number and email address for each reference. References can be selected from a part-time or full-time job, prior internship, volunteer, or paid work experiences. References might include current or former supervisors, faculty mentors, campus staff or advisers, coaches or anyone in a professional position who can speak about your character, skills, and work ethic;

3. Current transcripts. An unofficial copy is sufficient with the application; however, if selected, an official college transcript will be required. Transcripts MUST include the student's name, name of the school, current GPA/academic standing, past, and current coursework, and # of hours toward degree program. If your school's transcripts or documentation do not provide all the necessary information listed above, you should include additional official academic documentation that meets the requirements;

4. Proof of Enrollment or Class Registration and documentation that states projected graduation date.*

   * Proof of Enrollment may include a screen shot of the student's semester class schedule, an official letter of enrollment, or listed on official transcripts. The document should show the academic institution where the full-time student is currently enrolled.

5. **DD-214 (Member 4 copy)** If you are claiming veterans' preference, you must submit a copy of your DD-214 (Member 4 copy), or other official documentation from a branch of the Armed Forces or the Department of Veterans Affairs showing dates of service and type of discharge. Ten-point preference eligibles must also submit an Application for 10-point Veteran Preference, SF-15, along with the required documentation listed on the back of the SF-15 form. For more information on veterans' preference view FedsHireVets.

Students submitting incomplete applications, applications for a location that has closed, or applications past the 1 October deadline WILL NOT be considered!

10. <u>Timeline.</u>

- 1 September: Application Opens
- 1 September – 1 October: Applications will be accepted starting on 1 September 2019 until the maximum number of applications per location have been received, or 2359 (11:59 p.m.) EST 1 October 2019
- 1 October: Application Deadline for all locations (2359 EST)
- 9 October: DCAIP Draft Day—CERTS delivered to participating DoD Components
- 10 October: ineligible students notified by HCI
- 10 October – 15 December: Selection Process— students under consideration may be contacted for interviews by participating DoD Component Human Resource Offices (HROs). HROs should make TJO's upon selection.
- NLT 15 December:
  - Tentative Job Offers (TJOs) extended by servicing DoD Component HRO
  - Security clearance background investigations are initiated
- NLT 30 April: Firm Job Offers (FJOs) should be extended to ALL selectees upon grant of interim secret clearances
- Late May/ Early June:
  - Interns Effective On Date (EOD)
  - Group On-Boarding
- Late May – Early August: 10 week Summer Internship Program
- Early August: 10 week Summer Internship Program Complete
- August: Interns placed in non-duty status upon DoD Component decision

11. <u>Appendices.</u>

1. Priority Placement Program (PPP) Exemption and Implementing Instructions for the Post- Secondary Students and Recent Graduates Direct Hiring Authority (DHA)

2. Priority Placement Program (PPP) Exemption and Implementing Instructions for AcqDemo Student Intern Direct Hiring Authority (DHA)

3. Implementing Instructions for Department of Defense Science and Technology Reinvention Laboratory (STRL) Direct Hiring Authority (DHA)

4. DoDI #1400.25, Volume 2005. DoD Civilian Personnel Management System: Defense Civilian Intelligence Personnel System (DCIPS) Employment and Placement. DCIPs Direct Hiring Authority (DHA)

5. Department of Defense College Acquisition Internship Program (DCAIP). Memorandum of Agreement (MOA) Template between HCI and participating DoD Components

12. <u>Frequently Asked Questions.</u>

1. Will I need to qualify for a security clearance?
A: Participants in the Internship program must be able to obtain and maintain a security clearance from the DoD. It is highly encouraged you read the attached security clearance adjudication guidelines prior to applying to the program. A copy of the standard security questionnaire form can be found at: http://www.opm.gov/forms/pdf_fill/SF86.pdf. Applicants should not submit a SF86 form at this time. Applicants will be notified when and if they are required to submit this form.

2. Is this a paid internship?
A: Yes, interns receive a competitive hourly rate for the duration of the internship.

3. Do I qualify for the internship if I have already completed my undergraduate degree?
A: No, to be eligible for the DoD College Acquisition Internship, you must be currently enrolled in a full-time undergraduate program.

4. Do I qualify for the internship if I am a Senior?
A: No, to be eligible for the DoD College Acquisition Internship Program (DCAIP), you must be enrolled full-time as a sophomore or junior in an undergraduate program at an accredited university and have completed a minimum of 24 credit hours

5. Do I qualify for the internship if I graduate before the summer program initiates?
A: No, DCAIP is not a recent graduate program.

6. When is the application deadline?
A: The application window will close upon the receipt of the maximum number of applications per location, or 2359 (11:59 p.m.) EST on 1 October 2019. You are encouraged to apply quickly and completely as popular locations will close earlier than 1 October.

7. Are international students eligible for an internship?
A: No, only U.S. citizens are eligible to participate in the DoD College Acquisition Internship program.

8. Do you provide housing?
A: No, Student Interns will not be provided housing. However, selected students may be eligible for a relocation incentive i.e. transportation to duty station and back; however, this must be coordinated with the hiring DoD Component in advance. You are encouraged to seek a location in which you have access to housing.

9. Do you provide a stipend for rent, utilities, etc.?
A: No, Student Interns will not be provided a stipend for rent, utilities, etc.

10. Will the Government pay to ship my car?

A: Absolutely not.

11. What if I used drugs or still use drugs; will this disqualify me from the internship or future employment?

A: To be considered suitable for employment with the DoD, applicants must generally not have used illegal drugs or misused prescription drugs within the last 12 months. The issue of illegal drug use prior to 12 months ago is carefully evaluated during the medical and security processing. Drug abuse is one of the common reasons applicants are denied a security clearance. Many jobs within the DoD require the applicant to be able to obtain and maintain a security clearance. Some jobs also require drug testing for safety or national security reasons.

12. I live in a state that has legalized the use of marijuana. How will that affect my internship and possible employment with the DoD?

A: While states such as Colorado and Washington have legalized recreational marijuana under state law, and 20 states plus the District of Columbia have legalized the use of marijuana for medical conditions, marijuana remains a controlled substance under federal law. Drug use is considered during the background investigation process, and may adversely impact your eligibility for a security clearance or suitability for employment.

13. What if the background investigation finds something disqualifying about me, will I have a chance to explain?

A: Yes, prior to the denial of a security clearance, you will be given an opportunity to provide additional information to explain the circumstances surrounding the issue. If the clearance is denied, you will also have the right to appeal that decision. It is advised that applicants be truthful and forthcoming throughout the investigative process, as failure to provide requested information is a serious issue.

14. When can I expect to hear if I was selected?

A: Participating DoD Components are responsible for selecting summer interns and notification will vary; however, if selected you should be notified no later than 15 December 2019.

Appendix F – Priority Placement Program Exceptions for the AcqDemo Project Intern Positions – LTR

OFFICE OF THE UNDER SECRETARY OF DEFENSE
4000 DEFENSE PENTAGON
WASHINGTON, D.C. 20301-4000

PERSONNEL AND READINESS

FEB 0 1 2019

MEMORANDUM FOR DIRECTOR, HUMAN CAPITAL INITIATIVES, OFFICE OF THE UNDER SECRETARY OF DEFENSE FOR ACQUISITION AND SUSTAINMENT

SUBJECT: Priority Placement Program Exemption for Civilian Acquisition Workforce Personnel Demonstration Project Intern Positions

This memorandum grants a Priority Placement Program (PPP) exemption for Civilian Acquisition Workforce Personnel Demonstration (AcqDemo) Project intern positions hired under the Civilian AcqDemo Project, pursuant to section 1762 of title 10 U.S. Code (U.S.C.) and Federal Register Notice (FRN), 82 FR 52104, 52118, dated November 9, 2017. The AcqDemo authority expires on December 31, 2023, and the PPP exemption will not apply thereafter. Any extension of the exemption will require further review and authorization by me.

Section 1762 of title 10, U.S.C., provides the Secretary of Defense authority to carry out a personnel management demonstration project. Flexibilities codified in the FRN include the authority to recruit and appoint certain undergraduate and graduate students seeking degrees in the acquisition career field to positions as interns. There is no limitation on the total number of students appointed during a fiscal year.

Consistent with other student hiring authorities under section 1106 of the National Defense Authorization Act for Fiscal Year 2017 and Pathways Programs, which are exempt from the PPP, human resources offices are not required to submit PPP requisitions when filling positions and effecting noncompetitive conversions under this authority. The audit trail for each recruitment transaction should be annotated with "PPP exemption – Office of the Under Secretary of Defense for Personnel and Readiness memorandum dated MM/DD/YYYY."

If you have any questions, my point of contact is Mr. Bobby Winn, at (571) 372-1530, DSN 372-1530, or e-mail at bobby.e.winn.civ@mail.mil.

James N. Stewart
Assistant Secretary of Defense for Manpower and Reserve Affairs, Performing the Duties of the Under Secretary of Defense for Personnel and Readiness

THE DEPARTMENT OF DEFENSE
CIVILIAN ACQUISITION WORKFORCE PERSONNEL DEMONSTRATION PROJECT
ACQUISITION STUDENT INTERN DIRECT-HIRE AUTHORITY
IMPLEMENTATION PROCEDURES

1. Authority

a. To enhance Department of Defense (DoD) Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo) success, Congress transferred full management authority for AcqDemo from the Office of Personnel Management (OPM) to the Secretary of Defense (SECDEF) in the FY17 NDAA. Section 1762 of Title 10, United States Code (U.S.C.) provides the Secretary of Defense authority to carry out a personnel management demonstration project.

b. The Federal Register Notice 82 FR 52104-52172 dated November 9, 2017 authorizes the Head of a participating organization, without regard to the provisions of 5 U.S.C. chapter 33, subchapter I (other than sections 3303, and 3328 of such title), to offer noncompetitive term appointments to candidates enrolled in a program of undergraduate or graduate instruction at an institution of higher education leading to either:

(1) A baccalaureate degree in a course of study required by OPM or DoD qualification standards for an acquisition position in a critical acquisition career field; or

(2) A degree that the completion of which (including any additional essential credit hours or related experience in an acquisition related field as defined by DoD internal issuances) provides competencies, knowledge, skills, etc., directly linked to an acquisition position's requirements (selective placement or quality ranking factors) for one of the critical acquisition career fields.

c. The authority to appoint qualified persons under the AcqDemo Student Intern direct-hire authority (DHA) is delegated to DoD Components.

d. Appointments under this authority may not be made after December 31, 2023, unless this date is extended by future legislation. DoD Components must maintain records on their use of this authority for themselves and for their serviced organizations until the authority expires, and may be asked to submit reports on usage of this authority.

2. Use of Direct-Hire Authority. The AcqDemo Student Intern DHA enables the Departments to recruit and appoint qualified persons directly without applying competitive rating and ranking procedures. When exercising the AcqDemo external hiring authorities, participating organizations will adhere to all applicable authorities and the following principles:

a. A highly qualified workforce is critical to the Department's acquisition mission; and

b. Recruitment efforts should be designed to attract diverse candidates who are representative of all segments of society; and

c. Participating Organizations must ensure transparency, accountability, and auditability in hiring processes; and

d. Merit factors shall be the basis for selecting individuals for positions. All personnel programs and practices shall be administered in accordance with DoD Directive 1020.02E, ''Diversity Management and Equal Opportunity in the DoD.''

3. Covered Positions. For purposes of this authority, this DHA may be used by DoD Components participating in AcqDemo for Defense Acquisition Workforce Improvement Act (DAWIA) coded and Direct Support positions at the Broadband I (post-secondary).

4. Responsibilities. Within the scope of this authority, each DoD Component will determine the appropriate use of this authority relating to recruitment needs, specific occupational series, grades, pay bands/levels, ensuring that programs are developed and implemented in accordance with merit system principles and applicable collective bargaining agreements.

5. Definitions

a. The term "current post-secondary student" means a person who:

(1) Is currently enrolled in, and in good academic standing at, a full-time program at an institution of higher education; and

(2) Is making satisfactory progress toward receipt of a baccalaureate or graduate degree; and

(3) Has completed at least one year of the program.

b. The term "institution of higher education" has the meaning given the term in sections 101 and 102 of the Higher Education Act of 1965 (20 U.S.C 1001).

6. Qualifications. Qualified individuals are those individuals who:

a. Meet the minimum standards for the position as published in OPM's operating manual, "Qualification Standards for General Schedule Positions," and any DoD qualification standards specific to the position to be filled; and

b. Meet any selective placement factor(s) and/or competencies identified as necessary for appointment to the position; and

c. An appointment may be made to any AcqDemo DAWIA-coded, or Direct Support position for which the individual is qualified. The duties of the position to which the individual is appointed should be related to either the participant's acquisition related academic or career goals. DoD Components may not require the completion of educational requirements or specific coursework for occupations that do not have a positive education requirement.

7. Announcement and Assessment Process

a. DoD Components will establish procedures for advertising positions pursuant to this authority in a manner that is most likely to provide diverse and qualified candidates and ensure potential applicants have appropriate information relevant to the positions available.

(1) Advertisements should inform applicants on how to apply and/or be considered (e.g., provide a publicly accessible link to a website that provides further information on how to apply and/or be considered). The information must include: position title, series, and grade; geographic location of the position; how to apply and/or be considered; qualification and eligibility requirements; and any other pertinent information.

(2) DoD Components must ensure merit system principles are followed when posting advertisements, receiving applications, rating and referring candidates, and notifying applicants regarding receipt of their applications and their status.

b. DoD Components will assess candidates against job-related criteria, ensuring that applicants have the skills and behavioral attributes that lead to success in the position.

8. Appointing Authority. Permanent, or Term appointments may be made using the following Legal Authority Code (LAC)/Legal Authorities:

a. For modified term appointments of current post-secondary students: Standard appointment Nature of Action Codes (NOACs) for Term Appointments with LACs **Z5C** – DoD Direct Hire - FRN Vol. 82, No. 216 dated 11/9/17, (Acq-Student Intern) Section II.B.4.d. and **Z2W** - Pub. L. 111-383, dated 1/7/2011.

b. For noncompetitive conversions to career or career-conditional appointments of post-secondary students completing academic and program requirements under the AcqDemo Student Intern appointment authority: Standard conversion NOACs for Term Appointments to career or career-conditional appointments with LACs **Z5C** – DoD Direct Hire - FRN Vol. 82, No. 216 dated 11/9/17, (Acq-Student Intern) Section II.B.4.d. and **Z2W** - Pub. L. 111-383, dated 1/7/2011.

9. Oversight and Accountability

a. The Under Secretary of Defense for Acquisition and Sustainment USD (A&S) is responsible for the development of DoD implementing guidance and policies.

b. The USD (A&S), Director of Human Capital Initiatives (HCI), also serving as the Office of the Secretary of Defense Functional Community Manager (FCM) for Acquisition, is responsible for oversight, accountability, and reporting for the acquisition community.

c. DoD Component heads are responsible for oversight, accountability, and reporting for their respective Component in coordination with their respective Director, Acquisition Career Management (DACM) and DoD Component Acquisition Executives (CAEs).

d. DoD Component heads shall provide information and data on the use of this appointing authority, in addition to the quarterly reporting described in paragraph 8 below, when

requested by the Defense Civilian Personnel Advisory Service (DCPAS), with a copy provided to the Director, HCI, USD (A&S).

e. Full documentation for appointments made under this authority, sufficient to allow reconstruction of the action, must be maintained for a time frame consistent with other appointing authorities.

f. DoD CAEs will provide oversight, accountability, and reporting for their respective acquisition communities on issues such as workforce planning, expanded recruitment strategies, and the use of recruitment incentives. The CAEs will provide information, as requested, to the USD (A&S) via the DACM.

g. HCI shall oversee and monitor use of this authority throughout the DoD and respond to reporting requirements from external parties on the authority and its use.

h. Appointments under this authority will be evaluated as part of AcqDemo and the DoD Human Capital Accountability Framework.

10. Authorized Positions. The AcqDemo Student Intern DHA is only for DAWIA and Direct Support positions under AcqDemo. AcqDemo appointments may be made under the competitive and excepted service. Appointments must:

a. Be within Agencies participating in AcqDemo; and

b. Made as permanent, or modified term.

11. Requirements for Post-Secondary Students

a. Schedules. Post-secondary students may work full-time or part time schedules. A student's work schedule should not interfere with the student's academic schedule.

b. Participant Agreement. DoD Components must execute a written participant agreement with each program participant that clearly identifies expectations, including but not limited to: a general description of duties; work schedules; expected date of completion of academic and program requirements; mentorship opportunities; training requirements, as applicable; evaluation procedures that will be used for the participant; and requirements for continuation and successful completion of the program.

c. Appointments and Conversions.

(1) Position Types upon Appointment and Conversion. Students may be initially appointed to positions for which they qualify in order to prepare them for conversion to the target position in a related to-grade interval occupational series upon completion of their academic program.

(2) Educational Requirements. Individuals being considered for initial appointments to positions leading to target positions with positive education requirements (e.g., engineering,

auditor) should be enrolled in directly related degree programs in order to meet the OPM qualification requirements for the target position upon completion of their academic program.

(3) Initial Appointment and Conversion.

(i) Post-secondary students will be initially appointed to a term appointment in the competitive service for an initial period expected to last more than 1 year and not to exceed the time limits stated in Federal Register / Vol. 82, No. 216, Part 316, Section 316.301 to include any future legislative and/or regulatory modifications to these time limits. Requests for extensions beyond these time limitations should be rare, and must be submitted through the Head of an AcqDemo participating organization.

(ii) Post-secondary students may be noncompetitively converted to a career or career-conditional appointment within 120 days of successful completion of their academic program requirements. The 120-day period for noncompetitive conversion starts when the student completes his or her academic requirements (as determined by the educational institution). DoD Components should defer to the educational institution for a determination of when degree requirements have been met. Students may continue to work during the 120-day administrative processing period. While the intent is to convert post-secondary students to permanent employment, conversion is neither automatic nor guaranteed. As a condition of employment, a student's appointment expires 120 days after completion of the designated academic course of study, unless the student is selected for noncompetitive conversion pursuant to this authority. It is recommended that DoD Components consult with their employee/labor relations office regarding potential non-conversions.

d. Eligibility Criteria. DoD Components may use requirements such as the ability to work a specified number of hours per week or be in good academic standing as eligibility criteria.

e. Sunset of Authority. Noncompetitive conversions of students participating in the program on the sunset date of this authority may be converted to permanent appointments following the sunset date of this authority.

Appendix G – Agreement for the Movement of Personnel Between the Civil Service System and the Defense Civilian Intelligence Personnel System (DCIPS) in the Department of Defense

AGREEMENT FOR THE MOVEMENT OF PERSONNEL BETWEEN THE CIVIL SERVICE SYSTEM AND THE DEFENSE CIVILIAN INTELLIGENCE PERSONNEL SYSTEM (DCIPS) IN THE DEPARTMENT OF DEFENSE

In accordance with the authority provided in 5 CFR 6.7 and pursuant to the following agreement with the Department of Defense (DoD), employees serving in the Defense Civilian Intelligence Personnel System (DCIPS), in the Defense Security Service (DSS), the National Reconnaissance Office, the Department of Defense Consolidated Adjudication Facility (DoD CAF), the Office of the Secretary of Defense, and in the Military Departments (Army, Navy (which includes the Marine Corps), and Air Force), hereafter referred to as the DoD Components of the Agreement, may be appointed to positions in the competitive civil service in and among the DoD Components of the Agreement. Likewise, employees serving in positions in the competitive civil service may be appointed to positions under DCIPS in the DoD Components of the Agreement, subject to the following conditions:

1. **Coverage.**

Coverage of this agreement extends to DCIPS employees and positions in pay plan GG in the DoD Components of the Agreement and to competitive service employees and positions in the General Schedule or equivalent in the DoD Components of the Agreement. Coverage does not extend to senior executive or senior professional positions in either DCIPS or the competitive service, or to any employees or positions outside of the DoD Components of the Agreement.

2. **Type of appointment held before movement.**

Employees of DCIPS must be currently serving in continuing positions under permanent excepted appointments in the DoD Components of the Agreement or have been involuntarily separated from such appointments without personal cause within the preceding year. Employees in the competitive civil service must be or have been serving in continuing positions under career or career-conditional appointments.

3. **Qualification requirements.**

Employees of DCIPS must meet the qualification standards and requirements for the competitive service positions to which they may be appointed in accordance with OPM established regulations for transfer of employees within the competitive civil service. Employees in the competitive civil service must meet the regular standards and requirements established by the DoD Components of the Agreement for appointment to DCIPS positions.

4. **Length of service requirement.**

DCIPS employees must have served continuously for at least one year in DCIPS positions in DoD Components of the Agreement before they may be appointed to positions in the competitive civil service under the authority of this agreement. Employees in the competitive civil service must have completed the probationary period required in connection

with their career or career-conditional appointments in the competitive civil service before they may be appointed to positions in DCIPS under the authority of this agreement.

5. Selection.

DCIPS employees in DoD Components of the Agreement may be considered for appointment to positions in the competitive civil service in the DoD Components of the Agreement in the same manner that employees of the competitive civil service are considered for transfer to such positions. Employees in the competitive civil service are given similar consideration for DCIPS positions consistent with the policies of the DoD Components of the Agreement covering other internal candidates.

6. Type of Appointment Granted After Movement.

DCIPS employees who are appointed to competitive civil service positions under the terms of this agreement will have career or career-conditional appointments, depending upon whether they meet the 3-year service requirement for career tenure. The service which commences with a permanent DCIPS appointment will be accepted toward meeting the competitive civil service requirement. Employees of the competitive service who are appointed to DCIPS positions under the terms of this agreement will receive excepted service appointments.

7. Probationary and Trial Periods.

Employees appointed under this agreement, who have previously completed a probationary or trial period, will not be required to serve a new probationary or trial period. Employees receiving an initial appointment to a supervisory and/or managerial position will serve a probationary period as prescribed by the DoD Components of the Agreement.

8. Status.

DCIPS employees who are appointed in the competitive civil service under the terms of this agreement will receive competitive civil service status upon appointment. Thereafter, such employees will be entitled to the benefits and privileges provided by the civil service rules and by OPM's regulations and instructions for persons having competitive civil service status. Employees of the competitive civil service who are appointed to positions with DCIPS under the terms of this agreement will receive the benefits and privileges that are normally provided to persons who initially receive DCIPS excepted service appointments.

9. Effective Date.

This agreement becomes effective upon signature of both parties. The agreement may be modified only with the mutual consent of DoD and OPM.

10. Ending Date.

This agreement expires on December 31, 2023, unless extended by mutual agreement. OPM reserves the right to terminate the agreement before the expiration date if it determines the conditions for continuation are no longer met.

2-13-2019 | 2-11-2019

Anita Blair (Date)
Deputy Assistant Secretary of Defense
Department of Defense

Margaret M. Weichert (Date)
Acting Director
U.S. Office of Personnel Management

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AcqDemo Chapter 5

Pay Administration

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5.0 Pay Administration

5.1 Table of Changes

Date of Change	Chapter(s)/ Section(s)	Topic	Remarks
02/01/18	All	Update for new Federal Register notice (FRN)	This chapter rewritten to align to 82 FR 52104, November 9, 2017.
02/01/18	5.22	Non-CCAS Award	Addition of AcqDemo LAC Z2W to NOAC 849 Award in order to recognize and track the usage of the authority in the AcqDemo FRN that allows a Service Acquisition Executive to approve an AcqDemo individual cash award not CCAS rating based between $10,000 not to exceed $25,000.
06/07/18	All	Administrative Updates	Various administrative updates. Realignment and renumbering begins after 5.18 due to admin changes.
06/07/18	5.19.1; 5.19.4.1; 5.22.1	Positions Involving 51% or More of Time in Direct Support to Acquisition Workforce (AWF)	Addition of verbiage “non-AWF” to these three sections.
06/07/18	5.20.2.2	Retained Pay	Differential Pay for Employees on Retained Pay
03/08/19	All	Administrative Updates	Various administrative updates throughout Chapter 5.
03/08/19	5.3.2	Control Points in Compensation Management	Provides definition of and guidance on the use of control points to ensure compensation equity and consistency within an AcqDemo organization.
03/08/19	5.3.2.3	Governance	Additional information on PPB will provide copies of business rules through Component Reps to the AcqDemo Program Office NLT 30 June of each year.
03/08/19	5.9.2	Setting Pay for Promotion (Permanent or Temporary)	Additional details added regarding competitive and non-competitive promotions vice pay setting amount.
03/08/19	5.17.2.3	Non-Equivalent Conversion Pay Setting Conditions	Addition of:

			• Pay setting conditions that prevent a WGI or Career Ladder Promotion Buy-in; and • Revised definition of Reassignment from AM 14-02
03/08/19	5.20.2.1	Limits on Supervisory Cash Differential	Removed verbiage "with a specified not to exceed date of one year or less" to "It is paid on a pay period basis and validated every year at the same time as the CCAS annual assessment. It may be terminated or reduced as dictated by fiscal limitations or changes in assignment or scope of work".
03/08/19	5.20.3.3	NOAC and LAC for AcqDemo Cash Differential	Deleted table and referred to Chapter 4, Appendix B, Processing AcqDemo Personnel Actions, Rule 21.
03/08/19	5.20.3.2	Processing Procedures	Change last two sentences to read "Cash differentials are reviewed and validated yearly at the same time as the CCAS annual assessment. An RPA is not required to extend the cash differential".
03/08/19	5.20.3.3	Processing Procedures	(1)Change to read "The Nature of Action and Legal Authority Codes plus remarks to be used for the AcqDemo cash differentials are referenced in Chapter 4, Appendix B – Processing AcqDemo Personnel Actions". (2)Delete NOAC and Legal Authority Table
05/01/19	5.3.2.4.1	Control Point Documentation on PRDs	Removed requirement for control points to be documented on PRD and revised language on options on where control points may be documented
09/11/19		ACDP	Moved ACDP to Chapter 6, Section 6.20
09/11/19	5.17.5	Federal Wage System (FWS) to AcqDemo Within-Grade Increase Buy-In	Information on calculating a WGI Buy-in for an FWS employee joining AcqDemo.

09/11/19	5.9	Promotion Pay Setting	Consolidated tables of competitive and non-competitive movements and associated pay setting into Chapter 4 and removed from Chapter 5.
09/11/19	5.24	Impact on Pay Setting of Hiring an Employee on Overseas Assignment Into AcqDemo	Added
09/11/19	Glossary, Definitions	Added AcqDemo Definition: Reassignment (Federal Employee Outside of the AcqDemo) Entering the AcqDemo	Adds additional pay changes that may occur with a reassignment action.
09/11/19	All	Administrative Updates	Administrative updates
07/31/20	5.4	Aggregate Limitation on Pay	Revised language to clarify what is counted against the aggregate
07/31/20	5.9.3.1	Upon Termination (of Temporary Promotion)	Replaced with language from Chapter 6, Appendix H 1.8.2.
07/31/20	5.19.2	ACDP Basic Pay Increases	Modified language to provide further clarification
07/31/20	5.20.2.1	Supervisory and Team Leader Cash Differentials	Added reference to Statement of Understanding.
07/31/20	5.20.3.2	Supervisory and Team Leader Cash Differentials	Added a new statement reference submission of an RPA.
07/31/20	Appendix A, Attachment 2	Statement of Understanding	Added Statement of Understanding example
07/31/20	Glossary Definitions	Control Points	Replaced Glossary Definition to align with Chapter 5.3.2.2.1 and moved Glossary to end of Ops Guide.

5.2 Introduction

5.2.1 This chapter supplements the pay administration provisions provided in 82 FR 52104, Section II.C. The Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo) provides managers, at the lowest practical level, the authority, control, and flexibility required to support the mission.

5.2.2 AcqDemo inspires the use of a compensation strategy that utilizes all available and appropriate compensation tools to attract and retain an agile, highly-skilled, professional AWF and the supporting personnel assigned to work with that workforce. Organizations executing the DoD acquisition mission need talent with very specific skills, knowledge, and certifications. To be successful in this mission also demands a commitment to providing the warfighter with state-of-the-art effective and reliable weapon systems that yield equally effective and predictable

results. AcqDemo's compensation philosophy insures equitable pay for the duties of the position, recognizes individual competency achievements, and rewards contribution to mission.

5.2.3 To assist in this endeavor, AcqDemo provides a number of flexibilities and policies for special situations such as:

- pay setting for new hires
- reinstatement eligible
- non-AcqDemo Federal civilian employees voluntarily accepting an AcqDemo position
- promotions
- buy-ins on voluntary permanent lateral transfers, reassignments, and realignments into AcqDemo
- changes to lower career path, broadband level, and/or basic pay
- supervisory and team leader cash differentials
- accelerated compensation for developmental positions

5.2.4 AcqDemo also provides a contribution-based compensation system that aligns employees' pay to their contributions to the organization's mission and to the scope, difficulty, and value of their positions.

5.2.5 The DoD AcqDemo Program Office is responsible for the issuance of policy and guidance on pay setting. Participating Organizations are encouraged, through their Personnel Policy Boards to issue internal guidance and/or criteria to further define their compensation policy and processes based upon fiscal conditions; qualifications and experience of selectees; market conditions; difficulty of position; organizational level of position within the position management structure; and funding levels for the CCAS. Copies of an organization's internal pay setting guidance will be provided to the AcqDemo Program Office.

5.2.6 Modifications to the AcqDemo pay administration guidance, processes, and/or procedures may be made by the DoD AcqDemo Program Manager as experience is gained, economic conditions change, results are analyzed, and conclusions are reached. Any supplemental policies, guidance, and procedures on pay setting (and modifications to those policies, guidance, and procedures) issued by the DoD AcqDemo Program Office and Participating Organizations will adhere to the pay administration provisions and waivers in Federal Register Notice 82 FR 52104.

5.2.7 This chapter publishes guidance for pay setting under AcqDemo for individual new hires and employees entering into AcqDemo after the initial conversion of an organization. Pay setting for conversion of an organization can be found in Chapter 2, Initial Conversion of Organizations Into and From AcqDemo.

5.3 Compensation Strategy

5.3.1 Goal

A primary goal of AcqDemo is to compensate employees appropriately based on the value of their position and their contribution to the mission of the organization. This goal promotes and encourages appropriate compensation for all. Although each position contained within a broadband level could have access to the complete range of pay options, it does not mean that all jobs within that broadband level should be compensated at the top rate of basic pay of the broadband level. Instead, management decisions should be made about the appropriate compensation value of the organization's position management structure, based on factors such as level of effort, required skills and/or certifications, labor market conditions, and the discriminators and descriptors within AcqDemo. Once made, management should seek to maintain that level of compensation. Total pay set above or below the target basic pay is contingent upon the employee's overall contribution to the mission. This approach challenges the organization to consider the value identified for each position when determining an appropriate level and means of compensation (basic pay adjustment and/or award) for individual pay setting.

5.3.2 Compensation Methodologies

5.3.2.1 General

AcqDemo includes appointment flexibilities designed to make DoD's acquisition organizations more agile and improve their ability to compete for talent, especially from the private sector. A key flexibility that distinguishes AcqDemo from General Schedule (GS) is its use of broadbanding, which allows movement through the broadband without the need for staffing actions. Broadbanding makes available a broader range of assignment flexibilities within a broadband level as well as position values. Currently, basic pay adjustments within a broadband level are made only with the AcqDemo CCAS Contribution Rating Increases (CRI) and/or ACDP basic pay adjustments.

5.3.2.2 Position Compensation Value

As the compensation value of organizational positions are identified, managers may consider utilizing appropriate means to preserve those values. Compensation methodologies include identifying the value of the position. The overall contribution scores (OCS) or values may be identified against an organization's position management structure and associated Position Requirements Documents (PRDs). Once identified the values are considered during hiring actions and in determining compensation to recognize contribution assessments. Means to preserve the identified compensation values may include the establishment of control points.

5.3.2.2.1 Definition

Control points are defined as compensation limits within a broadband level based on an organization's position management structure and assessment of the difficulty, scope, and value of positions. Control points are developed to ensure compensation equity and consistency within the organization. Compensation limits may be stated as a monetary value, control points, internal pay range within the broadband level, or an overall contribution score. Control points are published in local business rules and in vacancy announcements.

5.3.2.2.2 Maintaining Equity with Comparable Systems

When compared to their counterparts in other compensation systems, e.g., GS and Science and Technology Reinvention Laboratory demonstration projects, employees under a control point should maintain equity with the normal pay progression scenarios in these systems. For example, for positions equivalent to GS-14 in value and level of difficulty, management may consider establishing control points based on the base pay ranges of the lowest referenced GS grade in the appropriate broadband level, i.e., GS-14, step 10, for the NH-IV broadband level. A control point or a maximum OCS may be considered and if chosen will require management decisions to establish an appropriate compensation value or to increase an employee's basic pay above the identified compensation value. The use of such methodologies establishes compensation equity, consistency, and transparency for employees and supervisors alike throughout the organization.

5.3.2.2.3 Reality Check

No matter what the compensation methodology, over time positions reach a plateau where basic pay growth levels off, some at the top of a position's basic pay range and others at various points within that range due to an employee's contribution and the difficulty, scope, and value of a position as dictated by an organization's position management structure and compensation strategy.

5.3.2.3 Governance

Each AcqDemo Participating Organization has authority to manage and oversee its compensation policies within overarching USD(A&S), HCI, and/or AcqDemo Program Office policy and guidance. The Head of a Participating Organization approves the use of control points. The Personnel Policy Board (PPB) or equivalent board develops and recommends control point guidance and business rules; and oversees implementation and operation. The PPB reviews and evaluates impact of control points on workforce hiring, retention, and compensation, and communicates results to workforce, senior leaders, and HCI. PPB will provide copies of their business rules through their Component Representatives to the AcqDemo Program Office NLT 30 June of each year.

5.3.2.4 Requirements

5.3.2.4.1 The use of control points must be consistent with merit system principles and shall be applied consistently to similar positions in the same broadband level and career path. Control Points must be documented. Participating Organizations may document control points in the CCAS Salary Appraisal Document for (FY XX), Part I CCAS Salary Appraisal Form Remarks Section, Job Announcements, or Participating Organization business rules. Use of control points must be communicated to its workforce.

5.3.2.4.2 A Participating Organization must have an exception process to approve/deny compensation above a control point.

5.3.2.4.3 A Participating Organization must provide outreach and communication to its workforce on the use of control points.

5.3.2.4.4 When the results of the annual CCAS process are released to the workforce, information on the use and impact of control points must be included, i.e. number of employees with control points.

5.4 Aggregate Limitation on Pay

The calendar year aggregate limitation on pay under 5 U.S.C. 5307 and 5 CFR part 530, subpart B, of the rate payable for level I of the Executive Schedule applies to employees. In addition, the maximum rate of basic pay for each broadband level will be limited to the maximum rate of base pay for the highest referenced grade included in the broadband level. Other than where a retained rate applies, basic pay rates will be limited to the maximum rate of basic pay payable for each broadband level. Aggregate Limitation on Pay is a limit under title 5, United States Code, on the total amount of allowances, differentials, bonuses, awards, or other similar payments an employee may receive in a calendar year, when combined with the employee's basic pay.

5.5 General Pay Increase (GPI)

The GS base rates may be adjusted each January under the provisions in 5 U.S.C. 5303. Under AcqDemo, the minimum and maximum basic pay rate of each broadband level will be adjusted at the same time as the GPI. The amount of the increase calculated for an organization's AcqDemo employees will be based on the amount of any GPI, is allocated for use in that organization's pay pool fund, and disbursed to employees based upon their contribution assessments under the CCAS as described in **Chapter 6**, Contribution-based Compensation and Appraisal System.

If there is a GPI under 5 U.S.C. 5303 for General Schedule (GS) employees in addition to the typical annual increase or the annual increase is delayed beyond the normal CCAS payout timeframe, such an increase shall be paid to demonstration project participants in the same manner as to GS employees. The atypical GPI shall not be distributed through the pay pool process.

5.6 Locality Pay

All employees will be entitled to the locality pay authorized for their official worksite in accordance with 5 CFR Part 531, Subpart F, if eligible. In addition, the locality-adjusted pay of any employee may not exceed the rate for Executive Level IV under 5 U.S.C. 5304(g)(1) and 5 CFR part 531.606(a). Geographic movement within AcqDemo may result in the employee's locality pay being recomputed using the newly applicable locality pay percentage, which may result in a higher or lower locality pay and thus, a higher or lower adjusted basic pay. This adjustment is not an adverse action.

5.7 Special Rate

5.7.1 Conversion

AcqDemo does not utilize the Office of Personnel Management (OPM) derived special rates. Employees on special rates at the time of a management directed conversion of their organization into AcqDemo will have their pay protected under the provisions found in Chapter 2 of this Operating Guide.

5.7.2 Voluntary Movement into AcqDemo

New hires, reinstatement eligible, and non-AcqDemo Federal civilian employees entering an AcqDemo position not as the result of an organizational conversion will have pay set in accordance with Section 5.9, Promotions.

5.8 AcqDemo Highest Previous Rate (HPR)

AcqDemo HPR may be considered in setting pay in placement actions authorized under rules that are consistent with those found in 5 CFR 531.221 through 531.223 as adjusted for pay under the AcqDemo broadband system. Use of AcqDemo HPR will be at the discretion of the Head of the Participating Organization and subject to policies established by the organization's senior leaders and/or Personnel Policy Board. AcqDemo HPR allows a Participating Organization to set pay for an AcqDemo employee at a rate above the rate that would be established using normal AcqDemo rules, based on a higher rate of base pay the employee received previously in another Federal job. The AcqDemo HPR may be used for reemployment, transfer, reassignment, promotion, demotion, change in type of appointment, termination of a critical position pay authority under 5 CFR part 535, movement from a non-GS pay system, or termination of grade or pay retention under 5 CFR part 536. In any case, the employee's basic pay will not exceed the maximum basic pay for the broadband level upon the placement action.

5.9 Promotions and Reassignments (Competitive and Non-Competitive)

5.9.1 Definitions

5.9.1.1 AcqDemo Employees

5.9.1.1.1 A promotion occurs when an AcqDemo employee moves from his/her current broadband level to a higher broadband level within the same career path (e.g. NK-I to NK-II), or a different career path and broadband level in which the new broadband level has a higher maximum basic pay than the broadband level from which the employee is being moved (e.g., NK-II to NH-II). See Table 2, Appendix C, Chapter 4.

5.9.1.1.2 A reassignment is the movement of an employee from his/her current AcqDemo position to another AcqDemo position in the same or a different career path having a broadband level with the same maximum basic pay with or without competition. The reassignment would be without a pay increase unless highest previous rate is applicable. Note: Within band

increases other than through the CCAS CRI or an ACDP basic pay increase have not been approved based on feedback from Participating Organizations.

5.9.1.2 Non-AcqDemo Employee Entering the Demo via a Promotion

5.9.1.2.1 Graded System

A promotion action occurs when a current non-AcqDemo employee in a graded system is competitively or non-competitively selected for an AcqDemo position in a broadband level, which has a maximum basic pay higher than the maximum base pay of the selectee's current grade. Refer to Chapter 4, Appendix C**,** Table 1, Matrix of Competitive and Non-competitive Movements of GS Employees into AcqDemo and Table 2, Competitive vs. Non-Competitive Movements Within and Across AcqDemo Career Paths for pictorial representations of movement into, within, and across AcqDemo positions.

5.9.1.2.2 Pay Banded System

A promotion action occurs when a current non-AcqDemo employee in a pay-banded system is competitively or non-competitively selected for a position in an AcqDemo broadband level, which includes a higher maximum basic pay than that of the highest referenced grade included in the current pay band from which the selectee is moving. For information on different types of competitive and non-competitive movements involving promotions from a pay banded system refer to Chapter 4, Appendix C, Table 3, Sample of Competitive & Non-Competitive Movements of Employees with Pay Setting from another Demo into AcqDemo.

5.9.1.2.3 Competitive Promotions

Term refers to the type of action requiring competition among interested applicants for consideration for a higher broadband level position for which they had not previously competed.

5.9.1.2.4 Non-Competitive Promotions

Term refers to the type of action allowing placement of an applicant in a position without typically requiring competition among other interested applicants. For information on different types of non-competitive promotions, refer to Chapter 4, Section 4.11.

5.9.2 Setting Pay for Promotion (Permanent or Temporary)

5.9.2.1 Pay Setting Considerations

When setting pay for a promotion action, either permanent or temporary, consideration must be given to both the value of the position and the selectee's expected level of contribution in the new position. The basic pay for a permanent or temporary promotion action will be set within the broadband level for the employee's new position, starting at 0% not to exceed 20% of the employee's current basic pay. However, if the minimum rate of the employee's new broadband level is more than 20 percent greater than his/her current basic pay, then the minimum rate of the

new broadband level is the new basic pay. The employee's basic pay shall not exceed the maximum basic pay range of the new broadband level.

5.9.2.2 Impact of Post-Cycle Promotions (1 October to Start of New Pay Year)

Contribution and performance appraisals are based on data as of 30 September. If an employee receives a promotion after 30 September, but before the start of the new pay year, the Pay Pool Administrator will enter the promotion information in the post-cycle activity section of the employee record in CAS2Net. Data current as of 30 September is used in the CMS to compute new pay for the employee along with everyone else in the pay pool. During the preparation of transaction files to upload pay for the New Year to DCPDS the following are compared for the employee:

- Promotion pay plus GPI
- Pay from the CMS

The greater of the two becomes the new pay for the employee and is uploaded to DCPDS.

5.9.3 Temporary Promotion Basic Pay Adjustment Guidelines

5.9.3.1 Upon Termination

When the temporary promotion is terminated, an employee's pay entitlements will be redetermined based on the employee's permanent position of record with appropriate adjustments to reflect any CCAS ratings, e.g., a presumptive rating and/or General Pay increases applicable to the permanent position during the period of the employee's temporary promotion. If a CRI basic pay adjustment and/or only a GPI did occur upon CLG, the appropriate pay pool panel/manager level will determine a current basic pay using the previously approved CRI and/or GPI for the employee and may include appropriate considerations such as average basic pay growth in the pay pool average basic pay growth in the employee's career path broadband level, employee's development in skills and knowledge applicable to the permanent promotion, and experience gained while on the temporary promotion.

5.9.3.2 When Made Permanent

If a temporary promotion is made permanent immediately after the temporary promotion ends, the temporary promotion is converted to a permanent promotion without a change in basic pay. If there is any timeframe between the end of an employee's temporary promotion and the beginning of a permanent promotion, the employee must be returned to his/her permanent position and his/her permanent position's rate of basic pay recomputed as if the employee had never been temporarily promoted. Also, at the organization's discretion and if eligible, pay may be set in the permanent position based on a rate received under the temporary promotion if that would yield a higher basic pay rate under the highest previous rate (HPR) provision in Section 5.8. However, the higher basic pay rate may not exceed the maximum basic pay of the new broadband level. Whatever method is used, the resulting rate is the basis for any subsequent promotion.

5.10 Pay Retention

5.10.1 Calculation of Retained Pay

Retained pay under AcqDemo is the combined basic pay and locality pay compared to the maximum rate of the highest applicable rate range that applies to the highest referenced GS grade included in the broadband level of an employee's new position. If the retained rate is greater than the maximum rate of the highest applicable rate range for the new position, an employee continues to be entitled to the existing retained rate. If the retained rate is equal to or less than the maximum rate of the highest applicable rate range for the new position, the payable rate of basic pay is converted to the employee's new AcqDemo basic pay rate and appropriate locality pay, and retained pay terminates.

5.10.2 Pay Adjustments

Employees on retained pay in AcqDemo are to be treated as GS employees and will receive pay adjustments in accordance with 5 U.S.C. 5363 and 5 CFR part 536 except under the following provisions:

5.10.2.1 Pay retention provisions do not apply to conversions from GS special rates to AcqDemo pay, as long as total pay is not reduced

5.10.2.2 Pay retention provisions do not apply to movements to a lower broadband level as a result of not receiving the general increase due to a contribution assessment either annual or interim (contribution-based action), of Level 1- Unacceptable for the most recent contribution appraisal cycle and

5.10.2.3 Pay retention provisions provide that an employee on pay retention whose most recent annual or interim (contribution based action) assessment is Level 1- Unacceptable may have the 50 percent of the amount of the increase in maximum rate of basic pay payable for the broadband level of the employee's position reduced denied or given in full.

5.10.3 Promotion from Pay Retention

5.10.3.1 Pay Setting

When an employee on retained pay is promoted to a higher broadband level, the employee's basic pay upon promotion will be set in the higher broadband level:

a) Not to exceed 20 percent of the maximum basic pay of the employee's existing broadband level, or
b) At the employee's existing retained rate, whichever is greater, or
c) Where a participating organization uses and has published a control point or maximum OCS at that basic pay or a pay range within a broadband level, the employee may voluntarily accept a lower basic pay to take a position subject to a control point or maximum OCS at that basic pay or a pay range within a broadband level

Note: The final basic pay should align with the position's value (its target basic pay) and the employee's expected contribution in the position.

Example Case: In November 2016, an employee occupying an NK-02 position in the Washington, D.C. locality area was selected for promotion to an NH-02 position in the same locality area and offered a 6% basic pay increase. The employee was receiving a retained rate of $56,920.00. The DC locality rate was 24.78%.

2016 AcqDemo Basic Pay			
NH-01	NH-02	NH-03	NH-04
18343 - 32839	28262 - 67354	62101 - 96004	87263 - 33444
NK-01	NK-02	NK-03	
18343 - 32839	28262 - 45512	38771 - 61306	

Step 1. Calculation of promotion basic pay increase:
NK-02 broadband level maximum 2016 basic pay of $45,512.00 X 106% = $48, 242.72, the new promotion basic pay.

Step 2. Add appropriate locality pay 24.78% for Washington D.C. locality area to new promotion basic pay to obtain the payable rate of basic pay.
$48,242.72 new promotion basic pay X 124.78% = $60,197.267 rounded to $60,197.00 which is the employee's new payable rate of basic pay

Step 3. Compare new payable rate of basic pay to employee's retained rate.
$60, 197.00 new payable rate of basic pay vice retained rate of $56,920.00.

If payable rate of basic pay is greater than the retained rate, it becomes employee's new payable rate of basic pay and retained pay terminates.

$60,197.00 becomes employee's new salary in the NH-II broadband level as it is the greater pay rate

Step 4. For verification: determination of breakdown of basic pay and locality adjustment separately results in:
$48,242.72 promotion basic pay X 24.78% locality rate = $11,954.55 locality rate adjustment which when added to $48,242.72 promotion basic pay = $60,197.00

5.11 Adverse Action or Contribution-based Reduction in Pay to Include Change to Lower Broadband Level and/or Change in Career Path

An employee may receive an involuntary reduction in broadband level with or without a reduction in basic pay; an involuntary reduction in basic pay within his/her existing broadband

level and career path; and/or an involuntary move to a new position in a different career path due to an adverse or contribution-based action. Involuntary reductions in pay will result in a basic pay level consistent with an employee's demonstrated contribution level. For involuntary change to lower broadband level, the employee's basic pay will be reduced by a percentage determined by Participating Organizations, but will be set no lower than the minimum basic pay of the broadband level to which assigned. Employees placed into a lower broadband due to an adverse or contribution-based action are not entitled to pay retention.

5.12 Adverse Action or Contribution Reduction in Pay to Include Change to lower Broadband Level and/or Change in Career Path

Change to Lower Broadband Level/ Change in Career Path, other than by adverse or Contribution-based Action. If an employee is subject to an involuntary change to a lower broadband level/change in career path by other than an adverse or contribution-based action, such as a reclassification of his/her position, the employee is entitled to pay retention if all conditions in title 5 U.S.C. 5363 and 5 CFR part 536, subparts A and C are met.

5.13 Reduction–in–Force (RIF) Action (including Employee Who are Offered and Accept a vacancy at a Lower Broadband Level or in a Different Career Path)

The employee is entitled to pay retention in accordance with 5 U.S.C. 5363 and 5 CFR part 536, subpart A.

5.14 Voluntary Change to Lower Broadband Level

GS, AcqDemo, or other pay banded system employees who voluntarily accept a change to a lower broadband level are not entitled to a retained rate of pay, unless authorized by 5 CFR 536, Part 536, and Subpart A.

5.15 Hires from Outside AcqDemo

5.15.1 New Hires

5.15.1.1 Definition

New hires are defined as selectees who are receiving their first appointment to a position as a civilian employee within the Federal government. Newly appointed has the same definition as referenced in 5 CFR 575.102.

5.15.1.2 Pay Settings

For new hires, initial basic pay will be set within the basic pay range for the broadband level of the position for which hired at a level consistent with the individual's qualifications, or the level of work, and contribution expected for the position at the time of hire. Other considerations in determining starting basic pay are available labor market conditions relative to special

qualifications requirements, scarcity of qualified applicants, programmatic urgency, value of the position, and education/experience of new selectees. New hires occupying a GS career ladder position under the Pathways, Recent Graduate, or Presidential Management Fellow Program or under other traditional career ladder programs may remain in their career ladder position until they reach the full performance level for their General Schedule position, or converted to AcqDemo to afford access to ACDP.

5.15.1.3 Approvals

Depending upon their organization's business rules on pay setting, the selecting official may approve or recommend basic pay increases within a range of zero percent not to exceed a 10 percent increase over a selectee's current salary. However, recommended increases above 10 percent not to exceed the maximum basic pay for the broadband level must be approved by a designated management official at least one level above the recommending official, or approved as directed by organizational guidance.

5.15.2 Reinstatement Eligible Hires

5.15.2.1 Definition

Reinstatement eligibility refers to the ability of those individuals who previously held a career or career-conditional appointment to apply for jobs in the competitive Federal service open to status applicants. It generally allows a former Federal government employee to reenter the Federal competitive service workforce without competing with the public.

5.15.2.2 Pay Setting

For reinstatement eligible, 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 basic pay will be set within the basic pay range for the broadband level of the position for which hired at a level consistent with the individual's qualifications and the difficulty, scope, level of work and contribution expected for the position at the time of hire. Hiring officials will also determine starting basic pay upon available labor market conditions relative to special qualifications requirements, scarcity of qualified applicants, programmatic urgency, value of the position, and education/experience of new selectees. AcqDemo HPR as defined in section 5.8 and a Participating Organization's internal guidance may provide an appropriate tool for establishing basic pay in this instance.

5.15.2.3 Approvals

Depending upon their organization's business rules on pay setting, selecting officials may approve or recommend basic pay increases within a range of zero percent not to exceed a 10 percent increase over a selectee's current salary. Recommended increases above 10 percent not to exceed the maximum basic pay for the broadband level must be approved by a designated management official at least one level above the recommending official, or approved as directed by organizational guidance.

5.15.3 Non-AcqDemo Federal Civilian Employees Entering AcqDemo

A Federal employee entering into the AcqDemo from the GS or another pay system, not as the result of his/her organization converting to AcqDemo, will be moved into a career path and broadband level with basic pay set in accordance with AcqDemo guidance and reflective of the duties and responsibilities of the AcqDemo position and the individual's qualifications. 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 (OPM) *Guide to Processing Personnel Actions* or AcqDemo Program Office guidance. For promotion pay setting refer to paragraph 5.9 above and for lateral transfers, reassignments, and realignments refer to paragraph 5.16 below. In addition, AcqDemo HPR may provide an appropriate tool for establishing basic pay.

5.16 Lateral Transfers, Reassignments and Realignments

5.16.1 Definitions

5.16.1.1 Lateral Transfer (Non-AcqDemo Employee)

Movement between agencies/components without change in basic pay except as provided by any WGI buy-in and/or career ladder promotion buy-in for eligible employees or application of highest previous rate.

5.16.1.2 Reassignment (Non-AcqDemo Employee)

Change of an employee from one competitive service position in any other pay system to an AcqDemo position without promotion or change to a lower broadband level but may have a change in base pay as provided by any WGI buy-in and/or career ladder promotion buy-in for eligible employees, by application of highest previous rate, or an offer of reduced basic pay. Note: Pay can only be reduced if employee voluntarily agrees to lower pay.

5.16.1.3 Realignment (Non-AcqDemo Employee)

The movement of an employee and his or her position when (1) a transfer of function or an organization change occurs, and (2) the employee stays in the same agency, and (3) there is no change in the employee's position except the change of pay plan to an AcqDemo pay plan, the change of grade to broadband level, a change from one broadband level in another system to an AcqDemo broadband level but may have a change in base pay as provided by any WGI buy-in and/or career ladder promotion buy-in for eligible employees or by application of highest previous rate.

5.17 Within-Grade Increase Buy-ins

5.17.1 GS Employees

5.17.1.1 GS Employees Eligible for Buy-ins

Individual GS employees who enter the project voluntarily by permanent lateral transfer, reassignment, or realignment to an AcqDemo position in a broadband level containing a referenced GS grade the same as the employee's current GS grade may be subject to the same pay setting rules as those GS employees entering AcqDemo upon initial conversion of an organization. These rules provide an adjustment to an employee's base pay for a WGI and/or non-competitive career ladder promotion buy-in, if eligible. An automated tool is provided by the AcqDemo Program Office to facilitate the calculation of new broadband level basic pay for GS employees at http://acqdemo.hci.mil, select Tools, then select the Conversion Calculator. In any case, the employee's basic pay shall not exceed the basic pay range of the new broadband level.

5.17.1.2 GS Employees Ineligible for Buy-ins

Examples of situations where GS employees would not be eligible for a WGI or a career ladder promotion buy-in are: GS employees who are at the 10th step of their grade; employees on retained pay whose adjusted basic pay exceeds the maximum adjusted basic 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; 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; and GS employees who voluntarily accept a position in a broadband level with a maximum basic pay less than their current grade level. For the AcqDemo Conversion Calculator go to the http://acqdemo.hci.mil, select Tools, then select the Conversion Calculator.

5.17.1.3 Manual Process to Calculate the GS WGI Buy-In:

Step 1 Collect Required Information:

a. Organization conversion date or employee's start date in AcqDemo organization

b. Employee's SF-50 with last WGI

c. Determine number of weeks since last WGI

d. Time to Next Step: 52 weeks (Step 1 to 2, 2 to 3, 3 to 4), 104 weeks (Step 4 to 5, 5 to 6, 6 to 7) or 156 weeks (Step 7 to 8, 8 to 9, 9 to 10)

e. Most current GS Base Salary table with Within Grade Increase Amounts

Step 2 Calculate Formula for WGI Buy-in:

(Time in Step / Time to Next Step) * Within Grade Increase = WGI Buy-In

WGI Buy-In + Base Pay = New AcqDemo Basic Pay

New AcqDemo Basic Pay * Applicable Locality Rate = Locality Pay

New AcqDemo Basic Pay + Locality Pay = New Total Basic Pay

Example: Employee is GS-12 Step 5 ($72,080) in Rest of US Locality Pay Area (15.37%)

a. Start Date in AcqDemo – 17 Feb 2019
b. Employee last WGI – 21 Jan 2018
c. Time in Step (Number of weeks): 56
d. Time to Next Step: Step 5 to 6 = 104 weeks
e. Within Grade Increase for GS-12 = $2,120

(56 / 104) * $2,120 = $1,142

$1,142 + $72,080 = $73,222

$73,222 * 15.37% = $11,254

$73,222 + $11,254 = $84,476

(Note: This example used the 2019 GS Salary Table without the GPI.)

5.17.2 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 promotion buy-in. For examples of Career Ladder Promotion Buy-in see Chapter 2 Section 2.9.2 of this Ops Guide.

5.17.3 Non-Equivalent Conversion Pay Setting Conditions

WGI and or Career Ladder Promotion Buy-ins apply if the movement of a GS employee into AcqDemo provides 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 basic pay than his/her current base pay to take a position within a broadband level that has the same maximum basic 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.

5.17.4 Pay Systems without WGIs

Federal employees in other pay systems, e.g., Science and Technology Reinvention Laboratory Personnel Demonstration Projects, 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.

5.17.5 Federal Wage System (FWS) to AcqDemo Within-Grade Increase Buy-In

Step 1	Annualize the Employee's Current Rate by multiplying the employee's hourly rate by 2,087
Step 2	Identify the next step/rate
Step 3	Annualize the employee's new rate with the next WGI multiplying the employee's WGI hourly rate by 2,087
Step 4	New Rate minus Current Rate = Step/Rate Increase (Step 3 – Step 1 = Step/Rate Increase)
Step 5	Identify the waiting period between steps/rates, i.e., 26, 78 or 104 weeks
Step 6	Determine the Employee's Number of Weeks in the Current Step/Rate
Step 7	Divide the Employee's Number of Weeks in the Current Step/Rate by the Waiting Period between Steps/Rates for the Percent of the Buy-in
Step 8	Multiply the Step/Rate Increase by the Percent of the Buy-In for the WGI Buy-In (Step 4 * Step 7 = WGI Buy-In)
Step 9	Add the WGI Buy-In to the Employee's Current Rate for the New Total Salary (Step 8 + Step 1 = New Total Salary)
Step 10	Divide the New Total Salary (Step 9) by the Locality Rate for the AcqDemo Basic Pay
Step 11	New Total Salary minus the AcqDemo Basic Pay for the Locality Pay (Step 9 – Step 10 = Locality Pay)
Example:	In 2018, a WG-8, Rate 4, employee in Washington, DC ($27.86/hr.), is selected for a reassignment to a NH-II position also in Washington, DC

WG WL-WS Grade	WG-Rates 1	2	3	4	5	WL-Rates 1	2	3	4	5	WS-WD-WN Rates 1	2	3	4	5
1	*13.25	13.80	14.35	14.90	15.46	*14.57	15.18	15.79	16.39	17.00	*21.77	22.68	23.59	24.49	25.40
2	14.08	14.65	15.23	15.83	16.43	15.48	16.12	16.77	17.37	18.04	*22.80	23.75	24.70	25.65	26.60
3	15.86	16.52	17.20	17.84	18.50	17.42	18.16	18.89	19.60	20.32	24.38	25.39	26.40	27.41	28.43
4	17.68	18.40	19.13	19.87	20.61	19.43	20.23	21.03	21.85	22.64	26.19	27.29	28.31	29.43	30.50
5	19.47	20.26	21.10	21.88	22.72	21.40	22.27	23.18	24.08	24.97	27.96	29.15	30.30	31.48	32.62
6	21.26	22.14	23.04	23.91	24.79	23.37	24.36	25.32	26.28	27.29	29.76	31.01	32.24	33.47	34.70
7	23.07	24.03	24.97	25.93	26.89	25.36	26.41	27.47	28.50	29.58	31.56	32.88	34.18	35.50	36.81
8	24.80	25.74	26.79	27.86	28.83	27.33	28.42	29.52	30.69	31.81	33.13	34.43	35.79	37.25	38.60
9	26.12	27.33	28.31	29.40	30.55	28.79	30.00	31.14	32.43	33.64	34.47	35.91	37.39	38.81	40.24
10	27.60	28.78	29.94	31.11	32.24	30.39	31.65	32.88	34.19	35.44	35.96	37.44	38.90	40.38	41.90
11	29.02	30.31	31.53	32.74	33.91	31.95	33.33	34.65	36.04	37.30	36.82	38.35	39.88	41.45	42.97
12	30.50	31.79	33.07	34.33	35.59	33.50	34.93	36.36	37.70	39.12	37.98	39.56	41.17	42.72	44.36
13	31.94	33.20	34.62	36.01	37.25	35.13	36.64	38.07	39.55	40.99	39.18	40.81	42.46	44.07	45.71
14	33.37	34.78	36.15	37.54	38.98	36.75	38.26	39.81	41.33	42.87	40.30	41.96	43.65	45.34	47.00
15	34.82	36.28	37.70	39.19	40.61	38.34	39.91	41.57	43.12	44.75	41.58	43.32	45.04	46.74	48.50
										WS-16	43.03	44.82	46.61	48.39	50.18
										WS-17	44.66	46.52	48.37	50.23	52.08
										WS-18	46.44	48.39	50.32	52.23	54.21
										WS-19	43.25	45.05	46.85	48.65	50.46

* Rates for grade adjusted to comply with minimum wage for the District of Columbia

The waiting periods for advancement to the second, third, fourth, and fifth rates in all grades are:

- Rate 1 to Rate 2 – 26 calendar weeks of creditable service in Rate 1.
- Rate 2 to Rate 3 – 78 calendar weeks of creditable service in Rate 2.
- Rate 3 to Rate 4 – 104 weeks of creditable service in each of step 3.
- Rate 4 to Rate 5 – 104 weeks of creditable service in each of step 4.

Step 1 Annualize the Employee's Current Rate by multiplying the employee's hourly rate by 2,087.

$27.86 x 2.087 = $58,144 (Current Rate)

Step 2 Identify the next step/rate

WG WL-WS Grade	WG-Rates 1	2	3	4	5	WL-Rates 1	2	3	4	5	WS-WD-WN Rates 1	2	3	4	5
1	*13.25	13.80	14.35	14.90	15.46	*14.57	15.18	15.79	16.39	17.00	*21.77	22.68	23.59	24.49	25.40
2	14.08	14.65	15.23	15.83	16.43	15.48	16.12	16.77	17.37	18.04	*22.80	23.75	24.70	25.65	26.60
3	15.86	16.52	17.20	17.84	18.50	17.42	18.16	18.89	19.60	20.32	24.38	25.39	26.40	27.41	28.43
4	17.68	18.40	19.13	19.87	20.61	19.43	20.23	21.03	21.85	22.64	26.19	27.29	28.31	29.43	30.50
5	19.47	20.26	21.10	21.88	22.72	21.40	22.27	23.18	24.08	24.97	27.96	29.15	30.30	31.48	32.62
6	21.26	22.14	23.04	23.91	24.79	23.37	24.36	25.32	26.28	27.29	29.76	31.01	32.24	33.47	34.70
7	23.07	24.03	24.97	25.93	26.89	25.36	26.41	27.47	28.50	29.58	31.56	32.88	34.18	35.50	36.81
8	24.80	25.74	26.79	27.86	28.83	27.33	28.42	29.52	30.69	31.81	33.13	34.43	35.79	37.25	38.60
9	26.12	27.33	28.31	29.40	30.55	28.79	30.00	31.14	32.43	33.64	34.47	35.91	37.39	38.81	40.24
10	27.60	28.78	29.94	31.11	32.24	30.39	31.65	32.88	34.19	35.44	35.96	37.44	38.90	40.38	41.90
11	29.02	30.31	31.53	32.74	33.91	31.95	33.33	34.65	36.04	37.30	36.82	38.35	39.88	41.45	42.97
12	30.50	31.79	33.07	34.33	35.59	33.50	34.93	36.36	37.70	39.12	37.98	39.56	41.17	42.72	44.36
13	31.94	33.20	34.62	36.01	37.25	35.13	36.64	38.07	39.55	40.99	39.18	40.81	42.46	44.07	45.71
14	33.37	34.78	36.15	37.54	38.98	36.75	38.26	39.81	41.33	42.87	40.30	41.96	43.65	45.34	47.00
15	34.82	36.28	37.70	39.19	40.61	38.34	39.91	41.57	43.12	44.75	41.58	43.32	45.04	46.74	48.50
										WS-16	43.03	44.82	46.61	48.39	50.18
										WS-17	44.66	46.52	48.37	50.23	52.08
										WS-18	46.44	48.39	50.32	52.23	54.21
										WS-19	43.25	45.05	46.85	48.65	50.46

* Rates for grade adjusted to comply with minimum wage for the District of Columbia

Step 3 Annualize the employee's new rate with the next WGI multiplying the employee's WGI hourly rate by 2,087

$28.83 x 2.087 = $60,168 (New Rate)

Step 4 New Rate minus Current Rate = Step/Rate Increase
(Step 3 – Step 1 = Step/Rate Increase)

$60,168 - $58,144 = $2,024

Step 5 Identify the waiting period between steps/rates, i.e., 26, 78 or 104 weeks

104 Weeks

Step 6 Determine the Employee's Number of Weeks in the Current Step/Rate

68 Weeks

Step 7 Divide the Employee's Number of Weeks in the Current Step/Rate by the Waiting Period between Steps/Rates for the Percent of the Buy-in

68 Weeks / 104 Weeks = 65.3846%

Step 8: Multiply the Step/Rate Increase by the Percent of the Buy-In for the WGI Buy-In (Step 4 * Step 7 = WGI Buy-In)

$2,024 * 65.3846% = $1,323

Step 9 Add the WGI Buy-In to the Employee's Current Rate for the New Total Salary (Step 8 + Step 1 = New Total Salary)

$1,323 + $58,144 = $59,467

Step 10 Divide the New Total Salary (Step 9) by the Locality Rate for the AcqDemo Basic Pay

$59,467 / 1.2822 = $45,347

Step 11 New Total Salary minus the AcqDemo Basic Pay for the Locality Pay (Step 9 – Step 10 = Locality Pay)

$59,467 - $45,347 = $14,120

Total Salary – AcqDemo Base Pay = Locality Pay

5.18 Internal AcqDemo Employee Movement

5.18.1 Movement within a Broadband Level

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 Nature of Action Code (NOAC), it may be used to move non-AcqDemo employees into AcqDemo, move AcqDemo employees out of AcqDemo 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.

5.18.2 Change to Lower Broadband Level or Different Career Path

When an employee accepts a voluntary change to a lower broadband level or a different career path, basic pay may be set at any point within the broadband level to which assigned, except that the new basic pay will not exceed the employee's current basic pay or the maximum basic pay of the broadband level to which assigned, whichever is lower. Upon request for or acceptance of a change to a lower broadband level or different career path, the employee will be required to provide a written statement acknowledging voluntary acceptance and understanding of the influence of such a move on pay and benefits. This paragraph does not apply to promotion actions.

5.19 Accelerated Compensation for Developmental Positions (ACDP)

5.19.1 Definition

ACDP allows for more frequent basic pay increases for developmental positions. It recognizes employees in Defense Acquisition Workforce Improvement Act (DAWIA) coded positions and those in non-AWF positions requiring 51% or more of time in direct support of acquisition

positions in an acquisition career field classified to Broadband Levels I, II, and III of the Business Management and Technical Management Professional Career Path who:

a) Are participating in formal training programs, internships, or other developmental capacities; and
b) Have demonstrated successful or better growth and development in the attainment of job-related competencies; and
c) Have demonstrated effective accomplishment of a level of work higher than that represented by an AcqDemo employee's current rate of basic pay.

5.19.2 ACDP Basic Pay Increases

ACDP basic pay increases may be granted twice per CCAS appraisal cycle. Each ACDP basic pay increase may not exceed 10% of basic pay. An ACDP employee may not receive more than two basic pay increases in a CCAS cycle. However, an ACDP employee may be eligible to receive an additional rating increase through the CCAS process. Refer to Chapter 6, Section 6.20 for additional information.

5.20 Supervisory and Team Leader Cash Differentials

5.20.1 Definitions

5.20.1.1 Supervisory and team leader cash differentials may be used by Heads of Participating Organizations as an additional tool to incentivize and compensate supervisors and team leaders as defined by the OPM General Schedule Supervisory Guide or Leader Grade Evaluation Guide in situations where:

a) Organizational level and scope, difficulty, and value of position warrants additional compensation;
b) Supervisory and/or team leader positions are extremely difficult to fill; or
c) Salary inequities may exist between the supervisor/team leader and non-supervisory/non-team leader subordinates' basic pay.

5.20.1.2 The cash differentials are not automatic by virtue of holding a supervisory or team leader position. They will be used selectively, not routinely, to compensate only those supervisors and/or team leaders who fully meet the criteria in either sub-paragraph 5.20.1(1), (2) or (3) or a combination of these criteria. The contribution of supervisors and team leaders to the mission of their organization will be assessed separately under the CCAS.

5.20.2 Monetary Amount

5.20.2.1 Limits

A supervisory cash differential may not exceed 10 percent of basic pay and a team leader cash differential may not exceed 5 percent of basic pay. A cash differential is not paid from pay pool

funds; is not included as part of basic pay for entitlement calculations (e.g., retirement and Thrift Savings Plan); and is subject to the total aggregate limitation on pay. Because it is not part of basic pay, supervisors or team leaders who are at the maximum basic pay for their respective broadband level may still receive a supervisory cash differential. It is paid on a pay period basis and reviewed and validated every year at the same time as the CCAS annual assessment. It may be terminated or reduced as dictated by fiscal limitations or changes in assignment or scope of work. The differential must be terminated if the employee is removed, regardless of cause, from the position or voluntarily leaves the supervisory/team leader position for which the differential was granted. Termination or reduction of a cash differential is not an adverse action and is not subject to appeal or grievance. A signed Statement of Understanding (See Appendix A, Attachment 2) by an employee receiving a cash differential acknowledging all of the stipulations will be required.

5.20.2.2 Retained Pay

Supervisory employees on retained pay are eligible to receive a supervisory cash differential not to exceed 10% of the maximum basic pay for the broadband level of their position. Team leader employees on retained pay are eligible to receive a team leader cash differential not to exceed 5% of the maximum basic pay for the broadband level of their position.

5.20.2.3 Payment Criteria

In order to determine the amount of the cash differential, the following items are to be taken into consideration to help the organization attract, retain, and motivate high-quality supervisors and team leaders. The items are as follows:

a) budgetary constraints;

b) scope of supervisory duties; percentage of time involved in supervisory/team leader duties;

c) years and quality of related experience; employee's current level of remuneration as compared to the organization's compensation strategy for the level of supervisory/team leader position;

d) length of the assignment and difficulty of the supervisory or team leader duties;

e) organizational level of the position;

f) impact on the organization;

g) previous incentives received; and OCS, EOCS, and quality of performance rating.

5.20.3 Processing Procedures

5.20.3.1 To request a supervisory or team leader cash differential, a request package is initiated by the immediate supervisor, coordinated with the servicing HR Specialist, and approved/disapprove by a higher-level supervisor, manager, or equivalent as determined by the Participating Organization's business rules. The approval authority may also be assigned to the Pay Pool Manager/Panel or Personnel Policy Board. The request package contains a

memorandum from the supervisor or nominating official that describes the circumstances supporting the request, affirms that funds are available, and documents the approval process. A sample memorandum is provided at **Appendix A**. The package must also include a current organization chart and a comparison of the employee's current basic pay of his/her position's broadband level and any applicable control point/maximum OCS or internal broadband level pay range within the broadband level, and if applicable, the pay of the employees under the supervisor/team leader.

5.20.3.2 The request package is processed according to the Participating Organization's business rules. Once all reviews are completed and the approval/disapproval decision is reached, a specialist from the servicing HRO should contact the employee to obtain a signed statement of understanding regarding the various aspects of a supervisory cash differential as discussed in paragraph 5.19. Once all necessary documents are received, the servicing HRO specialist processes the Request for Personnel Action (RPA) to effect payment of the differential. Cash differentials are reviewed and validated yearly at the same time as the CCAS annual assessment. An RPA is not required to extend the cash differential if the dollar amount for basic pay remains constant. However, a new RPA is required if basic pay changes as the result of an increase in pay (i.e., GPI, CRI, etc.,)

5.20.3.3 The Nature of Action and Legal Authority Codes plus remarks to be used for the AcqDemo cash differential are referenced in Chapter 4, **Appendix B** – Processing AcqDemo Personnel Actions, Rule 21.

5.21 Recruitment, Relocation, and Retention Incentives

The participating AcqDemo organizations may make full use of the recruitment, retention, and relocation incentive payments under 5 U.S.C. 5753 and 5754; OPM's regulations at 5 CFR part 575, subparts A-C; and any supplemental policy guidance.

5.22 Student Intern Relocation Incentive

Recruitment of students is often limited to the local commuting area of the employing organization as college students frequently cannot afford to relocate to accept student intern job offers in a commuting area different from that of the college/university they are attending or their permanent home residence. To alleviate this barrier to recruiting the next generation of high performers, the Head of a Participating Organization may approve relocation incentives for new student interns and relocation incentives to student interns whose worksite is in a different geographic location than that of the college/university enrolled or their permanent home residence each time the student interns return to duty at their official worksites.

5.22.1 Eligibility

Relocation incentives are designed for Co-operative Education Students and Internship Program Students in programs leading to employment in DAWIA-coded positions or in positions requiring 51% or more of time in direct support of acquisition positions in a critical acquisition

career field classified to Broadband Levels I, II, and III of the Business and Technical Management Professional Career Path who:

a) Are participating in formal training programs, internships, or other developmental capacities; and

b) Have demonstrated successful or better growth and development in the attainment of job-related competencies; and

c) Maintain eligibility for continued participation in their formal training programs; and

d) Will accept employment outside of their geographical area.

e) Will sign a Service Agreement at **Appendix B** to the paying organization commensurate with the amount of the overall funds received.

5.22.2 Qualifying Expenses Processing

The initial incentive payment may be based on anticipated expenses, or a portion thereof, as documented on the pay setting worksheet at **Appendix C**. Documentation, to include receipts of actual expenses, must be provided by the student to validate initial incentive payment and for determining potential future payments. Actual expenses may include airline tickets, rental car, van rental, driving cost from each location, and lodging, Heads of Participating Organizations have the discretion to determine the appropriate incentive amount, which may or may not cover all expenses. Subsequent payments should not exceed prior expenses without proper justification. Heads of Participating Organizations may establish additional criteria and/or approval levels.

5.22.3 Processing

Once approved, an RPA plus the supporting documentation (Student Intern Relocation Incentive Worksheet, Service Agreement) will need to be sent to the servicing HR Office for processing. The NOAC is **816** – Relocation Incentive and the LACs are **VPW** – 82 FR 52104, dated 11/9/2017, Section II.B.4.E and **Z2W** – Pub. L. 111-383.

5.23 Non-CCAS Award

To provide additional flexibility in motivating and rewarding individuals and groups, some portion of a Participating Organization's award budget will be reserved for special acts and other categories as they occur. Awards may include, but are not limited to, special acts, patents, invention awards, suggestions, exemplary personal effort, and on-the-spot. The funds available to be used for these traditional title 5 U.S.C. awards are separately allocated within the constraints of the organization's budget.

The Service Acquisition Executives (SAE) of AcqDemo Participating Organizations will have the authority to approve an individual cash award not CCAS rating based within a range between $10,000 not to exceed $25,000. This special act award may be granted to covered employees in accordance with the criteria established by DoD, Component, or Agency instructions.

NOAC 849 - Individual Cash Award not Rating Based and LAC Z2W - Pub. L. 111-383 will be used for an 849 award authorized by a SAE under this AcqDemo initiative. Other Chapter 45 awards granted using NOAC 849 do not require a LAC.

5.24 Impact on Pay Setting of Hiring an Employee on Overseas Assignment Into AcqDemo

5.24.1 Background

Statutory return rights are granted to employees recruited from a non-foreign area for assignment outside the contiguous United States under 10 U.S.C. 1586. Employees granted return rights will exercise them with 5 years, unless the employee requests an extension of their return rights in order to service an extension at the overseas location and the activity to which the employee has return rights formally agrees to extend those return rights. Also 10 U.S.C. 1586 preserves the full benefit of pay entitlements of a career-conditional or career employee who rotates overseas.

When an employee exercises return rights from an overseas assignment and the overseas service was satisfactory, the employee is entitled to a rate of basic pay not less than the rate to which he or she would have been entitled had the employee not been assigned to duty outside the United States. DODI 1400.25, Volume 1230, July 26, 2012, provides guidance. From DoDI 1400.25, Vol 536: "Pay retention will be granted when an employee is reduced in grade/band on return from an overseas assignment under the terms of a pre-established agreement including when:

(a) An employee is released from a period of service specified in his or her current transportation agreement due to an involuntary, management-initiated action other than for cause.

(b) An employee who has completed more than 52 consecutive weeks of service under a current agreement is released from a transportation agreement for compelling humanitarian or compassionate reasons.

(c) A non-displaced overseas employee under no obligation to return to the United States is otherwise eligible for PPP registration in accordance with part 536 of title 5, Code of Federal Regulations.

Employees who are not granted return rights must register in the Priority Placement Program (PPP), and if in receipt of a valid offer, accept the position offer or be subject to separation. An employee with return rights may register in PPP, if otherwise eligible, to receive placement assistance to return to a different position. An employee with return rights can apply for PPP, if eligible, in order to return to a different position. Thus, hiring a person returning from overseas can be through either return rights or PPP. The employee can return with a lateral to the same broadband level or with a reduction to a lower broadband level. An employee returning to a new position with a promotion to a higher broadband level is another special case. Table below provides a quick reference to pay setting upon return from an overseas assignment.

Type of Move	**Scenario**
Lateral under Return Rights or PPP	Employee currently working overseas as a GS-12 step 7. Upon return to an NH-3 position in CONUS, the employee will receive pay equivalent to the GS-12 step 7 pay plus a WIGI buy-in unless eligible for a higher rate under statutory requirements or regulatory options, e.g., 10 U.S.C. 1586 or HPR.
Involuntary, Management-Initiated Action Requiring Employee to Exercise Return Rights to a Lower Grade Other than for Cause	Employee is currently a GS-12 step 5 and is returning to an NH-2 position. The employee will receive the pay equivalent to the GS-12 step 5 with a WGI buy-in and is placed on pay retention.
Return to Lower Grade When Exercising Return Rights or When Placed under PPP	Employee is currently a GS-12 step 5 and is returning to an NH-2 position. The employee will receive pay equivalent to the GS-12 step 5 pay unless eligible for a higher rate under statutory requirements or regulatory options, e.g., 10 U.S.C. 1586 or HPR.
Special Lateral Case for AcqDemo under Return Rights or PPP	An AcqDemo NH-4 (includes GS-14 and GS-15) employee with pay at a GS-15 level accepted a position overseas as a GS-14. They were given pay retention overseas so they received only 50% of the GPI pay raises while away. After 3 years they return to their previous position as an NH-4. The employee's pay is set to the amount it would have been with full GPI for each of the 3 years.
Special Case for Promotion	Same promotion rules as for hiring from CONUS.

Table 1: Pay Setting Upon Return From Overseas

Appendix A - Sample Supervisory/Team Leader Cash Differential Request Memorandum

MEMORANDUM FOR Chairman, Personnel Policy Board

SUBJECT: Request for Supervisory or Team Leader Cash Differential

1. Request approval for a ___% Supervisory or Team Leader (select one) Cash Differential for _____, current basic pay $_____. Mr./Mrs./Ms._____ is serving in the position of (state position title and organizational location) or has been selected for the position of (state new position title, organizational location, etc.,) that (meets one or more of the criteria in paragraph 5.19.1.1 of Chapter 5, Operating Guide. Select the appropriate criteria).

   - ☐ Organizational level and scope, difficulty, and value of position warrants additional compensation; and/or

   - ☐ Supervisory and/or team leader positions are extremely difficult to fill; and/or

   - ☐ Salary inequities may exist between the supervisors' or team leader's and non-supervisory/non-team leader subordinates' basic pay. Provide information describing how the work environment meets the criteria that was mentioned in paragraph 1.

2. Address as appropriate:

   a. Needs of the organization to attract, retain, and motivate high-quality supervisors and team leaders

   b. Organizational level of the position, importance of the supervisory/team leader position in the organization, and expected impact on the organization

   c. Budgetary constraints

   d. Scope and complexity of the work falling under the supervisory/team leader duties

   e. Percentage of time involved in supervisory/team leader duties (Must be a minimum of 25%)

   f. Workforce structure, occupations, career path(s), and broadband levels

   g. Years and quality of related supervisory/team leader experience

   h. Current level of remuneration as compared to the organization's compensation strategy for the level of supervisory/team leader position and to other similarly situated positions (Refer to Attachment 1 below)

   i. List any previous incentives received on Attachment 1

   j. Length of the assignment and difficulty of the supervisory or team leader duties

k. Last OCS, EOCS, and performance rating of record on Attachment 1

3. The necessary funds are available to support this request.

Signature block of Requesting Official or equivalent

Coordination with Resource Management/Budget Office:
Name: _____
Date: _____
Signature: _____

Approved_____Disapproved_____Returned_____
Reason for Disapproval or Return_____
Name: _____Date:_____
Chairman, Personnel Policy Board/Pay Pool Manager

Attachment

Attachment 1. Request for a Supervisory/Team Leader Cash Differential

A. Current Remuneration Compared to Organization's Compensation Strategy for Career Path NH Supervisory/Team Leader Positions

B. Remuneration compared to that of situated positions:

_____
_____
_____
_____
_____

C. Workforce Structure: (May attach an organizational chart.)

_____
_____
_____
_____
_____

Attachment 2. Request for a Supervisory/Team Leader Cash Differential

STATEMENT OF UNDERSTANDING
(Supervisory Cash Differential)

I understand that this supervisory cash differential is not included as part of my basic pay (to include locality) for entitlement calculations (e.g., retirement and Thrift Savings Plan); and is subject to the total aggregate limitation on pay. This cash differential is paid on a pay period basis with a specified not to exceed date of one year or less; reviewed every year at the same time as the CCAS annual assessment, and may be terminated or reduced as dictated by fiscal limitations or changes in assignment or scope of work. The differential must be terminated if the employee is removed, regardless of cause, from the position or voluntarily leaves the supervisory position for which the differential was granted. Termination or reduction of a cash differential is not an adverse action and is not subject to appeal or grievance.

_____	_____	_____
(Print Employee Name)	**(Employee Signature)**	**(Date)**

STATEMENT OF UNDERSTANDING
(Team Leader Cash Differential)

I understand that this team leader cash differential is not included as part of my basic pay (to include locality) for entitlement calculations (e.g., retirement and Thrift Savings Plan); and is subject to the total aggregate limitation on pay. This cash differential is paid on a pay period basis with a specified not to exceed date of one year or less; reviewed every year at the same time as the CCAS annual assessment, and may be terminated or reduced as dictated by fiscal limitations or changes in assignment or scope of work. The differential must be terminated if the employee is removed, regardless of cause, from the position or voluntarily leaves the team leader position for which the differential was granted. Termination or reduction of a cash differential is not an adverse action and is not subject to appeal or grievance.

_____	_____	_____
(Print Employee Name)	**(Employee Signature)**	**(Date)**

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Appendix B - Student Intern Relocation Incentive Service Agreement

[Insert any special component requirement (e.g. Department of the Army (DA) policy requires civilian employees selected for non-Government training in excess of 80 hours, or long-term training and developmental programs in excess of 120 calendar days (Government or non-Government) complete a service agreement before assignment to the training.)]

- The period of service will equal at least three times the length of the training, to begin upon the employee's return to duty following training completion.
- Nothing in this agreement shall be construed as limiting the authority of an agency to waive, in whole or in part, an obligation of an employee to pay expenses incurred by the Government in connection with the training.
- Approving officials will retain a copy of each signed agreement and monitor execution of the obligation period.

a. I AGREE that upon completion of the training that I have requested, I will serve in the Department of Defense (DoD) three times the length of the training period; except that if I receive no salary for the time spent in training the period of obligated service will be either one month or a period equal to the amount of time spent in training, whichever is greater. The length of part time training is the number of hours spent in class or with the instructor. The length of full-time training is eight hours for each day of training, up to a maximum of 40 hours a week.

b. If I voluntarily leave the DoD and the Federal service before completing the period of service agreed to in item a above, I AGREE to reimburse the DoD for the registration fees, tuition and matriculation fees, library and laboratory fees, purchase or rental of books, materials, supplies, travel, per diem, and miscellaneous other related training program costs (EXCLUDING salary) paid in connection with my training. However, the amount of the reimbursement will be reduced on a pro rata basis for the percentage of completion of the obligated service. (For example, if the cost of training is $900 and I complete two-thirds of the obligated service, I will reimburse the DoD $300 instead of the original $900.)

c. If I voluntarily leave the DoD to enter service of another Federal agency or other organization in any branch of the Government before completing the period of service agreed to in item a above, I will give my serving personnel office or training office advance notice during which time, in accordance with Federal regulations, a determination concerning reimbursement or transfer of the remaining service obligation to the gaining agency will be made. Requests to waive repayment of training dollars will be sent to *[insert component office]* for final coordination. Send requests, including the command's recommendation, to (INSERT NAME AND ADDRESS OF ACQDEMO ORGANIZATION AND POINT OF CONTACT INFORMATION).

d. I understand that any amounts which may be due to the employing agency as a result of any failure on my part to meet the terms of this agreement may be withheld from any monies owed me by the Government, or may be recovered by such other methods as are approved by law.

e. I acknowledge that this agreement does not in any way commit the Government to continue my employment.

Period of obligated service:

FROM (enter date): _____ TO (enter date): _____

I am not receiving any contributions, awards, or payments in connection with this training, from

any other government agency or non-Government organization and shall not accept such without first obtaining approval from the authorizing training official. I agree that should I fail to complete the requested training successfully, due to circumstances within my control, I will reimburse the agency for all training costs excluding salary associated with my attendance.
Trainee Signature Date Signed

_____ _____

Code of Federal Regulations: Title 5, Ch 410.309(c)
[Insert any component regulation (e.g. Army Regulations 690-400, Ch 410, subchs 1-16, 5-7, 5-8, and 14-2.)]

Appendix C - Student Intern Relocation Incentive Worksheet

Student Intern Relocation Incentive Worksheet	
SECTION A – CANDIDATE INFORMATION	
1. Name:	2. Current Organization or Employer:
3. Current Title:	4. Current PP/Broadband:
5. Current Basic Salary: $	6. Current Adjusted Basic Pay: $
7. Current OCS/Delta OCS and Quality of Performance Rating Level, if applicable:	
8. Education Level and/or Degree(s):	
9. Number of years of Relevant Experience:	

SECTION B – POSITION INFORMATION	
10. Organization/Office Symbol:	
11. Position Title:	12. Position PP/Series/Band:
13. Basic Pay Range of Position (e.g., List the Basic Pay Range of Career Path/Broadband Level): $	
14. Specialized Experience Required – Y N	

SECTION C – RELOCATION INCENTIVES FOR CO-OP/INTERNSHIP PROGRAM STUDENTS	
15. Student's Permanent Address (Home of Record):	
16. Relocation Expenses: $	17. Average Housing Expenses for Local Area: $
18. Temporary Housing Expenses: $	19. Other Expenses (Specify): $
20. Total Expenses (Attach Receipts): $	21. Allowable Expenses (Amount to Student): $

SECTION D – REQUIRED SIGNATURES
22. Typed Name/Signature Block of Recommending Official (Supervisor):

23a. Recommending Official Signature:	24b. Date:
25. Typed Name of Reviewing Official:	
26a. Reviewing Official Signature:	27b. Date:
28. Recommended Expenses: $ or Returned for Expense Revision:	
29. Reason for Return:	
30. Approved: Y N	
31. Typed Name/Signature Block of Approving Official:	
32a. Approving Official Signature:	33b. Date:
34. Remarks/Notes:	

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AcqDemo Chapter 6

Contribution-Based Compensation and Appraisal System

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6.0 Contribution-Based Compensation and Appraisal System

6.1 Table of Changes

Date of Change	Chapter(s)/ Section(s)	Topic	Remarks
11/09/17	All	Update for new Federal Register Notice (FRN)	This chapter rewritten to align to 82 FR 52104, dated November 9, 2017.
04/03/18	All	Administrative Updates	Various administrative updates. Realignment/renumbering due to admin changes.
06/07/18	6.18	Presumptive Ratings	Updated language
06/07/18	Add Appendix H	Temporary Promotions Under CCAS	Language on Temporary Promotions Under CCAS
03/08/19	Chapter 6 Various	AcqDemo Operating Guide	Corrected title, DoD Operational Guide, to AcqDemo Operating Guide throughout chapter.
03/08/19	Table 7	Example of Appraisal Quality Levels to Rating of Record (RoR)	Correction in 5th PAQL column from left to include an unacceptable rating of 1 for a factor.
03/08/19	6.9	PAQL Criteria	Legislative Citation invoking employee performance as the primary factor in Reduction-in-Force (RIF) separation found in NDAA FY 16, Section 1101, corrected from 1597(f) to 1597(e). Assume change made when coded into title 10 U.S.C. by Office of the Law Revision Counsel, House of Representatives.
03/08/19	6.16.5 Appendix A	Midpoint Review	Added that the supervisory midpoint review assessment is not grievable.
03/08/19	6.17.3.3	Appraisals	Clarified criteria for eligibility for an appraisal and payout for part time employees.

Date of Change	Chapter(s)/ Section(s)	Topic	Remarks
03/08/19	6.24.3	End of Cycle Transaction	Clarified the CCAS and PAQL information and documents to be retained
03/08/19	6.24.4	Employee's Personnel File	Added text from Executive Order 13839 regarding integrity of Employee's Personnel File
03/08/19	6.24.3	Change to Records Retention Requirements for End of Cycle Transaction	Deleted wording "for a minimum of four years"
03/08/19	6.26	Procedures to Update CAS2Net	Added a footnote regarding use of parts of CAS2Net 1.0 and the new CAS2Net 2.0 for the 2018 cycle.
03/08/19	6.7.4	Locality Pay	Change of paragraph to clarify guidance and improve comprehension and intent
03/08/19	Appendix A	Changes to comply with Executive Orders 13836, 13837, and 13839	Multiple changes required to promote accountability and streamline removal procedures consistent with Merit System Principles.
03/08/19	Appendix A	Contribution Improvement Plan (CIP)	Inserted additional information from Executive Order 13839 regarding the period of time allotted to demonstrate fully successful performance and no requirement to use progressive discipline.
03/08/19	Appendix C	Additional Feedback, Supervisor Recommended Ratings of Record, or Sub-Pay Pool Panel Recommended Ratings of Record	Clarified grievances concerning additional feedback employee may have received throughout the rating cycle, supervisor recommended ratings of record, or any recommended ratings submitted by the sub-pay pool panel (if applicable) are not permissible.
03/08/19	Appendix G	Integrity of Personnel Files	Added language from Executive Order 13839

Date of Change	Chapter(s)/ Section(s)	Topic	Remarks
03/08/19	Glossary – Chapter 6	Definitions	Clarified the definition for the acronym, CA, which stands for a rating based contribution award.
03/08/19	Appendix I	Employee Movement Matrix	Inserted copy of Employee Movement Matrix
03/08/19	All	Administrative Updates	Various administrative updates due to admin changes.
09/11/19	6.2	Introduction	Revised introduction to include ACDP Employees
09/11/19	6.3	Responsibilities	Added Responsibilities section to include AcqDemo PMO and Components along with Personnel Policy Board
09/11/19	6.5.3.6	Level 1 Supervisor/ Rating Official	Add subparagraph f
09/11/19	6.7.2, 6.7.3 and 6.7.5	Pay Pool Funding	Revised text to provide more flexibility in deciding amount of CA awards fund and % of available pay pool funds allocated to CRI and CA set-asides.
09/11/19	6.18	Presumptive Ratings	Revised definitions of the five presumptive ratings to include the element ratings for each factor.
09/11/19	New 6.20 Section	Accelerated Compensation for Developmental Positions (ACDP)	Updated to move the ACDP provisions into the CCAS Chapter 6 from Chapter 5 for better alignment of CCAS and ACDP performance based basic pay increases.
09/11/19	Appendices	Instructions for completion of variable requirements.	Removed hard coded time line or other variable information and provided guidance to insert current information such as FY; month, day, and year; and contact.
09/11/19	Appendix A, Attachment C	RoR	Add RoR to chart.

Date of Change	Chapter(s)/ Section(s)	Topic	Remarks
09/11/19	Appendix C	RoR and Annual Supervisory Assessment	Clarify RoR is grievable and add Annual Supervisory Assessment to both Non-Bargaining Unit Member and Bargaining Unit Member charts as grievable.
09/11/19	Appendices D, E, and F	RoR and PAQLs	Clarified difference between PAQLs and RoR. Added in information on grieving RoR to include PAQLs.
09/11/19	Appendix H – 1.7.2	Non-Fully Ratable Temporary Promotion	Provide flexibility to organizations wanting to give their employees the carry-over award
09/11/19	Appendix H	Add additional rule for Temporary Promotions that cross two appraisal cycles	1.7.5 – Additional rule to provide guidance for employees on temporary promotions that crossover into two appraisal cycles
09/11/19		Administrative Updates	Administrative updates
07/31/20	6.7.3.1 and 6.7.3.2	Pro-Rating Contribution Award and Time-Off Award	Added two flexibilities that were not previously included in Ops Guide
07/31/20	6.20.2 and 6.20.6.1	ACDP Basic Pay Increases	Modified language to allow flexibility in policy by stating an ACDP employee may not receive more than two increases in a CCAS cycle. Also added language to clarify the employee may receive an additional rating increase through the CCAS process
07/31/20	6.10.6 and Definitions/Acronyms	Administrative	Updated language from Normal Pay Range to Normal Pay Region in line with FRN
07/31/20	6.22 (Step 5)	Evaluation at Conclusion of the Appraisal Cycle	New language added to include flexibilities in the CMS

Date of Change	Chapter(s)/ Section(s)	Topic	Remarks
07/31/20	6.26.2	Pay Pool Administrator	Added clarifying language on Requests for Personnel Action
07/31/20	6.8.7.6	Factor Weights	Add new paragraph on the use of Factor Weights
07/31/20	Attachment A	Table and Chart	Updated to reflect Normal Pay Region
07/31/20	6.20.4.3	Pathways Programs	Changed the word from consecutive to cumulative to allow for flexibility and to compensate interns appropriately
07/31/20	6.26.2	Pay Pool Administrator	Added clarifying language on Requests for Personnel Action
07/31/20	Appendix H	Paragraph 1.8.2	Rewrite of Employee Returns to Permanent Position of Record for clarification
07/31/20	Appendix I	Rating Official Change and Employee Movement Matrix	Replaced with current Matrix
07/31/20	Glossary	Control Points	Updated definition as described in 5.3.2.2.1 and moved Glossary to the end of Ops Guide

6.2 Introduction

6.2.1 The purpose of the DoD Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo) Contribution-based Compensation and Appraisal System (CCAS) is to provide an equitable and flexible method for appraising and compensating the Department of Defense (DoD) civilian acquisition workforce (AWF) and its supporting personnel. It is central to the objectives of the Defense Acquisition Workforce Improvement Act (DAWIA) and acquisition initiatives, which emphasize continuing efforts to increase the productivity, efficiency, and effectiveness of the Department's many acquisition, technology, and logistics efforts, and the professionalism of the AWF.

6.2.2 CCAS integrates classification, contribution, quality of performance, compensation, and development into a cohesive management system. This system recognizes level of difficulty, scope, and value of an employee's position; impact of contribution results on strategic goals, objectives, and organizational mission accomplishment; extensive developmental opportunities related to an employee's scope of work; and appropriate compensation in recognition of the value of an employee's contribution and position. CCAS allows for more employee involvement in the developmental/contribution/performance appraisal processes, increases communication between

supervisors and employees, promotes a clear accountability of contribution and performance by each employee, facilitates employee development, identifies progression tied to organizational contribution, and provides an understandable basis for basic pay changes.

6.2.3 CCAS also provides a component—Accelerated Compensation for Developmental Positions (ACDP)—dedicated to developing, assessing, recognizing, and rewarding employees in formal developmental programs for achieving successful attainment of job related competencies, for accomplishment of higher level more difficult work, and for providing more frequent basic pay increases.

6.2.3.1 Eligible Employees

ACDP recognizes employees in DAWIA-coded positions and those in non-AWF positions requiring 51% or more of time in direct support of acquisition positions in an acquisition career field classified to Broadband Levels I, II, and III of the Business Management and Technical Management Professional Career Path who:

a) Are participating in formal training programs, internships, or other developmental capacities; and
b) Have demonstrated successful or better growth and development in the attainment of job-related competencies; and
c) Have demonstrated effective accomplishment of a level of work higher than that represented by an AcqDemo employee's current rate of basic pay.

6.2.3.2 Funding

ACDP basic pay increase funds are allocated separately from the CCAS pay pool funding but are included as part of an employee's total basic pay. Most of the funds previously allocated for in-band promotions, within-grade increases, and performance-based awards will be reserved for distribution under the CCAS pay pool system based on employee contribution. More ACDP information is found in Section 6.20 below.

6.2.4 CCAS is a contribution-based appraisal system that goes beyond a performance-based rating system. That is, it emphasizes and measures the value and effectiveness of the employee's contribution to the mission and goals of the organization, rather than merely how well the employee performed a job as defined by a set of standards for the work to be accomplished. Past experience with the existing civilian performance appraisal system indicates that standards in performance plans are often tailored to the individual's level of previous performance. Hence, an employee may have been rewarded by basic pay step increases meeting standards of performance beneath those actually needed to achieve the expected organizational mission outcomes.

6.2.4.1 Under CCAS, an employee's performance is a component of contribution that influences the employee's ultimate overall expectations and contribution assessment. CCAS promotes basic pay adjustment decisions made on the basis of an individual's overall annual contribution to the mission of the organization, with consideration to the classification and appraisal factors and an employee's contribution plan, expected results, and the scope, level of difficulty, and value of the employee's position.

6.2.4.2 The three key components of CCAS are the Contribution Plan, Mid-Point, and Annual Assessment. This may include ACDP if applicable. CCAS includes the employee self-assessment; any ACDP Plan assessment; and supervisor assessment with recommended categorical scores, numerical scores, and performance appraisal quality levels for each of the three contribution factors), the Integrated Pay Schedule (IPS) as a mechanism to relate contribution to pay, and the compensation adjustment results.

6.2.4.3 The CCAS appraisal period is October 1 through September 30 of the following year, with an effective date of January 1st for the appraisal and the beginning of the first full pay period in January after the end of the appraisal period for the payout.

6.3 Responsibilities

6.3.1 DoD AcqDemo Program Office

The Program Office issues general parameters for use by all AcqDemo organizations for overall consistency, implementation, and sustainment of the CCAS.

6.3.2 Components, DoD Agencies, and DoD Field Activity organizations provide policy and guidance as appropriate.

6.3.3 Personnel Policy Board

6.3.3.1 It is envisioned that each Participating Organization, to include subordinate AcqDemo participating organizations and/or teams, shall establish a Personnel Policy Board (PPB). The PPB is the body to manage, evaluate, and make policy and procedural changes for its respective organization within the parameters of the AcqDemo Project Plan published in the Federal Register Notice 82 FR 52104, DoD AcqDemo Program Office guidance, and Department of Defense Instructions (DoDIs). The Executive Director, members, and staff of the Board are designated by the Head of the Participating Organization.

6.3.3.2 Should any Participating Organization elect not to establish a PPB, the charter of an existing group within the respective organization must be modified to include the duties identified below. At a minimum, the PPB is tasked with the following:

1) Overseeing the civilian pay budget;
2) Addressing the need for a compensation management strategy/business rules (i.e., supervisory and team leader cash differential, Accelerated Compensation for Developmental Position (ACDP), control points, etc.);
3) Developing local organizational policy and guidance under AcqDemo Program Office, Component, Agency, or Field Activity corporate parameters, as appropriate. They may establish funding percentage to be used for ACDP basic pay increases within the range provided by the AcqDemo Program Office and establish

parameters for formal contribution and developmental growth programs that meet title 5 Code of Federal Regulations requirements and are published in local business rules.

4) Addressing issues such as classification, recruitment, and pay setting, associated with two or more pay systems (e.g., AcqDemo, General Schedule (GS), DCIPS, and other pay banded systems);
5) Determining the composition of the CCAS pay pool in accordance with the established guidelines and statutory constraints;
6) Reviewing operation of the organization's CCAS pay pools;
7) Providing guidance to pay pool managers;
8) Administering funds to CCAS pay pool managers;
9) Reviewing hiring and promotion salaries;
10) Monitoring Contribution Rating Increase and Contribution Award pool distribution by organization and AWF employees vs. non-AWF employees;
11) Assessing the need for and making changes to local demonstration project procedures and policies (business rules) when needed to further define specific interventions to ensure standard application across the participating AcqDemo organization(s) and/or team(s);
12) Establishing and monitoring quality of performance process and reviewing results for fairness and consistency; and
13) Publishing local business rules. See **Appendix A** for a sample business rule template.

6.4 Pay Pool

A pay pool is a group of employees among whom the funding allocated to CCAS is distributed. This might be all the employees in a division or directorate, or employees involved in the same type of work, e.g., supervisors. The pay pool structure and allocated funds are under the authority of the Personnel Policy Board. The following minimal guidelines will apply.

6.4.1 Composition

A pay pool:

a) Is based on the organizational and/or functional structure and should include a range of salaries and contribution levels;
b) Should be large enough to constitute a reasonable size, i.e., not less than 35 individuals (when possible) or more than 300 individuals when sensible;
c) Should be large enough to include a second level of supervision, since the CCAS process uses a group of supervisors in the pay pool panel to determine quality of performance, OCS, and recommended basic pay adjustments; and

d) May have the pay pool manager as a member of the pay pool. However, the pay pool manager shall not directly influence or participate in the determination of his/her own contribution assessments, quality of performance, recommend his/her own individual basic pay levels, or establish the amount of his/her own individual basic pay levels. Also, the supervisors on the pay pool panel shall not directly influence or participate in the determination of their own contribution assessments and quality of performance, recommendation their own individual basic pay levels, or establishment of the amount of their own individual basic pay levels.

6.4.2 For larger pay pools, a sub-panel structure should be considered to ensure consistency; same standards for evaluating contribution and performance are applied across the pay pool. **See Figure 1** – Larger Pay Pool Example.

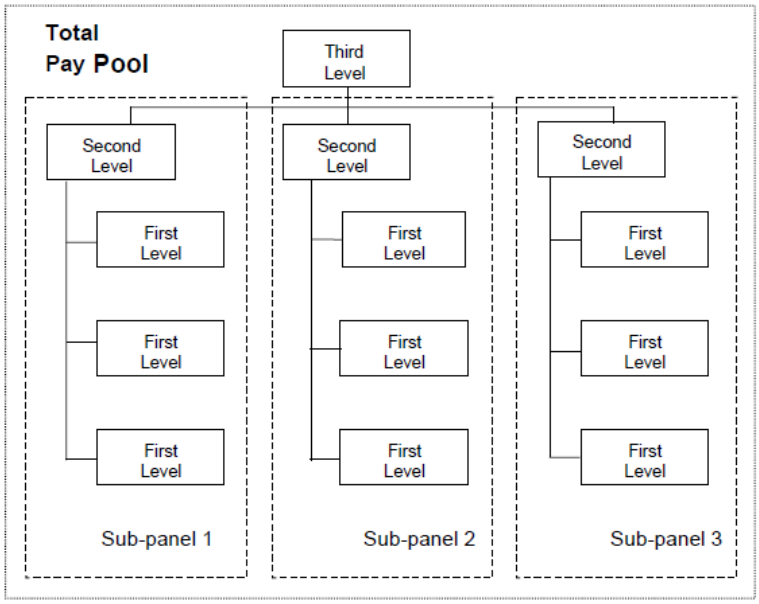


Figure 1: Larger Pay Pool Example

6.5 Pay Pool Panel Process

6.5.1 The CCAS pay pool panel process is designed to validate the evaluation of contribution and performance against the three factors among a group of peer managers from across an organization. This process works to achieve fairness and standard application of the factor descriptors, expected contribution criteria, and performance appraisal quality levels. At the onset of each appraisal period, a Personnel Policy Board or equivalent board verifies the accuracy of the pay pool structure for the organization, develops and/or validates pay pool business rules, and administers funds to pay pool managers. The pay pool panel is typically composed of the pay pool manager and those who report directly to him/her. Their purpose is to share a common view of the organization mission, goals, and objectives in reviewing the contribution and performance of employees by subordinate supervisors and bring a common perspective to how employees are evaluated and, therefore, compensated and appraised.

6.5.2 During the pay pool panel process, panel members will review the preliminary/recommended categorical scores, numerical scores and performance appraisal quality levels for the contribution factors and supervisor assessments of performance for the official rating of record for all pay pool members (employees), Contribution Rating Increase, carryover award and Contribution Award payouts, for consistency and equity of application within the pay pool population before final approval by the pay pool manager. See section 6.22 for the pay pool panel process at the conclusion of the appraisal cycle.

6.5.3 Pay Pool Manager and Pay Pool Panel Members

6.5.3.1 The pay pool panel process provides an opportunity to evaluate how the contributions and performance 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. And the yearly CCAS process provides an organization with an opportunity to gain insight into its overall effectiveness.

6.5.3.2 Activities whose employees are represented by a union should invite that union to participate in the pay pool process. The union's participation may include membership on the pay pool panel as observers, 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 among the employees in the pay pool. The extent of this involvement should be defined in the negotiated agreement.

6.5.3.3 Pay Pool Manager

The pay pool manager (who is generally at a higher organizational level than all of the above-mentioned supervisors) is the individual within the organization who is responsible for managing the CCAS process and approving the pay pool results. As such, the pay pool manager has annual pay adjustment authority. The pay pool manager may be a member of the pay pool, however, the pay pool manager shall not directly influence or participate in the determination of his/her own contribution assessments, recommend his/her own individual basic pay levels, or establish the amount of his/her own individual basic pay levels. The pay pool manager is responsible for:

a) Managing the contribution rating increases and contribution awards for their respective pay pool;

b) Convening and oversight of the Pay Pool Panel;

c) Ensuring judicious use of pay pool funds balanced against budget policies and based on employee contribution and performance;

d) Enforcing pay pool procedures and policies;

e) Identifying the need and the publication of factor weights;

f) Ensuring that Level 1 Supervisors comply with timely issuance of contribution plans, mid-term reviews and annual assessments;

g) Approval authority for the supervisor annual assessments, categorical and numerical scores, OCS, PAQLs (pronounced payquil), rating of records, General Pay Increases (GPI), CRIs, CRI carryovers and CAs;

h) Reviewing all supervisory and team leader cash differentials to determine if the cash differentials are still appropriate based on fiscal limitations or changes in assignment or scope of work (note the supervisory/team leader cash differential is not paid with pay pool funds);

i) Utilizing the program consistent with the criteria and guidance issued by their Personnel Policy Board or equivalent board. Approving authority for the ACDP contribution, performance, and development plans, and ACDP assessments. Establishing and approving amounts of individual ACDP basic pay increases as applicable; and

j) Publishing business rules, if not issued by the Personnel Policy Board.

6.5.3.4 Pay Pool Panel Members/Sub- Panel Members (if applicable)/ Level 2 Supervisor

A higher-level official who reviews the Level 1 Supervisor's determination of an employee's OCS and performance rating level. Responsible for reviewing employee contribution assessments and performance ratings to ensure that the same standards for evaluating contributions and performance are applied by reporting supervisors.

6.5.3.5 Sub-Panel Manager

The Sub-Panel Manager (if applicable) is responsible for:

a) Convening and oversight of the Sub-Panel Meeting.

b) Enforcing pay pool procedures and policies.

c) Ensuring consistency in ratings across the employee assessments reviewed by the sub-panel.

6.5.3.6 Level 1 Supervisor/Rating Official

An individual who is the immediate supervisor of one or more AcqDemo employees. Responsible for:

a) Setting contribution objectives, and communicating contribution and performance expectations.

b) Monitoring and providing contribution and performance feedback.

c) Appraising contribution and performance.

d) Taking action to recognize, reward, or correct contribution and performance.

e) Initiating Contribution Improvement Plans (CIP), as applicable.

f) These individuals will establish the ACDP contribution, performance, and development plans for ACDP employees and may recommend an ACDP basic pay increase to an employee's basic pay commensurate with fully successful completion of training and higher level, more complex work based on the contribution, performance,

and development plan goals, objectives, expectations, and quality of performance for a CCAS appraisal cycle.

6.5.3.7 Employee

An individual who participates in the CCAS pay pool processes as an AcqDemo employee is responsible for:

a) Collaborating with the Level 1 Supervisor to set contribution and performance objectives.

b) Completing self-assessments for Midpoint Review, ACDP six-month assessments, Annual Appraisal, or closeout assessment if applicable.

6.5.3.8 Administrator

The Pay Pool Administrator is responsible for:

a) Creating and modifying employee records in CAS2Net and ensuring the integrity of data within their respective pay pools to include maintaining the pay pool structure hierarchy, and user roles in CAS2Net.

b) Overseeing the activity's supervisor assignments to ensure they are correct.

c) Serving as liaison between the pay pool and their local AcqDemo Program Office.

d) Advising the Pay Pool Manager concerning DoD, Component/Agency, and local business rules governing AcqDemo performance and pay pool management.

e) Distributing the Sub-Panel Spreadsheet for the pay pool panel's use.

f) Monitoring the organization's progress in the CCAS process (scores, assessments, sub-panel meetings, etc.).

g) Monitoring completion of ratings.

h) Working with the Pay Pool Manager and/or rating officials to identify employees who still need to be rated.

i) Distributing the Contribution Management Spreadsheet (CMS) to the Pay Pool Manager and, if needed, supporting use of the CMS during the meeting.

j) Analyzing and presenting performance management data to managers.

k) Correcting discrepancies identified during system audits.

l) Generating and distributing Part I, CCAS Salary (Basic Pay) Appraisal Forms.

m) Identifying in CAS2Net employees who move post-cycle. Their DCPDS transactions can then be sent to the proper DCPDS region for normal HR processing. Refer to the AcqDemo Employee/Supervisor Movement matrix for instructions.

6.5.3.9 Superuser

The Superuser is responsible for:

a) Assisting employees and supervisors with problems or issues concerning their CAS2Net role.

b) Creating and modifying employee records.

c) Serving as a higher-level support, to assist Pay Pool Officials with issues outside of their span of control.

d) Resolving user issues by assuming the identity of another user (e.g. Employee, Supervisor Level II, Supervisor Level I).

6.6 CCAS Software (CAS2Net)

CAS2Net is the online system for the Contribution-based Compensation and Appraisal System (CCAS), a results-based, competency-linked, broadbanding, and contribution-based pay system. CAS2Net represents evolution of tools for the AcqDemo to augment the appraisal management process. CAS2Net supports planning, feedback, assessment, reward, and developmental activities during the rating cycle. The Contribution Planning and ACDP Assessment modules encourage collaboration between employees and supervisors to refine contribution, performance, and developmental objectives. Additional Feedback, Midpoint Review, and/or the 6-month ACDP assessments will promote continuous communication and performance improvement, as ACDP Assessments, Midpoint Reviews, Closeout Assessments, and the Annual Appraisal modules enable employees and supervisors to provide evaluations based on their respective viewpoints. To access the CAS2Net system, go to https://cas2net.army.mil.

6.7 Funding

The CCAS funding allocation to be included in the pay pool will be computed based on the salaries of the employees in the pay pool as of September 30, the last calendar day of the CCAS appraisal period. The USD(P&R) may, at his/her discretion, adjust the minimum funding levels set forth below to take into account factors such as the Department's fiscal condition, guidance from the Office of Management and Budget, and equity in circumstances when funding is reduced or eliminated for GS pay raises or awards. ACDP basic pay increase funds are allocated separately from the CCAS pay pool funding. The CCAS pay pool funding allocation includes three forms of compensation:

6.7.1 General Pay Increase

The GPI is the across-the-board basic pay increase authorized by law or the President for the GS pay system under 5 U.S.C. 5303. The funds allocated for the GPI that are not awarded may be transferred to the CRI Fund. The funding allocation of the GPI will be stated annually in the DoD AcqDemo Program Manager CCAS funding guidance. If there is a GPI under 5 U.S.C. 5303 for GS employees, in addition to the typical annual increase, such an increase shall be paid to demonstration project participants in the same manner as to GS employees. The atypical GPI shall not be distributed through the pay pool process.

6.7.2 Contribution Rating Increase (CRI) Fund

The amount of money available for contribution rating increases within a pay pool is equivalent to funding that would have been available in the GS system for within-grade-increases (WGIs), quality step increases, and promotions. The maximum CRI funding allocation will be set each year by the DoD AcqDemo Program Manager with a minimum funding of not less than 2.0 percent of the activity's total basic pay budget (without locality). This figure will be adjusted by the DoD AcqDemo Program Manager as necessary to maintain cost discipline over the life of AcqDemo. The amount of funding available to each pay pool is determined annually by the Personnel Policy Board, or equivalent. CRI funds not awarded for the CRI basic pay amount that exceeds a control point or the maximum basic pay of an employee's broadband level may be paid out as a carryover lump sum award to the employee, and is not counted against the CA fund. See Section 6.7.5 for guidance on discretionary set-asides for available (unspent) CRI funding allocation. In the event of an out-of-cycle payout, this funding floor may be suspended.

6.7.3 Contribution Award (CA) Fund

The CA Fund includes what were formerly GS performance awards and will be used for awards given under the CCAS process. The CA funding allocation will be set at not less than 1.0 percent of an activity's total adjusted basic pay budget (with locality). A minimum of 10% of the CA fund is withheld to be used for other awards not related to the CCAS process, e.g., on-the-spot awards and group awards, which will continue to be encouraged by management to promote excellence in acquisition and attainment of organizational goals. CA funding not granted may not be transferred to other funding categories, i.e., GPI and CRI. In the event of an out-of-cycle payout, this funding floor may be suspended. The CA fund breaks down as follows:

a) Up to 90% of the total CA award budget may be set aside (made available) for the CCAS CA awards; and

b) 10% or more of the total CA award budget will be set aside (made available) for non-CCAS awards throughout the year (i.e., on-the-spot and group awards).

6.7.3.1 Pro-Rating Contribution Award

In accordance with local business rules, the pay pool administrator may pro-rate a Computed Contribution Award for an employee and may redistribute the dropped award money as shown below:

a) Re-distribute in the CMS to all others eligible for a CA in the pay pool, or

b) As a remainder CA for discretionary distribution in the CMS by the pay pool manager, dollars not given as discretionary are added to the non-CCAS award amount available for cash awards for the remainder of the fiscal year, or

c) Add to non-CCAS award amount available for cash awards for the remainder of the fiscal year.

Note that the option that is chosen is applied to everyone in the pay pool. It is not possible to choose different options for different people in the pay pool. Pay pool can only select one of the three options in the CMS.

CRI will not be pro-rated. Pro-rating CRI for part-time employees is not required since they are paid based on their work schedule. For full-time employees instead of pro-rating CRI, score appropriately.

6.7.3.2 Converting Contribution Award to Time-Off Award

In accordance with local business rules, the pay pool administrator will convert the Approved Contribution Award to Time-Off Award as requested by an employee and as approved by the pay pool manager using the employee's new hourly rate. If the calculated CA exceeds the value of the approved TOA hours, the employee receives the remainder as CA. The CA not converted to TOA may be redistributed as listed in 6.7.3.1 above.

Time-off awards are not direct monetary expenditures. However, agencies should continue to use time-off awards judiciously as they do represent a cost to the agency.

6.7.4 Locality Pay

The locality pay adjustment is not included in the pay pool funding but is incorporated in the AcqDemo employees' pay. All employees will be entitled to the locality pay authorized for their official worksite in accordance with 5 CFR Part 531, Subpart F, if eligible. In addition, the locality-adjusted pay of any employee may not exceed the rate for Executive Level IV (5 U.S.C. 5304 (g)(1)). In high locality areas some employees receive reduced locality pay to remain within the Executive Level IV limit. Discretionary payouts may not be made in the form of additional Carryover or Contribution Award to repay this reduced locality pay amount. Geographic movement within AcqDemo will result in the employee's locality pay being recomputed using the newly applicable locality pay percentage, which may result in a higher or lower locality pay and thus, a higher or lower adjusted basic pay. This adjustment is not an adverse action.

6.7.5 Discretionary Set-Asides

Pay pool managers may set aside up to 20 percent of their available CRI dollars for additional contribution rating increases. In addition, they may set aside up to 100% of the available CA award budget for additional CA awards, non-CCAS awards, or some to both. To be valid, pay out decisions must remain linked to, and based on, employee contributions and performance.

6.8 Elements of CCAS

6.8.1 Career Paths (NH, NJ, NK) and broadband Levels (I, II, III, IV)

There are three career paths with three or four broadband levels. The broadband levels have a basic pay range aligned to the General Schedule grade structures; see **Table 1** below. For

example, NH-I has a basic pay range aligned to GS-1, Step 1 to GS-4, Step 10, while NH-IV has a basic pay aligned from GS-14, Step 1 to GS-15, Step 10.

Broadband Levels	**GS Grades [1]**
Business Management and Technical Management Professional (NH)	
I	1 – 4
II	5 – 11
III	12 – 13
IV	14 – 15
Technical Management Support (NJ)	
I	1 – 4
II	5 – 8
III	9 – 11
IV	12 – 13
Administrative Support (NK)	
I	1 – 4
II	5 – 7
III	8 – 10

Table 1: Broadband Levels and Career Path

6.8.2 OCS Ranges

The CCAS has a score range from 0 to 100 and Very High Scores of 105, 110, and 115 for the NH-IV broadband level. The score range of 0 to 100 has a value of GS-1, Step 1 rate of basic pay for an OCS of 0 to a maximum of GS-15, Step 10 for an OCS of 100. Table 2 has been expanded to include the numerical point ranges for each career path (NH, NJ, and NK) and the broadband levels (I, II, III, and IV).

Broadband Levels	**GS Grades**	**Numerical Point Ranges**
Business Management and Technical Management Professional (NH)		
I	1 Step 1 – 4 Step 10	0 – 29
II	5 Step 1 – 11 Step 10	22 – 66
III	12 Step 1 – 13 Step 10	61 – 83
IV	14 Step 1 – 15 Step 10	79 – 100
Very High Score	NA	105, 110, or 115
Technical Management Support (NJ)		
I	1 Step 1 – 4 Step 10	0 - 29
II	5 Step 1 – 8 Step 10	22 – 51
III	9 Step 1 – 11 Step 10	43 – 66
IV	12 Step 1 – 13 Step 10	61 – 83

[1]GS Grades – for Base Pay Range amounts, refer to the OPM's current GS Base Pay Schedule

Very High Score	NA	87, 91 or 95
Administrative Support (NK)		
I	1 Step 1 – 4 Step 10	0 – 29
II	5 Step 1 – 7 Step 10	22 – 46
III	8 Step 1 – 10 Step 10	38 – 61
Very High Score	NA	64, 67 or 70

Table 2: OCS Ranges GS Grades–for Basic Pay Range amounts, refer to the OPM's current GS Base Pay Schedule

6.8.3 Contribution Level and Appraisal Factors, Expected Contribution Criteria, Descriptors, and Discriminators

Under the AcqDemo's CCAS, a standard set of three contribution appraisal factors have been developed for each career path (see below). The factors will be used for employee contribution and performance assessment. These factors are comprised of expected contribution criteria, broadband level descriptors and discriminators, and point ranges that are aligned to the three career paths and their broadband levels. The employee contribution assessment includes both a determination of an OCS and a performance appraisal level for each factor. While the expected contribution criteria, factors, descriptors, discriminators and point ranges cannot be changed, the factors with the addition of an employee's contribution plan are fundamental to the success of an acquisition organization and capture the critical content and expectations for positions in the three career paths—Business Management and Technical Management Professional (NH), Technical Management Support (NJ), and Administrative Support (NK). The contribution factors for the three career paths (NH, NJ, and NK) are the same:

1) **Job Achievement and/or Innovation**. This factor captures qualifications, critical thinking, calculated risks, problem solving, leadership, supervision, and personal accountability aspects appropriate for the positions classified to the broadband levels for each career path.
2) **Communication and/or Teamwork**. This factor captures communication, both verbal and written; interactions with customers, coworkers, and groups; and assignments crossing functional boundaries appropriate for the positions classified to the broadband levels for each career path.
3) **Mission Support.** This factor captures understanding and execution of organizational goals and priorities; working with customers to develop a mutual understanding of their requirements; monitoring and influencing cost parameters or work, tasks, and projects; and establishing priorities that reflect mission and organizational goals appropriate for the positions classified to the broadband levels for each career path.

6.8.4 Expected Contribution Criteria

The AcqDemo utilizes baseline expected contribution criteria prepared for each of the three factors (See **Appendix B**, first column). These criteria are applicable to all contributions at all broadband levels under the appropriate factor. The criteria form the basis from which specific contribution and performance expectations, standards, goals, or objectives are developed for an

employee's contribution plan for the classification level of work in the employee's position. These criteria may only be modified by the DoD AcqDemo Program Office.

The Expected Contribution Criteria are used in the PAQL process that will be discussed in sections 6.9.

6.8.5 Factor Descriptors

6.8.5.1 The descriptors are different for each career path; see **Appendix B,** second column. The descriptors are narrative statements that are written at increasing levels of complexity, scope, and employee expected contribution. They are meant to correspond with the broadband levels and their associated ranges of basic pay, for appraisal purposes. While the descriptors indicate a contribution level appropriate at the upper end of each broadband level, a broadband may actually contain an array of positions with varying levels of work, responsibilities, and value. These attributes range from just above the upper end of the next lower broadband level before an employee's position to the upper end of the employee's broadband level as defined by an organization's position management structure needed to accomplish its mission. Descriptors are not to be used individually to assess contributions or performance, but rather are to be taken as a group to derive a single evaluation of each factor. The descriptors indicate the contribution for the high end of each level. For example, the descriptors for NH level IV were developed to meet the top of the broadband IV level.

6.8.5.2 The descriptors are written to describe contribution at the top of the level with the exception of the descriptors for the Very High score. With the new AcqDemo Regulation (82 FR 52104, November 9, 2017), descriptors were added for the Very High score. Unlike the other descriptors, these are written at the mid-level of the score range, i.e., 110 for NH.

6.8.6 Factor Discriminators

Factor discriminators help to define the type and complexity of work; degree of responsibility; and scope of contributions that need to be ultimately accomplished to reach the highest basic pay potential within a broadband level for an employee's position and contributions, and are also the benchmark for rating employees contribution on a given factor; see **Appendix B**, third column. The discriminators are often times included in the contribution expectations, standards, goals, and/or objectives included in an employee's contribution plan to foster contributions at the appropriate level and value for the position within its broadband level and to support the organization's strategic goals and objectives needed to meet its mission. The discriminators refine the factors and are the same for all career paths (NH, NJ, and NK) and levels of contribution (I, II, III, and IV).

See **Appendix B** for the Expected Contribution Criteria, factor descriptors and discriminators, and point ranges for each of the career paths and the broadband levels.

6.8.7 Factor Weights

6.8.7.1 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 three 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 (AWF). Therefore, weights should be used sparingly.

6.8.7.2 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. The rating official must inform the employee of weights at the beginning of the rating period, and weights must be reviewed annually. The preliminary numerical scores assigned for each of the three factors are totaled and the sum averaged to obtain an OCS. The OCS will be rounded to the nearest whole number. An OCS average with a decimal of less than 0.5 will be rounded down to the nearest whole number. Averages with 0.5 and higher will be rounded up to the nearest whole number. All factors are considered critical, and none may be given a weight of less than 0.5.

6.8.7.3 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:

1) Weights may not be less than 0.5 for any factor but may be assigned any value, from 0.5 to 1.0 in increments of 0.1.
2) At least one of the three factors must have a weight of 1.0.
3) Weighting may not result in any factor becoming zero.

6.8.7.4 The preliminary numerical scores assigned for the three factors are each multiplied by their weight and totaled, and the total is divided by the sum of the weights to obtain an OCS. The OCS will be rounded to the nearest whole number. An OCS average with a decimal of less than 0.5 will be rounded down to the nearest whole number. Averages with 0.5 and higher will be rounded up to the nearest whole number.

6.8.7.5 Example of Factor Weighting

6.8.7.5.1 Assume that an engineering pay pool manager decides that employees in the 0510 (Accounting) series will not be required to contribute as fully in the factors of Communication and/or Teamwork and Mission Support as they will in Job Achievement and/or Innovation.

6.8.7.5.2 The pay pool manager is authorized to weight these two factors differently than the others. In this example, the weights 1.0, 0.7, and 0.5, are applied to the three factors for all 0510 (Accounting) series in the pay pool. The OCS corresponding to weighted and un-weighted (i.e., unit weighted) scores are computed (See **Table 3** below). The OCS calculation required when weights are not used has been included for reference only. In this example, the employee's un-weighted OCS would be 69 compared to the weighted OCS of 68.7 (rounded up to 69). Please remember that the same set of weights would be applied to all other 0510 series employees in the pay pool. In **Table 4**, the weighted OCS is different from the unweighted and illustrates the effects that factor weights can have.

Factor	Numerical Score	Un-weighted Multiplier	Un-weighted Score	Numerical Score	Factor Weight	Weighted Score
Job Achievement and/or Innovation	70	1.0	70	70	1.0	70.0
Communication and/or Teamwork	63	1.0	63	63	0.7	44.1
Mission Support	74	1.0	74	74	0.5	37.0
SUM	Sum	3.0	207	Sum	2.2	151.1
RAW OCS			207 / 3.0			151.1 / 2.2
OCS		OCS	69			68.7 (69)

Table 3: Example 1 of OCS with Factor Weights

Factor	Numerical Score	Un-weighted Multiplier	Un-weighted Score	Numerical Score	Factor Weight	Weighted Score
Job Achievement and/or Innovation	69	1.0	69	69	0.5	34.5
Communication and/or Teamwork	72	1.0	72	72	1.0	72
Mission Support	73	1.0	73	73	1.0	73
SUM	214	3.0	214	214	2.5	179.5
RAW OCS	71.33333		71.33333			71.8
OCS	71	OCS	71			72

Table 4: Example 2 of OCS with Factor Weights

6.8.7.6 The original design of CCAS allowed for weights. When AcqDemo reduced the number of factors from six to three in 2017, factor weights with less than 1.0 had minimal to no impact to the overall contribution score as demonstrated in the examples at Tables 3 and 4 above. AcqDemo does not support the use of weights less than 1.0 as all factors are considered critical; however, if a participating organization decides to implement factor weighting it must notify the AcqDemo Program Office NLT 1 February or the first work day in February to prepare the CCAS spreadsheets.

6.9 PAQL Criteria

6.9.1 Title 10 United States Code (U.S.C.) §1597(e) requires the determination of which DoD employees shall be separated from employment in a RIF to be made primarily on the basis of performance. In order to comply with 10 U.S.C. §1597(e), CCAS has been modified to embrace the quality of performance an employee demonstrates in achieving his/her expected contribution results through an assessment of performance under each of the three contribution factors. Three PAQLs are provided as shown in Table 5 below together with generic quality criteria.

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

Table 5: Performance Appraisal Quality Levels

6.9.2 A participating organization may supplement the PAQL criteria (see **Table 5**) in local business rules with additional standards that identify milestones, production, due dates, or other measureable aspects of success contributing to the accomplishment of the goals and objectives necessary to meet an organization's mission and are achievable during the appraisal cycle.

6.9.3 The performance appraisal quality level to be assigned to each contribution factor should reflect an employee's level of performance during the appraisal cycle as compared to the CCAS factor expected contribution criteria, descriptors and discriminators, an employee's contribution plan, and the impact of the quality of the contributions on the organization.

6.9.4 The three performance appraisal levels are averaged to calculate the annual rating of record. The resulting quotient will be rounded to the nearest tenth of a decimal point. If the hundredths and thousandths places of the decimal reflect forty-nine or less, they are dropped and the tenths place does not change. If the hundredths and thousandths places of the decimal is fifty or more, they are dropped and the tenths place is increased by ".1". The final average will then reflect the employee's overall performance rating of record during the appraisal cycle based on the rating criteria outlined in **Table 5, Table 6** and **Table 7** has examples of the PAQLs to a final rating of record.

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

Table 6: Performance Appraisal Rating Criteria

Factor	PAQL	PAQL	PAQL	PAQL	PAQL	PAQL
Job Achievement and/or Innovation	5	5	3	3	5	1
Communication and/or Teamwork	5	5	3	3	3	1
Mission Support	5	3	5	3	1	1
Sum of Factor PAQLs	15	13	11	9	9	3
Average Raw Score (Sum PAQLs/3)	5.0	4.333	3.667	3.0	1.0	1.0
Rounded	5	5	3	3	1*	1
Recommended Rating of Record	5 - Outstanding	5 - Outstanding	3 - Fully Successful	3 - Fully Successful	1 - Unacceptable	1 - Unacceptable

Table 7: Example of Appraisal Quality Levels to Rating of Record

*** NOTE: When any contribution factor is rated as "1", the Rating of Record is Level 1 – Unacceptable**

6.10 Integrated Pay Schedule (IPS)

6.10.1 The IPS, **Figure 2**, is the foundation for the basic pay structure under CCAS. It provides a direct link between increasing levels of contribution and increasing basic pay. The IPS covers basic pay only and is the same for all AcqDemo employees, career paths and broadband levels regardless of geographical location. The appropriate locality pay is added following the determination of basic pay.

6.10.2 The IPS uses the OPM-established annual General Schedule base pay schedule to determine the upper and lower rails and the standard pay line of the IPS (see **Figure 3** and the

equations in Section 6.10.6). The standard pay line and rails will be set using the general pay increase (GPI) authorized each year, if any.

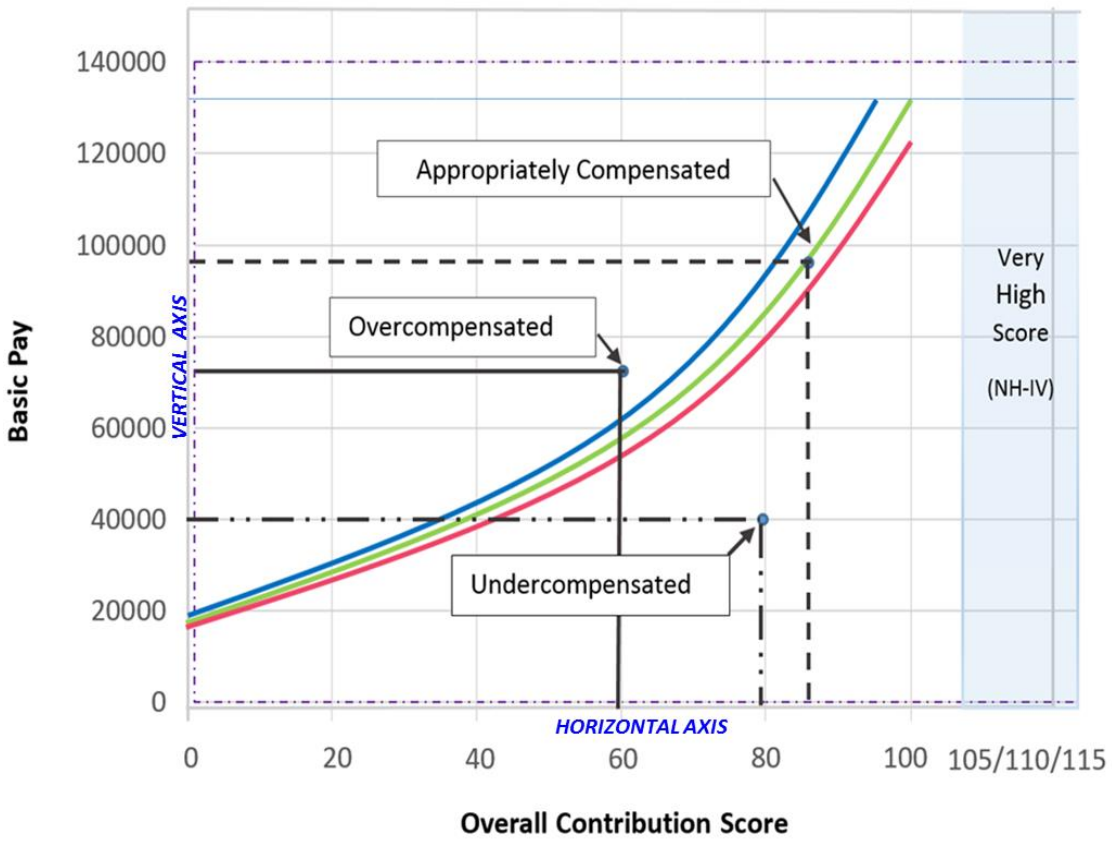


Figure 2: Integrated Pay Schedule

6.10.3 IPS Horizontal Axis

The horizontal axis of the IPS represents the OCS available through contribution appraisals. The OCS range spans from a score of zero to the maximum OCS of 100, with a notional "very high score" level containing three scores to accommodate "very high scores" as appropriate for those employees in the top broadband level of their respective career paths. The "very high scores" of 105, 110, and 115 are provided for employees in Broadband Level IV of the Business Management and Technical Management Professional career path; "very high scores" of 87, 91, and 95 are provided for employees in Broadband Level IV of the Technical Management Support career path; and "very high scores" of 64, 67, and 70 are provided for employees in Broadband Level III of the Administrative Support career path.

6.10.4 IPS Vertical Axis

The vertical axis of the IPS spans from the dollar equivalent of the lowest basic pay under the AcqDemo, GS-1, Step 1, to the dollar equivalent of the highest basic pay of GS-15, step 10. This encompasses the full basic pay range (excluding locality pay) available under AcqDemo.

6.10.5 Standard Pay Line (SPL)

The SPL begins at an OCS of zero and the basic pay of a GS-1, Step 1, to an OCS of 100 for the basic pay of a GS-15, Step 10 and continues to an OCS score of 115. Changes in OCS correspond to a constant percentage change in basic pay along the SPL. OCS is arranged at even increments from 0 to 100 on the X-axis, with 105, 110, and 115 very high scores also shown at appropriate increments. The SPL factor for calendar year 2017 can be computed from the GS-1, Step 1 pay and the GS-15, Step 10 pay.

The formula for the SPL is:
(GS-15, Step 10/GS-01, Step 01) (1/100)

Basic Pay SPL ($$$$$$) = (GS-1, Step 1) * (SPL factor) ^{OCS}

The SPL factor for calendar year 2017 is 1.0200426. The SPL factor may change on an annual basis with any GS base pay increase granted to the Federal civilian workforce.

For example, the 2017 GS-1, Step 1 basic pay is $18,526.

<u>OCS 50:</u>
Basic Pay SPL ($49,969) = ($18,576) * $(1.0200426)^{50}$

6.10.6 Normal Pay Region

The goal of CCAS is to make basic pay consistent with the scope, level, and difficulty of an employee's position and the value of his/her contributions to the mission of the organization. Within the full basic pay range embodied in the IPS vertical axis, an NPR was developed around a Standard Pay Line (SPL) to provide a mechanism to determine appropriate compensation. The NPR represents the area of the IPS from the Upper Rail to the Lower Rail where basic pay, value of position, and level of contribution are assumed to be properly related and appropriately compensated. This relationship is determined by the intersection of a vertical line drawn through the employee's OCS and a horizontal line drawn through the employee's basic pay in relation to the NPR (see **Figure 3**).

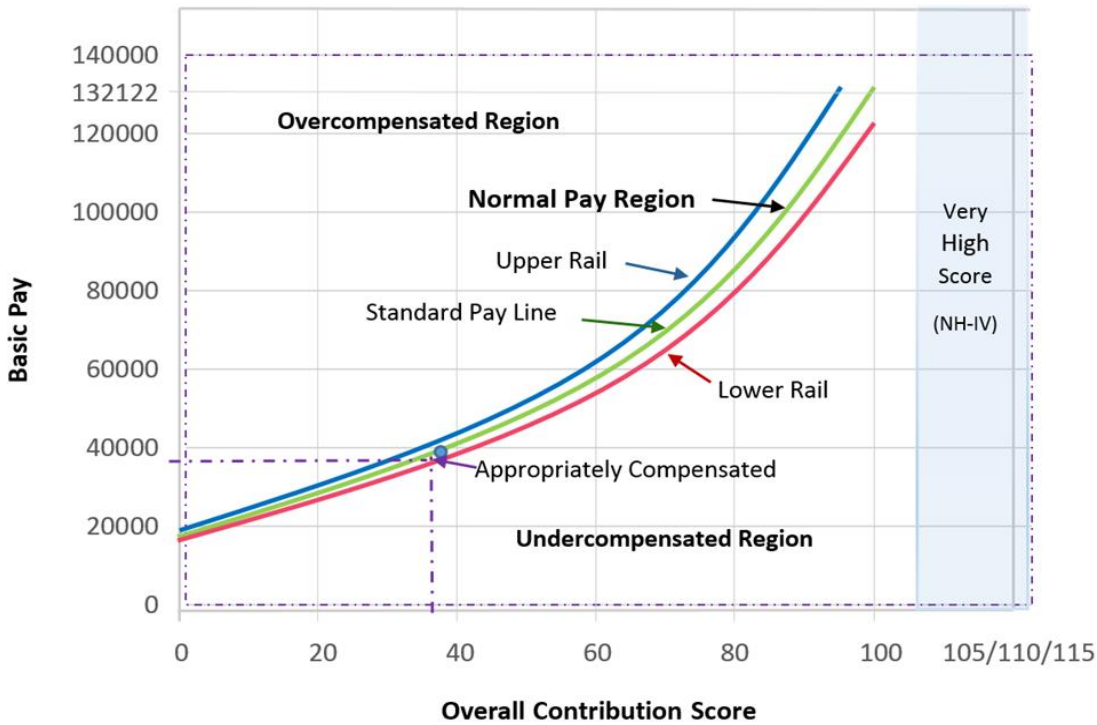


Figure 3: Compensation Regions Defined in Relation to NPR

The upper and lower rails encompass an area of +/-8 percent from the SPL in terms of basic pay or approximately +/-4 in terms of OCS points, relative to the SPL. Given these constraints, the formula for the upper and lower rails of the NPR found in **Figure 3** are:

Basic Pay Upper Rail = (GS-1, Step 1) * (1.0800) * (SPL factor) ^{OCS}

Basic Pay Lower Rail = (GS-1, Step 1) * (0.9200) * (SPL factor) ^{OCS}

An example calculation is provided below for an OCS of 50 and 51 using calendar year 2017 basic pay for GS-1, Step 1 of $18,576. It indicates an approximate 2% in basic pay between OCS along the SPL.

<u>OCS 50:</u>

Basic Pay Upper Rail ($53,967) = ($18,526) * (1.0800) * $(1.0200426)^{50}$

Basic Pay SPL ($49,969) = ($18,526) * $(1.0200426)^{50}$

Basic Pay Lower Rail ($45,971) = ($18,526) * (0.9200) * $(1.0200426)^{50}$

<u>OCS 51:</u>

Basic Pay Upper Rail ($55,048) = ($18,526) * (1.0800) * $(1.0200426)^{51}$

Basic Pay SPL ($50,970) = ($18,526) * $(1.0200426)^{51}$

Basic Pay Lower Rail ($46,892) = ($18,526) * (0.9200) * $(1.0200426)^{51}$

6.10.7 Relations to Career Paths

The IPS and the NPR are the same for all the career paths. What varies among the career paths are the beginnings and endings of the broadband levels. The minimum and maximum numerical OCS values for each broadband level by career path are provided in **Table 2.** The minimum pay under AcqDemo for each broadband level is determined by the Step 1 pay for the lowest grade in the broad band. The maximum pay is determined by the Step 10 pay for the highest grade in the broadband

6.11 Compensation Adjustment

6.11.1 After the initial assignment into the CCAS, employees' yearly contributions and performance will be determined by the CCAS contribution assessment process described above, and their OCS as derived from their current assessment and current rate of basic pay will be plotted on the IPS graph (**Figure 3**) to determine their compensation category. The point at the intersection of the OCS vertical straight line with the current basic pay horizontal straight line respective to the Participating Organization's choice of target line (i.e., SPL, upper rail, or lower rail of the NPR) gives a relative measure of the compensation (basic pay) versus contribution (OCS) for pay adjustment and/or award determinations. The OCS for the employee is determined by the intersection of a vertical line drawn through the employee's OCS and a horizontal line drawn through the employee's basic pay. If the position of the OCS for the employee is on or below the Participating Organization's choice of target line for CRI (SPL, for example), the employee is eligible to receive CRI. Similarly, if the OCS is below the Participating Organization's choice of target line for CA, the employee is eligible for CA. For instance, since the AcqDemo goal is to have employees' basic pay on the SPL, if the Lower Rail were used as the target line, fewer people would receive payouts, but those that did would receive larger payouts. Whereas, if the Upper Rail were used as the target line, more people would receive payouts, but each payout would be smaller. The SPL allows for something in between the upper and lower rail option.

6.11.2 Compensation Regions

Employees' OCS fall into one of the three compensation regions: overcompensated, appropriately compensated, or undercompensated.

6.11.2.1 Overcompensated Region

Employees whose annual OCS when plotted against their basic pay falls above the upper rail of the NPR into the "overcompensated" region are considered to be in the overcompensated category and overpaid for their level of contribution and compensation adjustments, and may be assigned a "Level 1 – Unacceptable" rating of record as part of their contribution assessment. Typically, employees who are scored above the upper rail into the overcompensated region are not meeting contribution and performance expectations and will be placed on a contribution improvement plan (CIP). However, there may be situations that a CIP may not be applicable for some overcompensated employees. See AcqDemo Operating Guide, **Chapter 7**, Contribution-based Actions, for the operational guidance on the CIP.

6.11.2.2 Appropriately Compensated Region

Employees whose annual OCS plotted against their basic pay falls on or within the upper and lower rails of the NPR are considered to be in the "Appropriately Compensated" category for basic pay adjustments.

6.11.2.3 Undercompensated Region

Employees whose annual OCS when plotted against their basic pay falls below the lower rail of the NPR into the "undercompensated" region are considered underpaid for their level of contribution and position, and in the "Undercompensated" category for compensation adjustments. Those employees who have either a Level 5 - Outstanding or Level 3 - Fully Successful rating of record as part of their contribution assessment may expect to receive a greater percentage in basic pay increases than those eligible employees who fall within the Appropriately Compensated Region.

6.12 Compensation Category

6.12.1 Depending on the category into which an employee's OCS falls, he/she may be eligible for one to three forms of additional compensation. The pay pool manager has the option of awarding the employee up to and including the full General Pay Increase (as authorized by law or the President), a CRI (an increase in basic pay and/or a CRI carryover lump sum payment for the CRI basic pay amount that exceeds a control point or the maximum basic pay of an employee's broadband level), or other pay cap from Table 8 (Contribution Rating Increase column), and a Contribution Award (a lump-sum payment that does not affect basic pay). In general, those employees whose OCS plots in the undercompensated region of the IPS may receive a greater percentage in basic pay increases than those whose OCS plots in the appropriately compensated or overcompensated regions of the IPS.

6.12.2 Over time, people will migrate closer to the standard pay line and receive basic pay appropriate for their level of contribution and position. An employee on a retained rate in AcqDemo is not eligible for a CRI, since such increases are limited by the maximum basic pay rate for the employee's broadband level; however, any calculated CRI may be carried over as a carryover lump sum payment. Employees on a retained rate in AcqDemo will generally receive pay adjustments in accordance with 5 U.S.C. 5363 and 5 CFR part 536; however, the normal retained rate increase granted in connection with a general pay increase may be reduced or denied for an employee with an OCS above the upper rail and a rating of record of Level 1-Unacceptable. An outline of compensation eligibility by compensation category is given in Table 8.

Category	General Pay Increase	Contribution Rating Increase	Contribution Award	Locality Pay[1]
Overcompensated	Could be reduced or denied[2]	No	No	Yes
Appropriately Compensated	Yes	Yes [3]- Up to 6%	Yes[4]	Yes
Undercompensated	Yes	Yes [5 & 6] - Up to 20%	Yes	Yes

Table 8: Compensation Eligibility Chart

1. Basic pay plus locality pay may not exceed the rate payable for level IV of the Executive Schedule.
2. Also applies to employees on pay retention whose contribution and performance assessment is "Unacceptable".
3. May not exceed upper rail of NPR for employee's OCS or maximum basic pay for current broadband level.
4. Pay pool manager approves up to $10,000 for a contribution award. Amounts exceeding $10,000 not to exceed $25,000 for a contribution award require the Head of the Participating Organization approval.
5. Over 20% requires approval of the Head of the Participating Organization.
6. May not exceed 6% above the lower rail or the maximum basic pay for current broadband level.

6.13 Local Policy on Compensation Strategy

6.13.1 Each Pay Pool Manager will set the necessary guidelines for pay adjustments in the pay pool based on guidance received from the organization's Personnel Policy Board, Head of the Participating Organization, Component/Agency, and/or the DoD AcqDemo Program Office. Decisions will be consistent within the pay pool, reflect cost discipline over the life of AcqDemo, and be subject to review by Components, Agencies, and the DoD AcqDemo Program Office.

6.13.2 A primary goal of AcqDemo is to compensate employees appropriately for their individual and organizational contribution to the mission of their organization and the value of their position. This goal promotes greater compensation for those who are the highest (undercompensated) contributors; encouragement for the lowest contributors to improve; and appropriate compensation for all levels of contribution in between. Equal with the need to appropriately recognize and compensate employee contribution is the need to effectively manage the compensation levels of the AcqDemo organizational positions. Although each position contained within a broadband level could have access to the complete range of pay options, it does not mean that all jobs within that broadband level should be compensated at the top rate of basic pay of the broadband level. Instead, management decisions should be made about the appropriate compensation value of the organization's position management structure, based on factors such as level of effort, required skills and/or certifications, and labor market conditions.

Once made, management should seek to maintain that level of compensation, unless changes occur in the stated compensation factors. Total pay set above or below the target basic pay is contingent upon the employee's overall contribution to the mission. This approach challenges the organization to consider the value identified for each position when determining an appropriate level and means of compensation (basic pay adjustment and/or award) for individual compensation.

6.13.3 Although broadbanding makes available a broader range of compensation choices, basic pay adjustments known within CCAS as Contribution Rating Increase (CRI) adjustments, are not the sole means to compensate employees, and in some cases are not the recommended means. As the compensation value of organizational positions are identified, managers should consider utilizing appropriate means to preserve those values. Compensation methodologies may include the assignment of a maximum OCS to coincide with the identified compensation value. A CRI resulting from the assignment of an OCS assumes the level of contribution, and associated basic pay, is expected to continue at least at that level and will be reflected in the employee's new expected contribution score.

6.13.4 These scores or values should be identified against PRDs and the organization's position management structure, and then considered in determining compensation means to recognize contribution assessments. Means to preserve the identified compensation values may include the establishment of control points or pay ranges within a broadband level. When compared to their counterparts in other compensation systems, e.g. GS and STRL, these employees as a group should generally maintain equity with the normal pay progression scenarios in these systems. For example, for positions equivalent to GS-14 in value and level of difficulty, management may determine that control points should be established based on the base pay ranges of the lowest referenced GS grade in the appropriate broadband level, i.e., GS-14, step 10, for the NH-IV broadband level. Compensation methodologies may be considered, at a minimum, to require a management decision to establish an appropriate compensation value or to increase an employee's basic pay above the identified compensation value. The use of such methodologies establishes compensation equity, consistency, and transparency for employees and supervisors alike throughout the organization. No matter what the compensation methodology, over time positions reach a plateau where basic pay growth levels off; some at the top of the pay scale and others at other points.

6.14 CCAS Appraisal Process

6.14.1 The CCAS process is supported by the CAS2Net automated system which supports the planning, feedback, assessment, and reward activities of the performance cycle. The Contribution Planning module encourages collaboration between employees and supervisors to refine performance objectives. Additional Feedback and Midpoint Review modules promote continuous communication and performance improvement. Closeout Assessments review employee performance for partial year position assignments. The Annual Appraisal modules enable employees and supervisors to provide evaluations based on their respective viewpoints. The reward activities consist of the Pay Pool Panel review and reconciliation of the Level 1-Unacceptable Supervisors' evaluations and the generation of the employee salary increase, award, and bonus. After appraisals and payouts are final, employees and supervisors digitally sign the Annual Appraisal report documents and upload them to the CAS2Net eDocuments. The CCAS

process is described below, and the CAS2Net User Guide provides additional details and may be accessed at *http://acqdemo.hci.mil/docs/CAS2Net%202.0%20User%20Guide.pdf* .

6.14.2 Annual Cycle

The annual appraisal cycle begins on October 1 and ends on September 30 of the following year. In the event a management decision is made to terminate AcqDemo or the management of an AcqDemo Participating Organization directs conversion of its employees out of AcqDemo to a different pay and/or personnel system, the annual appraisal cycle may be condensed so that an annual appraisal and a payout may be completed as determined appropriate. Chapter 2, Movement Into and From AcqDemo provides additional operating details for situations of this type.

6.14.3 Appraisal Eligibility

To be eligible for an appraisal, employees must be under CCAS on September 30 and have served under CCAS for 90 calendar days or more immediately prior to the end of the rating period, i.e., close of business on September 30, before they may receive an annual contribution assessment. Therefore, the 90-day period must begin no later than July 3rd and end by close of business September 30th. If on October 1, the employee has served under CCAS for less than 90 calendar days prior to the end of the cycle, the rating official shall wait for the subsequent annual cycle to assess the employee. A contribution plan, however, must still be developed and approved within 30 days upon the initial assignment to the AcqDemo position. The first CCAS appraisal must be rendered within 18 months after an employee enters AcqDemo. Employees who have served under CCAS for less than 90 calendar days immediately prior to the end of the rating cycle shall not receive contribution rating increases or contribution awards for that cycle. However, their basic pay shall be increased by the amount and at the time of the next General Schedule pay increase under 5 U.S.C. 5303.

6.15 CCAS Life Cycle

See Table 9 and Figure 4 below for an overview of the CCAS Process

Time Period	Task		Action By
October 1 – September 30	Annual CCAS rating cycle		For All
October	**Beginning of the rating period**: In CAS2Net, complete contribution planning on expectations of contribution and performance.	**After the end of the rating period:** In CAS2Net complete annual self-assessment.	Employees
Late October –	Discuss expectations of contribution and performance with employee and document discussion in CAS2Net by entering date and method of the discussion.	In CAS2Net, complete the annual appraisal narrative, assess level of employee's contribution, and recommend categorical scores, numerical scores and PAQLs.	Supervisors
October-November-December		Meet and review assessments and recommended categorical scores, numerical scores and PAQLs.	Sub-Panels, if applicable, and pay pool panel
		Meet and review assessments and finalize categorical scores, numerical scores, PAQLs, pay adjustments, and awards.	Pay pool panel and pay pool manager
			Assessments, categorical scores, numerical scores, RoR, and PAQLs now are approved by the pay pool manager.
Late December-January		Communicates approved OCS, factor scores, PAQLs, rating of record, pay adjustments, and awards to employees.	Supervisors
Late December - January	While communicating approved CCAS results, may discuss potential opportunities for		Supervisors and employees

	increasing contribution for the new appraisal period.		
January	Pay adjustments effective first full pay period in January.		All AcqDemo employees
	In CAS2Net, document date and method of communication of approved CCAS results with employees.		Supervisors
April-May or chronological midpoint of assignment to AcqDemo position	Midpoint self-assessment and midpoint review discussion.		Employee and Supervisor
3 Jul	Last effective date to be eligible for annual CCAS appraisals.		New employees
October	**Beginning of the rating period**: In CAS2Net, complete contribution planning on expectations of contribution and performance.	**After the end of the rating period:** In CAS2Net complete annual self-assessment.	Employees
Note: Local business rules will provide specific dates for the CCAS life cycle.			

Table 9: Overview of CCAS Process

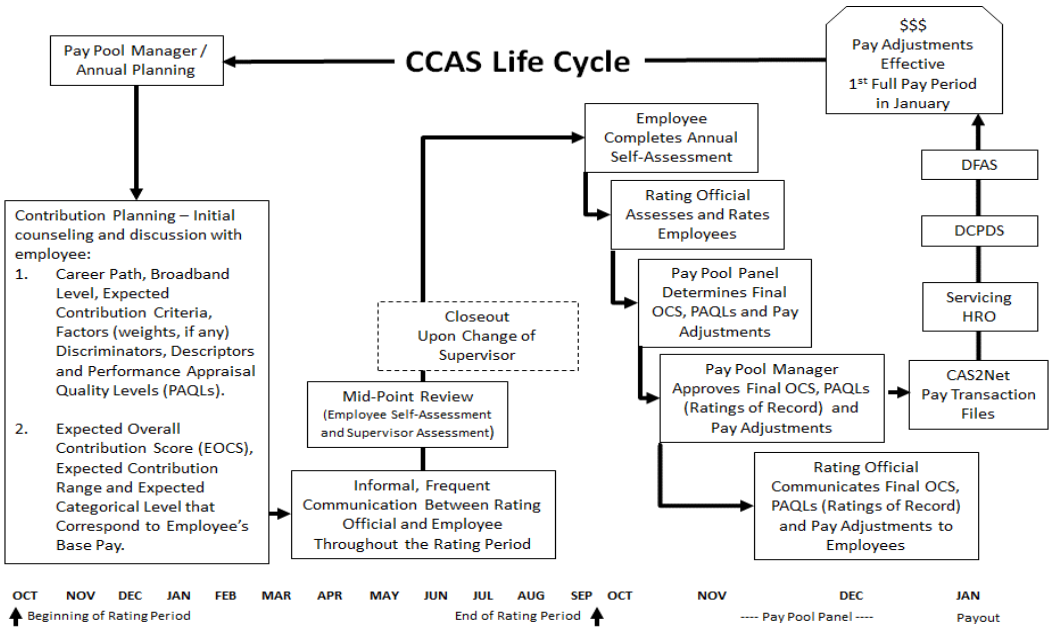
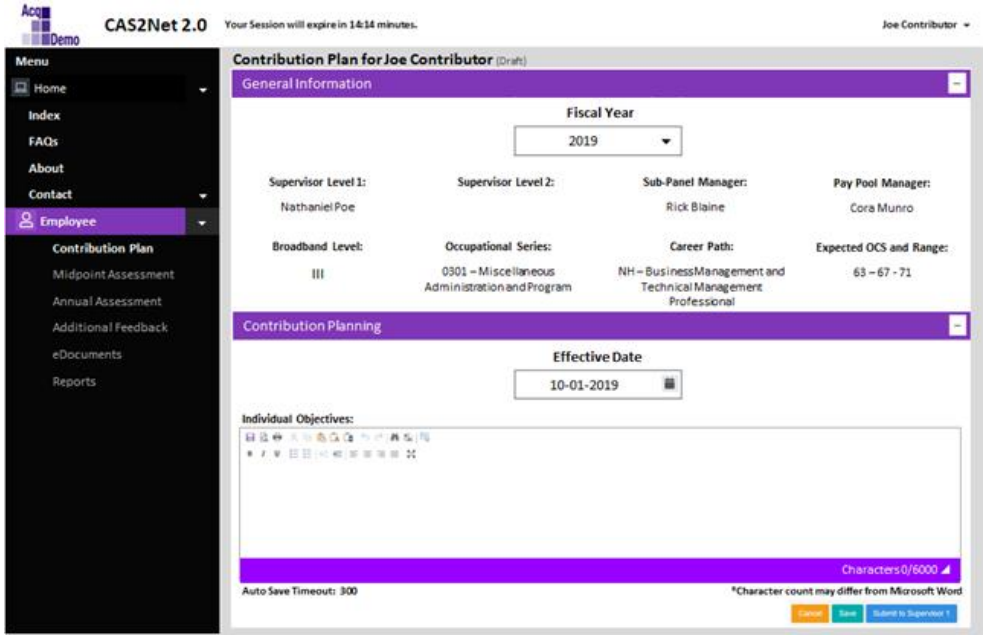


Figure 4: CCAS Life Cycle

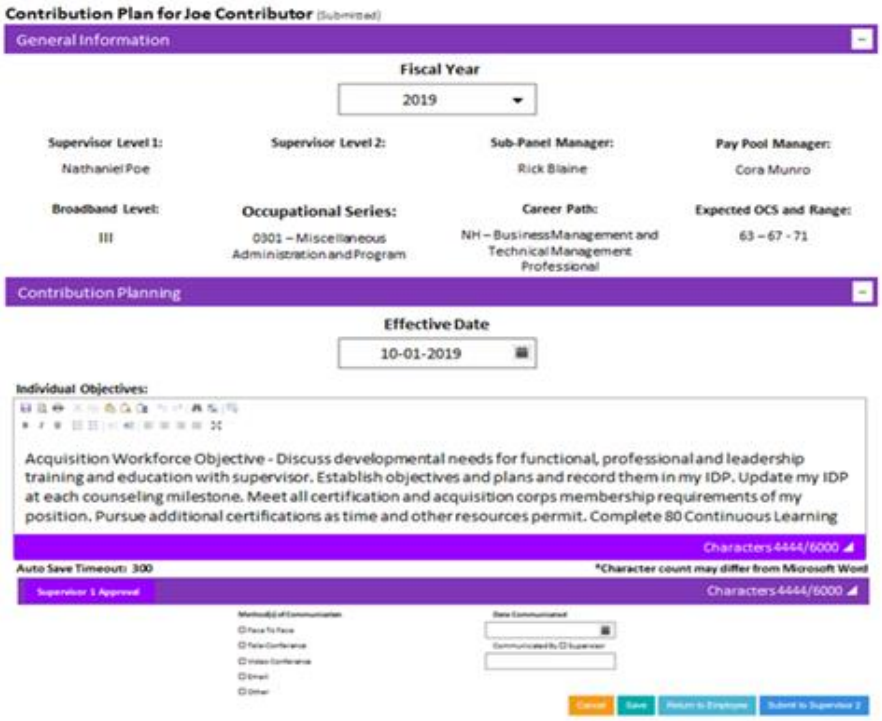
6.16 Contribution Planning Meeting

6.16.1 A written Contribution Plan containing an employee's goals, objectives, and expected contribution and performance should be developed collaboratively by the employee and the supervisor working together to have a clear understanding of what is needed for the employee to satisfactorily and effectively contribute to the organization's mission.



Picture 1: Employee view of Contribution Plan Example

6.16.2 At the beginning of the annual appraisal period, an employee and supervisor plan how the employee will contribute to the mission of the organization during the appraisal cycle. This contribution planning meeting typically includes discussion of career path and broadband level, contribution factor descriptors and discriminators, expected contribution criteria, Expected OCS (EOCS) and expected categorical level, organizational mission, expected contribution results, PAQL/quality of performance, and career development.



Picture 2: Supervisor view of Contribution Plan Example

6.16.3 Normally, new employees who join AcqDemo during an appraisal cycle should have their contribution plan established within 30 calendar days, but will not have a CCAS OCS until after their first annual CCAS assessment process. However, the EOCS range is shown in the employee's CAS2Net contribution planning, midpoint self-assessment and annual self-assessment modules at https://cas2net.army.mil, or can be calculated by using the Expected Contribution Range (ECR) calculator found on the AcqDemo website at http://acqdemo.hci.mil/ under the Tools tab. Future CCAS assessments may alter an employee's ECR. At this time, employees will be advised that all factors are critical, and of any factor weights that have been established. Key terms such as "team" and "customer" will be defined or clarified.

6.16.4 The supervisor is responsible for ensuring completion of the plan. The supervisor will approve the plan and document this discussion with the employee by entering the date and method of communication in CAS2Net. Section 6.6 of this chapter provides information on CAS2Net.

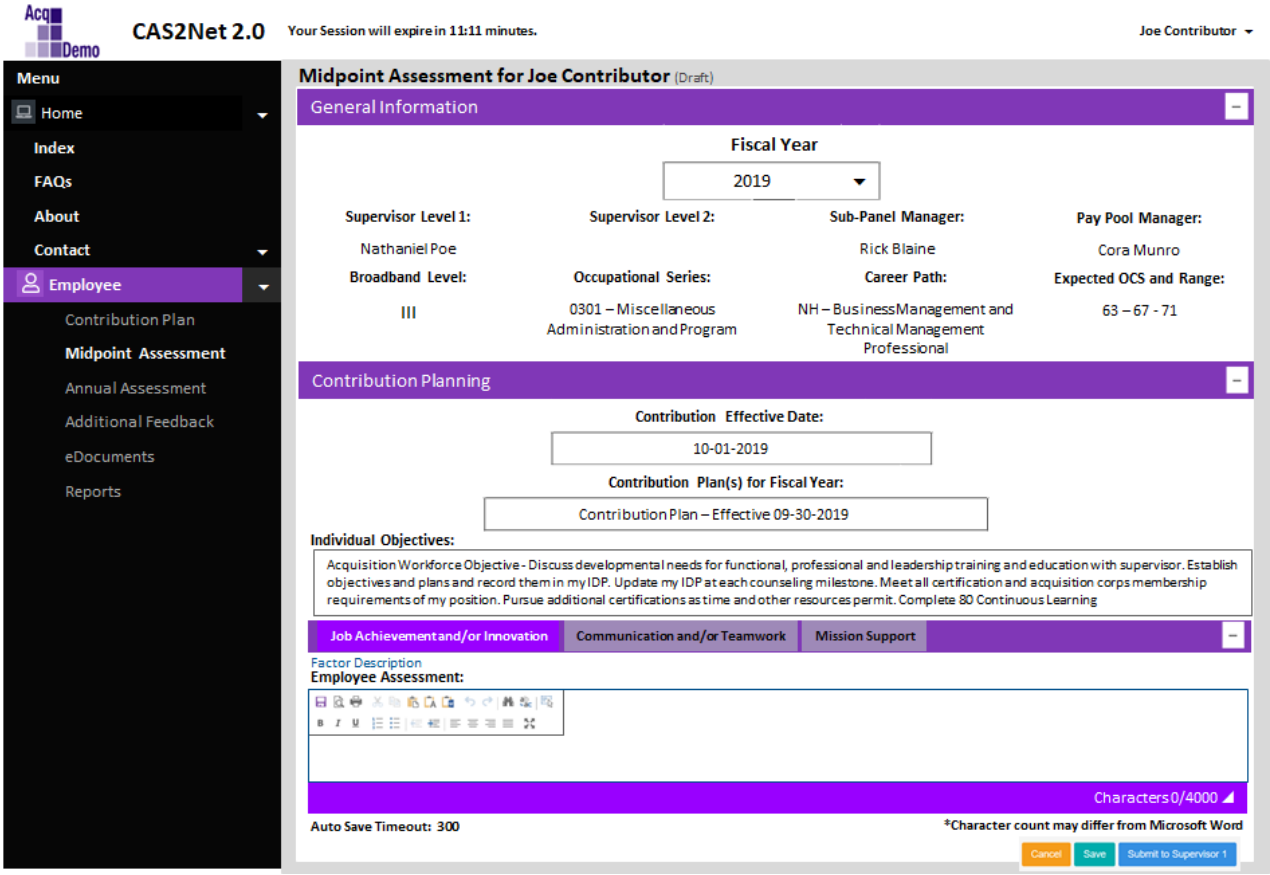
6.16.5 Feedback during the Appraisal Cycle(Midpoint Review, Additional Feedback and Closeout)

Ongoing supervisor (or designated rating official) and employee discussion during the appraisal cycle of specific work assignments, objectives, contribution expectations, strengths, weaknesses, contribution results, and assessment of the quality of performance within the CCAS framework is essential. This must include discussion of any inadequate contribution and unacceptable performance in one or more of the factors. If contribution and/or performance is considered

insufficient, early steps need to be taken to address the reasons for the inadequate contribution and/or unacceptable performance and provide appropriate assistance to the employee.

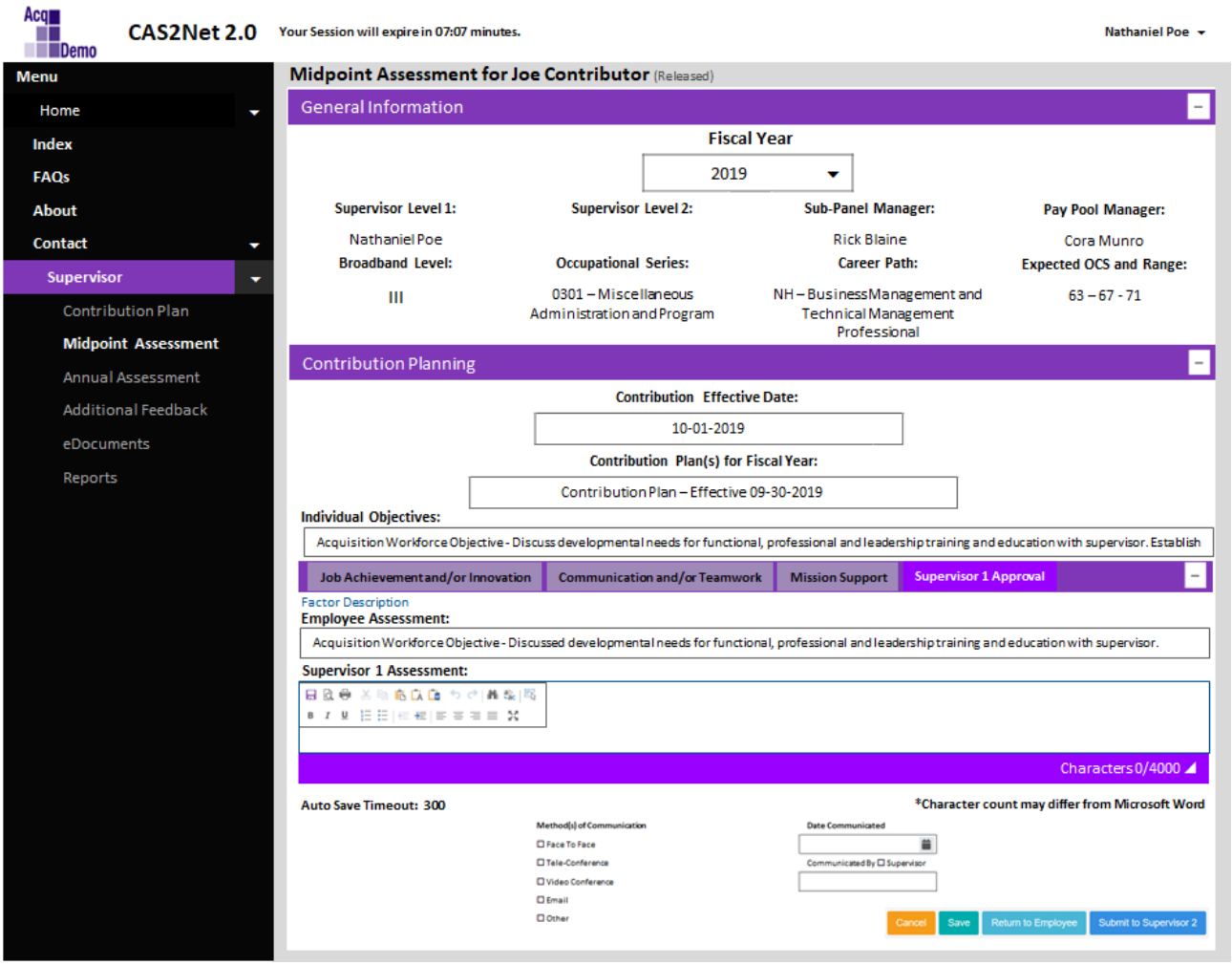
6.16.6 Midpoint Review

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



Picture 3: Employee's Midpoint Assessment Example

6.16.7 When a new organization enters AcqDemo, during the midpoint of its first CCAS cycle, each pay pool should conduct a mock CCAS evaluation through the point of populating the CMS with the relevant data. The organization should contact the DoD AcqDemo Program Office if they want to conduct a mock using CAS2Net. The Program Office will ensure that a separate instance of CAS2net will be available for the mock evaluation.



Picture 4: Supervisor view Midpoint Assessment Example

6.16.8 Additional Feedback (Optional)

Additional Feedback allows the supervisor to provide helpful guidance throughout the contribution-rating period. An Additional Feedback paragraph in the organization's business rules should include examples of why supervisors would want to use this module such as documenting declining performance and suggestions on how to improve. Constant communication will eliminate blindsiding the employee with a poor assessment at annual appraisal time. If used by the supervisor, the additional feedback is only recorded after meeting with the employee to discuss the contributions covered and must document the additional feedback discussion to include entering the date and method of communication in CAS2Net.

6.16.9 Closeout (Partial Assessment Rating Official Leaves Prior to the End of the Rating Period)

A partial closeout is prepared upon a change of supervisor and is not to be used in lieu of the annual assessment. A closeout enables the employee and supervisor to document contributions for partial year position assignments, and does not include any scores. There are no minimum periods for a rating official to complete a closeout.

When the supervisor/rating official leaves before the end of the appraisal period, the departing supervisor/rating official will complete a closeout assessment in CAS2Net, and discuss the closeout assessment with the employee. The supervisor must document the closeout discussion to include entering the date and method of communication in CAS2Net. The departing rating official may prepare a Midpoint Review in lieu of a closeout if departing during the time period designated for Midpoint Reviews by the organization.

6.16.10 Annual Assessment

The Annual Appraisal allows the supervisor to document the annual assessment, recommended categorical scores, numerical scores, and Levels PAQLs for each of the three CCAS contribution factors.

6.17 Special Circumstances Affecting a CCAS Assessment

6.17.1 Ratings for Temporary Promotions

6.17.1.1 Employees on a temporary promotion will have their contribution objectives documented in CAS2Net, and will receive either a midpoint, closeout and/or annual assessment as applicable in the rating period by the supervisor of that position. The assessment is also documented in CAS2Net. Information provided in a closeout assessment should be considered in preparing the annual appraisal.

6.17.1.2 The exception to preparing a closeout involves temporary promotions, which are ongoing at the end of the employee's annual rating period. A temporarily promoted employee officially occupies the position to which promoted while on the temporary promotion while retaining return rights to the position from which temporarily promoted, i.e., the employee's permanent position, if the temporary promotion is not made permanent. Therefore, if the employee's scheduled annual rating period ends while on a temporary promotion, the supervisor of the position to which temporarily promoted prepares the annual appraisal.

6.17.2 Ratings for Details

Conversely, an employee who is detailed continues to occupy the position from which detailed, i.e., the employee's permanent position, for official purposes. Thus, the supervisor of the position to which the employee is detailed prepares an appraisal if the employee's annual rating period ends during the detail. The supervisor for the permanent position from which the employee is detailed may either add the closeout assessment to the annual appraisal he/she prepares or, if the detail lasted for most of the rating period, adopt the closeout assessment as the annual assessment.

6.17.3 Part-time Work Schedules

6.17.3.1 Definitions

Office of Personnel Management Guide to Processing Personnel Actions, Chapter 24, Paragraph 2, provides that part-time requires employees to work less than full-time, but for a specific

number of hours (usually 16-32 per administrative workweek) on a prearranged scheduled tour of duty.

6.17.3.2 Pay–Setting

For AcqDemo pay setting procedures, employees' part-time work schedules are treated as full-time equivalents. This requirement is typically used in the AcqDemo pay setting process to provide a mechanism to adjust basic pay increase percentages for consistency and equity with comparable contributions achieved within differing work schedules. The subsequent basic pay adjustment is then based on each employee's annual rate of basic pay as of September 30. Contribution Awards (CA) may be prorated by the Pay Pool Manager. Employees must be employed by an AcqDemo organization on the effective date of the payouts, i.e., the beginning of the first full pay period in January following the close of the appraisal cycle, in order to receive the payouts.

6.17.3.3 Appraisals

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

6.17.4 Intermittent Work Schedules

6.17.4.1 Definition

Office of Personnel Management Guide to Processing Personnel Actions, Chapter 24, Paragraph 2, describes intermittent as a work schedule under which employees perform service without a regularly scheduled tour of duty.

6.17.4.2 Pay-Setting

Intermittent work schedules and pay setting are treated in the same manner as for part-time work schedules as described in Paragraph 6.17.3 above.

6.17.4.3 Appraisals

Since there is no stipulation for a minimum work schedule under CCAS, employees on intermittent work schedules, to be appraised, would need to have been under CCAS for at least one 90 consecutive calendar day period in their current appraisal cycle; have been under an

approved contribution plan for the contribution results and performance expected to be achieved in the time period the employee would actually be in a pay status working during the appraisal cycle; be under the CCAS on September 30th; and be employed by an AcqDemo organization on the effective date of the appraisal, i.e., January 1st of the calendar year following the close of the appraisal cycle.

6.17.5 Post–Cycle AcqDemo Promotions

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

6.18 Presumptive Rating

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

6.18.2 Use available observations and documentation to prepare an assessment and determine a recommended OCS and PAQL for each factor; or

6.18.2.1 **Presumptive Status 1:** New AcqDemo hires with less than 90 calendar days immediately preceding the end of the current appraisal cycle, who are not eligible for an annual CCAS contribution assessment due to time.

6.18.2.2 **Presumptive Status 2:** Extended absences when there is no previous rating to recertify. Presume contributions are consistent with EOCS for the current OCS, a Fully Successful RoR, and a PAQL of 3 for each of the three appraisal factors unless there are extenuating circumstances such as performance issues.

6.18.2.3 **Presumptive Status 3:** Extended absences when there is a previously approved CCAS appraisal in the 4-year period preceding the end of the current appraisal cycle.

a. Unless there are extenuating circumstances such as significant growth in performance or deterioration of performance, consider recertification of the most recent approved CCAS appraisal in the 4-year period to include the approved OCS and annual RoR with the actual numerical scores of the PAQLs for the three appraisal factors.

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

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

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

6.18.2.5 **Presumptive Status 5:** Reserved for RIF related Procedures for Employees Who are Absent for Military Service. For RIF purposes, employees who are absent for military service:

a. Will receive a CCAS assessment, OCS, RoR, and PAQL scores provided they have performed work under an approved plan for a minimum of 90 calendar days and for 90 consecutive calendar days immediately before the end of the rating cycle.

b. If an employee absent for military service does not meet the two 90-day requirements and has no RoR under any performance management system within the previous four-year period, the employee will be presumed to be contributing consistently with his/her EOCS representative of his/her basic pay level and will receive the RoR most frequently given (modal) among the actual ratings of record in the same competitive area.

c. Employees who do not meet the 90-calendar day immediately before the end of the rating cycle requirement but have a RoR under any performance management

system within the four-year period preceding the RIF "cutoff date" will receive a CCAS RoR consistent with this previous RoR and will be assigned their most recent RoR and associated PAQLs as the new CCAS RoR for the appraisal cycle. This new CCAS RoR will be treated as assessed performance.

6.19 Supervisory and Team Leader Cash Differential Annual Review

6.19.1 As part of the annual pay pool panel process, all supervisory and team leader cash differentials are reviewed every year at the same time as the CCAS annual assessment. Cash differentials may be terminated or reduced as dictated by fiscal limitations, changes in assignment or scope of work, and/or an employee's removal from the supervisory or team leader position regardless of cause.

6.19.2 Heads of Participating Organizations may use the supervisory and team leader cash differentials as an additional tool to incentivize and compensate supervisors and team leaders in situations where:

1) Organizational level and scope, difficulty, and value of position warrants additional compensation; or
2) Supervisory and/or team leader positions are extremely difficult to fill; or
3) Basic pay inequities exist between the supervisor/team leader and non-supervisory/non-team leader subordinates' basic pay.

6.19.3 The supervisory and team leader cash differentials are not paid from pay pool funds.

6.19.4 The supervisory and team leader cash differentials are not automatic by virtue of holding a supervisory or team leader position. They will be used selectively, not routinely, to compensate only those supervisors and /or team leaders who fully meet the criteria.

6.19.5 A supervisory cash differential may not exceed 10 percent of basic pay and a team leader cash differential may not exceed 5 percent of basic pay. A cash differential is not included as part of basic pay for entitlement calculations (e.g., retirement and Thrift Savings Plan); and is subject to the total aggregate limitation on pay. Because it is not part of basic pay, supervisors or team leaders who are at the maximum basic pay for their respective broadband level may still receive a cash differential.

See **Chapter 5**, Pay Administration for more information on the Supervisory and Team Leader Cash Differential.

6.20 Accelerated Compensation for Developmental Positions (ACDP)

6.20.1 Definition

ACDP allows for more frequent basic pay increases for developmental positions. It recognizes employees in DAWIA-coded positions and those in non-AWF positions requiring 51% or more of time in direct support of acquisition positions in an acquisition career field classified to

Broadband Levels I, II, and III of the Business Management and Technical Management Professional Career Path who:

a) Are participating in formal training programs, internships, or other developmental capacities; and

b) Have demonstrated successful or better growth and development in the attainment of job-related competencies; and

c) Have demonstrated effective accomplishment of a level of work higher than that represented by an AcqDemo employee's current rate of basic pay.

6.20.2 ACDP Basic Pay Increases

ACDP basic pay increases may be granted twice per CCAS appraisal cycle. Each ACDP basic pay increase may not exceed 10% of basic pay. An ACDP employee may not receive more than two basic pay increases in a CCAS cycle. However, an ACDP employee may be eligible to receive an additional rating increase through the CCAS process.

6.20.3 Responsibilities

6.20.3.1 DoD AcqDemo Program Office

The DoD AcqDemo Program Office issues general parameters for use by all AcqDemo organizations for overall consistency, implementation, and sustainment of the ACDP.

6.20.3.2 Components, DoD Agencies, and DoD Field Activities

Components, DoD Agencies, and DoD Field Activities provide policy and guidance as appropriate.

6.20.3.3 Local Personnel Policy Boards

Personnel Policy Boards develop local organizational policy and guidance under AcqDemo Program Office, Component, Agency, or Field Activity corporate parameters, as appropriate, and oversee operation of the ACDP program. They may establish funding percentage to be used for ACDP basic pay increases within the range provided by the AcqDemo Program Office and establish parameters for formal contribution and developmental growth programs that meet Title 5 Code of Federal Regulations requirements and are published in local business rules.

6.20.3.4 Pay Pool Managers or Designated ACDP Approver

Utilize the program consistent with the criteria and guidance issued by their Personnel Policy Board or equivalent board. Review and approve an employee's ACDP Assessment. Establish and approve amounts of individual ACDP basic pay increases.

6.20.3.5 Rating Official or Immediate Supervisor

These individuals will establish and approve the CCAS Contribution Plan to include ACDP contribution, performance, and development criteria, objectives, and plans for an employee's ACDP assessment. May recommend an ACDP basic pay increase to an employee's basic pay commensurate with fully successful completion of training and higher level, more complex work based on an employee's Contribution Plan and ACDP goals, objectives, expectations, and quality of performance for an ACDP Assessment and/or CCAS appraisal cycle.

6.20.4 Eligible Positions and Employees

6.20.4.1 DAWIA-Coded Positions

Employees occupying DAWIA-coded positions and those in non-AWF positions requiring 51% or more of time in direct support of acquisition positions in an acquisition career field classified to Broadband Levels I, II, and III of the Business Management and Technical Management Professional Career Path who are approved for participation in formal training programs, internships, or other developmental capacities may be eligible for ACDPs. These developmental programs must lead to the attainment of job-related competencies enabling the employee to demonstrate successful or better growth in complexity of work, value of contributions, quality of performance and completion of training that warrant an advancement toward the targeted position or compensation level (i.e., broadband level, position, control point/maximum OCS, or basic pay range within a broadband level).

6.20.4.2 Pathways Programs/Maximum Career Level Positions

Employees hired into NH-I and II positions through the Internship Program, Recent Graduates Program, or Presidential Management Program under the OPM Pathways Programs or into a career growth position leading to a higher maximum career level position may be eligible for the ACDP.

6.20.4.3 Employees eligible for an ACDP are those who have served in an AcqDemo position in a pay and duty status under an approved CCAS Contribution Plan and meet the ACDP assessment criteria:

a) For a minimum of 90 cumulative calendar days immediately before an ACDP basic pay increase consideration, and
b) Who have successfully met the benchmark and objective requirements for developmental activities, accomplishment of higher level work, contribution expectations and results as well as quality of performance determined by the supervisor and/or Pay Pool Manager/Pay Pool Panel or Local Personnel Policy Board for the six-month period prior to an ACDP basic pay increase consideration.

6.20.4.4 General Information and Requirements

6.20.4.4.1 Training Program Requirements

The formally designated AcqDemo trainee or developmental program(s) must have all of the characteristics covered in 5 CFR §351.702(e)(1) through (e)(4). Components, Agencies, Field Activities, and or AcqDemo organizations choosing to provide ACDP basic pay increases must establish and document standards by which such employees will be identified.

6.20.4.4.2 Individual Development Plan

A comprehensive Individual Development Plan (IDP) must be designed outlining the various training to be successfully completed during the development program including any DAWIA required certification training and competencies to be obtained over the duration of the internship, career ladder growth expectations to reach the maximum career level, or requirements under other formal developmental programs. Elements of the IDP to be completed during a specific appraisal cycle would be included in the CCAS Contribution Plan and ACDP Assessment for that cycle for consideration in determining growth in the position and whether or what percentage of an ACDP basic pay increase is appropriate.

6.20.4.4.3 Benchmarks and/or Objectives

Benchmarks and/or objectives identifying the timelines, value, success, and level of contributions; quality of performance; standards for growth and development criteria; and targets for accomplishment of higher level work by which an additional basic pay increase and an official rating of record may be determined must be developed, documented in the Contribution, Performance and Development Plan, and communicated to the employee(s) occupying the position or similar positions. The benchmark requirements must be the objectives, or stages of the requirements, attainable during an appraisal cycle.

6.20.5 Documenting, Approving and Paying an ACDP Basic Pay Increase

6.20.5.1 Documenting

An ACDP Assessment may be used to document, process, and retain the contribution and quality of performance objectives, goals, and expected results plus the elements of the IDP expected to be achieved during an appraisal cycle for an employee eligible for an ACDP basic pay increase. This assessment would serve as the justification provided the servicing human resource office (HRO) for processing approved ACDP basic pay increases.

6.20.5.2 Approving

The level of final approval for the ACDP Assessment is determined by each AcqDemo Participating Organization and described in its business rules.

6.20.5.3 Paying an ACDP

The conditions for payment of the ACDP basic pay increases must be consistent with Merit Systems Principles. An employee awarded an ACDP basic pay increase must be in a pay and duty status in an AcqDemo covered position on the effective date of the ACDP basic pay increase which would typically be the beginning of a pay period following as close as possible to the final approval.

6.20.5.4 ACDP Assessment

6.20.5.4.1 Differences in ACDP Assessment and CCAS Assessments Appraisals

While the ACDP Assessment mirrors the CCAS appraisal process for ease in training and maintaining consistency, it differs as follows:

a) The ACDP contribution, performance, and development assessment benchmarks and/or objectives may be tied to one or more of the three CCAS factors and do not need to be assessed individually for an ACDP Assessment. They may be taken as a group to derive a percentage increase reflective of the employee's growth through a broadband level based on fully successful or better accomplishment of the training, performance, and progressively higher-level work objectives and expectations as well as the employee's quality of work. Reference to an organization's position management structure and the factor level descriptors should be helpful in determining where an employee's level of work would fall in the broadband, thus pinpointing a representative percentage increase.

b) An ACDP Assessment or Assessments during a CCAS Appraisal Cycle will serve as a substitute for a Mid-Year Assessment.

c) An ACDP basic pay increase would normally be considered twice a year rather than once at the end of the CCAS appraisal cycle.

d) An approved ACDP basic pay increase should be processed as soon as possible after approval. ACDP basic pay increase processing at the end of the CCAS appraisal cycle should not be delayed until payouts are finalized.

e) ACDP basic pay increases will not be funded from pay pool allocations. A general O&M budget allocation or equivalent for civilian salaries, as appropriate, would be used to cover ACDP basic pay increases.

f) The contribution rating increases resulting from the CCAS annual appraisal, at the discretion of the pay pool manager, may be added to a post-CCAS cycle ACDP basic pay increase. Post-CCAS cycle is 1 October to the effective date of the January CCAS payout.

6.20.5.4.2 ACDP employees will be added to CAS2Net to participate in the CCAS process. The CCAS ACDP process will consist of:

a) CCAS Contribution Plan

b) ACDP Assessments every six months (Does not have to align to the three performance factors)

c) One annual Rating of Record as part of the CCAS Process

6.20.5.4.3 The ACDP assessments should be accomplished as close as possible to the conclusion of each six-month assessment period and the CCAS annual appraisal but far enough in advance to accomplish the processing of the personnel action with the processing centers respectively. ACDP assessments are based on the degree to which the employee has successfully:

a) accomplished their contribution, performance, and/or development objectives, goals, and results, and

b) completion of prescribed training, rotational assignments, on-the-job developmental experiences, and other developmental benchmarks established by the supervisor, Pay Pool Manager/Pay Pool Panel as described in the CCAS Contribution Plan (that may include contributions, performance and/or development objectives), for growth and development toward the maximum broadband level.

6.20.5.4.4 At both ACDP assessments, employees may provide input regarding their growth, contributions, accomplishments, and quality of performance in the ACDP Assessment. The supervisor, taking into account an employee's input, will assess and document an employee's progress in achieving the contribution expectations and quality of performance, completing developmental requirements, and attaining the competencies needed for continued growth in the position. The supervisor should discuss the employee's measurable growth and developmental results as well as those that might be stagnant and need more work. The supervisor should indicate where an employee's progress and level of work actually fall in their current broadband level in comparison to the actual career ladder maximum broadband level. The resulting ACDP increase should be a reflection of the overall contributions, growth, development, and performance toward the maximum broadband level, indicate the classification of the difficulty and complexity of duties and responsibilities within the broadband level, and identify the significance of the employee's contributions to the strategic goals and objectives for the organization's mission as a result of the employee's accomplishments during the appraisal cycle.

6.20.5.4.5 When an ACDP assessment review results in a 0% increase, the employee's ACDP basic pay increase would be delayed until time for the next ACDP assessment or reevaluated once the planned contribution, performance and/or development objectives have been achieved by the employee. The supervisor would need to reassess the employee's progress and adjustment assignments and development activities to try to overcome deficiencies.

6.20.5.4.6 The performance rating of record (performance appraisal quality levels) would be determined in conjunction with the annual CCAS assessment and recommendation of factor scores.

6.20.5.4.7 The supervisor discusses new contribution expectations and or developmental assignments with the employee. These should be included, in the CCAS Contribution Plan and, if appropriate, in the Individual Development plan (IDP).

6.20.5.5 If the supervisor and/or Pay Pool Panel determine that an employee's achievements warrant an increase in his/her current basic pay as represented by a percent increase, justification would be provided in the ACDP Assessment. The new EOCS, percentage increase in basic pay and new basic pay would be provided in the new ACDP Assessment Form with required approval signatures.

6.20.5.5.1 Information columns are to be added to the Compensation Management Spreadsheet (CMS) to record the OCS rating of record.

6.20.6 Basic Pay Adjustments

6.20.6.1 Possible ACDP Basic Pay Increases per CCAS Cycle

ACDP basic pay increases may be ~~awarded~~ granted twice per CCAS appraisal cycle. ACDP employee may not receive more than two increases in a CCAS cycle. Each ACDP basic pay increase may not exceed 10% of basic pay. The amount of the ACDP basic pay increase may not cause the employee's basic pay to exceed the top of the employee's broadband level, the target pay for the employee's maximum broadband level, or compensation strategy set by internal business rules, policies, or procedures for both the position's value and employee contributions.

6.20.6.2 Determining an ACDP Increase

ACDP basic pay increases are based on the degree to which the employee accomplishes the benchmarks, standards, objectives, and/or developmental activities established by the supervisor, Pay Pool Manager/Pay Pool Panel as described in the Contribution, Performance, and Development Plan for contribution toward the mission, quality of performance, and growth and development toward the maximum broadband level.

6.20.6.3 If the supervisor and Pay Pool Manager and /or Pay Pool Panel concur that an ACDP employee's achievements warrant an ACDP basic pay increase, the basic pay increase should range from 0% not to exceed 10% increase as long as the basic pay increase does not exceed the maximum basic pay of the employee's current broadband level or maximum broadband level for the ACDP.

6.20.6.4 See Chapter 5, Pay Administration for more information on the ACDP.

6.20.7 Processing an ACDP Basic Pay Adjustment

6.20.7.1 ACDP basic pay increases would normally be effective as soon as all approvals are obtained and HR processing can be completed. However, if an ACDP basic pay increase is awarded during the CCAS assessment process occurring between October 1 and December 31, the effective date of the ACDP basic pay increase does not need to coincide with the effective date of the CCAS annual payout, i.e., the beginning of the first pay period in January. An ACDP basic pay increase would be made effective as soon as the HR processing is completed with any GPI pay increase processed next followed by any CCAS CRI effective on the same day as the GPI or at a later date. Refer to 5 CFR 531.206 for the order of processing simultaneous pay actions.

6.20.7.2 The Pay Pool Administrator would update the CMS to record the new ACDP data. The supervisor would arrange to have the completed and signed report from the ACDP Assessment Plan attached to a completed Request for Personnel Action (RPA), SF-52, for a Miscellaneous Pay Adjustment Action and the package forwarded to the servicing HRO.

6.20.7.3 The NOA is 890 – Miscellaneous Pay Adjustment; Legal Authority Codes ZLM - 82 FR 52104, dated 11/9/2017, Section II.C.9.c.(1), and Z2W – Pub. L. 111-383.

6.20.7.4 Use Remark Code: P53 – Pay adjustment in block 20 reflects a (percentage) increase in basic pay for successful achievement of job-related competencies.

6.20.8 ACDP Grievances

Since an ACDP results in a basic pay adjustment for an employee decided by management, the basic pay adjustment is not grievable.

6.21 CCAS Scoring

6.21.1 Rating officials use the Integrated Pay Schedule design to assess the contribution level of work against the employee's current compensation level indicated by the employee's EOCS. Each factor will receive two types of scores: contribution and performance. The contribution scores will be for compensation determination and the performance scores for the official rating of record to conform to the requirements of 10 U.S.C. §1597(e) for separation in a RIF.

6.21.2 Contribution Score

At the end of the annual appraisal period, the rating official recommends categorical scores and numerical scores depending on the organization's business rules, for each factor for each employee. The categorical scores are determined by comparing an employee's contribution results to the set of descriptors and discriminators for a particular factor and broadband level. The supervisor may also recommend a numerical score that is appropriate for the categorical score for the employee's career path as shown in **Table 10** below.

6.21.3 Very high scores are available to recognize an employee for exemplary contributions; the results of which are substantially beyond what was expected and warrant a score exceeding the top score for the highest broadband level in the employee's career path. Very high scores for factors may only be assigned to employees holding a position in Level IV of the Business Management and Technical Management Professional Career Path, Level IV of the Technical Management Support Career Path, or Level III of the Administrative Support Career Path.

6.21.4 With the exception of the Very High categorical scores and its associated numerical scores, the entire range of categories and numeric scores are available for an employee in the listed career path no matter their assigned broadband level.

		Business and Technical Management Professional (NH)	**Technical Management Support (NJ)**	**Administrative Support (NK)**
Broadband and Very High Score Levels	**Categorical Scores**	**Numerical Score Range**	**Numerical Score Range**	**Numerical Score Range**
Very High Score	High	115	95	70
	Medium	110	91	67
	Low	105	87	64
IV	High	96-100	79-83	--
	Medium	84-95	67-78	--
	Low	79-83	61-66	--
III	High	79-83	62-66	57-61
	Medium	67-78	52-61	47-56
	Low	61-66	43-51	38-46
II	High	62-66	47-51	42-46
	Medium High	51-61	41-46	--
	Medium	41-50	36-40	30-41
	Medium Low	30-40	30-35	--
	Low	22-29	22-29	22-29
I	High	24-29	24-29	24-29
	Medium	6-23	6-23	6-23
	Low	0-5	0-5	0-5

Table 10: Contribution Categorical Scores and Numerical Scores by Career Path

6.21.5 Contribution Scoring Process

The process for scoring a factor begins by assessing an employee's contributions and his/her results during the appraisal cycle in relation to his/her contribution plan, the expected contribution criteria for each contribution factor, the factor descriptors, and discriminators for the broadband level of the employee's position; and the performance appraisal quality level criteria. At the end of the appraisal cycle, the rating official meets with his/her employees, requesting them to summarize the impact and quality of their contributions against the factor descriptors, expected contribution criteria, and the objectives described in their contribution plans. From employee input, customer feedback, his/her own knowledge, and other sources, the rating official assigns a

preliminary categorical score and numerical score from the appropriate career path broadband/or very high score level for the employee's position and PAQL. This step is repeated for each of the three factors.

The Very High Score is reserved for employees at the top broadband level of their career path, i.e., NH-IV, NJ-IV and NK-III. If the employee's contributions are awarded a very high score, the score must be one of the three numerical scores assigned to the very high score level for the employee's career path.

6.21.6 Performance Scores

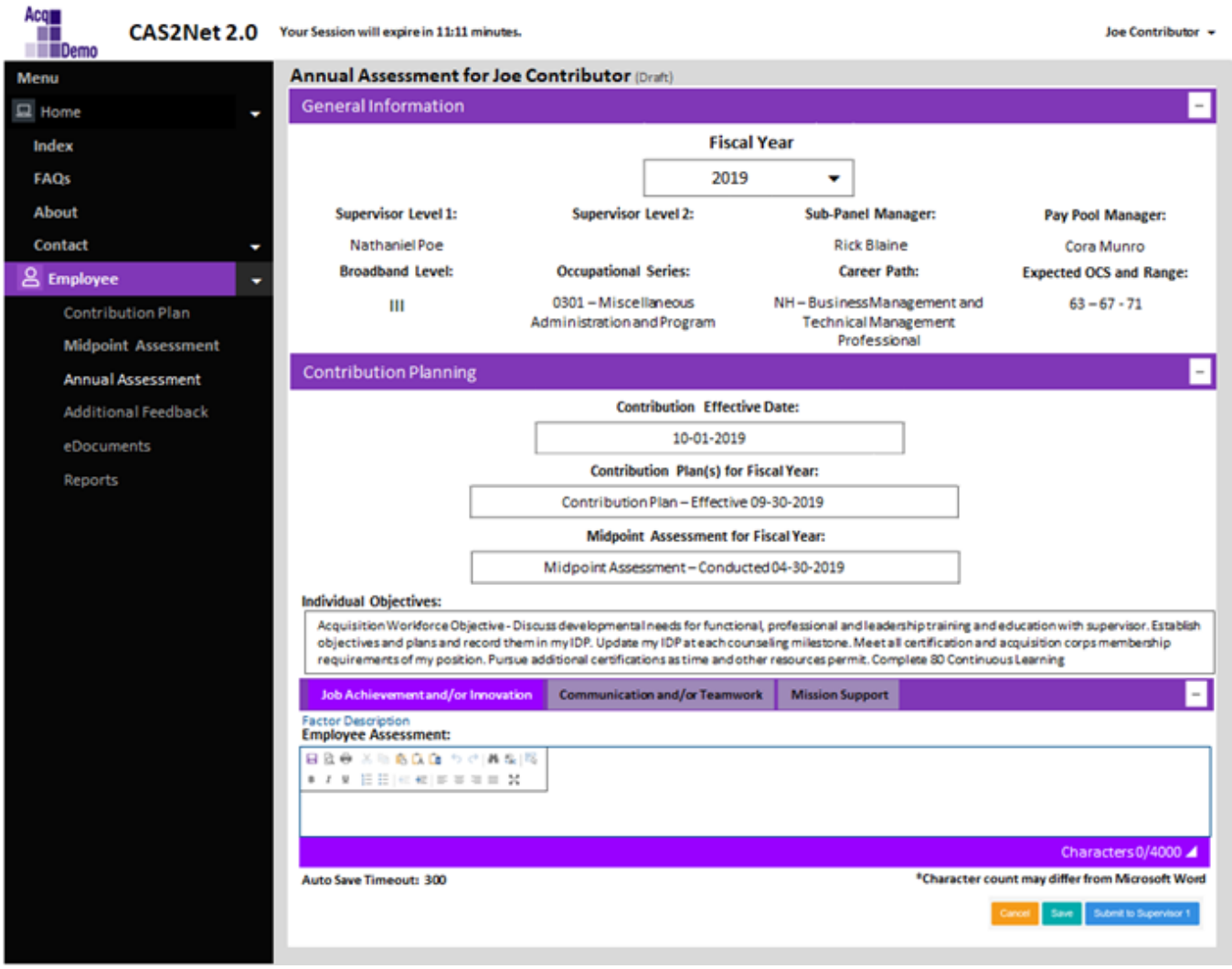
The quality of performance appraisal is conducted in conjunction with the contribution scoring process. As the rating official considers such items as the employee's self-assessment, customers' feedback, and personal observations in preparation for assigning preliminary CCAS categorical and numerical scores, he/she will also assess the quality of the employee's performance in achieving his/her contribution results under each of the three contribution factors. A preliminary PAQL of either Level 5 – Outstanding, Level 3 – Fully Successful, or Level 1 - Unacceptable from **Table 5** will be assigned by the rating official to each of the three contribution factors. The three PAQLs are averaged to calculate the annual rating of record. The resulting quotient will be rounded to the nearest tenth of a decimal point. If the hundredths and thousandths places of the decimal reflect forty-nine or less, they are dropped and the tenths place does not change. If the hundredths and thousandths places of the decimal is fifty of more, they are dropped and the tenths place is increased by ".1". The final average will then reflect the employee's overall job performance during the appraisal cycle based on the rating criteria outlined in **Table 6**. A PAQL of Level 1- Unacceptable for any factor will make the overall rating of record a Level 1- Unsuccessful.

6.22 Evaluation at the Conclusion of the Appraisal Cycle

CCAS uses a holistic approach that evaluates the scope of work, level of difficulty, value of position and contributions, and quality of an employee's efforts in achieving contribution results. This methodology fosters consistency and equity in contribution assessments. The following describes the steps of the contribution assessment process:

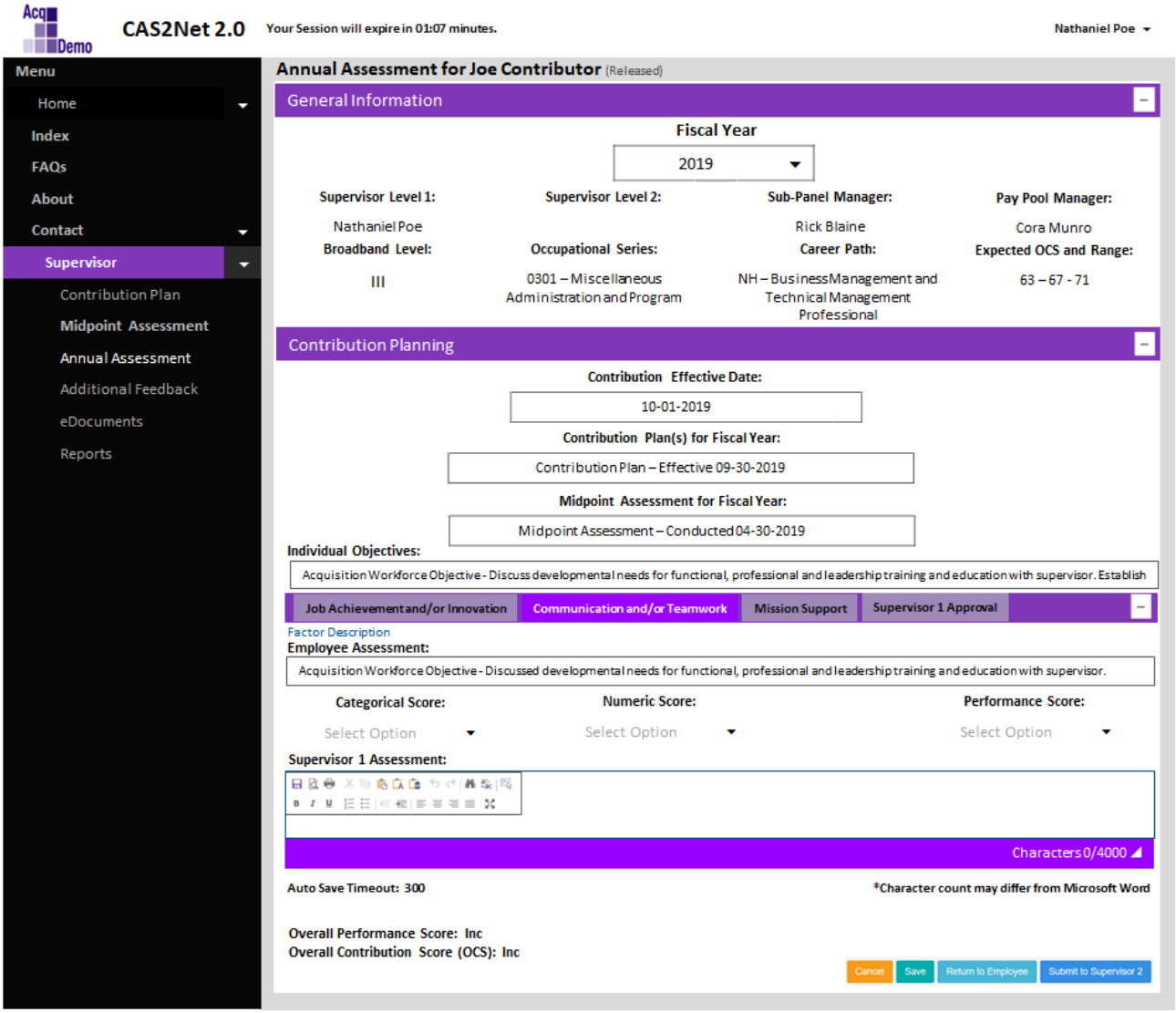
STEP 1.

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. Local business rules will state the requirement for completion of the employee annual self-assessments. If employees in accordance with local business rules are not required to complete the annual self-assessment or if an employee elects not to provide an annual self-assessment, this shall be annotated on the supervisor's narrative. Employees will complete the annual self-assessments in CAS2Net.



Picture 5: Employee view of Annual Assessment

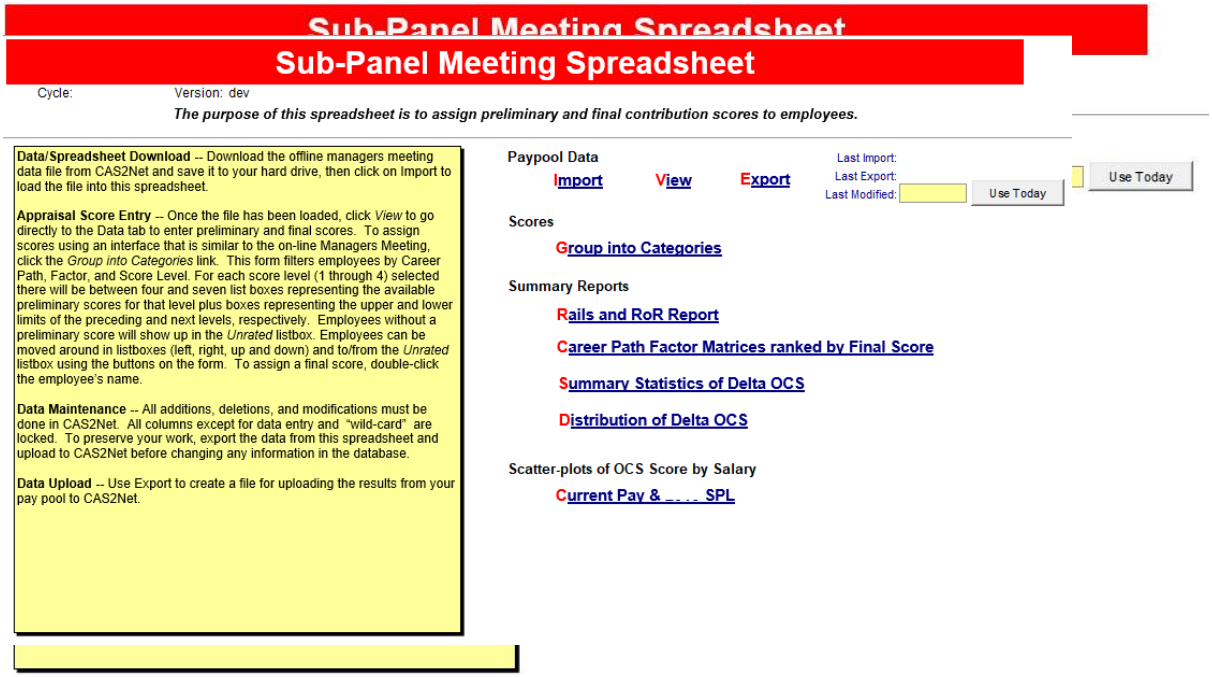
In completing the supervisor annual assessment, the rating official considers inputs from the employee, personal observations, and may consider other sources as appropriate, to assess the level of the employee's contribution level and PAQL for each factor in the CAS2Net annual appraisal module. Categorical/numerical scores and PAQLs must not be discussed with employees until officially approved by the pay pool manager.



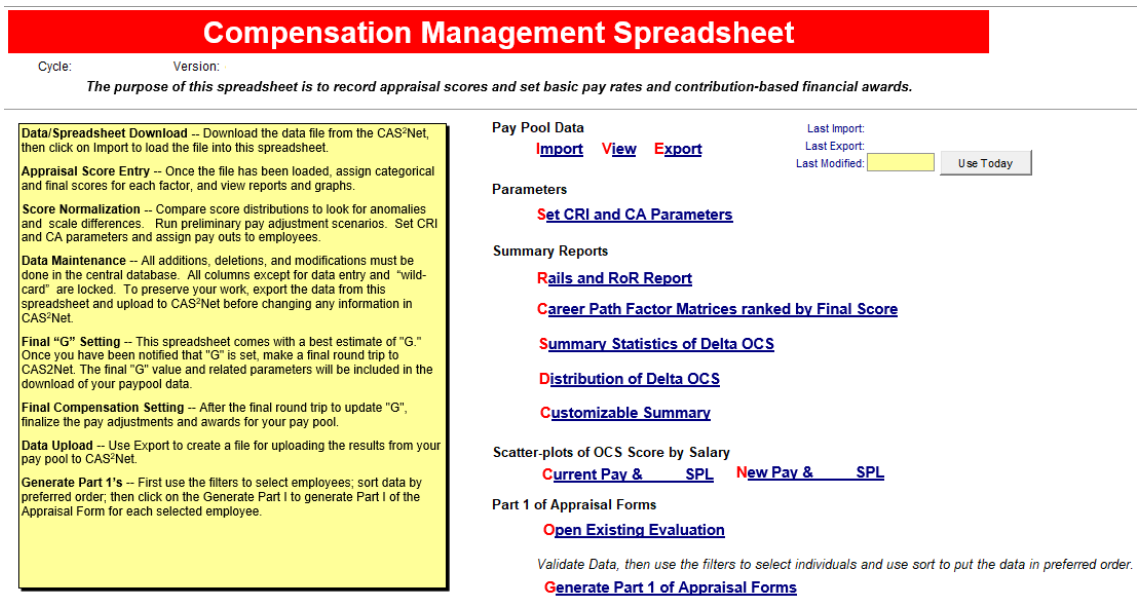
Picture 6: Supervisor View of Annual Assessment

STEP 2. Preparing for the Pay Pool Panel Meeting

Pay pool administrators will download the categorical scores, numerical scores, and PAQLs from CAS2Net and import into the DoD standardized pay pool panel spreadsheets: Sub-Panel meeting spreadsheet and the compensation management spreadsheet. If the activity has sub-panels, go to step 3 – Sub-Panel meeting; otherwise proceed to step 4 – Pay Pool Panel process.



Picture 7: Sub-Panel Spreadsheet Example



Picture 8: CMS Spreadsheet Example

STEP 3. Sub-Panel Meeting

The sub-panel meeting process is similar to the pay pool panel process. The sub-panel meets to review and normalize categorical scores, numerical scores and PAQLs across the sub-panel; and the results are forwarded to the pay pool panel for further review, normalization, and approval. The sub-panels may comprise of rating officials (first-level supervisors) and second-level supervisors.

The sub-panel process, as with the pay pool process, works to achieve fairness and standard application of the factor descriptors, expected contribution criteria, and performance appraisal

quality levels. The sub-panel is typically composed of a sub-panel manager and those who report directly to him/her. Their purpose is to share a common view of the organization's mission, goals, and objectives in reviewing the contribution and performance of employees by subordinate supervisors, bring a common perspective to how employees are evaluated, and therefore, compensated and appraised.

The sub-panel members are encouraged to include initial rating officials, if applicable, in the process to ensure equity and consistency in the scoring, ranking, and appraisal of all employees. Local business rules may include guidance on the inclusion of these officials in a uniform manner. The sub-panel meeting manager and sub-panel members determine a consistent approach to involving initial rating officials in the process.

In accordance with the local business rules, the sub-panel meets after the end of the rating period following assignment of the recommended categorical scores, numerical scores, and PAQLs by supervisors in CAS2Net; or after assignment of recommended OCSs, PAQLs, and ranking employee contributions; or following assignment of recommended categorical scores and PAQLs for employees of the sub-pay pool.

If local business rules require supervisors to recommend only the categorical scores and PAQLs; the numerical scores are assigned by the sub-panel following further refinement and rank ordering of the categorical scores. The sub-panel selects the numerical score from the range of scores associated with the specific categorical score selected as representative of an employee's overall contribution. The numerical scores that may be available for use in the assessment process depend upon the value of an employee's position as developed through the organization's position management structure and compensation strategy. The OCSs are then calculated. This is where weights for individual factors would be incorporated, if applicable. Note that within **Table 10**, different point ranges relate to different career paths. For example, for the Business Management and Technical Management Professional (NH), an employee's recommended categorical score III-Medium with a numerical point range of 67 to 78 could be assigned a score of 71. An employee in the Technical Management Support (NJ) career path, with a recommended categorical score of III-Medium with a numerical point range of 52 to 61 could be scored with a 56.

If inconsistencies are noted with the supervisors recommended scores, they are discussed and resolved with the respective rating official.

When the sub-panel manager completes the review of the assessments, categorical scores, numerical scores, and PAQLs, the updated sub-panel meeting spreadsheet is returned to the pay pool administrator. The pay pool administrator will export and upload the categorical scores, numerical scores, and PAQLs to CAS2Net.

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.

Step 4. Pay Pool Panel Process

The pay pool panel process works to achieve fairness and standard application of the factor descriptors, expected contribution criteria, and PAQLs. The pay pool panel is typically composed of the pay pool manager and those who report directly to him/her. Their purpose is to share a common view of the organization's mission, goals, and objectives in reviewing the contribution and performance of employees by subordinate supervisors, reviewing results from sub-panel meetings, and bring a common perspective to how employees are evaluated, and therefore, compensated and appraised.

The pay pool panel members are encouraged to include initial rating officials in the process to ensure equity and consistency in the scoring, ranking, and appraisal of all employees and establish local policies and procedures to guide the inclusion of these officials in a uniform manner. The Pay Pool Manager and the pay pool panel members determine a consistent approach to involving initial rating officials in the process.

The pay pool panel meets after the end of the rating period following assignment of the recommended categorical scores, numerical scores, and PAQLs by supervisors in CAS2Net; after assignment of recommended OCSs, PAQLs, and ranking employees and their contributions; or following assignment of recommended categorical scores and PAQLs.

In the first meeting, panel members will review the recommended categorical scores, numerical scores and PAQLs for the contribution factors and supervisor assessments for all pay pool members (employees) for consistency and equity of application within the pay pool population before final approval by the pay pool manager.

If inconsistencies are identified, rating officials are informed of the concerns and asked to revisit the categorical scores, numerical scores, PAQLs and/or assessment and make adjustments as appropriate. Any change to categorical score, numerical score, PAQL and/or supervisor assessment, must be communicated to the appropriate supervisor. In accordance with local business rules, rating officials may be contacted during the pay pool panel meeting to answer the panel's concerns.

A second meeting may be required if rating officials are not available to resolve the inconsistencies identified by the pay pool panel. The updated list of categorical scores, OCS, or Rating of Record may be reviewed prior to the second meeting by the pay pool panel officials.

If inconsistencies in the list are identified, 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.

The categorical scores and/or numerical scores may be rank ordered in the refinement of the overall contribution scores. The numerical scores that may be available for use in the pay pool panel process depend upon the value of an employee's position as developed through the organization's position management structure and compensation strategy. The OCSs are then calculated. This is where weights for individual factors would be incorporated, if applicable. Note that within **Table 10**, different point ranges relate to different career paths. For example, for the Business Management and Technical Management Professional (NH) career path, an

employee's recommended categorical score III-Medium with a numerical point range of 67 to 78 could be assigned a score of 71. An employee in the Technical Management Support (NJ) career path, with a recommended categorical score of III-Medium with a numerical point range of 52 to 61 could be scored with a 56.

The "Very High Score" category is reserved for those individuals who score well above the descriptors in any one of the three 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. **See Table 11**, Very High Score, Descriptors, and Scores for the mid-level descriptors, (i.e., 110, 91, and 67).

Job Achievement and/or Innovation	Communication and/or Teamwork	Mission Support
NH	VERY HIGH SCORE **(Mid-level Descriptors)** (Three scores available--105, **110**, or 115. Select one of these scores.) In addition to fully meeting the expected contribution criteria: • Contributed results substantially beyond what was expected in the face of extremely difficult obstacles; contributions were exemplary in quality, quantity, and/or impact to the stated expectations for the goals/objectives described in the contribution plan; • Created novel and innovative business methods and processes that contributed substantially beyond expectations to accomplishment of current work and the mission of the organization; and/or • Demonstrated the highest standards of professionalism establishing the model for others to follow. Accomplishments and outcomes were of such magnitude that they contributed to the extraordinary success of the organization in exceeding its mission goals and objectives for the year.		
NJ	VERY HIGH SCORE **(Mid-level Descriptors)** (Three scores available—87, **91**, or 95. Select one of these scores.) In addition to fully meeting the expected contribution criteria: • Achieved outcomes and results that are far superior in quality, quantity, timeliness and impact to the expectations described in the Contribution Plan for Level IV accomplishments; • Persisted in overcoming obstacles and putting forth extra effort to accomplish difficult assignments with contributed results significantly beyond expectations; • Contributions to successful organizational performance are well beyond what is expected; and/or • Demonstrated the highest standards of professionalism establishing the model for others to follow.		
NK	VERY HIGH SCORE **(Mid-level Descriptors)** (Three scores available--64, **67**, or 70. Select one of these scores.) In addition to fully meeting the expected contribution criteria: • Achieved outcomes and results that are far superior in quality, quantity, timeliness, and impact to the expectations described in the Contribution Plan for Level III accomplishments; • Persisted in overcoming obstacles and putting forth extra effort to accomplish difficult assignments with contributed results significantly beyond expectations; • Contributions to successful organizational performance are well beyond what is expected; and/or • Demonstrated the highest standards of professionalism establishing the model for others to follow.		

Table 11: Very High Score Descriptors and Scores

STEP 5. CCAS Pay Adjustments (Basic Pay Adjustment Guidelines using Delta Y)

A Delta Y is the amount of basic pay on the vertical axis which is the difference between the employee's current basic pay and the Standard Pay Line (or the reference line used by the organization) for their OCS. Delta Y provides the exact basic pay differential that it would take to bring the employee to the reference line used. The Delta Y approach results in a percent of basic pay and is the method commonly used to distribute the basic pay and award dollars.

After the pay pool manager approves the OCS and rating of record, the current basic pay versus approved OCS is plotted for all employees in the standardized CMS. **Figure 3** is an illustration of the process in the CMS. This plot relates contribution to compensation, and identifies the placement of each employee into one of three regions: undercompensated, appropriately compensated, or overcompensated.

The pay pool manager, in consultation with the pay pool panel, determines the potential basic pay adjustment and contribution award for each employee. The Compensation Eligibility chart at **Table 8**, illustrates the basic pay adjustments available for the three groupings of employees. All employees are entitled to the full locality pay.

The appropriately compensated employee, as shown in **Figure 3**, whose contribution versus basic 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 basic pay, but the contribution award is a lump-sum payment that does not affect basic pay.

The overcompensated 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 CCAS is to allow managers to retain the ability to determine how much, if any, of the general pay increase an overcompensated employee shall receive, on a case-by-case basis.

The undercompensated employee must receive the full general pay increase, may receive up to a 20% CRI in basic pay, and also may receive a contribution award.

The basic pay increase for an undercompensated employee cannot place them more than 6% above the lower rail.

All CRI increases are capped at the top of the employee's broadband level.

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.

Pay Pool Panel/Pay Pool Administrator will communicate changes to rating officials. Rating officials should ensure that the Part II form, Annual Assessment, reflects the approved appraisal results (i.e., scores, PAQLs and narrative).

The Pay Pool Manager is the individual within the organization responsible for managing the CCAS process to include final approval of the supervisor assessments, factor scores, OCS, compensation adjustments, PAQLs, and ratings of record.

CCAS Pay Adjustments (Basic Pay Adjustment Guidelines using Delta Y). Before ending the Pay Pool panel process, the pay pool manager and pay pool panel will review (with final approval by the pay pool manager) if applicable:

a) The supervisory and team leader cash differential,
b) CCAS payouts for ACDP,
c) Pro-rated contribution awards, and/or
d) Contribution Award to Time-Off Award
e) Supervisor annual assessments
f) Factor scores (categorical scores and numerical scores)
g) OCS
h) Compensation (GPI, CRI, CRI Carryover, CA).
i) PAQL scores,

j) PAQL average raw score, and
k) Rating of record

Any calculated CRI that cannot be given to the employee due to the employee's basic pay exceeding the maximum basic pay of the broadband level, a control point IAW the Participating Organization's compensation management strategy, and/or business rules may be carried over as a lump sum performance payment, rating based in lieu of a basic pay adjustment.

The scores, compensation, and rating of record are documented on the Contribution-based Compensation and Appraisal System Salary (Basic Pay) Appraisal Form, Part I, and on the supervisor assessment in Part II. The CCAS Annual Appraisal (Parts I and II) will serve as the basis for individual discussions with the employees.

In accordance with local business rules, the pay pool administrator will provide the Part I's to the rating officials and/or notify the rating officials that the Parts I and II are available in CAS2Net after final approval by the Pay Pool Manager.

STEP 6.

The rating official will discuss the approved factor scores, OCS, and PAQLs, average raw score, rating of record, and compensation adjustments (GPI, CRI and CA) with each employee. If needed, rating officials may seek additional clarification from the Pay Pool Panel if needed, before meeting with the employee.

The CCAS Annual Appraisal (Parts I and II) will serve as the basis for individual discussions with the employees. In addition, potential opportunities for increasing contribution for the upcoming appraisal period are also discussed. (See **Figure 5** below)

The rating official and employee electronically sign the Part I CCAS Salary (Basic Pay) Appraisal Form and upload the CCAS annual appraisal (Parts I and II) into CAS2Net.

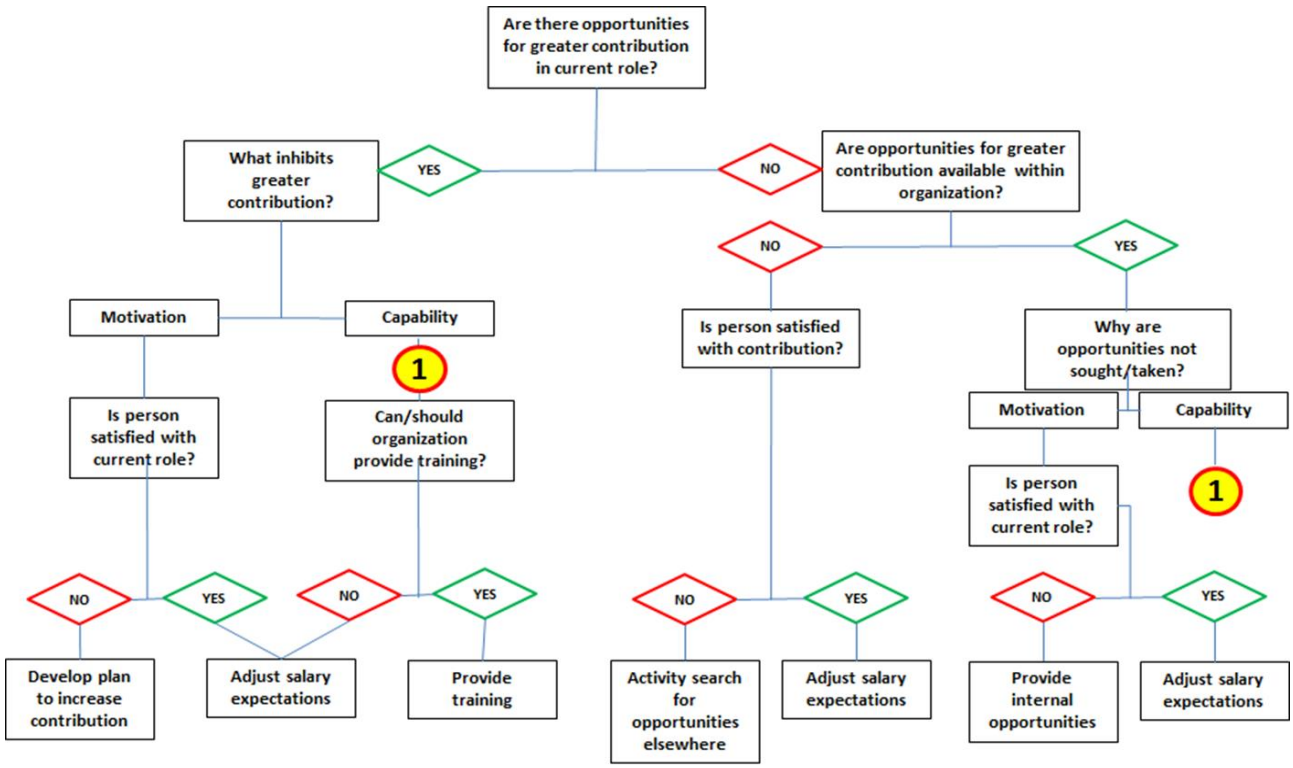


Figure 5: Opportunities for Increased Contribution (Flow Chart)

6.23 Release of CCAS Information

6.23.1 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. Pay pool administrators are encouraged to use the DoD AcqDemo Pay Pool Analysis Tool (PAT) to prepare the CCAS result feedback to the pay pool members (employees).

6.23.2 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. Pay pool managers are encouraged to provide summary feedback to employees to permit general comparison of their results with those of the general workforce. This will help the workforce understand organizational performance and the CCAS process.

6.23.3 At a minimum, the following 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 the number and percentage of employees by rail region.
2) Data tables by career path and broadband level displaying the following:
   a) Average OCS
   b) Average CRI (dollars and percent of basic pay)
   c) Average CA (dollars and percent of aggregate pay)

6.23.4 Size and/or composition of the pay pool 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 PPB. 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 region placement of three NK-3 employees may not be appropriate without compromising the identity of employees).

6.23.5 Pay pools having less than 35 employees total or a composition which requires a display of less than 5 subgroup employees, as determined by the applicable PPB, should provide summary data from a higher level organization or Component to their workforce to satisfy this requirement for aggregate feedback.

6.24 End of Cycle Transaction

6.24.1 As appropriate, a number of DCPDS transactions are created for each employee after results are approved by the pay pool manager. These may include:

a) NOAC 894 - General Adjustment;
b) NOAC 891 - Regular Performance Pay;
c) NOAC 886 - Lump Sum Performance Payment RB-NILPA; and as required
d) NOAC 885 - Lump Sum Performance Payment RB-ILPA (Rating Based In Lieu of Pay Adjustment).

6.24.2 Each transaction creates an SF-50, Notification of Personnel Action

6.24.3 For historical and analytical purposes, Part I: CCAS Salary Appraisal Form and Part II: Supervisory Assessment, to include the contribution plan, employee self-assessment, supervisor annual assessment, effective date of CCAS assessments, annual performance appraisal quality levels and rating of record, contribution score levels (categorical and numerical factor scores and OCS), actual basic pay increases (GPI and CRI), and applicable “bonus” (CA and CRI carryover lump sum) amounts, will be maintained for each demonstration project employee. Each Participating Organization shall provide for maintenance of contribution scores, PAQLs, and PAQL rating of record related documents (Appendix G) for their employees no more than four years, as required in 5 CFR 293.402 and 404, by posting the annual contribution and performance appraisal documents to the employee official performance personnel file. CAS2Net will retain CCAS contribution and performance appraisal documents for four years plus the current rating year.

6.24.4 In order to ensure integrity of an employee’s personnel file in accordance with Executive Order 13839, Participating Organizations shall not agree to erase, remove, alter, or withhold from another agency any information about a civilian employee’s performance or conduct in that employee’s official personnel records, including an employee’s Official Personnel Folder and Employee Performance File, as part of, or as a condition to, resolving a formal or informal complaint by the employee or settling an administrative challenge to an adverse personnel action.

6.25 Procedures to Determine Revised Compensation

If the pay pool panel and pay pool manager decide to revise the CMS compensation, the following procedures should be used to determine the amount of compensation by the Pay Pool Administrator:

1) Open the final CMS spreadsheet
2) Save this final CMS spreadsheet under a new name, e.g., PP###_Grievance
3) Go to the Data Tab
4) Click on Add-Ins
5) Click on Grievance
6) Dialogue box reads: CMS info Grievance mode is permanent and cannot be undone. Do you wish to proceed? (This is the reason you save file under a different name)
7) In Column A, filter just for the applicable employee(s)
8) Edit/make changes as needed and save data
9) Make score changes (categorical/numerical) Make any applicable changes required such as scores, performance ratings, pay plan, grade, basic pay, etc. Also, change any other setting such as flags, control points, as needed. The Grievance CMS will recalculate the new pay outs using the pay pool final result parameters.
10) Go to the Content Tab
11) Generate the Part I
12) Save

6.26 Procedures to Update CAS2Net Due to Revised CCAS Appraisal (Scores and/or Supervisor Annual Assessment)

6.26.1 The Administrator will email the revised Part I and any revised supervisor assessment narrative to the Component Superuser. If there is not a Component Superuser, contact the DoD AcqDemo Program Office at AcqDemo.Contact@hci.mil to coordinate the following:

a) Component Superuser/DoD AcqDemo Program Office, will update the employee's history in CAS2Net.

b) Component Superuser/DoD AcqDemo Program Office, will notify the pay pool administrator that the corrected CCAS scores and/or PAQL rating of record (CCAS Parts I and II) is available in the pay pool's CAS2Net Reports Module.

6.26.2 Pay Pool Administrator will:

a) Ensure submission of the required request for personnel action (RPA): NOAC 894 (General Adjustment), NOAC 891 (Regular Performance Pay), NOAC 886

(Lump Sum Performance Payment RB- NILPA), and/or NOAC 885 (Lump Sum Performance Payment RB-ILPA). THESE REQUESTS FOR PERSONNEL ACTION ARE RETROACTIVE TO THE EFFECTIVE DATE OF THE CCAS ANNUAL PAYOUT. THE EFFECTIVE DATE IS THE FIRST DAY OF THE FULL PAY PERIOD IN JANUARY.

b) Notify the employee and rating official that the corrected CCAS scores, PAQL rating of record and/or supervisor annual assessment is available in their CAS2Net Reports module.

6.26.3 Supervisor and employee will:

a) Digitally sign the corrected Part I: CCAS Salary Appraisal Document for the appropriate appraisal cycle year.

b) Upload the signed and dated corrected Part I: CCAS Salary Appraisal Document to CAS2Net eDocument Repository.

c) Forward the signed revised CCAS annual assessment packet to the Human Resources Office for posting to the employee's eOPF as applicable by Component and to update DCPDS.

6.26.4 The payment of any extra dollars is outside the pay pool funding. Even though these additional dollars are paid outside of the pay pool, each Pay Pool Manager is responsible for assuring that there are adequate dollars in their budget to cover these dollar increases in basic pay and award.

6.27 Documentation and Interface with Defense Civilian Personnel Data System

6.27.1 Pay Adjustments

Pay adjustments are based on the CCAS contribution assessment and PAQL performance appraisals and the employee's current basic pay for the permanent position of record on September 30. See section 6.17 for other special circumstances that may apply to pay adjustments. 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 basic pay increases, and applicable contribution award amounts must be maintained for each demonstration project employee. Contribution rating increases and contribution awards will be documented using a nature of action code documented as specified in section 6.24 in this chapter.

6.28 CCAS Grievance

6.28.1 Bargaining Unit Employees

Bargaining unit employees who are covered under a collective bargaining agreement may grieve CCAS OCS – categorical and numerical scores, rating of record, PAQLs, and the supervisor narrative assessment under the grievance-arbitration provisions of the agreement. The negotiated

grievance procedure shall be the sole and exclusive procedure for resolving such grievances. If an employee is in a bargaining unit in which grievances over appraisal scores have been excluded from the negotiated grievance procedure, the employee may use the administrative grievance procedure (5 CFR part 771) with supplemental instructions described in paragraph 6.28.2 below. See summary of the grievable procedures for bargaining unit and non-bargaining unit employees located at **Appendix C**.

6.28.2 Administrative Grievance

Employees not included in a bargaining unit may grieve the contribution assessment (see grievance process at **Figure 6**) which includes the overall contribution score (OCS), categorical and numerical scores, rating of record, PAQLs, and the supervisor narrative assessment received under the CCAS using procedures established under the appropriate Administrative Grievance Procedures (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 (Example at **Appendix D** – Employee CCAS Grievance Template)

b) The rating official will review the grievance and submit his/her recommendations to the Pay Pool Manager (Example at **Appendix E** – Supervisor's Recommendation Grievance template)

c) The pay pool manager may accept the rating official's recommendation or reach an independent decision. The pay pool manager 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 manager's decision is different from the rating official's recommendation, appropriate justification will be provided to the rating official. The pay pool manager-will provide the employee the decision in writing (**Appendix F** – Pay Pool Manager Decision template)

d) The pay pool manager'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

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

f) Wherever possible, the deciding official should rule on the merits of a grievance. However, the deciding official may cancel or temporarily suspend a grievance, or the appropriate portion of a grievance, if:

    1. The grievant requests such action; or

    2. The grievant fails to provide sufficient detail to clearly identify the matter being grieved or specify the personal relief requested; or

3. The grievant fails to comply with applicable time limits or procedural requirements or requests actions be taken against another employee; or

4. The grievant raises the same matters under another formal dispute resolution process

Notional timeline is shown below to allow flexibility with Executive Order 13839

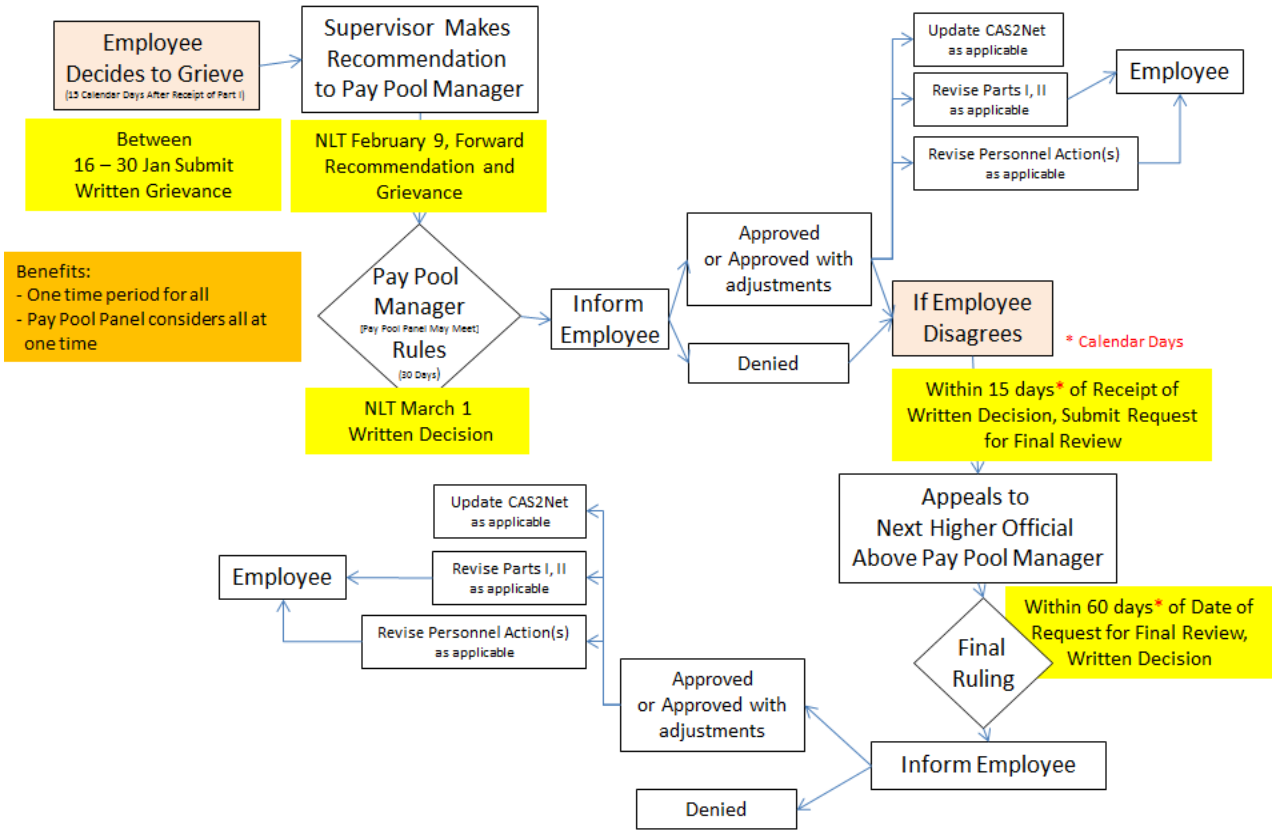


Figure 6: Grievance Process

Note: AcqDemo participating organizations may review and process grievances as singular actions or establish a CCAS grievance window process to address grievances as a group as shown in Figure 6. Use by bargaining unit employees must be agreed to in writing with the labor organization accorded exclusive representation.

Appendix A – Business Rules Template

MEMORANDUM FOR ALL ACQDEMO EMPLOYEES AND SUPERVISORS OF ACQDEMO EMPLOYEES

SUBJECT: Contribution-based Compensation and Appraisal System (CCAS) Pay Pools and Other AcqDemo Initiatives

Enclosures or Attachments:

a. Policy and procedures for _____*(INSERT CURRENT FISCAL YEAR)* Contribution-based Compensation and Appraisal System (CCAS)

Enclosed is a copy of the policy and procedures for our _____*(INSERT CURRENT FISCAL YEAR)* Contribution-based Compensation and Appraisal System (CCAS) under the DoD Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo). This policy is effective immediately. Questions on the topics addressed in this memorandum should be forwarded to (INSERT POC name, phone number, and email address).

Name
Title

Copy for:
Each Employee and Supervisor

Pay Pools and Other AcqDemo Initiatives

1. References:

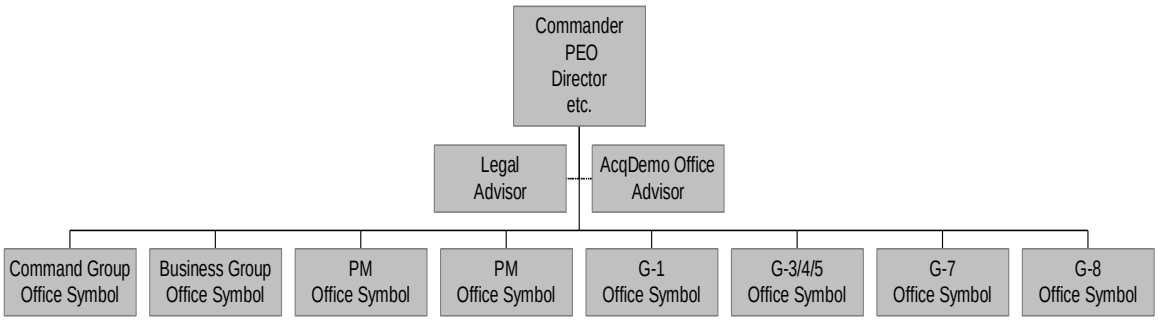
a. Federal Register Notice: Department of Defense Civilian Acquisition Workforce Personnel Demonstration Project, 82 FR 52104, Section VIII.C (Personnel Policy Board).

b. AcqDemo Operating Guide, dated*(INSERT MOST RECENT OPS GUIDE DATE).*

2. This memorandum is applicable only to those employees in the (INSERT NAME OF ORGANIZATION) who are participating in the DoD Civilian Acquisition Workforce Personnel Demonstration Project, or AcqDemo in its shortened form, and to supervisors of participating employees. This memorandum will delineate local application of the AcqDemo reflected in the references above. The *(INSERT ORGANIZATION NAME)* Personnel Policy Board (PPB) will review this annually and provide any revisions to the workforce no later than *[enter date]* of each year.

a. The *(INSERT ORGANIZATION NAME)* Personnel Policy Board will consist of *(INSERT TITLES OF THOSE DESIGNATED TO PARTICIPATE AS MEMBERS OF THE PERSONNEL POLICY BOARD)* (i.e. the Deputy Assistant Secretaries, Directors and the Chief of Staff.)

(NOTE: DOUBLE CLICK ON THE ILLUSTATION OF ORGANZATIONAL PERSONNEL POLICY BOARD STRUCTURE TO CREATE YOUR PPB.)



b. Representatives from the servicing human resource office, resource management office, Legal, equal employment opportunity, bargaining unit representatives and the Component AcqDemo Office may serve as advisors to the PPB on personnel, fiscal, and demonstration project matters.

3. Contribution-based Compensation and Appraisal System (CCAS)

a. CCAS is the performance management system for AcqDemo.

b. The purpose of the Contribution-based Compensation and Appraisal System (CCAS) is to provide an equitable and flexible method for appraising and compensating the AWF. 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 contribution evaluation process, increases communication between supervisors and employees, promotes a clear accountability of contribution for each employee, facilitates employee pay progression tied to organizational contribution, and provides an understandable basis for basic pay changes.

c. 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. Basic pay adjustment decisions are based on contribution to the organization and value of the position. Whenever the term "basic pay" is used in this memorandum, locality pay is not included unless stated otherwise.

d. An employee's performance is a component of contribution that influences the ultimate OCS. Contribution is measured by using a set of factors, discriminators, and descriptors, each of which is relevant to the success of a DOD acquisition organization. Taken together, these factors, discriminators, and descriptors capture the critical content of jobs in each career path. The factors, discriminators, and descriptors may not be modified or supplemented. These factors, discriminators, and descriptors are the same as those used to classify a position at the appropriate broadband level.

e. The three (3) factors are:

1) Job Achievement and/or Innovation,
2) Communication and/or Teamwork,
3) Mission Support.

These factors were chosen for evaluating the yearly contribution of DoD acquisition and support personnel in the three career paths:

1. Business Management & Technical Management Professional
2. Technical Management Support
3. Administrative Support

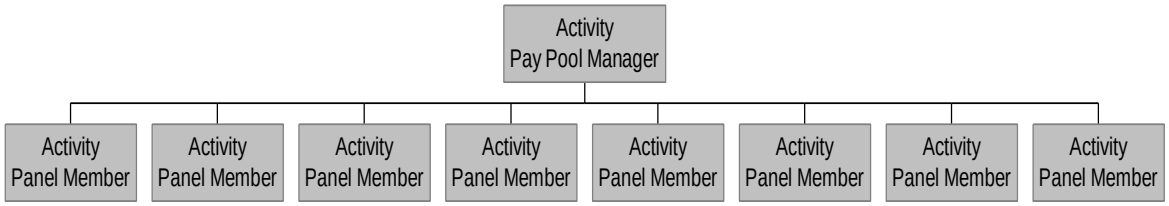
Each factor has multiple levels of increasing contribution corresponding to the broadband levels. Each factor contains descriptors for each respective level within the relevant career path. The Federal Register notice and AcqDemo Operating Guide list the job series in each career path and describe the factors for each career path.

f. [*INSERT MANDATORY OBJECTIVES*]

g. The *(INSERT ORGANIZATION NAME)* distribution policy on the Contribution-based Compensation and Appraisal System (CCAS) pay pools will be consistent with the procedures as described in the Federal Register Notice and in the AcqDemo Operating Guide.

h. The Pay Pool Manager for each pay pool will implement the distribution policy as established by the *(INSERT ORGANIZATION NAME)* Personnel Policy Board. *(INSERT ORGANIZATION NAME)* will have *(INSERT NUMBER OF)* pay pool, as shown below.

(NOTE: DOUBLE CLICK ON THE ILLUSTATION OF ORGANZATIONAL PAY POOL STRUCTURE TO CREATE YOUR PAY POOL PANEL.)



i. The overall funding level available for the pay pools will not decrease below the levels set in the Federal Register Notice or the DoD AcqDemo annual funding guidance unless a review by the DoD AcqDemo Program Manager indicates a change is necessary to maintain cost discipline over the life of the demonstration project or additional funding guidance is issued by higher level DoD or government organizations. The Personnel Policy Board will ensure that funding levels are programmed through the POM years for this project. The Personnel Policy Board will review the funding levels for contribution rating increases and contribution awards if continuation of funding at that level would result in involuntary separations of participating employees in a RIF. Participating employees, regardless of career path, including those at the highest pay level within each respective broadband shall fairly and equitably share in the pay pools. The pay pools consist of the following three components: GPI, Pool, Contribution Rating Increase (CRI) Pool, and Contribution Award (CA) Pool. Eligibility for compensation from the three pay pools is described in the Federal Register and is shown in the following chart.

Category	**General Pay Increase**	**Contribution Rating Increase**	**Contribution Award**	**Locality Pay[1]**
Overcompensated	Could be reduced or denied[2]	No	No	Yes
Appropriately Compensated	Yes	Yes [3]- Up to 6%	Yes[4]	Yes
Undercompensated	Yes	Yes [5 & 6]- Up to 20%	Yes	Yes

Table 8: Compensation Eligibility Chart

1. Basic pay plus locality pay may not exceed the rate payable for level IV of the Executive Schedule.
2. Also applies to employees on pay retention whose contribution and performance assessment is "Unacceptable".
3. May not exceed upper rail of NPR for employee's OCS or maximum basic pay for current broadband level.
4. Pay pool manager approves up to $10,000 for a contribution award. Amounts exceeding $10,000 not to exceed $25,000 for a contribution award require the Head of the Participating Organization approval.
5. Over 20% requires approval of the Head of the Participating Organization.
6. May not exceed 6% above the lower rail or the maximum basic pay for current broadband level.

j. GPI Pay Pool: The amount of the annual GPI shall be no less than the increase provided in

the annual nationwide General Schedule pay increase. Any employees who are rated as "Inappropriately Compensated", as defined in the Federal Register notice, [*will/will not*] receive the full GPI. In addition, employees rated as "Inappropriately Compensated" are not eligible for the Contribution Rating Increase (CRI) and Contribution Award (CA).

k. Employees on retained rate in AcqDemo generally receive pay adjustments in accordance with 5 U.S.C. 5363 and 5 CFR part 536; however, the normal retained rate increase granted in connection with a general pay increase may be reduced or denied for an employee with an OCS above the upper rail and a rating of record of Level 1 - Unacceptable. An outline of compensation eligibility by compensation category is given in **Table 8**. Employees on pay retention (or retained pay) will receive 50% of the general pay increase calculated on the maximum rate of the broadband level of the employee's current position. The 50% of the maximum increase in the broadband level is a dollar amount computed by determining the difference between the maximum pay rate for the broadband level under the new schedule and the maximum rate under the old schedule, and calculating 50% of that difference. That dollar amount is then added to the retained rate of pay. However, employees on retained rate who are rated in the Over-Compensated Region-A [*will/will not*] receive the GPI.

l. An employee receiving a retained rate is not eligible for a contribution rating increase, since such increases are limited by the maximum basic pay rate for the employee's broadband level. Any calculated CRI may be carried over as a lump sum award in addition to the contribution award. Depending upon the employee's rating, employees on retained pay may be eligible to receive CA.

m. New employees in AcqDemo who do not have at least 90 consecutive calendar days immediately preceding the end of the current appraisal cycle will receive the full General Pay Increase, but are not eligible for a Contribution Rating Increase (CRI) and Contribution Award (CA). Supervisors may recommend on-the-spot or special act award in lieu of CRI/CA.

n. Contribution Rating Increase (CRI) Pay Pool Funding: The Federal Notice and AcqDemo Operating Guide state the amount of money available within the CRI pay pool will be budgeted at not less than 2.0% of the activity's total basic pay budget of participating employees. The (INSERT ORGANIZATION NAME) CRI pay pool funding will be budgeted at _._% (i.e. 2.0%) of the total basic pay. The amount available for the CRI will include any excess from unpaid GPI, if any, and the budgeted _._% (i.e. 2.0%). Employee's CRI dollar distribution that is limited by the upper limit of the employee's broadband level or a control point may receive a carryover lump sum award. Employee's CRI dollar distribution that is carried over as a lump sum will be added to any CA dollars awarded for that employee.

o. Contribution Award (CA) Pay Pool Funding: The Federal Register Notice and DoD Operating Guide state the amount of money available within the award budget will be budgeted at not less than 1.0% of the activity's total adjusted basic pay (includes locality) budget. Ninety percent of the total award budget will be set aside for the Contribution

Award Pay Pool; and ten percent of the total award budget will be set aside for other awards (i.e., on-the-spot, special act, etc.) throughout the year.

The *(INSERT ORGANIZATION NAME)* CA Pay Pool funding will be _._% (i.e. 1.0%) of the total adjusted basic pay. The award budget shall be reserved for employees in the pay pool only, and shall be allocated to such employees each year.

p. Factor Weighting. All factors are critical and are equally weighted during the rating period unless different weights are assigned. (IF FACTORS ARE WEIGHTED, INSERT FACTOR WEIGHTS (1) WEIGHTS MAY BE ASSIGNED ANY VALUE, IN INCREMENTS OF 0.1 FROM 0.5 TO 1.0 AND (2) AT LEAST ONE OF THE THREE FACTORS MUST HAVE A WEIGHT OF 1.0.)

q. The Pay Pool Panel will use the DoD developed spreadsheet to determine the payouts under the Contribution-based Compensation and Appraisal System.

r. Locality Pay: All employees will receive established Locality Pay.

s. Control Points: The Federal Register notice and the AcqDemo Operating Guide encourages a compensation management strategy that may include the use of control points in CCAS. The Personnel Policy Board may establish and adjust control points within a broadband to manage compensation (e.g., limitations on pay setting and pay progression within a broadband that apply to specified positions). The Personnel Policy Board may consider only the following factors in developing control points: mission requirements, labor market conditions, and benchmarks against duties, responsibilities, competencies, qualifications, and performance. The definition and use of control points must be consistent with merit system principles and shall be applied consistently to similar positions in the same broadband level and career path within a pay pool.

(INSERT CONTROL POINTS, IF APPLICABLE)

4. CCAS and CAS2Net

a) Initial CCAS Discussion between Supervisor and Employee.

1. Supervisors will use CAS2Net to document this initial discussion.

2. Supervisor must discuss with the employee the expectations of his/her contributions for this appraisal period. The supervisor is encouraged to review with the employee the expected contribution range or Expected Overall Contribution Score (EOCS) corresponding to the employee's current basic pay. See **Appendix A**, **Attachment A**, for the Normal Pay Region and OCS Table for the OCS corresponding to the employee's current basic pay. The Contribution Score Ranges by Career Paths chart demonstrating the contribution levels and scores are attached for your information as **Appendix A, Attachment B**.

3. In addition, during this initial discussion, supervisors will provide or inform the employee where to find the factors and applicable broadband level descriptors to the

employees so that they know their expected level of contribution and the basis on which their contribution will be assessed. Supervisors will inform their employees that all factors are 'critical'. A list of all the factors and descriptors by career paths is in 82 FR 52104. Supervisors and employees may use the bullet comment or narrative format in developing expected contributions for each of the following factors.

b) Supervisors will discuss the Performance Appraisal Quality Level criteria and document in CAS2Net with the method and date of communication between the supervisor/rating official and employee (see **Appendix A, Attachment D**).

c) Midpoint Review.

CAS2Net will also be used to document midpoint reviews. The midpoint reviews will be held between March 15 and April 15, unless an exception is granted by the Pay Pool Manager. The Midpoint Review and feedback are not grievable.

Employee's self-assessment and supervisor's assessment are mandatory.

d) Inadequate Contribution.

1. Identification, Documentation, and Decision.

Inadequate contribution and/or unacceptable performance is identified by the pay pool manager or panel at the end of the annual appraisal cycle or by the supervisor at any time during the appraisal period. During the appraisal period, Supervisors or Rating Officials will counsel employees on identified deterioration of contributions and/or performance whenever they occur using the three contribution factors. Inadequate contribution and/or unacceptable performance will be documented as a result of these feedback sessions in CAS2Net (Midpoint Review and/or Additional Feedback) or other documents as appropriate. If the employee fails to improve as a result of the feedback, the Supervisor or Rating Official will notify the pay pool manager and panel to review proposals to initiate a Contribution Improvement Plan (CIP).

2. Contribution Improvement Plan (CIP).

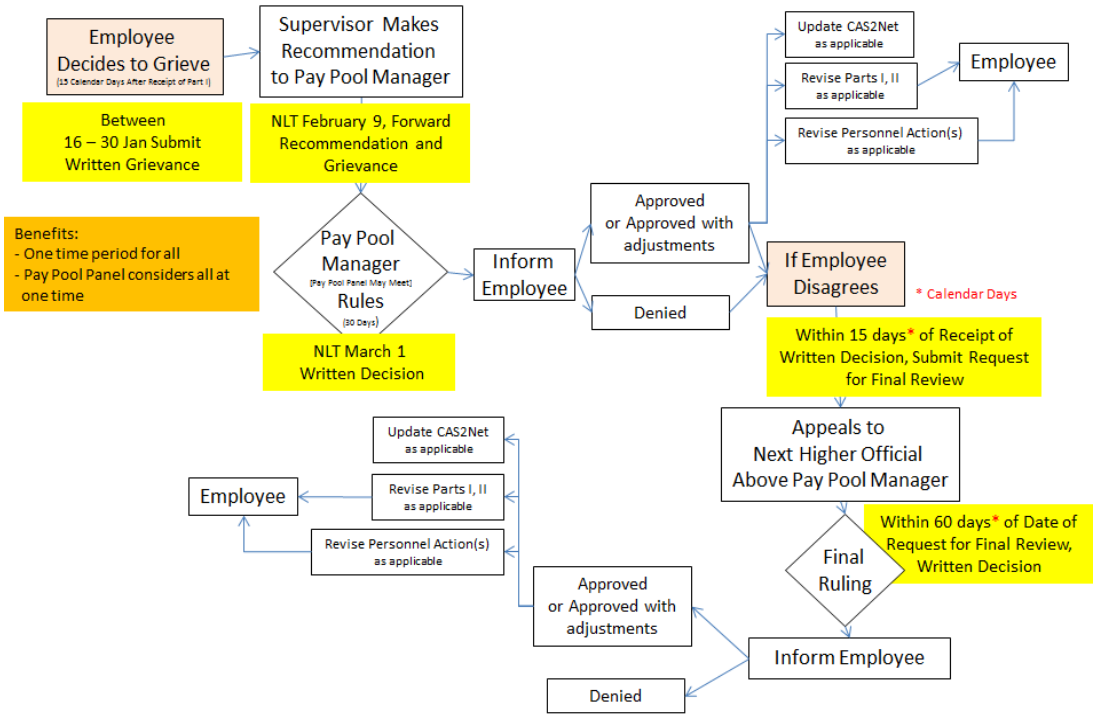
At any point in the rating period that an employee's level of contribution and/or unacceptable level performance is determined to be inadequate, a CIP may be initiated in accordance with the procedures found in Chapter 7. The opportunity period to demonstrate fully successful performance should be limited to the amount of time that provides sufficient opportunity to demonstrate fully successful performance. If the employee does not successfully complete the plan within an appropriate opportunity period, the Supervisor or Rating Official is not required to provide successive CIPs until an employee achieves satisfactory performance. Should the employee's level of contribution and/or unacceptable level performance remain inadequate at the conclusion of the CIP, the rating official may recommend ratings that could result in an OCS above the upper rail and/or an unacceptable PAQL factor rating with no CRI and CA. If the pay pool manager approves the OCS above the upper rail and/or unacceptable Performance Rating of Record resulting in a determination of inadequate contribution and/or unacceptable Performance Rating of Record, the Supervisor or Rating Official in consultation with HR will initiate a notice of contribution-based action. This could be reassignment, change to a lower broadband level

with or without a reduction in basic pay, reduction in pay (amount determined by organization), or removal from Federal Service.

e) CCAS Grievance Procedures.

Bargaining unit employees who are covered under a collective bargaining agreement may grieve their CCAS OCS – categorical and numerical scores, rating of record – PAQLs, and the supervisor narrative assessment under the grievance-arbitration provisions of the agreement.

f) Other employees who are not included in a bargaining unit, or who are in a bargaining unit but grievances over OCS – categorical and numerical scores, RoR – PAQLs, and the supervisor's narrative assessment are not covered under the negotiated grievance procedure, may utilize the appropriate administrative grievance procedure (5 CFR Part 771), with supplemental instructions as described in the AcqDemo Operating Guide, Chapter 6. A schematic of this process is shown below.



5. The (*INSERT ORGANIZATIONAL NAME)* CCAS Timeline is at **Appendix A, Attachment C**.

6. *INSERT SUPERVISORY AND TEAM LEADER CASH DIFFERENTIAL, IF APPLICABLE.*

7. *INSERT ACCELERATED COMPENSATION FOR DEVELOPMENTAL POSITIONS (ACDP), IF APPLICABLE.*

8. Questions on the topics addressed in this memorandum should be forwarded to *(INSERT NAME, PHONE NUMBER AND EMAIL ADDRESS OF ORGANIZATIONAL POC)*.

Attachment A – Normal Pay Region and Standard Pay Line Table
Attachment B – Contribution Score Ranges by Career Paths Chart
Attachment C – CCAS Timeline
Attachment D – Performance Appraisal Quality Levels

ATTACHMENT A

Normal Pay Region and Standard Pay Line Table for 2020

Normal Pay Region and Standard Pay Line for 2020
(Based on 2.6% Increase)

	OCS	SPL	*0.92 Lower Rail	*1.08 Upper Rail		OCS	SPL	*0.92 Lower Rail	*1.08 Upper Rail
GS01/1	0	19543	17980	21106					
	1	19935	18340	21529		51	53769	49468	58071
	2	20334	18708	21961		52	54847	50459	59235
	3	20742	19082	22401		53	55946	51471	60422
	4	21158	19465	22850		54	57068	52502	61633
	5	21582	19855	23308		55	58211	53554	62868
	6	22014	20253	23775		56	59378	54628	64128
	7	22455	20659	24252		57	60568	55723	65414
	8	22905	21073	24738		58	61782	56840	66725
	9	23365	21495	25234		59	63020	57979	68062
	10	23833	21926	25739		60	64284	59141	69426
	11	24311	22366	26255		61	65572	60326	70818
	12	24798	22814	26782		62	66886	61535	72237
	13	25295	23271	27318		63	68227	62769	73685
	14	25802	23738	27866		64	69594	64027	75162
	15	26319	24213	28424		65	70989	65310	76668
	16	26846	24699	28994		66	72412	66619	78205
	17	27385	25194	29575		67	73863	67954	79772
	18	27933	25699	30168		68	75344	69316	81371
	19	28493	26214	30773		69	76854	70706	83002
	20	29064	26739	31390		70	78394	72123	84666
	21	29647	27275	32019		71	79966	73568	86363
	22	30241	27822	32660		72	81568	75043	88094
	23	30847	28379	33315		73	83203	76547	89860
	24	31466	28948	33983		74	84871	78081	91661
	25	32096	29528	34664		75	86572	79646	93498
	26	32739	30120	35359		76	88307	81243	95372
	27	33396	30724	36067		77	90077	82871	97283
	28	34065	31340	36790		78	91882	84532	99233
	29	34748	31968	37528		79	93724	86226	101222
	30	35444	32609	38280		80	95603	87954	103251
	31	36155	33262	39047		81	97519	89717	105320
	32	36879	33929	39830		82	99473	91515	107431
	33	37618	34609	40628		83	101467	93350	109584
	34	38372	35303	41442		84	103501	95221	111781
	35	39142	36010	42273		85	105575	97129	114021
	36	39926	36732	43120		86	107691	99076	116307
	37	40726	37468	43984		87	109850	101062	118638
	38	41543	38219	44866		88	112051	103087	121016
	39	42375	38985	45765		89	114297	105154	123441
	40	43225	39767	46683		90	116588	107261	125915
	41	44091	40564	47618		91	118925	109411	128439
	42	44975	41377	48573		92	121309	111604	131013
	43	45876	42206	49546		93	123740	113841	133639
	44	46796	43052	50539		94	126220	116122	136318
	45	47733	43915	51552		95	128750	118450	139050
	46	48690	44795	52585		96	131330	120824	141837
	47	49666	45693	53639		97	133963	123246	144680
	48	50662	46609	54714		98	136648	125716	147579
	49	51677	47543	55811		99	139387	128236	150537
	50	52713	48496	56930	GS15/10	100	142180	130806	153555

ATTACHMENT B

Contribution Score Ranges by Career Paths Chart

		Business Management and Technical Management Professional (NH)	Technical Management Support (NJ)	Administrative Support (NK)
Broadband and Very High Score Levels	**Categorical Scores**	**Numerical Score Range**	**Numerical Score Range**	**Numerical Score Range**
Very High Score	High	115	95	70
	Medium	110	91	67
	Low	105	87	64
IV	High	96-100	79-83	--
	Medium	84-95	67-78	--
	Low	79-83	61-66	--
III	High	79-83	62-66	57-61
	Medium	67-78	52-61	47-56
	Low	61-66	43-51	38-46
II	High	62-66	47-51	42-46
	Medium High	51-61	41-46	--
	Medium	41-50	36-40	30-41
	Medium Low	30-40	30-35	--
	Low	22-29	22-29	22-29
I	High	24-29	24-29	24-29
	Medium	6-23	6-23	6-23
	Low	0-5	0-5	0-5

ATTACHMENT C

CCAS Timeline

Time Period	Task		Action By
October 1 – September 30	Annual CCAS rating cycle		For All
October	**Beginning of the rating period**: In CAS2Net, complete contribution planning on expectations of contribution and performance.	**After the end of the rating period:** In CAS2Net complete annual self-assessment.	Employees
Late October –	Discuss expectations of contribution and performance with employee and document discussion in CAS2Net by entering date and method of the discussion.	In CAS2Net, complete the annual appraisal narrative, assess level of employee's contribution and performance, and recommend categorical scores, numerical scores and PAQLs.	Supervisors
October-November-December		Meet and review assessments and recommended categorical scores, numerical scores and PAQLs.	Sub-Panels, if applicable, and pay pool panel
		Meet and review assessments and finalize categorical scores, numerical scores and PAQLs.	Pay pool panel and pay pool manager
			Assessments, categorical scores, numerical scores, RoR, and PAQLs now are approved by the pay pool manager.
Late December-January		Communicates approved OCS, factor scores, PAQLs, rating of record and basic pay adjustments and/or CA to employee.	Supervisors

Late December - January	While communicating approved CCAS results, may discuss potential opportunities for increasing contribution and enhancing performance for the new appraisal period.		Supervisors and employees
January	Pay adjustments effective beginning of the first full pay period in January.		All AcqDemo employees
	In CAS2Net, document date and method of communication of approved CCAS results with employees.		Supervisors
April-May or chronological midpoint of assignment to AcqDemo position and 30 Sep	Midpoint self-assessment and midpoint review discussion		Employee and Supervisor
3 July	Last effective date to be eligible for annual CCAS appraisals.		New employees
October	**Beginning of the rating period**: In CAS2Net, complete contribution planning on expectations of contribution and contribution.	**After the end of the rating period:** In CAS2Net complete annual self-assessment.	Employees
Note: Local business rules will provide specific dates for the CCAS life cycle.			

ATTACHMENT D

Performance Appraisal Quality Levels

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

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Appendix B – Expected Contribution Criteria, Factor Descriptors, Discriminators, and Point Ranges

CAREER PATH: Business Management and Technical Management (NH)

FACTOR 1: Job Achievement and/or Innovation

FACTOR DESCRIPTION: This factor captures qualifications, critical thinking, calculated risks, problem solving, leadership, supervision, and personal accountability aspects appropriate for the positions classified to the broadband levels of the NH career path.

Expected Contribution Criteria	Classification Level and Appraisal Descriptors	Discriminators
Produces desired results, in the needed timeframe, with the appropriate level of supervision through the use of appropriate knowledge, skills, abilities, and understanding of the technical requirements of the job. Achieves, demonstrates, and maintains the appropriate qualifications necessary to assume and execute key acquisition and/or support requirements. Demonstrates skilled critical thinking in identifying, analyzing, and solving complex issues, as appropriate. Takes and displays personal accountability in leading, overseeing, guiding, and/or managing programs and projects within assigned areas of responsibility. Work is timely, efficient and of acceptable quality. Completed work meets project/program	**NH Level I (Score Range 0 – 29)**	
	• Proactively seeks opportunities to contribute to assigned tasks.	• Leadership Role
	• Seeks and takes advantage of development opportunities. Takes initiative to pursue completion of qualification requirements.	• Mentoring/Employee Development
	• Effectively accepts feedback on assigned and accomplished work, and incorporates it to create a better end product.	• Accountability
	• Resolves routine problems within established guidelines. Seeks assistance as required.	• Complexity/Difficulty
	• Takes initiative in determining and implementing appropriate procedures.	• Creativity
	• Conducts activities on a collective task; assists supervisor, or other appropriate personnel, as needed.	• Scope/Impact
	NH Level II (Score Range 22 – 66)	
	• Actively contributes as a team member/leader; provides insight and recommends changes or solutions to problems.	• Leadership Role
	• Identifies and pursues individual/team development opportunities. Achieves and maintains qualification and certification requirements.	• Mentoring/Employee Development
	• Proactively guides, coordinates, and consults with others to accomplish projects, assuming ownership of personal processes and products.	• Accountability
	• Identifies, analyzes, and resolves complex/difficult problems	• Complexity/ Difficulty

objectives. Leadership and/or supervision effectively promotes commitment to organization goals. Flexibility, adaptability, and decisiveness are exercised appropriately. For Supervisors (as appropriate): Recruits, develops, motivates, and retains quality team members in accordance with EEO/AA and Merit System Principles. Takes timely/appropriate personnel actions, communicates mission and organizational goals; by example, creates a positive, safe, and challenging work environment; distributes work and empowers team members.	• Adapts existing plans and techniques to accomplish complex projects/programs. Recommends improvements to the design or operation of systems, equipment, or processes.	• Creativity
	• Plans and conducts functional technical activities for projects/programs.	• Scope/Impact
	NH Level III (Score Range 61 – 83)	
	• Considered a functional/technical expert by others in the organization; is regularly sought out by others for advice and assistance.	• Leadership Role
	• Pursues or creates certification, qualification, and/or developmental programs and opportunities for self and others.	• Mentoring/Employee Development
	• Guides, motivates, and oversees the activities of individuals and teams with focus on project/ program issues. Assumes ownership of processes and products, as appropriate.	• Accountability
	• Develops, integrates, and implements solutions to diverse, highly complex problems across multiple areas and disciplines.	• Complexity/ Difficulty
	• 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.	• Creativity
	• Defines, directs, or leads highly challenging projects/programs.	• Scope/Impact
	NH Level IV (Score Range 79 – 100)	
	• Recognized as a technical/functional authority within and outside of the organization	• Leadership Role
	• Fosters the development of others by providing guidance or sharing expertise. Directs assignments to encourage employee development and cross-functional growth to meet organizational needs. Pursues professional self-development.	• Mentoring/Employee Development
	• Leads, defines, manages, and integrates efforts of several groups or teams. Assumes and assigns ownership of processes and products, as appropriate.	• Accountability
	• Assesses and provides strategic direction for resolution of mission-critical problems, policies, and procedures.	• Complexity/Difficulty

	• 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. • Defines, establishes, and directs organizational focus on challenging and highly complex projects/programs.	• Creativity • Scope/Impact
	NH - VERY HIGH SCORE (Mid-level Descriptors) **(Three scores available -- 105, 110, or 115. Select only one score.)**	
	In addition to fully meeting the expected contribution criteria: • Contributed results substantially beyond what was expected in the face of extremely difficult obstacles; contributions were exemplary in quality, quantity, and/or impact to the stated expectations for the goals/objectives described in the contribution plan. • Created novel and innovative business methods and processes that contributed substantially beyond expectations to accomplishment of current work and the mission of the organization. • Demonstrated the highest standards of professionalism establishing the model for others to follow. Accomplishments and outcomes were of such magnitude that they contributed to the extraordinary success of the organization in exceeding its mission goals and objectives for the year.	

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CAREER PATH: Business Management and Technical Management (NH)

FACTOR 2: Communication and/or Teamwork

FACTOR DESCRIPTION: This factor captures communication, both verbal and written; interactions with customers, coworkers, and groups; and assignments crossing functional boundaries appropriate for the positions classified to the broadband levels of the NH career path.

Expected Contribution Criteria	Classification Level and Appraisal Descriptors	Discriminators
Effectively communicates, verbally and in writing, as needed to coordinate work and keep chain-of-command, coworkers, and customers informed of work-related issues, developments, and statuses. Actively seeks and promotes diverse ideas and inputs. Works well with and in groups, and with others to accomplish mission requirements. Work is timely, efficient, and of acceptable quality. Communications are clear, concise, and at the appropriate level. Personal and organizational interactions exhibit and foster teamwork. Flexibility, adaptability, and decisiveness are exercised appropriately.	**NH Level I (Score Range 0 – 29)**	
	• Clearly explains status/results of assigned tasks. • Provides timely data and written analyses for input to management/technical reports or contractual documents. • Contributes ideas in own area of expertise. Interacts cooperatively with others. • Routinely completes assignments, as required, in support of team goals.	• Oral • Written • Contribution to Team • Effectiveness
	NH Level II (Score Range 22 – 66)	
	• Presents informational briefings. • Writes, or is a major contributor to, management/technical reports or contractual documents. • 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	• Oral • Written • Contribution to Team • Effectiveness
	NH Level III (Score Range 61 – 83)	
	• Presents briefings to obtain consensus/approval. • Reviews and approves, or is a major contributor to/ lead author of, management reports or contractual documents for external distribution. Provides inputs to policies. • Introduces and/or implements innovative approaches to resolve unusual/difficult issues significantly impacting important policies or programs. Promotes and maintains environment of cooperation and teamwork.	•Oral •Written • Contribution to Team

	• Leads and guides others in formulating and executing team plans. Sought by team members to contribute to teaming effort.	• Effectiveness
	NH Level IV (Score Range 79 – 100)	
	• Presents organizational briefings to convey strategic vision or organizational policies.	• Oral
	• Prepares, reviews, and approves major reports or policies of organization for internal and external distribution. Resolves diverse viewpoints/controversial issues.	• Written
	• Solves broad organizational issues. Implements strategic plans within and across organizational components. Ensures a cooperative teamwork environment.	• Contribution to Team
	• Leads/guides workforce in achieving organizational goals. Participates on high-level teams. Is sought out for solutions and/or strategies	• Effectiveness
	NH - VERY HIGH SCORE (Mid-level Descriptors) (Three scores available -- 105, 110, or 115. Select one of these scores.)	
	In addition to fully meeting the expected contribution criteria: • Contributed results substantially beyond what was expected in the face of extremely difficult obstacles; contributions were exemplary in quality, quantity, and/or impact to the stated expectations for the goals/objectives described in the contribution plan; • Created novel and innovative business methods and processes that contributed substantially beyond expectations to accomplishment of current work and the mission of the organization; and/or • Demonstrated the highest standards of professionalism establishing the model for others to follow. Accomplishments and outcomes were of such magnitude that they contributed to the extraordinary success of the organization in exceeding its mission goals and objectives for the year.	

CAREER PATH: Business Management and Technical Management (NH)

FACTOR 3: Mission Support

FACTOR DESCRIPTION: This factor captures understanding and execution of organizational goals and priorities; working with customers to develop a mutual understanding of their requirements; monitoring and influencing cost parameters or work, tasks, and projects; and establishing priorities that reflect mission and organizational goals appropriate for the positions classified to the broadband levels of the NH career path.

Expected Contribution Criteria	Classification Level and Appraisal Descriptors	Discriminators
Possesses an operational understanding of organizational goals and priorities and fully complies with administrative policies, regulations, and procedures when performing job operations. Works with customers to develop a mutual understanding of their requirements. Probes for detail, as appropriate, and pays attention to crucial details of needs or requests. Monitors and influences cost parameters of work, tasks, and projects, ensuring an optimum balance between cost and value. Establishes priorities that reflect mission and organizational needs. Work is timely, efficient, and of acceptable quality. Completed work meets project/program objectives. Personal and organizational interactions enhance customer relations and actively promote rapport with customers. Resources are utilized	**NH Level I (Score Range 0 – 29)**	
	• Performs assigned tasks within area of responsibility; identifies situations to supervisor or other appropriate personnel when existing guidelines do not apply.	• Independence
	• Participates as a team member in meeting customer needs	• Customer Needs
	• Productively plans individual time and assigned resources to accomplish tasks.	• Planning/Budgeting
	• Effectively accomplishes assigned tasks.	• Execution/Efficiency
	NH Level II (Score Range 22 – 66)	
	• Identifies and resolves conventional problems which may require deviations from accepted policies or instructions.	• Independence
	• Initiates meetings and interactions with customers to understand customer needs/expectations.	• Customer Needs
	• Optimizes resources to accomplish projects/programs within established schedules	• Planning/Budgeting
	• Effectively accomplishes projects/programs goals within established resource guidelines.	• Execution/Efficiency
	NH Level III (Score Range 61 – 83)	
	• Anticipates problems, develops sound solutions and action plans to ensure program/mission accomplishment.	• Independence
	• Establishes customer alliances, anticipates and fulfills customer needs, and translates customer needs to programs/projects.	• Customer Needs
	• Identifies and optimizes resources to accomplish multiple projects'/programs' goals.	• Planning/Budgeting
	• Effectively accomplishes multiple projects/programs goals within established guidelines	• Execution/Efficiency

effectively to accomplish mission. Flexibility, adaptability, and decisiveness are exercised appropriately.	**NH Level IV (Score Range 79 – 100)**	
	• Defines, integrates, and implements 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.	• Independence
	• Assess and promulgate, fiscal, and other factors affecting customer and program/project needs. Works with customer at management levels to resolve problems affecting programs/projects (e.g., problems that involve determining priorities and resolving conflicts among customers' requirements).	• Customer Needs
	• Formulates organizational strategies, tactics, and budget/action plan to acquire and allocate resources.	• Planning/Budgeting
	• Optimizes, controls, and manages all resources across projects/programs. Develops and integrates innovative approaches to attain goals and minimize expenditures.	• Execution/Efficiency
	NH - VERY HIGH SCORE (Mid-level Descriptors) **(Three scores available -- 105, 110, or 115. Select one of these scores.)**	
	In addition to fully meeting the expected contribution criteria: • Contributed results substantially beyond what was expected in the face of extremely difficult obstacles; contributions were exemplary in quality, quantity, and/or impact to the stated expectations for the goals/objectives described in the contribution plan; • Created novel and innovative business methods and processes that contributed substantially beyond expectations to accomplishment of current work and the mission of the organization; and/or • Demonstrated the highest standards of professionalism establishing the model for others to follow. Accomplishments and outcomes were of such magnitude that they contributed to the extraordinary success of the organization in exceeding its mission goals and objectives for the year.	

CAREER PATH: Technical Management Support (NJ)

FACTOR 1: Job Achievement and/or Innovation

FACTOR DESCRIPTION: This factor captures qualifications, critical thinking, calculated risks, problem solving, leadership, supervision, and personal accountability aspects appropriate for the positions classified to the broadband levels of the NJ career path.

Expected Contribution Criteria	Classification Level and Appraisal Descriptors	Discriminators
Produces desired results, in the needed timeframe, with the appropriate level of supervision through the use of appropriate knowledge, skills, abilities, and understanding of the technical requirements of the job. Achieves, demonstrates, and maintains the appropriate qualifications necessary to assume and execute key acquisition and/or support requirements. Demonstrates skilled critical thinking in identifying, analyzing, and solving complex issues, as appropriate. Takes and displays personal accountability in leading, overseeing, guiding, and/or managing programs and projects within assigned areas of responsibility. Work is timely, efficient and of acceptable quality. Completed work meets project/program objectives. Leadership and/or supervision effectively promotes commitment to organization goals. Flexibility, adaptability, and decisiveness are exercised appropriately.	**NJ Level I (Score Range 0 – 29)**	
	• Proactively seeks opportunities to contribute to assigned tasks. Asks for assistance as appropriate.	• Leadership Role
	• Seeks and takes advantage of developmental opportunities. Takes initiative to pursue completion of qualification requirements.	• Mentoring/Employee Development
	• Effectively accepts feedback on assigned and accomplished work, and incorporates it to create a better end product.	• Accountability
	• Resolves routine problems within established guidelines.	• Complexity/Difficulty
	• Takes initiative in selecting and implementing appropriate procedures.	• Creativity
	• Performs activities on a task; assists supervisor or other appropriate personnel.	• Scope/Impact
	NJ Level II (Score Range 22 – 51)	
	• Actively contributes as team member; takes initiative to accomplish assigned projects	• Leadership Role
	• Identifies and pursues individual/team developmental opportunities.	• Mentoring/Employee Development
	• Consults and coordinates with others to complete projects within established guidelines, assuming ownership of personal processes and products.	• Accountability/ Complexity
	• Identifies and resolves non-routine technical problems utilizing established patterns or methods.	• Difficulty
	• Adapts existing plans and techniques to fit new situations	• Creativity
	• .Plans and conducts technical activities for projects.	• Scope/Impact
	NJ Level III (Score Range 43 – 66)	
	• Actively contributes as team member or leader. Recognized for functional/technical expertise.	• Leadership Role
	• Promotes developmental opportunities for self and team. Advises others to seek specific training.	• Mentoring/Employee Development

For Supervisors (as appropriate): Recruits, develops, motivates, and retains quality team members in accordance with EEO/AA and Merit System Principles. Takes timely/appropriate personnel actions, communicates mission and organizational goals; by example, creates a positive, safe, and challenging work environment; distributes work and empowers team members.	• Guides, motivates, and oversees others in accomplishing projects/programs. Assumes ownership of processes and products, as appropriate. • Develops, integrates, and implements solutions to complex problems on projects/programs. • Develops plans and techniques to fit new situations. • Plans and conducts challenging and difficult technical activities for projects/programs.	• Accountability • Complexity/ Difficulty • Creativity • Scope/Impact
	NJ Level IV (Score Range 61 – 83)	
	• Provides guidance to individuals/teams; resolves conflicts. Serves as subject matter expert. • Directs assignments to encourage employee development and cross-technical/functional growth to meet organizational needs. Pursues self-development. • Guides, motivates, and oversees multiple complex projects/programs. Assumes and assigns ownership of processes and products, as appropriate. • Develops, integrates/implements solutions to diverse, complex problems which may cross multiple projects/programs or functional/technical areas. • Develops concepts and techniques to address new situations or challenges, and/or to address issues that cross technical/ functional areas. • Identifies and resolves complex problems that may cross functional/technical boundaries and promulgates solutions.	• Leadership Role • Mentoring/Employee Development • Accountability • Complexity/Difficulty • Creativity • Scope/Impact
	NJ - VERY HIGH SCORE (Mid-level Descriptors) **(Three scores available -- 87, 91, or 95. Select only one score.)**	
	In addition to fully meeting the expected contribution criteria: • Achieved outcomes and results that are far superior in quality, quantity, timeliness and impact to the expectations described in the Contribution Plan for Level IV accomplishments; • Persisted in overcoming obstacles and putting forth extra effort to accomplish difficult assignments with contributed results significantly beyond expectations; • Contributions to successful organizational performance are well beyond what is expected; and/or • Demonstrated the highest standards of professionalism establishing the model for others to follow.	

CAREER PATH: Technical Management Support (NJ)

FACTOR 2: Communication and/or Teamwork

FACTOR DESCRIPTION: This factor captures communication, both verbal and written; interactions with customers, coworkers, and groups; and assignments crossing functional boundaries appropriate for the positions classified to the broadband levels of the NJ career path.

Expected Contribution Criteria	Classification Level and Appraisal Descriptors	Discriminators
Effectively communicates, verbally and in writing, as needed to coordinate work and keep chain-of-command, coworkers, and customers informed of work-related issues, developments, and statuses. Actively seeks and promotes diverse ideas and inputs. Works well with and in groups, and with others to accomplish mission requirements. Work is timely, efficient, and of acceptable quality. Communications are clear, concise, and at the appropriate level. Personal and organizational interactions exhibit and foster teamwork. Flexibility, adaptability, and decisiveness are exercised appropriately.	**NJ Level I (Score Range 0 – 29)**	
	• Explains status/results of assigned tasks. • Provides data and accurate draft documentation of assigned tasks for input to reports or documents. • Contributes ideas in own area of expertise. Interacts cooperatively with others. • Regularly completes assignments in support of team goals.	• Oral • Written • Contribution to Team • Effectiveness
	NJ Level II (Score Range 22 – 51)	
	• Communicates individual and group/team results. • Writes segments of management/technical reports or documents. • 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	• Oral • Written • Contribution to Team • Effectiveness
	NJ Level III (Score Range 43 – 66)	
	• Presents projects/programs briefings. • Consolidates input and writes management/technical reports/documents for 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.	• Oral • Written • Contribution to Team • Effectiveness
	NJ Level IV (Score Range 61 – 83)	
	• Presents projects/programs briefings to obtain consensus/approval. Represents the organization as technical subject matter expert.	• Oral

	• Prepares, reviews, and approves management/technical reports for internal and external distribution. • 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.	• Written • Contribution to Team • Effectiveness
	NJ - VERY HIGH SCORE (Mid-level Descriptors) **(Three scores available -- 87, 91, or 95. Select one of these scores.)**	
	In addition to fully meeting the expected contribution criteria: • Achieved outcomes and results that are far superior in quality, quantity, timeliness and impact to the expectations described in the Contribution Plan for Level IV accomplishments; • Persisted in overcoming obstacles and putting forth extra effort to accomplish difficult assignments with contributed results significantly beyond expectations; • Contributions to successful organizational performance are well beyond what is expected; and/or • Demonstrated the highest standards of professionalism establishing the model for others to follow.	

CAREER PATH: Technical Management Support (NJ)

FACTOR 3: Mission Support

FACTOR DESCRIPTION: This factor captures understanding and execution of organizational goals and priorities; working with customers to develop a mutual understanding of their requirements; monitoring and influencing cost parameters or work, tasks, and projects; and establishing priorities that reflect mission and organizational goals appropriate for the positions classified to the broadband levels of the NJ career path.

Expected Contribution Criteria	Classification Level and Appraisal Descriptors	Discriminators
Possesses an operational understanding of organizational goals and priorities and fully complies with administrative policies, regulations, and procedures when performing job operations. Works with customers to develop a mutual understanding of their requirements. Probes for detail, as appropriate, and pays attention to crucial details of needs or requests. Monitors and influences cost parameters of work, tasks, and projects, ensuring an optimum balance between cost and value. Establishes priorities that reflect mission and organizational needs. Work is timely, efficient, and of acceptable quality. Completed work meets project/program objectives. Personal and organizational interactions enhance customer relations and actively promote rapport with customers. Resources are utilized effectively to accomplish mission. Flexibility,	**NJ Level I (Score Range 0 – 29)**	
	• Works with others in solving problems with appropriate guidance.	• Independence
	• Participates as a team member in meeting customer needs.	• Customer Needs
	• Plans individual time to accomplish tasks.	• Planning/Budgeting
	• Effectively accomplishes assigned tasks with appropriate guidance.	• Execution/Efficiency
	NJ Level II (Score Range 22 – 51)	
	• Identifies and resolves problems; adapts accepted policies, procedures, or methods with moderate guidance.	• Independence
	• Interacts with customers to respond to customer needs/expectations.	• Customer Needs
	• Plan resources to achieve task schedules.	• Planning/Budgeting
	• Accomplishes assigned tasks.	• Execution/Efficiency
	NJ Level III (Score Range 43 – 66)	
	• Identifies problems; develops solutions and action plans with minimal guidance.	• Independence
	• Initiates meetings and interactions with customers to understand customer needs/expectations.	• Customer Needs
	• Optimizes resources to accomplish projects within established milestones.	• Planning/Budgeting
	• Effectively accomplishes projects/programs within established resource guidelines.	• Execution/Efficiency
	NJ Level IV (Score Range 61 – 83)	
	• Resolves and coordinates technical problems involving multiple projects/programs.	• Independence

adaptability, and decisiveness are exercised appropriately.	• Establishes customer alliances; anticipates and fulfills customer needs and translates customer needs to projects/programs. Organizes and leads customer interactions. • Identifies and optimizes resources to accomplish multiple projects/programs goals. • Effectively accomplishes multiple projects/programs goals within established thresholds. Develops innovative approaches to attain goals and minimize resource expenditures.	• Customer Needs • Planning/Budgeting • Execution/Efficiency
	NJ - VERY HIGH SCORE (Mid-level Descriptors) **(Three scores available -- 87, 91, or 95. Select one of these scores.)**	
	In addition to fully meeting the expected contribution criteria: • Achieved outcomes and results that are far superior in quality, quantity, timeliness and impact to the expectations described in the Contribution Plan for Level IV accomplishments; • Persisted in overcoming obstacles and putting forth extra effort to accomplish difficult assignments with contributed results significantly beyond expectations; • Contributions to successful organizational performance are well beyond what is expected; and/or • Demonstrated the highest standards of professionalism establishing the model for others to follow.	

CAREER PATH: Administrative Support (NK)

FACTOR 1: Job Achievement and/or Innovation

FACTOR DESCRIPTION: This factor captures qualifications, critical thinking, calculated risks, problem solving, leadership, supervision, and personal accountability aspects appropriate for the positions classified to the broadband levels of the NK career path.

Expected Contribution Criteria	Classification Level and Appraisal Descriptors	Discriminators
Produces desired results, in the needed timeframe, with the appropriate level of supervision through the use of appropriate knowledge, skills, abilities, and understanding of the technical requirements of the job. Achieves, demonstrates, and maintains the appropriate qualifications necessary to assume and execute key acquisition and/or support requirements. Demonstrates skilled critical thinking in identifying, analyzing, and solving complex issues, as appropriate. Takes and displays personal accountability in leading, overseeing, guiding, and/or managing programs and projects within assigned areas of responsibility.	**NK Level I (Score Range 0 – 29)**	
	• Proactively seeks opportunities to contribute to assigned tasks. Asks for assistance as appropriate.	• Leadership Role
	• Seeks and takes advantage of developmental opportunities. Takes initiative to pursue completion of qualification requirements.	• Mentoring/Employee Development
	• Effectively accepts feedback on assigned and accomplished work, and incorporates it to create a better end product.	• Accountability
	• Applies standard rules, procedures, or operations to resolve routine problems.	• Complexity/Difficulty
	• Takes initiative in selecting and implementing appropriate procedures.	• Creativity
	• Conducts activities on a segment of a task. Assists supervisor or other appropriate personnel.	• Scope/Impact
	NK Level II (Score Range 22 – 46)	
	• Actively contributes as team member; takes initiative to accomplish assigned projects.	• Leadership Role
Work is timely, efficient and of acceptable quality. Completed work meets project/program objectives. Leadership and/or supervision effectively promotes commitment to organization goals. Flexibility, adaptability, and decisiveness are exercised appropriately.	• Identifies and pursues individual/team developmental opportunities.	• Mentoring/Employee Development
	• Guides others in accomplishing projects, assuming ownership of personal processes and products.	• Accountability
	• Develops, modifies, and/or applies rules, procedures, or operations to resolve problems of moderate complexity/difficulty.	• Complexity/Difficulty
	• Identifies and adapts guidance for new or unusual situations.	• Creativity
	• Plans and conducts administrative activities for projects.	• Scope/Impact

<table>
<tr><td rowspan="7">For Supervisors (as appropriate): Recruits, develops, motivates, and retains quality team members in accordance with EEO/AA and Merit System Principles. Takes timely/appropriate personnel actions, communicates mission and organizational goals; by example, creates a positive, safe, and challenging work environment; distributes work and empowers team members.</td><td colspan="2">NK Level III (Score Range 38 – 61)</td></tr>
<tr><td>• Provides guidance to individuals/teams; resolves conflicts. Expertise solicited by others.</td><td>• Leadership Role</td></tr>
<tr><td>• Promotes individual/team development; leads development of training programs for self and others.</td><td>• Mentoring/Employee Development</td></tr>
<tr><td>• Guides and accounts for results or activities of individuals, teams, or projects. Assumes ownership of processes and products, as appropriate.</td><td>• Accountability</td></tr>
<tr><td>• Develops rules, procedures, or operations for complex/difficult organizational tasks.</td><td>• Complexity/Difficulty</td></tr>
<tr><td>• Identifies issues requiring new procedures and develops appropriate guidelines.</td><td>• Creativity</td></tr>
<tr><td>• Plans and conducts complex administrative activities.</td><td>• Scope/Impact</td></tr>
<tr><td></td><td colspan="2">NK - VERY HIGH SCORE (Mid-level Descriptors)
(Three scores available -- 64, 67, or 70. Select only one score.)</td></tr>
<tr><td></td><td colspan="2">In addition to fully meeting the expected contribution criteria:
• Achieved outcomes and results that are far superior in quality, quantity, timeliness and impact to the expectations described in the Contribution Plan for Level III accomplishments;
• Persisted in overcoming obstacles and putting forth extra effort to accomplish difficult assignments with contributed results significantly beyond expectations;
• Contributions to successful organizational performance are well beyond what is expected; and/or
• Demonstrated the highest standards of professionalism establishing the model for others to follow.</td></tr>
</table>

CAREER PATH: Administrative Support (NK)

FACTOR 2: Communication and/or Teamwork

FACTOR DESCRIPTION: This factor captures communication, both verbal and written; interactions with customers, coworkers, and groups; and assignments crossing functional boundaries appropriate for the positions classified to the broadband levels of the NK career path.

Expected Contribution Criteria	Classification Level and Appraisal Descriptors	Discriminators
Effectively communicates, verbally and in writing, as needed to coordinate work and keep chain-of-command, coworkers, and customers informed of work-related issues, developments, and statuses. Actively seeks and promotes diverse ideas and inputs. Works well with and in groups, and with others to accomplish mission requirements. Work is timely, efficient, and of acceptable quality. Communications are clear, concise, and at the appropriate level. Personal and organizational interactions exhibit and foster teamwork. Flexibility, adaptability, and decisiveness are exercised appropriately.	**NK Level I (Score Range 0 – 29)**	
	• Explains status/results of assigned tasks. • Writes timely and accurate draft documentation. • Contributes ideas on routine procedures. Interacts cooperatively with others. • Regularly completes tasks in support of team goals.	• Oral • Written • Contribution to Team • Effectiveness
	NK Level II (Score Range 22 – 46)	
	• Communicates/presents internal administrative/functional procedures and tasks internally and externally. • Prepares, coordinates, and consolidates documents, reports, or briefings. • 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.	• Oral • Written • Contribution to Team • Effectiveness
	NK Level III (Score Range 38 – 61)	
	• Explains and/or communicates administrative/functional procedures at all levels. • Prepares, reviews, and/or approves documents, reports, or briefings. • 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.	• Oral • Written • Contribution to Team • Effectiveness

	NK - VERY HIGH SCORE (Mid-level Descriptors) **(Three scores available -- 64, 67, or 70. Select one of these scores.)**
	In addition to fully meeting the expected contribution criteria: • Achieved outcomes and results that are far superior in quality, quantity, timeliness and impact to the expectations described in the Contribution Plan for Level III accomplishments; • Persisted in overcoming obstacles and putting forth extra effort to accomplish difficult assignments with contributed results significantly beyond expectations; • Contributions to successful organizational performance are well beyond what is expected; and/or • Demonstrated the highest standards of professionalism establishing the model for others to follow.

CAREER PATH: Administrative Support (NK)

FACTOR 3: Mission Support

FACTOR DESCRIPTION: This factor captures understanding and execution of organizational goals and priorities; working with customers to develop a mutual understanding of their requirements; monitoring and influencing cost parameters or work, tasks, and projects; and establishing priorities that reflect mission and organizational goals appropriate for the positions classified to the broadband levels of the NK career path.

Expected Contribution Criteria	Classification Level and Appraisal Descriptors	Discriminators
Possesses an operational understanding of organizational goals and priorities and fully complies with administrative policies, regulations, and procedures when performing job operations. Works with customers to develop a mutual understanding of their requirements. Probes for detail, as appropriate, and pays attention to crucial details of needs or requests. Monitors and influences cost parameters of work, tasks, and projects, ensuring an optimum balance between cost and value. Establishes priorities that reflect mission and organizational needs. Work is timely, efficient, and of acceptable quality. Completed work meets project/program objectives. Personal and organizational interactions enhance customer relations and actively promote rapport with customers. Resources are utilized effectively to accomplish mission. Flexibility, adaptability, and decisiveness are exercised appropriately.	**NK Level I (Score Range 0 – 29)**	
	• Carries out routine tasks.	• Independence
	• Meets routine customer needs.	• Customer Needs
	• Plans individual time and assigned resources to accomplish tasks.	• Planning/Budgeting
	• Effectively accomplishes assigned tasks.	• Execution/Efficiency
	NK Level II (Score Range 22 – 46)	
	• Plans and executes assignments; resolves problems and handles deviations.	• Independence
	• Independently interacts with customers to understand customer needs/expectations.	• Customer Needs
	• Plan resources to achieve project schedules.	• Planning/Budgeting
	• Effectively accomplishes projects within established resource guidelines.	• Execution/Efficiency
	NK Level III (Score Range 38 – 61)	
	• Identifies issues and determines approaches and methods to accomplish tasks. Initiates effective actions and resolves related conflicts.	• Independence
	• Establishes customer alliances and translates needs to customer service.	• Customer Needs
	• Coordinates resources across projects.	• Planning/Budgeting
	• Optimizes resource utilization across	• Execution/Efficiency

	projects.	
	NK - VERY HIGH SCORE (Mid-level Descriptors) **(Three scores available -- 64, 67, or 70. Select one of these scores.)**	
	In addition to fully meeting the expected contribution criteria: • Achieved outcomes and results that are far superior in quality, quantity, timeliness, and impact to the expectations described in the Contribution Plan for Level III accomplishments; • Persisted in overcoming obstacles and putting forth extra effort to accomplish difficult assignments with contributed results significantly beyond expectations; • Contributions to successful organizational performance are well beyond what is expected; and/or • Demonstrated the highest standards of professionalism establishing the model for others to follow.	

Appendix C – Grievances and Appeals

GRIEVANCES AND APPEALS

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.

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

Procedures for non-bargaining and bargaining unit employees are detailed in the tables below.

If the employee is a non-bargaining unit employee, below is the Grievance Procedure.

Non-Bargaining Unit Member			
If the Contribution Based Action Is--	**And the Employee Is a---**	**Then the Grievance Procedure [1] IS--**	**Appeal Rights to Merit System Protection Board (MSPB)[2] Are--**
Reassignment without reduction in pay	Non-bargaining unit member	In accordance with Component's administrative grievance system	Applicable
Directed change to lower broadband level without reduction in pay	Non-bargaining unit member	Not applicable	Applicable
Reassignment with reduction in pay	Non-bargaining unit member	Not applicable	Applicable
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 general pay increase	Non-bargaining unit member	In accordance with Component's administrative grievance system	Not applicable
Contribution Rating Increase	Non-bargaining unit member	In accordance with Component's administrative grievance system	Not applicable
Contribution Award	Non-bargaining unit member	In accordance with Component's administrative grievance system	Not applicable
Overall Contribution Score (including categorical and numerical scores)	Non-bargaining unit member	In accordance with Component's administrative grievance system	Not applicable
Rating of Record (including Performance Appraisal Quality Levels for factors)	Non-bargaining unit member	In accordance with Component's administrative grievance system	Not applicable
Annual Supervisory Assessment	Non-bargaining unit member	In accordance with Component's administrative grievance system	Not applicable
Midpoint Review	Non-bargaining unit member	Not applicable	Not applicable
Grievances concerning additional feedback employee may have received throughout the rating	Non-bargaining unit member	Not applicable	Not applicable

Non-Bargaining Unit Member			
If the Contribution Based Action Is--	**And the Employee Is a---**	**Then the Grievance Procedure [1] IS--**	**Appeal Rights to Merit System Protection Board (MSPB)[2] Are--**
cycle, supervisor recommended ratings of record, or any recommended ratings submitted by the sub-pay pool panel (if applicable) are not permissible.			

[1] 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.

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

If the employee is <u>a bargaining unit employee</u>, below is the Grievance Procedure.

Bargaining Unit Member			
If the Contribution Based Action Is--	**And the Employee Is a---**	**The Grievance Procedure[1] then Is--**	**Appeal Rights to Merit System Protection Board (MSPB)[2] 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
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
Removal	Bargaining unit member	The negotiated grievance procedure (unless the matter is excluded from coverage)[1]	Applicable
Reduction or denial of 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 (including categorical and numerical scores)	Bargaining unit member	The negotiated grievance procedure (unless the matter is excluded from coverage)[1]	Not applicable
Rating of Record (including Performance Appraisal Quality Levels for factors)	Bargaining unit member	The negotiated grievance procedure (unless the matter is excluded from coverage)[1]	Not applicable
Annual Supervisory Assessment	Bargaining unit member	The negotiated grievance procedure (unless the matter is excluded from coverage)[1]	Not applicable
Midpoint Review. Non-grievable.	Bargaining unit member	Not applicable	Not applicable
Clarified grievances concerning additional feedback employee may have received throughout the rating	Bargaining unit member	Not applicable	Not applicable

Bargaining Unit Member			
If the Contribution Based Action Is--	**And the Employee Is a---**	**The Grievance Procedure[1] then Is--**	**Appeal Rights to Merit System Protection Board (MSPB)[2] Are--**
cycle, supervisor recommended ratings of record, or any recommended ratings submitted by the sub-pay pool panel (if applicable) are not permissible.			

[1] 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.

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

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Appendix D – Grievance Template (Employee)

(DATE)

To: *(Supervisor/Supervisor's Name)*

From: *(Employee's Name)*
Subj: Grievance of Contribution-based Compensation and Appraisal System (CCAS) Overall Contribution Score (OCS) and/or Rating of Record (RoR) for the (INSERT APPRAISAL YEAR) Assessment Cycle

1. References.
   a. 82 FR 52104, dated 11/9/2017
   b. AcqDemo Operating Guide, Chapter 6, Section 6.28 of _____ (INSERT DATE OF MOST RECENT OPS GUIDE)

2. Attachments or Enclosures.
   a. CCAS Salary Appraisal Form, Parts 1 and II
   b. Contribution Plan
   c. Employee Assessment
   d. Supervisor Assessment
   e. Additional information and/or supporting documentation

3. Applicability.

   a. I understand that this is a request for a CCAS grievance to the OCS and/or the annual rating of record for _____ (*cite rating year mm/dd/yyyy*).

   b. I understand that the CCAS grievance process does not apply to any midpoint review and/or additional feedback I may have received throughout the rating cycle, supervisor recommended ratings, or any recommended ratings submitted by the sub-pay pool panel (if applicable).

   c. I understand that my most recent approved OCS and/or RoR prior to the subject appraisal year cycle cannot be reduced or lowered as a result of this CCAS grievance.

   d. I understand that if I receive an adjusted OCS and/or RoR as a result of this CCAS grievance, I will receive a revised OCS and/or RoR, a revised Part I. CCAS Salary Appraisal Form reflecting the adjusted OCS, and the new Expected OCS for the next rating cycle. In addition, a revised RoR would be annotated by my Supervisor on Part I of the CCAS Salary Appraisal Form. Any increase to monetary adjustments of General Pay Increase (GPI), Contribution Rating Increase (CRI), or Contribution Award (CA) resulting from an adjusted OCS will be retroactive to the effective date of the payout, which is the beginning of the first full pay period in January.

e. I understand that allegations that a rating was based on prohibited discrimination, such as race, color, religion, sex, national origin, age, physical or mental disability, or reprisal may not be processed through the CCAS grievance process and shall result in cancelling the request.

- Submission. I am submitting this written CCAS grievance IAW the Operating Guide, Chapter 6, Section 6.28, dated (INSERT DATE OF MOST RECENT OPS GUIDE) This written grievance is submitted within the stated grievance window for my organization.

4. Basis for the Grievance.

(*Select and complete all that apply; OCS, categorical or numerical score(s) and/or rating of record, PAQL scores, and/or supervisor's annual appraisal narrative.*

I am grieving the OCS. Presently my OCS is _____._____.
I believe that my OCS should be _____._____.
I am grieving the RoR. Presently my RoR is _____._____._____._____
I believe that my RoR should be _____._____._____._____

(NOTE: All three OCS factor numerical scores are added together and divided by 3 to determine the OCS numerical score. Likewise, the three PAQL scores are added together and divided by 3 to obtain the annual rating of record. One, some, or all of the factor score(s) for either the OCS numerical score or the rating of record must be adjusted to change the OCS or the rating of record.)

I am grieving the Contribution factor of _____. *(Identify which of the 3 contribution factors.)* Presently my categorical score is _____and numerical score is _____. I believe that I should have received a categorical score of _____ and a numerical score of _____for this factor.

I am grieving the supervisor's annual appraisal narrative for the Contribution factor of_____. *(Identify which of the 3 contribution factors).* See the attached CCAS Salary Appraisal Document for (INSERT DATE OF APPROPRIATE FY), Part II: Supervisor Assessment.

I am grieving the overall RoR of_____. I believe that I should have received an overall RoR of _____ for this appraisal cycle. I am grieving the PAQL score of_____ for factor #_____. I believe that I should have received the PAQL score of _____ for this factor. *(Identify the PAQL score(s) and/or factor(s) in question.)*

I am grieving the supervisor's annual appraisal narrative for the RoR of _____. *(Identify which of the 3 PAQL factors).* See the attached CCAS Salary Appraisal Document for (INSERT DATE OF APPROPRIATE FY), Part II: Supervisor Assessment.

The basis for my request for the above change(s) is/are as follows: *(Attach additional pages of your explanation if needed)*

(*Continue using the format above for any additional contribution and/PAQL factor scores or narratives as appropriate. Attach additional pages of your explanation, if needed)*

NOTE: Employee's should consider the following:

(a) Expand on information previously provided in the Employee Self-assessment to include specific examples and or work product(s).
(b) Justification(s) should provide quantifiable/measurable support for the grievance request.
(c) Should not introduce new information or work product(s) that has not been previously submitted and considered for review by the Supervisor, Pay Pool Manager, and Panel.

5. As required, attached is a copy of my final CCAS Salary Appraisal Document for (INSERT DATE OF APPROPRIATE FY), Part I: CCAS Salary Appraisal Form and Part II: Supervisor Assessment with Contribution Plan.

Employee Signature: _____Date: _____
(*mm/dd/yyyy)*

Print Name: _____
Phone Number: _____

Email Address: _____

Copy for:
Pay Pool Manager
Participating Organization's AcqDemo Office

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Appendix E – Grievance Template (Supervisor's Recommendation)

Date

To: *(Pay Pool Manager's Name)*

From: *(Supervisor/Supervisor's Name)*

1. References.
   a. 82 FR 52104, dated 11/9/2017
   b. AcqDemo Operating Guide, Chapter 6, Section 6.28, _ _ _ _ _ _ _ _ _ _ _ _ _ _ (INSERT DATE OF MOST RECENT OPS GUIDE)

2. Applicability.
   a. This is a Contribution-based Compensation Appraisal System (CCAS) and/or rating of record grievance of the CCAS overall contribution score – category/numeric and/or annual rating of record – Performance Appraisal Quality Levels (PAQLs) for ____(*Name of Employee*) for the rating period of _____(*cite annual rating year mm/dd/yyyy*).
   b. The date of the grievance is _____(*date*) and was received on _____ (*date*).

3. Recommendation. Based on a review of the information contained in the employee's CCAS overall contribution score and/or rating of record grievance, I recommend the following: *(Select appropriate option below, delete all other options)*:

   Agree with the employee's request.

   The recommended adjusted overall contribution score is _____.
   For the _____factor, the recommended adjusted categorical score is _____and numerical score is _____.
   (Use this format for each factor that is recommended for change as a result of the grievance.)

   The revised narrative for the _____factor will be changed in CAS2Net to read:
   (Use this format for each factor narrative that is recommended for change as a result of the grievance.)

   The recommended adjusted RoR is _____.

   The recommended adjusted PAQL score for factor #_____ is _____.

   The revised narrative for the _____factor will be changed in CAS2Net to read:
   (Use this format for each factor narrative that is recommended for change as a result of the grievance.)

Agree with the employee's request for adjustments.

Do not agree with the employee's request.
(Provide the Pay Pool Manager the basis for the recommendation in paragraph 4)
(Use paragraph 4 to provide a summary of the basis for your recommendation of approval with adjustments to the Pay Pool Manager.)

4. Summary of Basis for Recommendation. *(Provide a brief explanation of the basis for the recommendation – not limited to the space here, attach additional sheet(s) if necessary.)*

RATING OFFICAL/SUPERVISOR SIGNATURE BLOCK

Phone Number: _____
Email Address: _____

Appendix F– Grievance Template (Pay Pool Manager Decision)

(DATE)

To: *(Employee's Name)*

From: *(Pay Pool Manager's Name)*

Enclosure or Attachment:
a. Revised Contribution-based Compensation and Appraisal System (CCAS) Salary Appraisal Form Part I (if applicable)

1. References.
   a. 82 FR 52104, dated 11/9/2017
   b. AcqDemo Operating Guide, Chapter 6, Section 6.28, _____(INSERT DATE OF MOST RECENT OPS GUIDE)

2. This is in response to your CCAS Overall Contribution Score (OCS) and/or Rating of Record (RoR) grievance dated _____ *(mm/dd/yyyy)*, which was received on *(mm/dd/yyyy)*.

3. I have reviewed your CCAS OCS – Categorical and/or Numeric and RoR – Performance Appraisal Quality Level (PAQL) factor scores grievance and any additional supporting documentation that was provided (if provided). After careful consideration, I have *(Select appropriate option below, delete all other options)*:

☐ Granted your request.

Your adjusted overall contribution score is _____.

For the _____ factor, the adjusted categorical score is _____ and numerical score is _____.
(Use this format for each factor that is changed as a result of the grievance.)

The revised narrative for the _____ factor was changed in CAS2Net to read:
(Use this format for each factor narrative that changed as a result of the grievance.)

Your adjusted RoR is _____.

Your adjusted PAQL factor score for Factor #_____ is _____.
(Use this format for each factor that is changed as a result of the grievance.)

The revised narrative for the _____ factor was changed in CAS2Net to read:
(Use this format for each factor narrative that changed as a result of the grievance.)

(Use paragraph 4 to provide summary of the basis for decision to approve with adjustment(s))

☐ Denied your request. *(Use paragraph 4 to provide summary of the basis for denial decision.)*

4. Summary of Basis for Decision. *(It is mandatory to provide a brief explanation if the decision is to approve the grievance with adjustment or to deny the grievance.)*

5. If you are dissatisfied with my decision in this matter, in accordance with the DoD AcqDemo Operating Guide, paragraph 6.28.2, _____(INSERT DATE OF MOST RECENT OPS GUIDE) you may request a reconsideration for final review by the next higher official to the Pay Pool Manager. The next higher official is _____ *(title/name/office address)* _____.

Pay Pool Manager
SIGNATURE BLOCK

Copy For: Rating Official

Appendix G – Maintenance of Contribution-Related Records

Executive Order 13839 dtd May 25, 2018 – Executive Order Promoting Accountability and Streamlining Removal Procedures Consistent with Merit System Principles
Section 5. Ensuring Integrity of Personnel Files. Agencies shall not agree to erase, remove, alter, or withhold from another agency any information about a civilian employee's performance or conduct in that employee's official personnel records, including an employee's Official Personnel Folder and Employee Performance File, as part of, or as a condition to, resolving a formal or informal complaint by the employee or settling an administrative challenge to an adverse personnel action.

5 CFR § 293.402 Establishment of separate employee performance record system.

a) Copies of employees' performance ratings of record, including the performance plans on which the ratings are based, must be placed in either the employee's Official Personnel Folder (OPF) or in the Employee Performance File (EPF). However, other performance-related documents may be retained in the OPF only when the agency prescribes the use of a separate envelope, temporarily located in the OPF, and removed whenever the OPF (except as required in § 293.404(b)) is transferred to another agency. Performance ratings of record, including the performance plans on which the ratings are based, shall be retained on the left (temporary) side of the OPF. No other performance-related record shall be retained on the left (temporary) or right (long term) side of the OPF or shall be transferred to the National Personnel Records Center (except as required by § 293.404(b)).

b) Except for performance records maintained in the OPF consistent with paragraph (a) of this section, each agency having employees occupying a position described in § 293.401 shall provide for maintenance of performance-related records for such employees in this EPF system. The agency may elect to retain records in a separate file that is located in the same office with the OPF, or in an envelope kept in the OPF itself. If the agency determines that a separate EPF is cost-effective, such a file may be located in another designated agency office (as specified in the agency's performance appraisal plan) including with supervisors or managers (hereinafter referred to as rating officials) or with Performance Review Boards. Any supporting documents that the agency may prescribe as necessary for agency officials in performance of their duties shall be kept in these files.

1) Agencies shall provide their employees access to their performance files (automated and manual). Such a request for access shall be processed in accordance with established agency procedures, consistent with Office of Personnel Management regulations regarding access to records contained in part 297 of this chapter. Such access shall be provided to the employee or to the employee's designated representative, and such records may also be disclosed to other officials of the agency who have a need for the documents in the performance of their duties.

2) All other requests for performance documents made to agency officials (e.g., Freedom of Information Act requests or requests made under the "routine use" provisions of the Privacy Act) shall be processed by the responsible agency official in accordance with

agency procedures consistent with Office of Personnel Management regulations regarding disclosures of such records contained in parts 293 and 297 of this chapter.

3) Privacy Act requests for amendment of records maintained in this system shall be processed by the responsible agency official in accordance with agency procedures consistent with Office of Personnel Management regulations regarding amendment of records contained in part 297 of this chapter.

d) Agencies maintaining the EPF in an automated or microform system shall issue instructions that contain necessary procedures to ensure that the same requirements as in paragraph (c) of this section, relating to all manual records, are met. Title 5 - Administrative Personnel 2011-01-01

[47 FR 3080, Jan. 22, 1982, as amended at 51 FR 8410, Mar. 11, 1986]

5 CFR § 293.404 Retention Schedule.

a)1) Except as provided in § 293.405(a), performance ratings or documents supporting them are generally not permanent records and shall, except for appointees to the SES and including incumbents of executive positions not covered by SES, be retained as prescribed below:

(i) Performance ratings of record, including the performance plans on which they are based, shall be retained for 4 years;

(ii) Supporting documents shall be retained for as long as the agency deems appropriate (up to 4 years);

(iii) Performance records superseded (e.g., through an administrative or judicial procedure) and performance-related records pertaining to a former employee (except as prescribed in § 293.405(a)) need not be retained for a minimum of 4 years. Rather, in the former case they are to be destroyed and in the latter case agencies shall determine the retention schedule; and

(iv) Except where prohibited by law, retention of automated records longer than the maximum prescribed here is permitted for purposes of statistical analysis so long as the data are not used in any action affecting the employee when the manual record has been or should have been destroyed.

a)2) When an employee is reassigned within the employing agency, disposition of records in this system, including transfer with the employee who changes positions, shall be as agencies prescribe and consistent with § 293.405(a).

a)3) Appraisals of unacceptable performance, where a notice of proposed demotion or removal is issued but not effected, and all documents related thereto, manual and automated, pursuant to 5 U.S.C. 4303(d) must be destroyed after the employee completes one year of fully successful performance from the date of the written advance notice of the proposed

removal or reduction in grade notice. Under conditions specified by an agency, and earlier destruction date is permitted and destruction must be no later than 30 days after the year is up.

b) Performance records for Senior Executive Service appointees, including those serving under a Presidential appointment under 5 U.S.C. 3392(c), are to be retained as follows:

b)1) Pursuant to 5 U.S.C. 4314(b) (3) and (4), Senior Executive Service appointees shall have their performance-related records maintained for five consecutive years (from the date the appraisal is issued) beginning with the effective date of appointment, including individuals receiving appointments pursuant to 5 U.S.C. 3593(b).

b)2) When an appointee of the Senior Executive Service moves to another position in the Service, either with the same or a different agency, all appropriate performance-related documents five years old or less shall be forwarded in the Employee Performance File along with the individual's OPF.(3) When an employee in the Senior Executive Service accepts a Presidential appointment pursuant to 5 U.S.C. 3392(c), the employee's performance file shall be retained as long as the employee remains employed under that Presidential appointment. When the appointment ends, and the individual does not return to the Senior Executive Service, the employee's performance file shall be destroyed in accordance with agency procedures.

(c) Where any performance-related document is needed in connection with an ongoing administrative, negotiated, quasi-judicial, or judicial proceeding, and it continues to be retained in this system rather than another system, it may be retained for as long as necessary beyond the retention schedules identified in paragraphs (a) and (b) of this section.

(d) Screening and purging of folders/envelopes and rating official's work files for the purpose of compliance with these retention schedules shall be through any agency process insuring consistency with the requirements.

[47 FR 3080, Jan. 22, 1982, as amended at 51 FR 8411, Mar. 11, 1986; 56 FR 65416, Dec. 17, 1991]

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Appendix H – Temporary Promotions Under CCAS

1.1 Introduction. This appendix provides updated guidance and processes for supervisory roles, CCAS appraisals, payouts, pay setting, and CAS2Net procedures involving temporary promotions.

1.2 Definitions

1.2.1 Annual Assessment Cycle: The annual assessment cycle runs from 1 October to 30 September of the next year.

1.2.2 Annual Assessment Closeout Period: The annual assessment closeout period immediately follows the annual assessment cycle and is defined as 1 October to the beginning date of the first full pay period in January (effective date of the payout).

1.2.3 Fully Ratable Temporary Promotion: A temporary promotion effective on or before 3 July and terminating after the effective date of a payout, i.e., the beginning of the first full pay period in January.

1.2.4 Non-Fully Ratable Temporary Promotion: Temporary promotion starting after July3rd and before effective date of the payout and terminating after the effective date of the payout. This case includes temporary promotions that have less than 90 days in the annual assessment cycle immediately prior to the end of the rating period, i.e., close of business on September 30, and those that start during the annual assessment closeout period.

1.2.5 Temporary Promotion Terminating in the Annual Assessment Closeout Period: Temporary promotion start date is during the annual assessment cycle and end date is during the annual assessment closeout period.

1.2.6 CCAS Ineligible Temporary Promotion: Temporary promotion starting and ending during the annual appraisal cycle without gaining eligibility for an annual CCAS assessment or payout.

1.3 Role of Permanent Position. In CAS2Net, the employee's record retains the permanent position data. The temporary promotion data is entered in the temporary promotion data fields. The basic pay of the employee's permanent position on the effective date of the temporary promotion remains unchanged until re-determined upon termination of the temporary promotion.

1.4 Employee's Record and Supervisor: Except for the fully ratable temporary promotion case to a different pay pool, the employee's record stays in the permanent position pay pool. The Pay Pool Administrator (PPA) uses the Assign Supervisors to Employee Module to assign the temporary promotion supervisor as the employee's first-level supervisor for the duration of the temporary promotion. If the temporary promotion is to a different pay pool, the PPA must have access to both pay pools (or be an above pay pool user for both pay pools) to make this supervisory assignment. All other supervisory assignments remain unchanged. The assignment allows the temporary promotion

supervisor to work with the employee to use the Contribution Planning Module for the temporary promotion position expectations. It also allows the temporary promotion supervisor to use the Additional Feedback, Midpoint Review, and Closeout Modules, as appropriate, to document the employee's contribution during the temporary promotion. Once the temporary promotion is over or it becomes time to accomplish the end of cycle assessment, the PPA reassigns the permanent position supervisor as the employee's first level supervisor. In the fully ratable temporary promotion case, if the temporary promotion is to a different pay pool, the PPA puts the employee's record into the Transfer Pay Pool and notifies the temporary position PPA to pull the record from Transfer into the temporary position pay pool and to assign all levels of temporary promotion supervisors to the employee. At the end of the temporary promotion, the two PPAs reverse the process.

1.5 Role of Permanent Position Supervisor: Except for the fully ratable temporary promotion case, the permanent position supervisor uses the Annual Appraisal Module to rate the employee considering his or her own knowledge of the employee's contribution, while on the permanent position, and the temporary position supervisor's input (contribution plan, additional feedback, midpoint review, and closeout assessment, as appropriate), while on the temporary promotion. The employee is included in the permanent position pay pool cycle close out process (conducted during the annual assessment closeout period), including the Sub-Panel Manager Spreadsheet, if applicable and the Compensation Management Spreadsheet (CMS).

1.6 Role of Temporary Promotion Supervisor: In the fully ratable temporary promotion case, the temporary position supervisor rates the employee using input from the permanent position supervisor, who should have done a closeout assessment. The employee is included in the temporary position pay pool cycle close out process (conducted during the annual assessment closeout period), including the CMS. In the other cases, the temporary promotion supervisor uses the Contribution Planning, Midpoint Review, Additional Feedback, and Annual Appraisal Modules, as appropriate, to document the employee's contribution while on the temporary promotion.

1.7 Payouts: The sections below describe how payouts are determined for employees who have a temporary promotion.

1.7.1 Temporary Promotion Effective on or before July 3rd and Terminating after the Effective Date of a Payout, i.e., the Beginning of the First Full Pay Period in January. The employee's record is in the temporary position pay pool to determine the payout. Any basic pay adjustments (GPI and CRI) will be applied to the temporary promotion basic pay and not the basic pay of the permanent position of record. The carryover award and CA will be based on the temporary position pay pool CMS. Note that CAS2Net and the CMS are programmed to use the temporary promotion data in the employee's record for this case. The DCPDS transactions will be sent to the servicing region for the temporary promotion pay pool.

1.7.2 Non-Fully Ratable Temporary Promotion: When an employee is temporarily promoted with less than 90 days left in the annual assessment cycle or during the annual assessment closeout period, the employee must still receive an assessment for work

accomplished in his or her permanent position of record during the assessment cycle along with any GPI, CRI, and CA payout. The GPI and CRI would remain on the permanent position of record and be the basis for pay setting at the conclusion of the temporary promotion. The new permanent basic pay is compared to the temporary basic pay augmented by GPI, and the larger becomes the employee's new temporary position basic pay. The computed CA is paid to the employee plus any carry over award. The DCPDS transactions are sent to the region that services the temporary promotion pay pool.

1.7.3 Temporary Promotion Terminating during the Annual Assessment Closeout Period: When a temporary promotion is terminated during the annual assessment closeout period, the employee's current year permanent position basic pay upon return to the permanent position is determined using the guidelines in Section 1.8.2, below. This will be the employee's pay until the payout is effective. The permanent position supervisor uses the Annual Appraisal Module in CAS2Net to rate the employee based on his or her knowledge of the employee's contribution while on the permanent position and input from the temporary promotion supervisor (contribution plan, midpoint review, additional feedback, and closeout, as appropriate) for the employee's time during the annual assessment cycle on the temporary promotion. The employee is included in the permanent position pay pool cycle closeout processes to determine any GPI, CRI, Carryover CRI, and CA. Transactions are sent to the DCPDS region that services the permanent pay pool.

1.7.4 Temporary Promotion Effective and Terminated during an Annual Assessment Cycle without Gaining Eligibility for an Annual CCAS Assessment or General Pay Increase. When an employee's temporary promotion begins and ends during the annual assessment cycle the employee's basic pay is reset to his or her previous basic pay for the permanent position, when the temporary promotion ends. During the annual assessment closeout period, the permanent position supervisor will rate the employee using his or her own knowledge of the employee's contribution while on the permanent position, as well as input from the temporary position supervisor for the time the employee was on the temporary promotion. Payout could include GPI, CRI, Carryover CRI, and CA. Transactions are sent to the DCPDS region that services the permanent pay pool.

1.7.5 Temporary Promotion Effective after July 3rd of current cycle and terminating after July 3rd of the next cycle. These are two separate conditions. The employee is temporarily promoted with less than 90 days left in the annual assessment cycle; therefore, it is considered a non-fully ratable temporary promotion. At the end of the temporary promotion, the employee returns to their position of record.

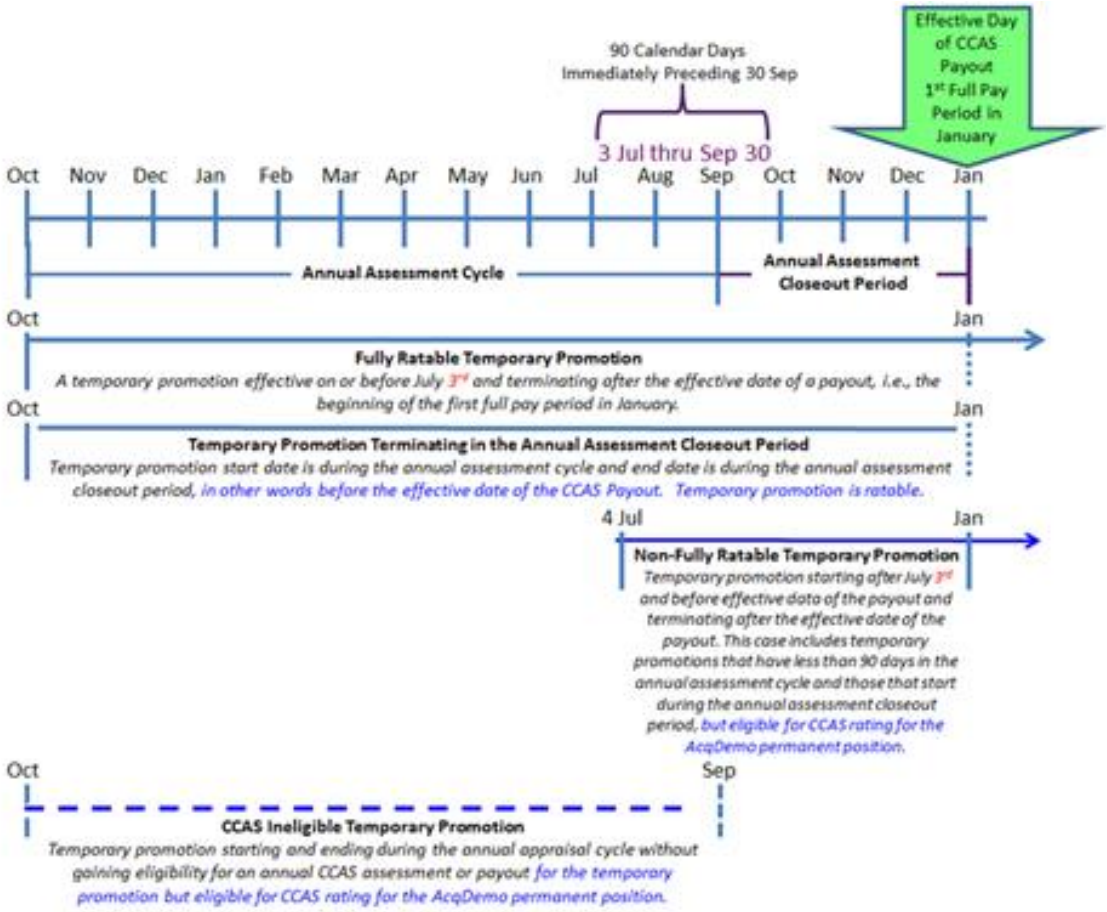
1.8 Pay Setting upon End of Temporary Promotion.

1.8.1 Temporary Promotion Made Permanent. If a temporary promotion is made permanent immediately after the temporary promotion ends, then new permanent position pay should be made equal to the temporary promotion pay.

1.8.2 Employee Returns to Permanent Position of Record. When the temporary promotion is terminated, an employee's pay entitlements will be redetermined based on the employee's permanent position of record with appropriate adjustments to reflect any CCAS ratings, e.g., a presumptive rating and/or General Pay increases applicable to the permanent position during the period of the employee's temporary promotion. If a CRI basic pay adjustment and/or only a GPI did occur upon CLG, the appropriate pay pool panel/manager level will determine a current basic pay using the previously approved CRI and/or GPI for the employee and may include appropriate considerations such as average basic pay growth in the pay pool average basic pay growth in the employee's career path broadband level, employee's development in skills and knowledge applicable to the permanent promotion, and experience gained while on the temporary promotion.

1.8.2.1 At the Participating Organization's discretion and if eligible, basic pay may be set in the permanent position based on a rate received under the temporary promotion if that would yield a higher basic pay rate under the highest previous rate (HPR) provision in Ops Guide Chapter 5, Section 5.8. (INSERT DATE OF MOST RECENT OPS GUIDE).

1.8.2.2 Regardless of the rate used, pay will not exceed the maximum basic pay associated with the permanent position's broadband level.


Effective Day of CCAS Payout 1st Full Pay Period in January
90 Calendar Days Immediately Preceding 30 Sep
3 Jul thru Sep 30
Oct Nov Dec Jan Feb Mar Apr May Jun Jul Aug Sep Oct Nov Dec Jan
Annual Assessment Cycle
Annual Assessment Closeout Period
Oct
Jan
Fully Ratable Temporary Promotion
A temporary promotion effective on or before July 3rd and terminating after the effective date of a payout, i.e., the beginning of the first full pay period in January.
Oct
Jan
Temporary Promotion Terminating in the Annual Assessment Closeout Period
Temporary promotion start date is during the annual assessment cycle and end date is during the annual assessment closeout period, in other words before the effective date of the CCAS Payout. Temporary promotion is ratable.
4 Jul
Jan
Non-Fully Ratable Temporary Promotion
Temporary promotion starting after July 3rd and before effective data of the payout and terminating after the effective date of the payout. This case includes temporary promotions that have less than 90 days in the annual assessment cycle and those that start during the annual assessment closeout period, but eligible for CCAS rating for the AcqDemo permanent position.
Oct
Sep
CCAS Ineligible Temporary Promotion
Temporary promotion starting and ending during the annual appraisal cycle without gaining eligibility for an annual CCAS assessment or payout for the temporary promotion but eligible for CCAS rating for the AcqDemo permanent position.

Appendix I – Rating Official Change and Employee Movement Matrix

ACQDEMO

RATING OFFICIAL CHANGE AND EMPLOYEE MOVEMENT MATRIX – Feb 2020

TOPIC
NAVIGATION **Select the appropriate table below for the scenario describing rating official employee change.** **TABLE OF CONTENTS**

	PAGE
Table 1. Rating Official Changes, Employee Remains in Same Pay Pool	2
Table 2. Employee Moves From One AcqDemo Position to a Different AcqDemo Position (in Same or Different Pay Pool or AcqDemo Organization)	4
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Table 4. AcqDemo Separations and Retirements	7
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TABLE OF CHANGES

Date of Change	Table	Topic
12/04/19	All	Various changes for consistent terminology, simplify and update information.

ACQDEMO

RATING OFFICIAL CHANGE AND EMPLOYEE MOVEMENT MATRIX – Feb 2020

TABLE 1. RATING OFFICIAL CHANGES, EMPLOYEE REMAINS IN SAME PAY POOL

#	SCENARIO	ACTION REQUIRED[1]	CA	CRI[2]	GENERAL PAY INCREASE[2]	PAY POOL FUNDING ALLOCATION	PAY POOL ADMINISTRATOR NOTES
1	On or before close of business COB[6] 30 Sep, employee's rating official changes	**Self-Assessment** – Optional for employee.[3] **Closeout** – Mandatory. The losing rating official prepares closeout assessment for use by the new rating official to determine recommended OCS. Exception – The losing rating official may use an approved Midpoint Review in lieu of a Closeout if departing during the time period designated for Midpoint Reviews by the organization. **Annual Assessment** – Mandatory. Prepared by rating official assigned to employee as of 30 Sep. During this period, the rating official may use available observations and documentation to prepare an assessment and determine a recommended OCS and PAQL for each factor or select one of the five presumptive ratings as applicable. If a closeout assessment is available, rating official may use for annual assessment to determine OCS/PAQL scores.	Full Eligibility.	Full Eligibility.	Full Eligibility.	Employee's salary applied to organization's pay pool funding calculation.	a. Verify if self-assessment is required based on your organization's business rules. b. In CAS2Net, update new rating official's name in current User Profile after closeout assessment is released or annual assessment is approved. Note: Rating Official assigned on COB 30 September will be the Rating Official with access to employee's CCAS records

ACQDEMO

RATING OFFICIAL CHANGE AND EMPLOYEE MOVEMENT MATRIX – Feb 2020

TABLE 1. RATING OFFICIAL CHANGES, EMPLOYEE REMAINS IN SAME PAY POOL (continued)

#	SCENARIO	ACTION REQUIRED[1]	CA	CRI[2]	GENERAL PAY INCREASE[2]	PAY POOL FUNDING ALLOCATION	PAY POOL ADMINISTRATOR NOTES
2	On or after 1 Oct, but before 1 Jan, employee's rating official changes. Employee has served under CCAS for 90 calendar days immediately prior to COB[6] 30 Sep.	**Self-Assessment** – Optional for employee.[3]	Full Eligibility.	Full Eligibility.	Full Eligibility.	Employee's salary applied to organization's pay pool funding calculation.	a. Verify if self-assessment is required based on your organization's business rules. b. In CAS2Net, update the current User Profile with new rating official's name. c. In CAS2Net, if departing rating official did not prepare an annual assessment, verify/update rating departing rating official's name is assigned on the employee's record in Previous Cycle Data Module
		Closeout – Optional. Assessments are not required during the 90-day period at the beginning of a new CCAS cycle. However, the losing rating official may prepare a closeout to document significant contributions that occur during this period.					
		Annual Assessment – Mandatory - If losing rating official did not prepare an annual assessment for the "just completed" cycle (ending COB[6] 30 Sep), the new rating official may use available observations and documentation to prepare an assessment and determine a recommended OCS and PAQL for each factor or select a presumptive rating as applicable. If a closeout assessment is available, rating official may use for annual assessment to determine OCS/PAQL scores.					

ACQDEMO

RATING OFFICIAL CHANGE AND EMPLOYEE MOVEMENT MATRIX – Feb 2020

TABLE 2. EMPLOYEE MOVES FROM ONE ACQDEMO POSITION TO A DIFFERENT ACQDEMO POSITION (IN SAME OR DIFFERENT PAY POOL OR ACQDEMO ORGANIZATION)[4]

#	SCENARIO	ACTION REQUIRED[1]	CA	CRI[2]	GENERAL PAY INCREASE[2]	PAY POOL FUNDING ALLOCATION	PAY POOL ADMINISTRATOR NOTES
1	On or before close of business COB[6] 30 September, an employee having been in AcqDemo for at least 90 calendar days or more immediately preceding COB[6] 30 September had a job change from his/her current position to a different AcqDemo position.	**Self-Assessment** – Optional for employee.[3]	Full Eligibility. Identified and funded by organization to which assigned on 30 September.		Full Eligibility.	Employee's salary applied to pay pool funding calculation for pay pool to which assigned on 30 September. Employee's CCAS payout will be paid by the pay pool to which assigned on the effective date of the payout, which is the beginning of the first full pay period in January.	a. Verify if self-assessment is required based on your organization's business rules. b. In CAS2Net, after a closeout assessment is released, transfer the user using the Transfer function located in the user's profile. c. For gaining organizations, update new rating official name in user's profile.
		Closeout – Mandatory - Losing rating official is required to prepare a closeout assessment for use by the gaining rating official to determine recommended OCS, unless the departure occurs during the first 90 days of the new rating cycle. Exception – The losing rating official may prepare a midpoint review in lieu of a closeout if the employee is departing during the time period designated for midpoint reviews by the organization.					
		Annual Assessment – Mandatory. Prepared by rating official assigned to employee as of 30 September. During this period, the rating official may use available observations and documentation to prepare an assessment and determine a recommended OCS and PAQL for each factor or select a presumptive rating as applicable. If a closeout assessment is available, rating official may use for annual assessment to determine OCS/PAQL scores.					a. In CAS2Net, after an annual assessment is approved, use the Transfer function to transfer the user's record out of current organization to Transfer List.

ACQDEMO

RATING OFFICIAL CHANGE AND EMPLOYEE MOVEMENT MATRIX – Feb 2020

TABLE 2. EMPLOYEE MOVES FROM ONE ACQDEMO POSITION TO A DIFFERENT ACQDEMO POSITION (IN SAME OR DIFFERENT PAY POOL OR ACQDEMO ORGANIZATION)[4] (continued)

#	SCENARIO	ACTION REQUIRED[1]	CA	CRI[2]	GENERAL PAY INCREASE[2]	PAY POOL FUNDING ALLOCATION	PAY POOL ADMINISTRATOR NOTES
2	On or after 1 October, but before the effective date of payout (i.e., the beginning of the first full pay period in January), employee having been in AcqDemo for at least 90 calendar days or more immediately prior to COB[6] 30 September had a job and/or rating official change.	**Self-Assessment** – Optional for employee[3] **Closeout** – Optional. Assessments are not required during the first 90-day period of a new CCAS cycle. However, the losing rating official may prepare a closeout to document significant contributions that occurred during this period. **Annual Assessment** – Mandatory - Annual assessment is required and prepared by losing rating official for the just completed rating cycle.	Full Eligibility. Identified and funded by organization to which assigned on 30 Sep but paid by the gaining organization assigned on the effective date of the payout. .	Full Eligibility. Identified and funded by organization to which assigned on 30 Sep but paid by the gaining organization assigned on the effective date of the payout. Reassignment or lateral transfer - Employee is eligible for a CRI. Promotion – Employee is eligible for a CRI if the new computed pay is greater than the promotion pay; otherwise, rollover the CRI to CA.	Full Eligibility. Gaining organization processes.	Employee's salary applied to pay pool identified and funded by organization to which assigned on 30 Sep but paid by organization to which assigned on the effective day of the payout, which is the beginning of the first full pay period in January.	a. Verify if self-assessment is required based on your organization's business rules. b. In CAS2Net, if applicable update User Profile's Post Cycle Activities. c. Update the current User Profile: - New rating official name - New Organization Info - New HRSO code d. After annual assessment is released use the CAS2Net Transfer Function to transfer the user's record out of current organization to Transfer List. e. Do Not Remove the user's record from Previous Cycle Data Module. f. Gaining administrator uses CAS2Net Transfer Function to transfer the user's record to the organization/pay pool/sub-panel.

ACQDEMO

RATING OFFICIAL CHANGE AND EMPLOYEE MOVEMENT MATRIX – Feb 2020

TABLE 3. ACQDEMO TO NON-ACQDEMO (FEDERAL SERVICE) MOVEMENTS

#	SCENARIO	ACTION REQUIRED[1]	CA	CRI[2]	OTHER AVAILABLE COMPENSATION	GENERAL PAY INCREASE[2]	PAY POOL FUNDING ALLOCATION	PAY POOL ADMINISTRATOR NOTES
1	After COB[6] 30 Sep, employee moved to a non-AcqDemo organization and had served under CCAS less than 90 calendar days immediately preceding the end of the rating period, e.g., employee's AcqDemo start date was 5 July and moved after 30 Sep.	**Self-Assessment** – Optional for employee.[3] **Closeout** – Optional - Losing rating official may prepare a closeout assessment. **Annual Assessment** – N/A	N/A for CA. Non-rating based award may be funded by organization to which assigned on 30 Sep.	N/A	Reference: DCPDS Processing CCAS Payouts for ex-employee process	Full Eligibility. Gaining organization processes.	Employee's salary applied to pay pool to which assigned on 30 Sep.	a. Verify if self-assessment is required based on your organization's business rules. b. In CAS2Net, update User Profile and use the CAS2Net Archive Function to annotate Loss Reason/Date.
2	Employee was under CCAS on COB[6] September 30, had served under CCAS for 90 calendar days or more immediately preceding COB[6] 30 Sep, and departed to a non-AcqDemo organization on or after 1 October but before the effective date of the CCAS payout, which is the beginning of the first full pay period in January.	**Self-Assessment** – Optional for employee.[3] **Closeout** – Optional - Losing rating official may prepare a closeout. **Annual** – Mandatory - The rating official prepares an annual assessment for the "just completed" cycle (ending 30 Sep). The rating official may use available observations and documentation to prepare an assessment and determine a recommended OCS and PAQL for each factor or select a presumptive rating as applicable. If a closeout assessment is available, rating official may use for annual assessment to determine OCS/PAQL scores.	Optional – See Note [7]	N/A		Full Eligibility. Employee's organization on effective date of GPI processes.	Employee's salary applied to pay pool to which assigned on 30 Sep. If pay pool uses the DCPDS Processing of CCAS payouts for Ex-Employee, the payouts NOAC 886 (CA) and/or NOAC 885 (CRI Carryover) will be paid by the pay pool the employee was assigned to on 30 Sep.	a. Verify if self-assessment is required based on your organization's business rules. b. In CAS2Net, update User Profile and use the CAS2Net Archive Function to annotate Loss Reason/Date. c. PPA may override employee from calculations in CMS. d. Do not remove the user's record from Previous Cycle Data Module.

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TABLE 4. ACQDEMO SEPARATIONS[5] AND RETIREMENTS

#	SCENARIO	ACTION REQUIRED[1]	CA	CRI[2]	OTHER AVAILABLE COMPENSATION	GENERAL PAY INCREASE[2]	PAY POOL FUNDING ALLOCATION	PAY POOL ADMINISTRATOR NOTES
1	Employee departs prior to COB[6] 30 Sep	**Self-Assessment** – N/A **Closeout** – N/A. **Annual Assessment** – N/A	N/A	N/A	Compensation may be given in the form of a non-rating based award (NOAC 849), and made effective via an SF-50 before employee departs. Award is subject to DoD Component[7] and/or local policy.	N/A	N/A	a. In CAS2Net, update User Profile and use the CAS2Net Archive Function to annotate Loss Reason/Date.
2	Employee departs on or after COB[6] 30 Sep, but before the effective date of the rating payout, which is the beginning of the first pay period in January.	**Self-Assessment** – N/A **Closeout** – N/A Mandatory. Prepared by rating official assigned to employee as of 30 Sep. During this period, the rating official may use available observations and documentation to prepare an assessment and determine a recommended OCS and PAQL for each factor or select one of the five presumptive ratings as applicable. If a closeout assessment is available, rating official may use the annual assessment to determine OCS/PAQL scores.	Optional – See Note [7]	N/A	Reference: DCPDS ex-employee process	N/A	Employee's salary applied to pay pool identified and funded by organization to which assigned on 30 Sep.	a. Update User Profile and use the CAS2Net Archive Function to annotate Loss Reason/Date. b. Verify user's record is in Previous Cycle Data module. Do Not Delete.

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TABLE 5. SPECIALLY SITUATED EMPLOYEES

#	SCENARIO	ACTION REQUIRED[1]	CA	CRI[2]	GENERAL PAY INCREASE[2]	PAY POOL FUNDING ALLOCATION	PAY POOL ADMINISTRATOR NOTES
1	Non-AcqDemo candidate hired between 4 July and 30 September.	**Self-Assessment** – N/A **Closeout** – N/A **Annual Assessment** – N/A Considered in parity with current basic pay (EOCS) and no assessment given. Employee is placed on an extended appraisal cycle, ending close of business the following 30 Sep.	N/A	N/A	Full Eligibility	Employee's salary applied to employee's pay pool funding calculation.	a. In CAS2Net, update the User Profile > Salary Information panel and select Presumptive Rating Status 1- due to time. b. If update is done after 1 October, update presumptive Status in Previous Cycle Data
2	Employee has 90 calendar days under CCAS immediately prior to the end of the rating cycle, i.e. 3 July through COB[6]30 Sep., and has an extended absence from normal duties or duty station, e.g., long-term, full-time training; active duty military; extended sick leave; leave without pay, etc.	**Self-Assessment** – N/A **Closeout** – N/A **Annual Assessment** – Mandatory. Prepared by rating official assigned to employee as of COB 30 Sep. During this period, the rating official may use available observations and documentation to prepare an assessment and determine a recommended OCS and PAQL for each factor or select a presumptive status as applicable.	Full Eligibility	Full Eligibility.	Full Eligibility	Employee's salary applied to employee's pay pool funding calculation.	a. Confer with supervisor to determine Presumptive Status. b. If update is done after 1 October, update presumptive Status in Previous Cycle Data

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RATING OFFICIAL CHANGE AND EMPLOYEE MOVEMENT MATRIX – Feb 2020

NOTES:

[1] For detailed processing instructions for the various rating official changes, refer to CAS2Net User Guide at https://acqdemo.hci.mil/docs/CAS2Net2.0UserGuide.pdf.

[2] CRI and General Pay Increase eligibility determinations are subject to normal retained pay provisions, broadband limitations, the OCS in relation to normal pay range, and Participating Organization's Business Rules.

[3] While employee self-assessments are optional, Participating Organizations and/or local policies may require self-assessments to be accomplished. Employees should consult with their local HR Representative.

[4] When an employee's supervisor changes or the employee moves to a different position within his/her current pay pool or a different pay pool in the current organization or a different AcqDemo organization during an assessment cycle, the current (or gaining) Pay Pool Administrator processes the action in CAS2Net and the current (or gaining) pay pool panel conducts the assessment, determines CRI and/or CA, and funds the payout.

[5] Employee leaves government service. Employee should consult with their local HR representative.

[6] Definition of COB is 11:59 p.m.

[7] The authority to pay the awards (NOA 885 and NOA 886) is 5 USC Ch. 45: Incentive Awards, §4505. Awards to former employees. An agency may pay or grant an award under this subchapter notwithstanding the death or separation from the service of the employee concerned, if the suggestion, invention, superior accomplishment, other personal effort, or special act or service in the public interest for which the award is proposed was made or performed while the employee was in the employ of the Government.

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AcqDemo Chapter 7

Contribution and/or Performance Improvement

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7.0 Contribution and/or Performance Improvement

7.1 Table of Changes

Date of Change	Chapter(s)/ Section(s)	Topic	Remarks
2/01/18	All	Update for new Federal Register (FR) Notice (FRN)	This chapter rewritten to align to 82 FR 52104, dated November 9, 2017.
04/03/18	All	Administrative Updates	Various administrative updates. Realignment/renumbering due to admin changes.
03/08/19	Various	Changes to comply with Executive Orders 13836, 13837, and 13839	Multiple changes required to promote accountability and streamline removal procedures consistent with Merit System Principles.
03/08/19	7.4.2	Mandatory Consideration of a CIP	Modifies requirements for mandatory consideration of a CIP if the employee's OCS is above the upper rail of the Normal Pay Region (NPR) and/or the quality of performance is unacceptable.
03/08/19	7.4.2	Successive CIP's	Added statement that supervisor is not required to provide successive CIPs until an employee achieves satisfactory performance.
03/08/19	7.4.4	Authorities for Removal Actions	Added information that removal actions may also be proposed under 5 U.S.C. 7512 to comply with Executive Order (EO) 13839.
03/08/19	7.8	Opportunity Period	Added EO 13839 guidance that the opportunity period to demonstrate fully successful performance should be limited to the amount of time that provides sufficient opportunity to demonstrate fully successful performance. Eliminated reference to "normally 60 calendar days" for an improvement period.
03/08/19	All	Administrative Updates	Administrative updates

Date of Change	Chapter(s)/ Section(s)	Topic	Remarks
07/31/20	7.10 – 7.13	Completion of the CIP	Change in policy. Changes verbiage from two years to up to two years throughout these sections
07/31/20	Appendix F	Sample Notice of Improvement	Change in policy. Changes verbiage from two years to up to two years
07/31/20	Glossary		Moved Glossary to end of Ops Guide

7.2 Introduction

7.2.1 The principal objective of the Contribution-based Compensation and Appraisal System (CCAS) is to compensate employees adequately based on their contribution to their organization's mission and their quality of performance in achieving their contribution results. This objective supports "The Department's efforts to strengthen workforce capabilities and promote professionalism of the acquisition workforce [which] have covered a wide range of initiatives, addressing recruiting, workforce development, and talent management challenges."[1] The CCAS provides three critical factors against which an employee's expected contribution criteria and quality of performance are measured. Each factor has levels of increasing contribution and performance, as supplemented by an employee's Contribution Plan containing specific goals and objectives associated with the organization's mission and corresponding to the broadband levels in the DoD Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo) career path of an employee's position. This chapter provides guidance on the methodologies under AcqDemo to address situations encompassing declining or inadequate contribution and/or unacceptable quality of performance. These approaches are designed to assist and encourage an employee's improvement and growth as a highly skilled and valued member of the acquisition workforce community.

7.2.2 For the purposes of this chapter, "supervisor" and "rating official" may be used interchangeably for the individual responsible for assessing an employee; "critical factors" are synonymous with "critical elements" as defined in 5 United States Code (U.S.C.) Chapter 43; and basic pay is set according to the AcqDemo Operating Guide (Ops Guide), Chapter 5, Pay Administration, for adverse actions taken.

[1] *A Message from the Under Secretary of Defense for Acquisition, Technology, and Logistics,* DoD Acquisition Workforce Strategic Plan – Fiscal Year (FY) - 2016 – FY 2021, Title 10 U.S.C., Sections 115B(D) and 1722B(C), pages i and ii.

7.3 Regulatory Coverage

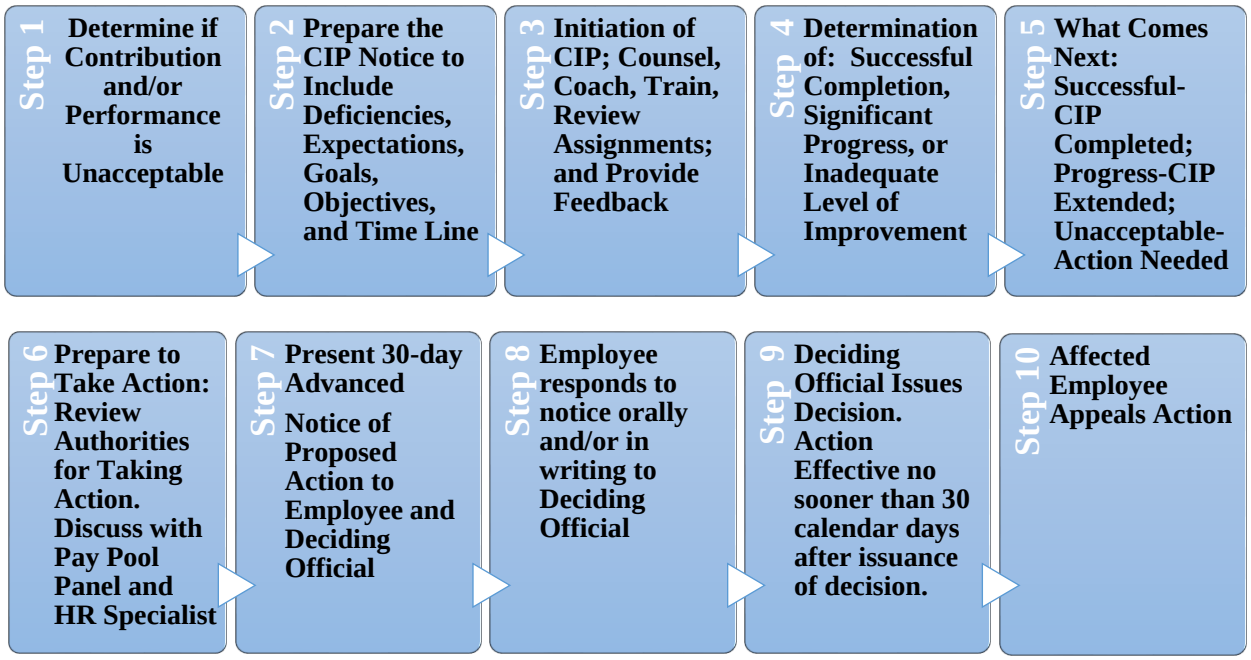
This chapter applies to reassignment, reduction in broadband level with or without a reduction in pay; reduction in pay with or without a reduction in broadband level; or removal of AcqDemo employees based solely on inadequate contribution. Reassignment, reduction in broadband level with or without a reduction in pay; reduction in pay with or without a reduction in broadband level; or removal, are hereafter referred to as contribution-based actions.

7.4 Responsibilities of Supervisors

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

7.4.2 Consideration of a CIP is mandatory if the employee's OCS is above the upper rail of the Normal Pay Region (NPR) and/or the quality of performance is unacceptable unless a Memorandum for Record as described in Section 7.7.4 below is determined appropriate. Remedial assistance may require counseling sessions, training classes, extra coaching, or partnering with a more experienced employee. Any counseling sessions will be documented in the event a CIP is necessary. The counseling discussions must have occurred and been documented prior to initiating a CIP. If after a reasonable period of interventions, the employee's level of contribution or quality of performance is still deficient, the supervisor should initiate a CIP. If the employee does not successfully complete the CIP within an appropriate opportunity period, the Supervisor or Rating Official is not required to provide successive CIPs until an employee achieves satisfactory performance. The opportunity period to demonstrate acceptable performance should be limited to the amount of time that provides sufficient opportunity to demonstrate acceptable performance.

The following diagram depicts the steps in implementing a CIP. **Appendix A** provides a Notional Timeline for the CIP process.



7.4.3 If after the conclusion of a CIP, the decision is reached that the employee is not contributing adequately and/or has demonstrated unacceptable quality of performance, the supervisor, in consultation with the Human Resources staff, may request one of the following actions: reassignment of the employee; an involuntary reduction in broadband level with or without a reduction in basic pay; an involuntary reduction in basic pay within his/her existing broadband level and career path; an involuntary move to a new position in a different career path due to an adverse or contribution-based action; and/or removal from the Federal service. Involuntary reductions in pay will result in a basic pay level consistent with an employee's demonstrated contribution level. For involuntary change to a lower broadband level, an employee's basic pay will be reduced by a percentage determined by the Participating Organization, but will be set no lower than the minimum basic pay of the broadband level to which assigned.

7.4.4 If removal or reduction in pay or broadband level is warranted, the supervisor requests the pay pool panel or designated official(s) to review the proposed action. If the action is proposed under 5 U.S.C. 4303, the deciding official must be a person higher in the chain of command than the supervisor who proposed the action. A removal action may also be proposed under 5 U.S.C. 7512 when appropriate as discussed in Section 7.15 of this Ops Guide chapter. A personnel action decision tree is provided in A**ppendix B** to aid in the choice of action to take as well as a matrix in **Appendix C** addressing final CIP decisions, their relation to adverse actions, and whether the Merit Systems Protection Board (MSPB) would be the adjudicating body.

7.4.5 Supervisors who would like to have a reference or refresher on performance management issues may want to view the *Course Catalog for Supervisors, Managers, and Executives* on the web site for the *Human Resources (HR) University, Teaching the Business of HR*, found at https://hru.gov/index.aspx. Of particular relevance is the course: *Addressing and Resolving Poor Performance, found at*

https://hru.gov/Course_Catalog.aspx?cid=161&mgr=false. This course is designed to build the supervisor, manager, or Employee Relations (ER) practitioner's skills in handling performance or work-habit problems. Learners will explore the importance of communicating and documenting performance concerns; and the challenges of shifting from counseling for improvement to implementing formal consequences, and how to take appropriate action to address effectively ongoing performance and work-habit problems.

7.5 Responsibilities of the Pay Pool Panel

The pay pool panel or designated official(s) may review proposals to initiate CIPs, reassign an employee within his or her current or comparable broadband level, and recommend an involuntary move to a new position in a different career path due to an adverse or contribution-based action. The pay pool panel or designated official(s) must review proposed removals from the Federal Service and reductions in pay that result from an employee's failure to make progress in accordance with the CIP within the context of prior pay pool panel deliberations.

7.6 Identification of Inadequate Contributions and Unacceptable Quality of Performance

All contribution factors are considered critical. A determination of inadequate contribution and/or unacceptable performance must be made by comparing the employee's contributions to the expected contribution criteria and level descriptors for each of the appraisal factors (See Table 1) as well as the contribution and performance goals, objectives, and/or standards established in the employee's CCAS Contribution Plan for fully successful contributions and quality of performance levels under the contribution factors. At the end of the rating period and/or at any time during the year that an employee's contribution and/or quality of performance level degrades to one of the following conditions in Table 2, the supervisor must determine the appropriate course of action to take.

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

Table 1: Expected Contribution Criteria

CCAS Annual Appraisal				
Annual Overall Contribution Score (OCS) Above the Upper Rail (Less Than the Expected Overall Contribution Score Range (EOCS Range)) (Overcompensated Region)			=	Inadequate Contribution
		Rating of Record Level 1 - Unacceptable	=	Inadequate Contribution
Annual Overall Contribution Score (OCS) Above the Upper Rail (Less Than the EOCS Range) (Overcompensated Region)	and	Rating of Record Level 1 - Unacceptable	=	Inadequate Contribution
During the CCAS Rating Period – One or more factor				
Contribution Score Above the Upper Rail (Less Than the EOCS Range) (Overcompensated Region)			=	Inadequate Contribution
		Performance Appraisal Quality Level (PAQL) 1 - Unacceptable	=	Inadequate Contribution
Contribution Score Above the Upper Rail (Less Than the EOCS Range) (Overcompensated Region)	and	PAQL 1 - Unacceptable	=	Inadequate Contribution

Table 2: Conditions Resulting in Inadequate Contribution

7.7 Inadequate Contribution

7.7.1 Indicators of Inadequate Contribution

At the end of the appraisal cycle, if an employee's Overall Contribution Score (OCS) falls above the upper rail of the NPR and/or the rating of record is Unacceptable, the employee is considered to be contributing inadequately for his/her level of basic pay, duties and factor level descriptors described in the Position Requirements Document (PRD), the expected contribution criteria, and/or the required goals and objectives in the employee's Contribution Plan. In addition, if the employee's contribution and/or performance deteriorates to a comparable level at any time during the appraisal period, the employee is considered to be contributing inadequately and/or performing at an unacceptable level based on comparison to the PAQL descriptions in Ops Chapter 6, Section 6.9 and Table 5 plus Ops Chapter 7, Section 7.7.3 Tables 3 and 4. A comparable level would be one in which an employee's performance fails to meet the PAQL expectations for quality of the level of work described in the employee's PRD, and the additional performance standards set forth in his/her contribution plan for at least one of the three contribution appraisal factors. An inadequate contribution assessment in any one-contribution factor at any time during the appraisal period is considered grounds for the initiation of a CIP that may result in contribution-based actions.

7.7.2 Expected Overall Contribution Score (EOCS) Range

The EOCS range includes those scores that represent an employee's basic pay range within the NPR for the employee's current basic pay. The EOCS range can be found in the CAS2Net Contribution Planning, Mid-Point and Annual Appraisal modules (See **Figure 1**) below; or at https://acqdemoii.army.mil, or can be calculated by using the Expected Contribution Range (ECR) calculator found on the AcqDemo website at http://acqdemo.hci.mil/ under the Tools tab. Scores less than those in the EOCS range are indicators of inadequate contribution. Inadequate contribution is identified by the employee's annual CCAS contribution assessment (See **Figure 2**) which may result in an OCS less than the EOCS Range falling above the upper rail of the NPR of the Integrated Pay Schedule (IPS) (which normally occurs at either a -4 OCS or greater negative number) (See **Figure 3**) and/or a Level 1- unacceptable rating of record, or the deterioration of an employee's contribution during the appraisal year such that, if rated, the employee would receive an OCS score less than the EOCS Range above the upper rail of the NPR, a Level 1- unacceptable PAQL on at least one of the three contribution appraisal factors; or by a combination of these results.

Figure 1: EOCS Range as Shown in CAS2Net Annual Appraisal Modules

2018 Appraisal Detail		Factor	CatScore	NumScore	PAQL
Overall Contribution Score (OCS)	69	Job Achievement and/or Innovation	3M	71	3
Expected Contribution Score	67	Communication and/or Teamwork	3M	68	3
Expected Contribution Range	64 - 71	Mission Support	3M	67	3
Delta OCS	2				
PAQL Rating of Record (ROR)	3				

Figure 2: Example of Annual CCAS Appraisal Scores for Each Assessment Item

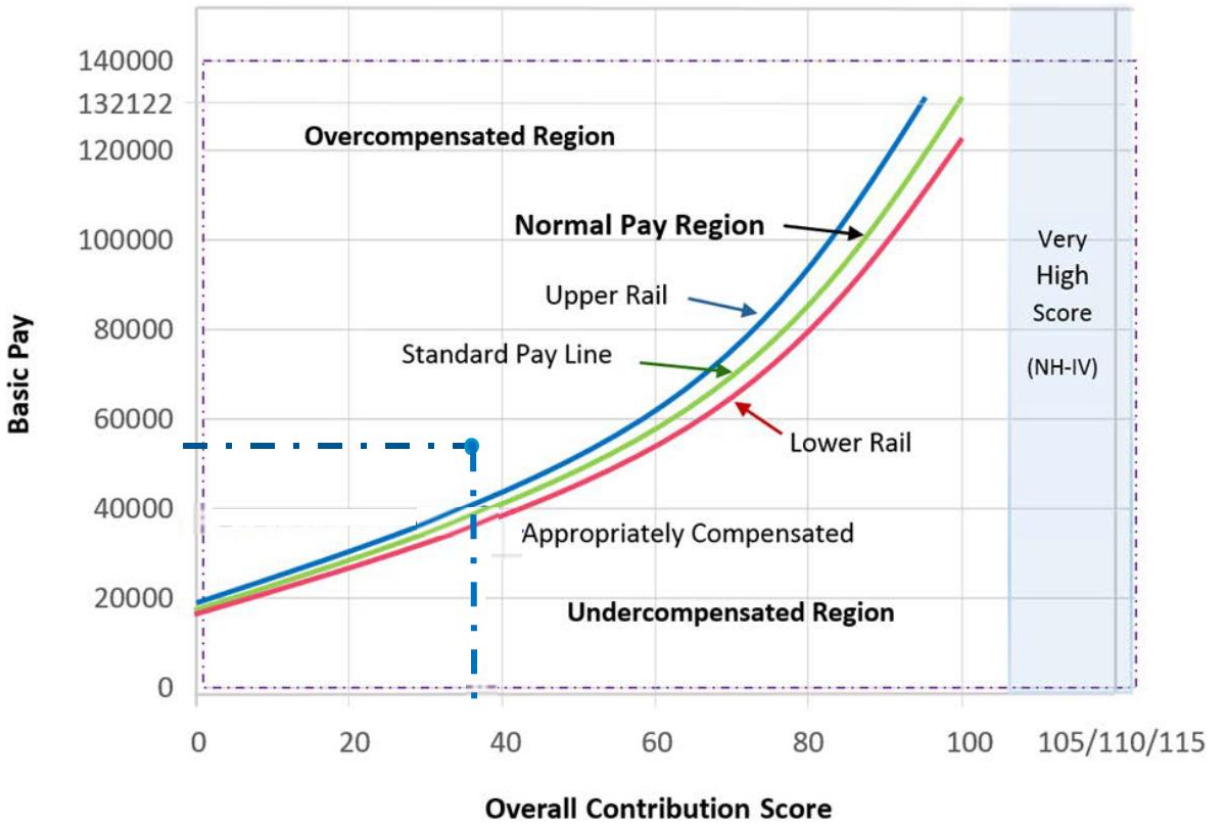


Figure 3: Above the Upper Rail of the Normal Pay Region

7.7.3 Inadequate Contribution – Rating of Record Level 1-Unacceptable or One or More Factors with a PAQL of 1-Unacceptable

If an employee's performance fails to meet the expectations for quality of work and the required results for the goals and objectives set forth in his/her contribution plan on at least one of the three contribution appraisal factors, the employee would be considered to have displayed a PAQL of 1 – unacceptable (See Table 3) and would receive a Level 1- unacceptable rating of record (See Table 4) whether the assessment serves as the annual assessment or was necessary during a rating cycle. An unacceptable performance assessment in any one-contribution factor at any time during the appraisal period is considered grounds for the initiation of a CIP that may result in a contribution-based action.

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

Table 3: Performance Appraisal Quality Levels

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

Table 4: Rating of Record

7.7.4 Memorandum for the Record (MFR)

Occasionally, the employees are faced with extenuating circumstances, e.g., prolonged illness, death in the family, etc., during an appraisal year that may impact their ability to fully meet the adequate contribution and fully successful standards, goals, and/or objectives established for their work during the appraisal year or at the time of the annual assessment. These circumstances are often temporary in nature and once overcome, the employees are able to return to their typical standard of fully successful performance or better. However, if, during the appraisal cycle or for the yearly appraisal, the employees are considered to be contributing inadequately and/or their quality of performance is unacceptable, mandatory consideration of a

CIP by the rating official is required. Following this consideration, the rating official has two options available:

7.7.4.1 Determine the employees' contribution assessments and quality of performance levels for recording in official records and processing any personnel actions necessary. However, the supervisors may decide to take "no action" to place the employees on a CIP and this decision would be documented in a memorandum for the record (MFR). A copy of the memorandum will be provided to each employee and to higher management. The employees will sign and date a copy of their individual receipt as acknowledgement.

7.7.4.2 Inform the employee in writing, that unless their contribution increases to and is sustained at the required level as described in their PRD, the expected contribution criteria and their Contribution Plans (thereby meeting the standard for adequate contribution and fully successful performance), the employees may be reassigned, reduced in pay, reduced in broadband level with or without a reduction in pay, or removed from Federal Service. This option requires that the written notification include a CIP, as described in Sections 7.7 and 7.8.

7.8 Developing a CIP

The CIP outlines specific areas in which the employee is inadequately contributing and/or is failing to meet performance goals and objectives, and the necessary improvements required. Additionally, the CIP must include standards for adequate contribution, goals and/or objectives for actions required of the employee to increase and sustain fully successful performance; an opportunity period limited to sufficient time to demonstrate fully successful performance; assistance the organization will offer to the employee in improving inadequate contribution and/or unacceptable performance (e.g., closer supervision and counseling, personal demonstration, supervisory or peer coaching, frequent reporting, special assignments, and on the job training); and the consequences to the employee if he/she fails to improve. The CIP is provided to allow the employee a reasonable length to demonstrate adequate contribution and fully successful performance. The length of the CIP should align with the level of the employee's duties and responsibilities. The opportunity period to demonstrate fully successful performance should be limited to the amount of time that provided sufficient opportunity to demonstrate fully successful performance or in accordance with the applicable bargaining unit agreement.

7.9 Notification to Employee for Initiation of CIP

7.9.1 Requirements

When the rating official informs the employee orally and in writing that he/she will be placed on a CIP, the rating official must also inform the employee that he/she may be reassigned; involuntarily reduced in broadband level with or without a reduction in basic pay within his/ her existing broadband level and career path; involuntarily moved to a new positon in a different career path due to an adverse or contribution-based action; and/or removed from the Federal Service if their level of contribution does not improve to an adequate level and/or their quality of performance does not improve to a fully successful level. The rating official will provide a

written notification in the form of a CIP documenting this notification and informing the employee, he/she will have an opportunity period that provides sufficient opportunity to demonstrate adequate contribution and/or fully successful performance with regard to the identifiable factors described in the contribution improvement plan. The CIP must provide the employee this opportunity to demonstrate adequate contribution and/or fully successful performance.

7.9.2 Necessary Information

The CIP will state the OCS and/or preliminary factor scores above the upper rail, how the employee's contribution and/or performance are inadequate, what improvements are required, recommendations on how to achieve adequate contribution and/or performance, assistance that the organization shall offer to the employee in improving inadequate contribution, and consequences of failure to improve. The CIP will normally include a clarification (or further clarification) of the meaning of terms used in the employee's specific responsibilities and assignments described under the appraisal factors. Additionally, if an employee is placed on a CIP near the end of the appraisal cycle, the CIP may not extend past October 31, with a decision regarding the employee's successful or unsuccessful completion of the CIP rendered no later than November 15.

7.9.3 Sample Notification of Inadequate Contribution and Unacceptable Quality of Performance/Opportunity to Improve

See **Appendix D** for two sample notifications of inadequate contribution, unacceptable quality of performance, and opportunity to improve.

7.10 Completion of the CIP

7.10.1 Demonstrated Contribution and/or Quality of Performance

7.10.1.1 Successful Completion

If the employee achieved fully successful accomplishment of the CIP requirements, the employee is provided written notification of adequate/improved contribution and performance and is advised that he/she must sustain adequate contribution and/or fully successful performance for up to two years from the beginning of the opportunity period as described in Section 7.10. If there is another inadequate contribution and/or unacceptable level of performance finding within a two-year period from the beginning of the opportunity period, the employee can be issued a notice of contribution-based action, i.e., reassignment, reduced in pay (amount determined by organization), changed to a lower broadband level with or without a reduction in basic pay, or removed from Federal Service. Employee will sign the notice of improvement to acknowledge his/her receipt of the consequences of another inadequate contribution finding and/or unacceptable rating of record during the two-year trial period. If the employee is unwilling to sign the acknowledgement, the supervisor will make note and sign and date the document. See **Appendix E** for a sample of a notice of improvement.

7.10.1.2 Significant Progress

If the employee demonstrated significant progress towards achieving the expected goals and objectives stated in the CIP, the CIP may be extended for a reasonable period but not beyond October 31 of the current annual appraisal cycle. If the employee achieved fully successful accomplishment of the CIP requirements, the employee is provided written notification of adequate/improved contribution and performance and is advised that he/she must sustain adequate contribution and/or fully successful performance for up to two years from the beginning of the opportunity period as described in Section 7.9. If there is another inadequate contribution and/or unacceptable level of performance finding within the CIP extension period, the employee can be issued a notice of contribution-based action, i.e., reassignment, changed to a lower broadband level with or without a reduction in basic pay, reduced in pay (amount determined by organization), or removed from Federal Service. Employee will sign the notice of improvement to acknowledge his/her receipt of the consequences of another inadequate contribution finding and/or unacceptable rating of record during the CIP extension period. If the employee is unwilling to sign the acknowledgement, the supervisor will make note and sign and date the document. **Appendix E** may be modified by Participating Organizations to include the additional information described in this section that is necessary to provide an extended CIP if warranted.

7.10.1.3 Insufficient Progress

7.10.1.3.1 Once an employee has been afforded a reasonable opportunity to demonstrate adequate contribution and/or fully successful performance, but fails to do so, the employee shall be issued a notice of contribution-based action, i.e., a reassignment, reduction in pay, reduction in broadband level with or without a reduction in pay, or removal action may be proposed in accordance with 5 U.S.C. 4303 or 5 U.S.C. 7512 and related Office of Personnel Management (OPM) related regulations. The pay pool panel members and/or designated official(s) in the employee's chain of command must review any proposed reassignment, removal or reduction in pay or broadband level action before it is issued to ensure the circumstances warrant the proposed action.

7.10.1.3.2 An employee, whose reassignment, reduction in pay, reduction in broadband level, or removal is proposed, is entitled to a 30-day advance notice of proposed action from the date of the proposal that identifies specific instances of inadequate contribution and/or unacceptable performance by the employee on whom the action is based. **Appendix F** and **Appendix G** provide samples of proposal letters to remove an employee for inadequate contribution and unacceptable performance. The employee shall be afforded a reasonable time to answer the notice of proposed action orally and/or in writing. If oral, the employee MUST meet with the Deciding Official and may be represented by:

1. Counsel (at personal expense);
2. Federal employee representative; or
3. Another Federal employee (but some restrictions will apply).

7.10.1.3.3 The employee remains in his/her current position with current pay until the effective date of reassignment, reduction in pay, reduction to lower broadband level, or removal from the Federal Service.

7.10.1.3.4 Employees covered by a bargaining unit may have a different advanced notice period. Also, if an employee is placed on a CIP near the end of the appraisal cycle, the CIP may not extend past October 31, with a decision regarding the employee's successful or unsuccessful completion of the CIP rendered no later than November 15. Note that an unacceptable rating of record will be considered an official rating of record for reduction-in-force (RIF) purposes. If it is the employee's most recent or current rating of record in the 4-year period prior to a RIF, the employee would be listed on the Master Retention List in the category Tenure Group I – current Unacceptable Performance Appraisal.

7.11 CIP Trial Period

7.11.1 Notice of Improvement

If the employee completed a CIP successfully, the employee is provided written notification of adequate/improved contribution and/or fully successful performance and is placed on up to a two-year trial period from the beginning of the opportunity period. The notice will inform the employee that if there is another inadequate contribution finding and/or unacceptable rating of record, the employee can be immediately:

1. Reduced in pay (amount determined by organization)
2. Changed to a lower broadband level,
3. Changed to a lower broadband level with or without a reduction in pay, or
4. Removed from Federal Service.

Employee will sign the notice of improvement to acknowledge his/her receipt of the consequences of another inadequate contribution finding and/or unacceptable rating of record during the two-year-trial period. If the employee is unwilling to sign the acknowledgement, the supervisor will make note and sign and date the document. The supervisor and employee should review the employee's current contribution plan to make any adjustments needed to update the contribution plan goals and objectives for the remainder of the appraisal cycle.

7.11.2 Deterioration of Contributions and/or Performance

If the employee's contribution and/or performance increases to an adequate and/or fully successful level respectively and is subsequently determined to deteriorate in one or more of the factors for which the employee was afforded an opportunity to demonstrate adequate contribution and/or fully successful performance within two years from the beginning of the most recent CIP trial period, actions may be initiated to reassign, reduce in pay, reduce in broadband level with or without a reduction in pay, or remove from the Federal Service with no additional opportunity to improve. The employee will be provided a 30-calendar day advance notice of the action to be taken from the date of the proposal and its effective date. If an

employee has adequate contributions and/or fully successful performance for two years or more from the beginning of the most recent trial period, and the employee's overall contribution and/or performance once again declines to an inadequate and/or unacceptable level in any of the factors, the supervisor, Human Resources staff, and pay pool manager or designated official(s) will determine if a new CIP will be issued as the two-year CIP trial period would have expired.

7.12 Decision to Take Contribution Based Action

A decision to reassign, reduce in pay, reduce in broadband level with or without a reduction in pay, or remove from the Federal Service an employee for inadequate contribution during a CIP trial period shall be based only on those instances of inadequate contribution and/or unacceptable performance that occurred during the two-year period from the beginning date of the most recent CIP and ending up to two years later or on the date of issuance of the notice of proposed action if prior to the end of the two-year period. The employee shall be issued written notice of the 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 and/or unacceptable performance by the employee on which the action is based and informs the employee of any applicable appeal or grievance rights available.

7.13 CIP Documentation

All relevant documentation concerning contribution and/or quality of performance based actions in response to inadequate contribution and/or unacceptable quality of performance shall be preserved and made available for review by the affected employee or designated representative in accordance with the employee's DoD component policy for records management. At a minimum, the records, in accordance with 5 CFR 432.107, 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 supporting reasons along with any supporting material including documentation regarding the opportunity afforded the employee to demonstrate adequate contribution and/or fully successful performance. When the action is not taken because the employee has achieved the level of adequate contribution and/or fully successful performance during the notice period, the employee is not reduced in pay or removed and the employee's contribution and/or performance continues to be deemed adequate for up to two years from the date of the advanced written notice unless contribution and/or performance again deteriorates, any entry or other notation of the initial proposed action shall be removed from all records relating to the employee.

7.14 Procedural and Appeal Rights

All procedural and appeal rights set forth in applicable statutes and related OPM regulations will be afforded to demonstration project employees reassigned, reduced in pay or broadband level, or removed for inadequate contribution and/or unacceptable performance. The above procedures replace those established in 5 U.S.C. 4303 pertaining to reductions in grade or removal for inadequate contribution and/or unacceptable performance except with respect to appeals of such actions. As is currently the situation for contribution-based and/or quality of performance actions taken under 5 U.S.C. 4303, inadequate contribution-based and/or unacceptable

performance-based actions shall be sustained if the decision is supported by substantial evidence and the MSPB shall not have mitigation authority with respect to such actions. The separate statutory authority to take inadequate contribution-based actions under 5 U.S.C. chapter 75, as modified in the waiver section of 82 FR 52104 dated November 9, 2017, remains unchanged by these procedures.

7.15 Inadequate Contribution under 5 U.S.C. 4303 and 5 U.S.C 7512

There are two different statutes that authorize an agency to demote or remove an employee for performance-based reasons: (1) 5 U.S.C. § 4303 (which can only be used for failure in a critical performance element); and (2) 5 U.S.C. § 7512 (which can be used for performance or conduct that harms the efficiency of the service). It is very important that the Participating Organization consult with the Human Resources staff to ensure the employee is notified of which law is being used, for which charges, the proper documentation needed, appropriate timeline, and level of deciding official prior to taking the action, as it usually cannot later re-characterize an action into one taken under a different law and MSPB has been told it cannot do so for the agency. In addition, the burden of proof is different under both authorities, for instance

7.15.1 Under Chapter 43, the action must be supported by *substantial evidence*. This means that a reasonable person might find the evidence supports the agency's findings regarding the poor performance, even though other reasonable persons might disagree.

7.15.2 Under Chapter 75, the action must be supported by a *preponderance of the evidence*. This means that a reasonable person would find the evidence makes it more likely than not that the agency's findings regarding the poor performance are correct.

7.15.3 More information on the similarities and differences in procedures and requirements between using 5 U.S.C. 4303 and 5 U.S.C. 7512 to demote or remove an employee for performance-based reasons, may be found at:
https://www.mspb.gov/studies/adverse_action_report/4_Performance-Based%20Actions.htm

7.16 Merit Systems Protection Board and the AcqDemo CCAS Contribution Improvement Plan

See United States of America Merit Systems Protection Board Docket No. AT-0432-13-7724-I-2, Valerie Ann Thompson, Appellant, v. Department of the Army, dated April 8, 2015 at https://www.courtlistener.com/opinion/2792122/valerie-ann-thompson-v-department-of-the-army// for pitfalls to avoid in preparing, executing, and finalizing a CIP that could result in having the case overturned if the employee appeals.

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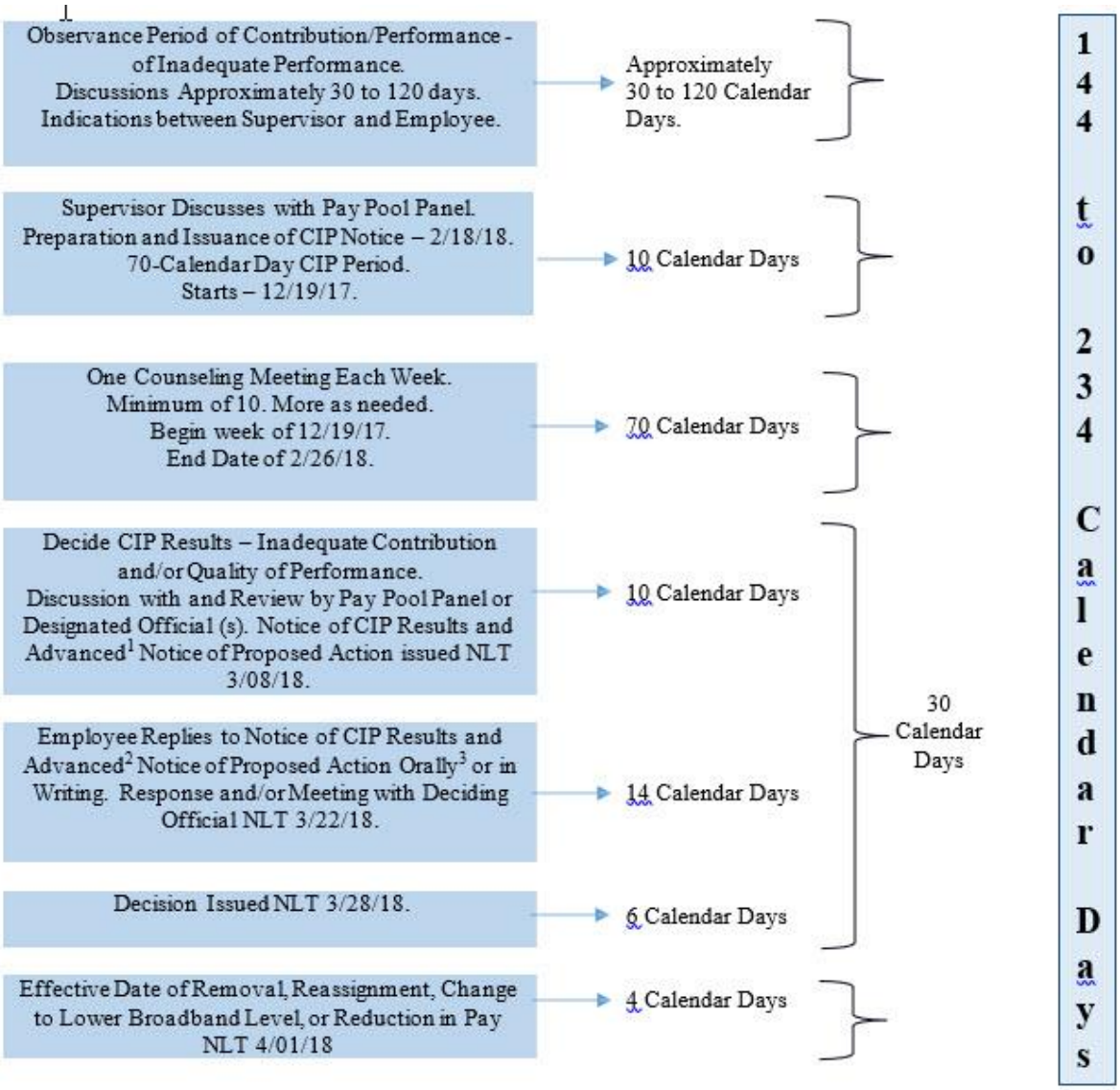
Appendix A - Notional Timeline for the Contribution and/or Performance Improvement Process



[1] An employee, whose reassignment, reduction in pay, reduction in broadband level, or removal is proposed, is entitled to a 30-day advance notice of proposed action from the date of the proposal. Employees covered by a bargaining unit may have a different advanced notice period. Also, if an employee is placed on a CIP near the end of the appraisal cycle, the CIP may not extend past October 31, with a decision regarding the employee's successful or unsuccessful completion of the CIP rendered no later than November 15.

[2] If oral, the employee MUST meet with the Deciding Official and may be represented by: Counsel (at personal expense); or a Federal employee representative; or another Federal employee (but some restrictions will apply).

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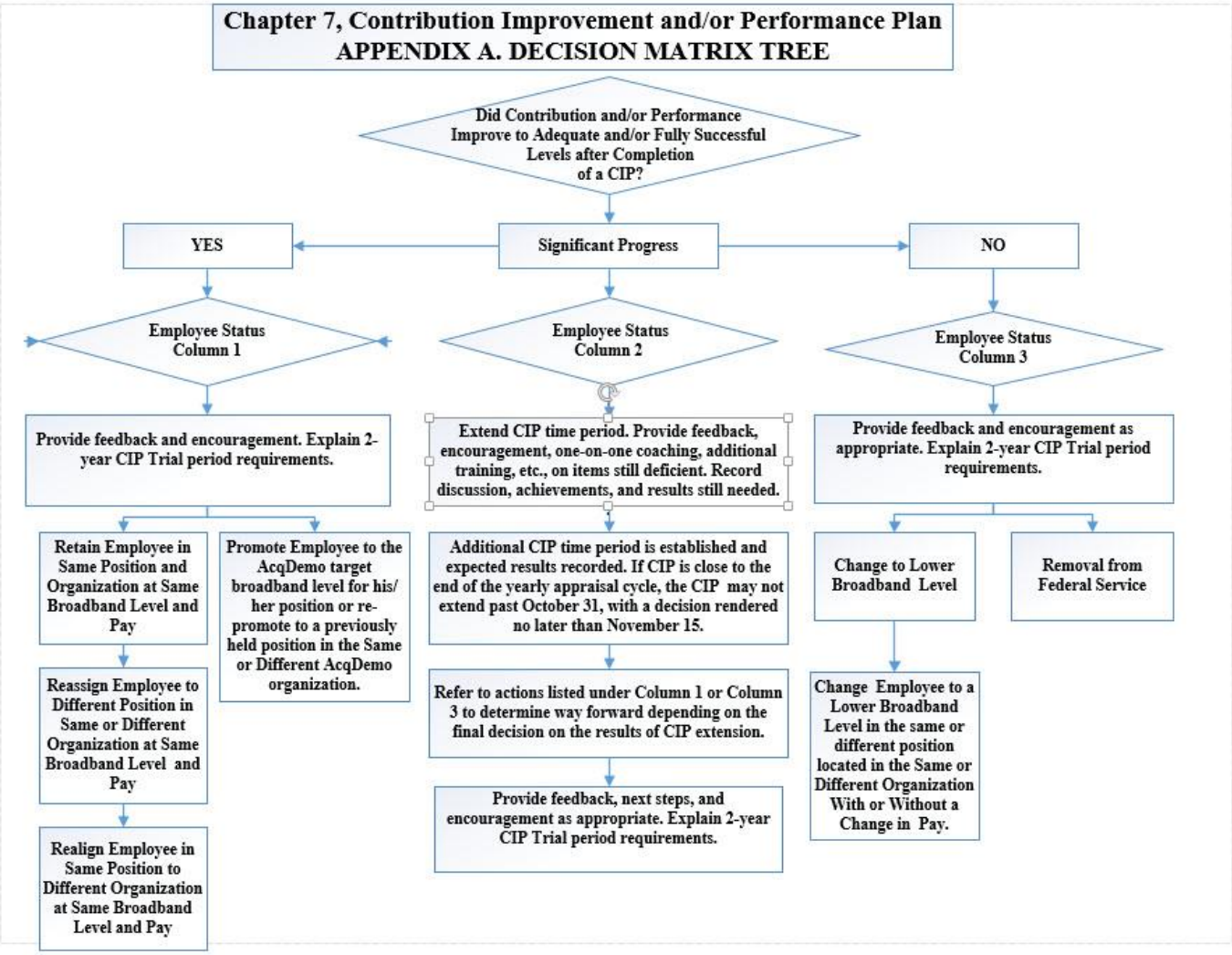
Appendix B - Decision Matrix Tree



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Appendix C- Final CIP Decision

ADVERSE ACTION AND MSPB APPEAL RIGHTS

	Option 1	**Option 2**	**Option 3**	**Option 4**	**Option 5**	**Option 6**
DECISION	Retain Employee in Same Position and Organization at Same Broadband Level and Pay or with a Reduction in Pay.	Realign Employee in Same Position to Different Organization at Same Broadband Level and Pay	Promote Employee to the AcqDemo Target Broadband Level for his/her Position or Re-promote to a Previously held Position in the Same or Different AcqDemo Organization with No Reduction in Pay.	Reassign Employee to Different Position in Same or Different Organization at Same Broadband Level with or without a change in Pay	Change Employee to a Lower Broadband Level position located in the Same, Different Organization With, or Without a Change in Pay.	Removal from Federal Service
APPEAL RIGHTS	• Pay Reduction is an Adverse Action with Appeal Rights to MSPB (MSPB). • No Change in Pay Not an Adverse Action, no Appeal Rights to the MSPB.	Not an Adverse Action, no Appeal Rights to the MSPB	Not an Adverse Action, no Appeal rights to the MSPB	No change in pay, not an Adverse Action and no appeal rights to MSPB.	• Pay Reduction is an Adverse Action with Appeal Rights to MSPB. • No change in pay, not an Adverse Action and no appeal rights to MSPB.	Removal is an Adverse Action with appeal rights to MSPB.

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Appendix D - Sample 1, Notification of Inadequate Contribution and/or Unacceptable Performance -- Opportunity to Improve

IMPORTANT INFORMATION: This sample notice is provided as a guide for supervisors but is not to be considered a model or even a suggested version for final use. The names used in this sample are fictional. Actual notices will include more specific information about the contribution and/or performance deficiencies and must include any additional statements or referrals required by agency policy or collective bargaining agreements that may exist. Supervisors must contact their human resources offices for technical assistance and review of actual notices.

SUBJECT: NOTIFICATION OF INADEQUATE CONTRIBUTION AND/OR UNACCEPTABLE PERFORMANCE/OPPORTUNITY TO IMPROVE

ENCL: (a) Copy of Employee's PRD
(b) Copy of Critical Elements and Contribution Plan for Employee

FROM: TUAN MANAGER, CHIEF, ACCOUNTING, AND FINANCE DIVISION

TO: ANGIE EMPLOYEE, ACCOUNTING TECHNICIAN

1. This notice is written confirmation that I am providing you with an opportunity to improve your inadequate contribution and/or unacceptable performance to the Fully Successful level. I have determined that your contribution is inadequate and/or your performance is unacceptable in two critical elements of your position, and therefore, a contribution improvement plan (CIP) is required under Article 10 of our Collective Bargaining Agreement. The CIP outlines activities that you must complete to attain a Fully Successful rating on the two critical elements in which your contribution and performance has fallen to an inadequate and/or unacceptable level respectively. If you have any concerns about the CIP or you require additional guidance in following it, please let me know as soon as questions arise.

2. The CIP becomes effective today and will continue for (normally a minimum of 60 days) calendar days from today. It is important to perform well under the standards set out in your contribution and performance plan, which was provided to you on _____. A copy of the elements and standards for your job are attached as well as your Position Requirements Document. By the end of the opportunity period, you must have brought your contribution up to an adequate level and your performance up to the Fully Successful level on the elements in which you are currently failing in order to avoid a reduction in pay, reduction in broadband level with or without a reduction in pay, removal, or reassignment. This CIP is to assist you in reaching that objective.

3. During the period of the CIP, you are to report directly to me for problems relating to your contribution and performance. Given the nature of my duties, I realize there are times when I may not be available for several hours at a time during the day. During these times, you should report any problems or address your questions to Ron Supervisor. Beginning this Tuesday at 9:00 and every Tuesday morning throughout the CIP, you and I will meet at least once a week to discuss the quality of your work. Although I don't foresee any long-term absences on my part, if

I am gone for a full week, Ron will act on my behalf and meet with you to review your contribution and performance.

4. The deficiencies in your contribution and performance have centered on two critical duties of your position: Coding of Accounts Payable Documents and Performance of Scheduled Reconciliations. During your first year in this job, you received all of the formal training associated with these duties that is normally provided to accounting technicians in this branch. However, you have been unable to apply this training and demonstrate the necessary skills in these duties. Your most recent annual contribution rating and performance rating of Unacceptable was given despite the fact that these contribution and performance discrepancies existed to some degree even during your first year. I made that decision on the basis that some of those contribution and performance problems reflected the fact that you were still in the learning curve on your assignments. These problems were communicated to you during the annual contribution and performance review. However, in the 6 months since that rating was given, your work contribution and performance have declined and, despite the fact that I have routinely pointed out your errors, you have not been able to perform acceptably in some of the key areas of your position.

5. In the critical factor of "Mission Support", your contribution and performance plan states that the adequate level of contribution and fully successful level of performance are: Overall Contribution Score (OCS) within your EOCS Range *(enter expected EOCS range)* and an overall performance appraisal quality level (PAQL) 3 – Fully Successful.

6. Routinely reconciles accounting transactions affecting the employee's assigned work, including obligations, accruals, and payments, in an accurate manner. These transactions are reconciled accurately to the accounts payable open document listing in a timely manner.

7. Currently, your contribution and performance on this critical factor are less than your-EOCS Range falling above the Upper Rail of the Normal Pay Region and a PAQL 1 - Unacceptable due to the number of errors I have found in your work because you continually post transactions in the wrong category and then extensive work is needed to determine why your records are not reconciled. Over the past month, I frequently had to point out to you mistakes that occurred because accounting documents were not entered in the appropriate categories in the system. Further, I found that 25 errors occurred where your worksheets did not balance with the open document listing. Although your contribution and performance standard does not include numerical requirements, 25 errors in one month does not meet the requirement for routinely accurate work. This type of contribution and performance is representative of the contribution and performance deficiencies you have been exhibiting over the past several months.

[At this point, an actual notice would include a more detailed assessment of the mistakes in the employee's work.]

8. During this opportunity period, you must improve your contribution and performance to at least your EOCS Range *(enter EOCS range)* and a PAQL 3 – Fully Successful for this factor in order to continue in your position. In particular, you must conduct your reconciliation work with an error rate of no more than 10% per week, in accordance with the requirement for

accuracy listed in your standard. You must also reconcile your worksheets with the accounts payable open document listing with an error rate of no more than 10% per week. Each of these two functions within this standard are equally important and failure to perform adequately on either one will result in an overall finding of unacceptable on the standard as a whole.

9. To assist you in this area, I would like to spend some time during our first weekly meeting next Tuesday to review the reconciliation process and go over with you the thought process that is needed when deciding where certain transactions should go in the system. Please bring with you your reference material from the training class and we will adapt the generic checklist provided in that book to include our internal requirements as well. You can then use that amended checklist as a reference point in the future.

[Specific examples of various forms of assistance should be included here.]

10. In the critical factor, "Communication and/or Teamwork," the Expected Contribution Criteria is "Effectively communicates, verbally and in writing, as needed to coordinate work and keep chain-of-command, coworkers, and customers informed of work-related issues, developments, and statuses. Actively seeks and promotes diverse ideas and inputs. Works well with and in groups, and with others to accomplish mission requirements. Work is timely, efficient, and of acceptable quality. Communications are clear, concise, and at the appropriate level. Personal and organizational interactions exhibit and foster teamwork. Flexibility, adaptability", and decisiveness are exercised appropriately; and the PAQL 3 - Fully Successful states that the fully successful level is: "An employee's performance consistently achieves, and sometimes exceeds, the factor-specific expected contribution criteria and his/her contribution plan goals and objectives."

11. Your contribution and performance in this element is unacceptable based on both your problems with accurate coding and your lack of timeliness. Although some level of error is anticipated given the large number of data items that must be coded by the technicians in the Branch, the constant number of corrections that you must make on your work is not acceptable. With each of my counseling memos to you, I have attached copies of DHR error reports that reflect the repetitive nature of your errors. Further, as reflected in the "overdue corrections" column of these reports, you often take up to 10 working days to make the correction and return the work for input into the automated system. This creates the potential for an even greater negative impact because any reports generated from those data prior to the correction contain the erroneous information and are also incorrect.

[At this point, an actual notice would include a more detailed assessment of the mistakes in the employee's work.]

12. In order to achieve fully successful contribution and performance in this critical element, you will need to reduce your number of errors to no more than 20 coding errors on any biweekly error report. I arrived at the figure of 20 errors based on the fact that the number of data items coded in a 2-week period is typically 300. Here, errors will be defined as coding mistakes in situations where you received all the correct information on the original documentation. Errors that resulted because you were given incorrect information or because the data were changed

after they were originally coded will not count against your standard. 95% of the time, corrections to the DHR error report will be made within 5 working days of receipt of the report. Both accuracy and timeliness are equally important in the contribution and performance of this critical element, and failure to meet the requirements of either will result in an overall finding of unacceptable on the standard as a whole.

13. To assist you in improving in this aspect of your job, I have asked Ron Supervisor to create a "cheat sheet" of commonly used codes for a variety of entries. I have also pulled up your coding sheets for each of the errors shown on the latest DHR error report. During our first weekly meeting, we will go over each of the mistakes and perhaps I can determine a pattern that may show why you are not selecting the correct codes. Also, each week, bring three or four of your current assignments to the meeting and we will go through the coding together.

14. I believe that if you use these written tools and our weekly meetings to develop and hone your accounting skills, you will be able to bring your contribution to an adequate level and performance to a fully successful level. You must meet and maintain an OCS within your EOCS Range *(enter EOCS Range)* and a PAQL 3 Fully Successful on both the critical elements listed above for 2 years from the beginning of the opportunity period. Failure to achieve acceptable contribution and performance on these critical elements during the opportunity period, or to maintain it during the remainder of the 2 years, may result in removal or reduction in broadband level without any further opportunity to demonstrate acceptable contribution and performance.

15. If you have any questions about this CIP or require additional guidance on implementing the provisions of it, please let me know as soon as questions arise. Keep in mind that it is important to refer to this plan throughout the CIP period.

[It is essential that you contact your Employee Relations Specialist to determine what additional information should be included in an actual notice. Agency policies and collective bargaining agreements sometimes provide that specific notice or referrals are given to employees.]

16. If you are dealing with a personal matter that may be impeding your ability to perform your duties at an acceptable level, please know that you may seek assistance through the Employee Assistance Program (EAP). This is a voluntary and confidential program, and you may reach a counselor by contacting the Participating Organization's EAP Office.

17. Please sign a copy of this memorandum, which serves only to acknowledge your receipt of this notice.

Receipt Acknowledged

Signature _____ Date_____

Appendix E - Sample 2, Notification of Inadequate Contribution and Unacceptable Performance/Opportunity to Improve

IMPORTANT INFORMATION: This sample notice is provided as a guide for supervisors but is not to be considered a model or even a suggested version for final use. The names used in this sample are fictional. Actual notices will include more specific information about the performance deficiencies and must include any additional statements or referrals required by agency policy or collective bargaining agreements that may exist. Supervisors should contact their human resources offices for technical assistance and review of actual notices.

SUBJECT: NOTIFICATION OF INADEQUATE CONTRIBUTION AND UNACCEPTABLE PERFORMANCE/ OPPORTUNITY TO IMPROVE

FROM: MARIA MANAGER, CHIEF, EMPLOYEE RELATIONS DIVISION

TO: JOHN EMPLOYEE, EMPLOYEE RELATIONS SPECIALIST

ENCL: (a) Copy of Employee's PRD
(b) Copy of Critical Elements and Contribution Plan for Employee

1. Since your mid-year progress review on April 6, your contribution and performance has declined steadily and has reached the inadequate contribution level. You have not improved in any of the areas we discussed during the mid-year review, nor has your contribution and performance improved in response to counseling sessions and memoranda that you have received over the past few months. I have determined that you are contributing less than your Expected Overall Contribution Score (OCS) Range *(enter EOCS Range)* and a performance appraisal quality level 1 – Unacceptable in the critical factor, "Job Achievement and/or Innovation", and this notice outlines the required activities and the level of contribution and performance that you must attain in order to be considered within your EOCS Range and Fully Successful on this critical factor. If you have any questions concerning the contents of this notice, the expected contribution criteria, factor descriptors, and performance appraisal quality level involved, or my expectations of you during the opportunity period, please come to me immediately.

2. The opportunity period begins today and will continue for ___ calendar days (normally a minimum 60 calendar days) from today.

3. As you are aware, AcqDemo CCAS is a contribution-based appraisal system with a three-level performance appraisal-rating scheme. Your contribution plan was reviewed on _____. A copy is attached. Therefore, it is essential that you improve to within your EOCS Range and a PAQL 3 – Fully Successful performance quality level by the conclusion of the opportunity period, or I will take action to remove you from Federal Service or reduce you in broadband level. Although your annual rating is due in 3 weeks, the AcqDemo program allows me to delay the issuance of your annual assessment until the conclusion of this opportunity period but NLT October 31, 20___. While you are currently contributing at less than your EOCS Range and performing at a PAQL 1 –Unacceptable, I am prepared to place greater weight on your

performance during the opportunity period, and, if you improve to the Fully Successful level on this factor, the improved performance will be reflected in the annual rating.

[Check with your Employee Relations Specialist on the issue of delaying a final rating for an AcqDemo employee when an opportunity period is in effect.]

4. We will need to work together closely during the opportunity period, and I want to encourage you to discuss your cases with me at any time that you need some clarification or just want a sounding board for your ideas. At a minimum, we will meet once a week to go over your caseload and work through any problem issues. This will also be an opportunity for you to ask questions or seek clarification from me. For my part, I will give you an assessment of your performance progress for the week, provide recommendations for improvement, or give specific assignments and deadlines. We will plan to meet on Thursday afternoons from 2:00 - 3:00 p.m., throughout the opportunity period.

5. The Fully Successful level of performance for the critical factor of "Job Achievement and/or Innovation" states, "An employee's performance consistently achieves, and sometimes exceeds, the factor-specific expected contribution criteria and his/her contribution plan goals and objectives." The deficiencies in your performance are basically the same problems we have been discussing for some months. You are an experienced employee relations specialist and have done your job well in the past, but your current work products are plagued by incomplete, haphazard preparation and background work. Additionally, your work is not timely and I am routinely receiving complaints from supervisors that you are not returning their calls in a timely manner and draft documents are not delivered as promised.

6. Specifically, you and I have discussed several times that it is not appropriate for you to rely on your recollection of case law from the Merit Systems Protection Board (MSPB) and the Equal Employment Opportunity Commission (EEOC). Instead, you must research the current case law whenever you are preparing to give a supervisor advice on how to proceed and certainly before drafting a proposed notice of action based on misconduct or performance problems. While numerous examples of this problem are noted in my counseling notes to you, one example is illustrative. You advised a manager that she could send home an employee who was not "ready, willing, and able" to work and the employee would be forced to use his own leave. The case law on this topic is clear that the MSPB has not allowed the use of enforced leave without adverse action procedures and it has been years since the "ready, willing, and able" standard was dropped by the Board. Your failure to stop and check the status of the cases in this area caused the supervisor to erroneously place an employee on leave, an action that had to be corrected as soon as I heard about it from a union steward. The supervisor was embarrassed when she had to contact the employee about the correction and was furious for being made to look ignorant. Even after I brought this to your attention, you were adamant that the old case law prevailed and only agreed with me after I ordered you to review the case law from the last 4 years. As noted earlier, additional examples of this type of problem are in the counseling memorandum (dated _____), which I have provided to you.

7. The other key performance deficiency that we have been discussing is your lack of attention to specific deadlines and a general lack of attentiveness to the supervisors who seek your

technical expertise and guidance. In all cases where a supervisor has complained to me about your failure to follow up, I have notified you and asked for an explanation before responding to the manager who raised the issue. Dr. Client, a manager in the finance department, was particularly frustrated when you did not return several of his calls (over a 4-day period) and finally called me to get an answer to a relatively simple question about the procedures for invoking leave under FMLA. Similarly, I had to respond to calls from Ms. Customer, another of your customers, who was in her second week of waiting for a proposed suspension notice. When I asked you about the action, you told me it was a routine AWOL action but you just had not gotten to it. Looking at everything else you had responsibility for during that 2-week period; I found no justification for the delay and assigned the notice to another specialist who prepared it in 2 days.

[Actual notices will include more details concerning unacceptable performance. Often data cited to support the determination of unacceptable performance are attached to the notice.]

8. I recognize that you have many competing demands on your time, but it is essential that you keep supervisors apprised of what you are doing and set realistic timeframes for responding to their inquiries or for drafting memos or notices. A NH-03 is required and expected to make independent judgments and appropriately schedule their work for timely completion. In all of our discussions, you have not articulated a good reason for your failure to return a phone call or deliver a promised draft. Your statement that you are doing your best does not seem viable when large numbers of deadlines are missed and telephone calls are not returned. The impact of your poor performance is severe because it causes me or other staff members to do additional work and it lessens the respect that supervisors have for you and makes them unwilling to work with you on employee relations matters.

9. Under the critical factor "Mission Support," the Expected Contribution Criteria states, "Possesses an operational understanding of organizational goals and priorities and fully complies with administrative policies, regulations, and procedures when performing job operations. Works with customers to develop a mutual understanding of their requirements. Probes for detail, as appropriate, and pays attention to crucial details of needs or requests. Monitors and influences cost parameters of work, tasks and projects, ensuring an optimum balance between cost and value. Establishes priorities that reflect mission and organizational needs. Work is timely, efficient, and of acceptable quality. Completed work meets project/program objectives. Personal and organizational interactions enhance customer relations and actively promote rapport with customers. Resources are utilized effectively to accomplish mission. Flexibility, adaptability, and decisiveness are exercised appropriately."

10. During the opportunity period, you must contribute at least within your EOCS Range stated above in this critical factor. Specifically, you must research the current case law before issuing any draft notice and should use your best judgment to determine the need for research in response to inquiries from managers. This should not cause a great increase in time per case because you have access to a computerized research tool that provides access to MSPB, EEOC, and court decisions and has a very effective search mechanism. For the duration of the opportunity period, you will need to keep a short but concise telephone log of calls and issues to which you respond. During our weekly meeting, we will discuss your responses so that I can

review the advice you are providing to supervisors and managers. Additionally, print out a copy of relevant decisions (or case summaries, if that will suffice) that will support your position on the actions for which you are drafting notices. We will review this research each week during our meeting. Over the course of the opportunity period, I expect to find routinely that your advice and notices are accurate, based upon solid and up-to-date research.

11. I believe that your problems with timeliness can be addressed by a more organized approach to your work. First, you must set reasonable deadlines for accomplishing research and drafting notices. If you know you have several cases where action is pending, do not overcommit yourself to supervisors; come to see me and we will decide whether the work needs to be passed on to another staff member. Realistically, notices such as leave restriction memos, reprimands, and proposal notices for the more routine misconduct should be returned to supervisors in draft in 3 working days. More complicated notices should be returned in draft within 5 working days. I recognize that there are always exceptional cases, and I want to work closely with you on establishing deadlines for each of your assignments during the opportunity period. To be determined within your EOCS Range, you will need to meet established deadlines in 90% of your work. Unless I set a specific date for an assignment, "established deadlines" will be the 3 or 5 working days noted above. During our first weekly meeting, bring a list of everything currently pending on your desk and we will prioritize the work and set deadlines.

12. Secondly, keeping a telephone log will serve two purposes. The first, as noted above, will give me an understanding of what advice you are giving and will enable me to make recommendations for additional research where necessary. It will also be a way for you to keep records of when you received a call from a manager and when you responded to it. We will review this log at each of our weekly meetings, and I will use it as a method of keeping track of your workload as well as to monitor your progress in becoming more responsive to management inquiries. For an OCS within your EOCS Range, I expect to receive no more than three justified calls during the opportunity period from supervisors complaining that you have not yet returned a call. In order to handle what may be a backlog of unanswered calls, however, I will not count any calls received during the first 2 weeks of this opportunity period.

13. If you follow, the activities outlined above, your contribution and performance in the area of providing technical assistance under the two critical factors mentioned earlier should improve in both accuracy and timeliness. Additionally, I strongly encourage you to discuss cases with me on an informal basis throughout the opportunity period as well as in our scheduled weekly meetings. These meetings will focus on progress made and problems encountered as well as suggestions for improvement in your performance.

[Although this sample involves a non-bargaining unit employee, always be sure to contact your human resources office to determine what agency policies might require you to provide in the way of additional information or referrals for the employee.]

14. If you believe that a personal, medical, or other problem is causing these performance deficiencies, I encourage you to seek assistance through our Employee Assistance Program (EAP). Participation in this program is voluntary and, with certain restrictions, confidential.

15. At the completion of the opportunity period, I will make an assessment of your performance. I believe at that time that you will have attained the Fully Successful level in this critical element. You must sustain an OCS within your EOCS Range and maintain the Fully Successful level on these two critical factors, Job Achievement and/or Innovation and Mission Support, for 2 years from the beginning of the opportunity period (the date of this memorandum). Failure to achieve an OCS within your EOCS Range and Fully Successful performance on these factors during the opportunity period or to maintain it during the remainder of the 2-year period may result in removal or reduction in broadband level with or without a reduction in pay without any further opportunity to demonstrate adequate contribution and fully successful performance.

16. If you have any concerns about this memorandum or require additional guidance on implementing the provisions of it, please let me know as soon as possible. Keep in mind that it is important to refer to the requirements laid out in this notice throughout the opportunity period. Please sign a copy of this memorandum, which serves only to acknowledge your receipt of this notice.

Receipt Acknowledged

Signature _____ Date _____

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Appendix F- Sample Notice Of Improvement

SUBJECT: NOTIFICATION OF IMPROVED CONTRIBUTION AND/OR FULLY SUCCESSFUL PERFORMANCE

FROM: TUAN MANAGER, CHIEF, ACCOUNTING AND FINANCE DIVISION

TO: ANGIE EMPLOYEE, ACCOUNTING TECHNICIAN

This notice is written confirmation that you have successfully completed the Contribution Improvement Plan with the beginning of the opportunity period of *MONTH DAY YEAR*. You have demonstrated contribution within your Expected Overall Contribution Score range and performance at a Level 3 – Fully Successful. However, if there is another inadequate contribution finding and/or unacceptable level of performance up to a two-year period from the beginning of the opportunity period, you can be issued a notice of contribution-based action, i.e.

Receipt Acknowledged

Signature _____ Date _____

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Appendix G – Sample Proposal to Remove For Inadequate Contribution and Unacceptable Performance

SUBJECT: PROPOSAL TO REMOVE FOR INADEQUATE CONTRIBUTION AND UNACCEPTABLE PERFORMANCE

FROM: MARIA MANAGER, CHIEF EMPLOYEE RELATIONS DIVISION

TO: JOHN EMPLOYEE, EMPLOYEE RELATIONS SPECIALIST

1. This is to inform you that I propose to remove you from your position as Employee Relations Specialist, NH-0201-III, and from the Federal Service, for inadequate contribution and unacceptable performance under the provisions of 5 CFR Part 432. This proposal is based upon your unacceptable contribution and performance in the following critical factor(s): Job Achievement and/or Innovation, Communication and/or Teamwork, and/or Mission Support *(select one or more factors)*. This action, if taken, will be effected no sooner than thirty (30) calendar days from your receipt of this proposal. On June 10th, after several months of informal counseling about your inadequate contribution and unacceptable performance, I issued you a memorandum stating my determination that your inadequate contribution and unacceptable performance in the following critical factor(s): Job Achievement and/or Innovation, Communication and/or Teamwork, and/or Mission Support *(select one or more factors)* and provided you with an opportunity to demonstrate acceptable contribution and fully successful performance. Attached you will find a copy of the expected contribution criteria, descriptors, and performance appraisal quality level as well as the opportunity notice that further clarified your contribution and performance expectations. During the 30/60/90/120 (*select one*)-calendar-day opportunity period (from date _____ to date _____), you failed to achieve the required OCS and performance appraisal quality level for the factor(s) listed above. The specific reasons for this proposal follow.

2. During the opportunity period, I met with you every Thursday with the exception of two dates (July 17th and August 21st) when I was on annual leave and official training, respectively. During those weeks, you were encouraged to contact the Director of Human Resources with any significant cases that came up and I met with you on the Monday following my absences to cover any issues that needed further attention. One purpose of these meetings was for you to demonstrate that you were researching current case law prior to issuing any draft notices to supervisors or providing them with verbal guidance on how to proceed in certain circumstances. As indicated in my summary notes from those weekly meetings (a copy of which you received each week), your contribution and performance in this activity was spotty at best. On several occasions, you simply failed to present any research, while at other times you submitted copies of cases dating from the mid-to-late 1990s, which, although relevant to the topic, could not be considered current by any means. I was forced routinely to inform you of specific cases that I knew conveyed the current legal holdings of the Merit Systems Protection Board (MSPB) and the Equal Employment Opportunity Commission (EEOC) that were relevant to the cases you were handling. In several cases this caused rewrites of the draft notices you had prepared, and,

in two cases (Montague and Tyrone), you needed to meet with the supervisors and restructure the advice you had given regarding responding to their employees about their appeal rights, if adverse actions were taken against them.

[An actual proposal notice would include more specific examples and documentation of the unacceptable contribution and performance.]

3. By far, the most egregious mistake occurred because you failed to research the current case law on the issue of *ex parte* communications. The deciding official, Dr. Manager, requested your guidance on his examination of a removal case for misconduct. During his deliberations, the proposing official shared with him that the employee was a poor performer. Even though the proposing official did not refer to the employee's poor contribution and performance in the proposal notice, you informed the deciding official that he could considered the poor contribution and performance as an aggravating factor and take into account the employee's contribution, performance, and productivity issues in making his decision to remove. You went on to prepare the decision notice referring to this contribution and performance information and Dr. Manager's consideration of it in arriving at his decision to remove, and, until we reviewed the matter in our weekly meeting of August 28th, you were unaware of the implications to the integrity of the action. Your failure to properly research resulted in delays and the re-issuance of an appropriate proposal notice to the employee. Additionally, you had to go back to the deciding official and admit that you had given him erroneous advice regarding the appropriateness of considering such *ex parte* communication. Clearly, your contribution and performance has fallen far short of routinely providing accurate technical advice to the management of this organization and I find you to be unacceptable in this aspect of your contribution and performance.

4. The second aspect of your contribution and performance standard for the factor(s) *(name factors)* involves the timeliness of advice given to supervisors. As I indicated in your notice of an opportunity to improve, I expected you to respond to supervisors in a timely manner by establishing reasonable deadlines for yourself and keeping supervisors apprised of your progress. As an employee at the NH- level, I expected you to carry out this assignment with minimal assistance from me. However, I reviewed all of your pending work during our first meeting and established priorities and deadlines for those assignments. Additionally, I asked you to maintain a telephone log for the duration of the opportunity period so I could monitor who was calling and when you were responding to them. On several occasions (dates), when I questioned you, you were unwilling to discuss your own decisions on deadlines for new cases you received during the opportunity period. Finally, as stated in my summary notes from our August 7th meeting, I worked closely with you to set deadlines for all of the work you brought to the meeting. An audit of all of your work submitted during the opportunity period indicates that you met your established deadlines in only 78% of your assignments. This number does not include the three cases (Case A, Case B, and Case C) where we agreed to extend the deadline due to unusual circumstances beyond your control. Further, I continued to receive a large number of complaints from supervisors that you simply would not return their calls and I was forced to provide them with a status report in the cases where I had that information. Discounting the calls I received during the first 2 weeks of the opportunity period (as stated in the opportunity period notice), I received 12 complaints from supervisors where you were unable to provide me with a supportable reason for your failure to respond to their calls. At this time, I have determined that

you continue to be unacceptable under the timeliness aspect of your contribution and performance standard. Conclusion during the opportunity period, you were given every opportunity to improve to an OCS within your EOCS Range and to the Fully Successful level but failed to do so. It is my conviction, based on your inadequate contribution and unacceptable performance that you are unable to handle all the aspects of the position you hold. Therefore, based on your inadequate contribution and unacceptable performance in the critical factor of Job Achievement and/or Innovation, Communication and/or Teamwork, and/or Mission Support *(select one or more factors)*. I am proposing your removal from your current position and from the Federal Service.

Request for Reasonable Accommodation

5. In our weekly meeting on June 26th, you presented medical documentation stating that you were suffering from diabetes and would need accommodation on the job due to your disabling condition. I requested clarification regarding the impact of the diabetes on your ability to work as well as your accommodation request. You responded that you would need sick leave for doctor's visits while you are getting your medication program established and that you would need to store insulin in the agency's health unit and administer that medication once a day. As I stated at the time you submitted this information, I am extremely sorry to hear that you have diabetes, but there did not appear to be any reason to alter the conditions of the opportunity period except to handle your work myself or assign it to other staff members during your sick leave absences. This was done on each occasion when you were absent, and there were no instances when you were denied use of sick leave. Additionally, given the brief nature of the absence, I excused your absence without charge to leave each day when you went to the health unit to take your medicine. I have determined that your medical condition has not had any negative impact on your ability to perform because none of the medical documentation you submitted would support that position.

[Always contact your human resources office when an employee raises a medical issue that may be disabling.]

6. You have the right to respond to this notice both orally and in writing, to prepare and present your response, and to present affidavits of other documentary evidence in support of your response if you elect to make one. You have the right to represent yourself, or to be represented by an attorney or other individual. Designation of your representative must be made in writing to the Human Resources Director within 10 calendar days of your receipt of this memorandum. You will have 10 calendar days to present your oral and/or written response to the Assistant Director for Administration. Consideration will be given to extending the 10-day answer period if you submit a written request to the Director stating your reasons for desiring more time. If you choose to make an oral reply, either in lieu of or in addition to a written response, you should contact the Director and he will schedule an appointment for you to make your response. You will be allowed a reasonable amount of official time, not to exceed 8/16/24/32/40 (*State the hours*) hours, to review the evidence in support of the reasons advanced in this proposal, and to prepare your written reply. Documentary evidence relied on to substantiate the reason for this proposal is available for your review. Please contact me to if you wish to schedule the use of official time or to review the documentation.

7. After all the evidence in your case, including your written and/or oral reply and all associated documents, has been reviewed and considered, you will receive a written notice of the Director's decision within 30 days of the expiration of the 30-day advance notice period. If it is determined, that your removal is warranted due to inadequate contribution and an unacceptable level of performance, the decision notice will explain applicable grievance and appeal procedures and how to exercise them. You will remain in a duty status during the notice period of this memorandum. If you do not understand the reasons given for proposing to remove you, you may contact me for further explanation. Please sign and date the attached copy of this memorandum, which serves only to acknowledge the date on which you received it.

Receipt Acknowledged

Signature _____ Date _____

Appendix H - Notice to Remove for Inadequate Contribution and Unacceptable Performance

SUBJECT: DECISION TO REMOVE FOR INADEQUATE CONTRIBUTION AND UNACCEPTABLE PERFORMANCE

FROM: BEN MANAGER, ASSISTANT DIRECTOR FOR ADMINISTRATION

TO: JOHN EMPLOYEE, EMPLOYEE RELATIONS SPECIALIST

1. In a notice dated and received by you on October 20th, Maria Manager, Chief of Employee Relations, proposed to remove you from your position of Employee Relations Specialist, NH-0201-III and from the Federal Service, on the basis of inadequate contribution and unacceptable level of performance. As the deciding official, I have carefully reviewed all the material that formed the basis for the proposal and that was also made available for your review. I have also given full consideration to our meeting of November 2nd, during which you presented your oral response to the proposed removal as well as your written response. While you mentioned several times that you believed I had already made up my mind about this case and that your response was meaningless, you nevertheless challenged, in general terms, the validity of the opportunity period and alluded to many technical inaccuracies. Despite my request that you provide me with a listing of specific errors that occurred in the course of the opportunity period, you never did so. Without any specific information, I cannot give your statements any weight in my considerations. Nonetheless, I have reviewed the documentation for technical inaccuracies and have found none.

2. You did state that you believed you had a heavier workload than the other specialists in the branch and that it was not possible to keep up with all of the calls from supervisors who needed assistance. However, I have reviewed the monthly case report from your branch and have found that you were assigned approximately the same number of cases to handle as your colleagues during June and July and were given fewer cases, comparatively, during the month of August. Secondly, your cases were not the most complex or arduous available. Although several were complicated, I found nothing of a difficulty that a specialist at the NH level should not be expected to handle. Therefore, I cannot, find any justification for your continuing failure to contact supervisors in a timely manner or your failure to meet your assigned deadlines. The evidence in the proposal notice and evidence file clearly indicates that you failed to meet the requirements for an overall contribution score (OCS) within your EOCS Range of _____ and a Fully Successful performance level regarding the timeliness of your work. You did not specifically respond to the issue of your failure to provide accurate technical guidance to supervisors and managers. I find the evidence compelling that your supervisor attempted to give you a mechanism for reviewing current case law and ensuring that your advice reflected any and all recent changes in the law. It is also obvious that, in many cases, you did not conduct appropriate research prior to advising managers and drafting notices that had to be revised or completely redone based on poor preparation on your part. Your response dealt with the issue of "blame" for cited errors or delays; you felt you were being blamed for actions that were not your fault. The real issue is not one of blame but of responsibility; the examples cited by your supervisor clearly indicate that you have too frequently not met your responsibilities

and have shown no indication of improvement or even of particular concern. While you have demonstrated an ability to perform this job in the past, you are currently failing to carry out one of the key functions and responsibilities of the position, and have made no effort to improve in this respect.
[An actual decision notice will discuss all pertinent issues raised by the employee in the response. Deciding officials may need to look into statements in the response or appoint a factfinder to determine the validity of some statements.]

3. I have very carefully reviewed your allegations of disability discrimination based on your medical documentation, including the diagnosis of diabetes. Although you did not inform your supervisor of this condition until 2 weeks into the opportunity period, I concur with the assessment by Ms. Manager that your medical condition did not impact on your contribution and performance and that there was no need to alter the conditions of the opportunity period. Memoranda of Counseling reflect that your work was handled by coworkers or by your supervisor on any day that you were on sick leave for doctor's visits. I have reviewed your statements regarding your supervisor's negative attitude toward you after you revealed your condition. However, the examples you cite are of your supervisor's counseling you concerning errors in your work or criticizing your failure to research appropriately. These reactions from Ms. Manager are typical of any supervisor reviewing an employee's work during an opportunity period and I cannot find any evidence of a discriminatory motive. Nor can I find anything to support your argument that the opportunity period should have been discontinued until you got your medical situation under control.

4. I find that all the instances of inadequate contribution and unacceptable level of performance specified in the proposal notice of October 20th are sustained and that your contribution and performance in the critical factor(s) Job Achievement and/or Innovation, Communication and/or Teamwork, and/or Mission Support *(select applicable factor or factors)*, failed to attain an OCS within your EOCS Range and did not meet the Fully Successful level of performance, as clarified in the opportunity period notice you received from Ms. Manager. I also find that you were given a reasonable opportunity to demonstrate adequate contribution and acceptable performance, but failed to do so. Therefore, I find that your removal for inadequate contribution and unacceptable performance is warranted.

5. Accordingly, it is my decision that you be removed from your position of Employee Relations Specialist, NH-0201 and from the Federal Service, effective November 30. You will be continued in an active duty status with pay until the effective date of this action. Because you have raised the argument that your medical condition, diabetes, prevented you from working in your position, I am notifying you of your option to file a request for disability retirement with the U.S. Office of Personnel Management. Should you wish additional information on how to submit this application for retirement, please contact the retirement specialist located in the Employee Relations Branch of our Servicing Personnel Office. Disability retirement applications must be filed within 1 year of your last day of employment (November 30th). Additionally, in accordance with Title 5 U.S.C. 4303 and 7121(e) and (f), you have the right to appeal this action to the Merit Systems Protection Board (MSPB). You may submit an appeal at any time after the effective date of this action, November 30, but not later than thirty (30) calendar days after that date. If you do not submit an appeal within this timeframe, the MSPB

will dismiss it as untimely filed unless a good reason for delay is shown. You may obtain a copy of the appeals form and a copy of the Board's regulations from the MSPB website at http://www.mspb.gov. Your appeal must be filed with the MSPB regional or field office serving the area of your duty station when the action was taken. Based upon your duty station, the appropriate field office is [*identify appropriate regional office*]. MSPB also offers the option of electronic filing at https://e-appeal.mspb.gov/.

6. The Board will send an Acknowledgment Order and copy of your appeal to [*contact information including the official's mailing address, email address, telephone and fax number*.]

[Note that under the Board's October 2012 regulations, decision notices must also include: Notice of any right the employee has to file a grievance or seek corrective action under subchapters II and III of 5 U.S.C. chapter 12, including:

> ***(1) Whether the election of any applicable grievance procedure will result in waiver of the employee's right to file an appeal with the Board;***
>
> ***(2) Whether both an appeal to the Board and a grievance may be filed on the same matter and, if so, the circumstances under which proceeding with one will preclude proceeding with the other, and specific notice that filing a grievance will not extend the time limit for filing an appeal with the Board;***
>
> ***(3) Whether there is any right to request Board review of a final decision on a grievance in accordance with § 1201.155 of this part; and***
>
> ***(4) The effect of any election under 5 U.S.C. 7121(g), including the effect that seeking corrective action under subchapters II and III of 5 U.S.C. chapter 12 will have on the employee's appeal rights before the Board.]***

Notice of any right the employee has to file a complaint with the Equal Employment Opportunity Commission or to grieve allegations of unlawful discrimination, consistent with the provisions of 5 U.S.C. 7121(d) and 29 CFR 1614.301 and 1614.302.]

[Note that this sample involves a non-bargaining unit employee who would not have grievance rights under a collective bargaining agreement. It is essential that you obtain information from the human resources office regarding appropriate appeal and/or grievance rights for bargaining unit employees.]

7. Additionally, because you have alleged that this action was discriminatory based on your medical condition, I am informing you of your right to file a complaint with the agency's Office of Equal Employment Opportunity (EEO). You may elect to file an appeal with the MSPB or to file a complaint with the EEO office, but you may not elect both at the same time.

8. You may bring any questions you have about this removal to me and I will explain any points that are unclear to you. If you have questions about your rights or the procedures used in this matter, you may contact *(fill in name)*, the Director of Human Resources. Please sign and date the attached copy of this memorandum, which serves only to acknowledge the date on which you received it.

Receipt Acknowledged

Signature _____ Date _____

AcqDemo Chapter 8

Employee Development

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8.0 Employee Development

8.1 Table of Changes

Date of Change	Chapter(s)/ Section(s)	Topic	Remarks
1/31/2018	All	Update for new Federal Register Notice (FRN)	This chapter rewritten to align to 82 FR 52104, dated November 9, 2017
6/7/18	All	Administrative Updates	Various administrative updates. Realignment/renumbering due to admin changes.
9/11/19	8.4	Sabbaticals	Revised first sentence for better understanding and clarification

8.2 Introduction

Employee development focuses on growth in knowledge, skills, and potential for assignments of increasing complexity and responsibility. This chapter outlines two initiatives focused on employee development, realizing fully that the manager/supervisor plays the most critical and central role in employee development. Their coaching and mentoring are the most effective means of passing on knowledge, skills, and insights. In addition, the AcqDemo Training Outline is included as an **Attachment A,** which provides information on the training available for supervisors and managers, human resources personnel, labor personnel, and all other employees involved in AcqDemo.

8.3 Academic Degree and Certificate Training

The purpose of this initiative is to facilitate continued training and development for employees under AcqDemo. Educated and trained personnel are critical resources in an effective acquisition team and developing their skills is essential to maintaining a high performing organization. Currently, DAWIA requires acquisition workforce employees to become certified in their primary career field within 24 months of assignment. Acquisition workforce employees are also required to earn 80 Continuous Learning points every two years. Some career fields have specific education requirements based upon statute or regulation. AcqDemo expands workforce participation in education and certificate training programs.

8.3.1 Provisions

AcqDemo expands coverage to acquisition direct support positions that are under AcqDemo, i.e. training authorized for DAWIA personnel is authorized for all participants in AcqDemo. It also provides local organizations with the authority to administer and pay for degree and certification training programs. This authority facilitates continuous attainment of advanced specialized knowledge essential to the acquisition workforce and its direct support employees. Such programs also have the benefit of encouraging employee recruitment and retention.

8.3.2 Requirements

A participating organization may require an employee who participates in a degree or certification training program under AcqDemo to execute a service obligation agreement for at least three times the length of the training period, but not to extend beyond three years. Funding is the responsibility of the local organization and may include DAWDF resources.

8.4 Sabbaticals

The purpose of sabbaticals is to provide local organizations the authority to grant AcqDemo employees the opportunity to participate in study or work experiences that will enhance individual development and organization effectiveness. The sabbatical provides opportunities for an employee to acquire knowledge and expertise that cannot be acquired in the standard government-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 a full-time effort to technical or managerial research.

8.4.1 Implementation

Local authority to implement this portion of the demonstration project will rest with the 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 the process by which management accepts/selects participants. Generally, it is expected that application will be made by the employee through the chain-of-command to the employee's Commander, Executive Director or equivalent, or his/her designee who will have final approval authority and who will ensure that the sabbatical 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.

8.4.2 Requirements

Local authorities may make the sabbatical available to all AcqDemo employees who have seven or more years of Federal service. Each sabbatical will be of three to twelve months' duration and must result in a product, service, report, or study that will benefit the acquisition community and the employee. Each employee approved for a paid sabbatical shall execute a service obligation agreement. The agreement shall require employees taking part in the sabbatical program to continue in service in their organization for a period of at least three times as long as the duration of the sabbatical. The agreement shall stipulate that the employee is liable for repayment of expenses, if he or she leaves the organization prior to completion of the service obligation. Note that expenses do not include salary costs. The sabbatical approving management official may waive the repayment requirement.

8.4.3 The only constraints imposed by AcqDemo on any potential sabbatical activity is that the sabbatical activity must contribute to the organization's mission and the employee's development.

8.4.4 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, and final approval can be found in **Appendix B.**

8.5 Student Intern Relocation Incentive

To permit students to accept internships at locations remote from their homes or colleges/universities, heads of Participating Organizations may approve relocation incentives for new student interns and relocation incentives to student interns whose worksite is in a different geographic location than that of the college/university where enrolled or their permanent home residence each time the student interns return to duty at their official worksite (See Section 5.21of OPS Guide).

APPENDIX A – Training Outline

1.0 OVERVIEW

Training is an integral component of the demonstration project, from the initial orientation, through project implementation, and throughout the life of the AcqDemo. AcqDemo is unlike traditional performance-based systems and training must be sufficient to ensure all involved are fully conversant with the overall theory and purposes of the system as well as the processes utilized for deriving compensation. Since AcqDemo is intentionally designed to provide flexibility selectable at the local level, training that is tailored to the specific provisions implemented at, the activity level is fundamental to ultimate success of the program. Additionally, program evaluations and surveys have shown a lack of understanding for how AcqDemo contribution scores are derived by employees currently under the system; this awareness is essential for achievement of program goals. An indispensable and critical step in this demonstration is the continual training provided to all Employees, Supervisors, Human Resource Practitioners, and Executives involved in the demonstration project.

2.0 RESPONSIBILITIES

2.1. AcqDemo Program Office

1) Conversion Training

The AcqDemo Program Office is responsible for providing initial orientation training to all incoming organizations. This orientation training, as listed below, can be arranged by contacting AcqDemo Program Office personnel. The AcqDemo Program Office will provide instructors and materials during the conversion process for delivery of the training. Alternatively, components with appropriate capability, and approval from the AcqDemo Program Office, may provide this training as long as the same core materials are utilized except for component-specific customizations. Converting organizations should utilize the Conversion Training period to ensure that internal training resources are capable of providing adequate training during subsequent phases leveraging AcqDemo Program Office or component trainers for this purpose while they are on-site providing initial training.

2) Training Aids

The AcqDemo Program Office maintains a portfolio of training aids for use in conjunction with component training programs on its web site. These include instructor materials, web-based training, topical videos, and job aids.

3) Training Program Effectiveness

The AcqDemo Program Office will include assessments of overall program, component, and activity training effectiveness in ongoing program evaluations. Program Office provided classes will be assessed for course content and instructor effectiveness on an ongoing basis.

2.2. Participating Components and Organizations

1) Implementation Training

Components and organizations are responsible for supplementing conversion training with tailored training for their organizations through the first pay pool. AcqDemo experience and program evaluations have shown that this period is critical for long-term success. This implementation training, as listed in the training plan below can be provided by either local or component trainers qualified for this purpose.

2) Sustainment Training

Components and organizations shall maintain ongoing, continuous AcqDemo training programs to ensure transparency and consistency. Recent AcqDemo program evaluations have noted insufficiencies in activity training content and frequency of delivery. While training delivery and media are at the discretion of each organization, AcqDemo training for participating workforce members including support staff should be completed on an ongoing as needed basis to ensure the workforce is knowledgeable on AcqDemo. Participating activities are also responsible for conducting AcqDemo training 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. This sustainment training, as listed in the training plan below can be provided by component trainers.

3) 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 Contribution-based Compensation and Appraisal System (CCAS) process.

3.0 Training Outline

3.1 Terminal Learning Objectives (TLO)

The following terminal learning objectives 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. Learning objectives are normally stated in task (behavior)/condition/standards format. However, in that no testing is envisioned in the AcqDemo training program, conditions and standards have been omitted.)

All *employees* should be able to:

TLO 1 - Explain the goals and objectives of AcqDemo and the potential benefits

to the individual participant.

TLO 2 - List the resources and references available to learn more about AcqDemo.

TLO 3 - Describe the major interventions of AcqDemo, 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 AcqDemo, especially in regard to pay, promotion, contribution and performance 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 AcqDemo to subordinates.

TLO 7 - Develop plans and procedures to implement the AcqDemo within their organizations.

TLO 8 - Describe managers and employees' responsibilities in the Contribution-based Compensation and Appraisal System.

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 AcqDemo: 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 plans and procedures to implement AcqDemo within their organizations.

3.2 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 AcqDemo Program Office has developed a three-phase training concept designed to provide a continuum of pre-conversion through sustainment.

3.2.1 Phase I - AcqDemo Conversion Training

Except as noted, the following classes must be completed 30 days prior to an activity's

AcqDemo conversion date:

3.2.1.1 Workforce Overview Conversion Training (Employee Training)

This three-hour introductory auditorium-styled course provides an overview of the DoD Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo) and the CCAS. The course discusses the history and purpose of AcqDemo, and each of the components of AcqDemo including classification, career growth and development, broadbanding, and CCAS.

3.2.1.2 Human Resources Conversion Training

HR Elements for Human Resources Professionals is an interactive one-day training session designed to introduce the Department of Defense Civilian Acquisition Workforce Personnel Demonstration Project (AcqDemo) personnel system to DoD Human Resources Professionals. This class identifies the key focus areas for the conversion into AcqDemo and provides an overview of AcqDemo features including Classification, Hiring & Staffing, Pay Setting, and the CCAS. The intended audience are HR professionals who will be supporting the conversion to AcqDemo for the transitioning organization. Since HR support arrangements and procedures may be different across services, this training can be tailored to the specific needs of the converting organization.

3.2.1.3 CCAS for Supervisors Conversion Training

This one-day classroom instructor-led course is an intensive immersion into the supervisor's roles and responsibilities during the AcqDemo CCAS process. The course begins with a look into the elements of an organization's compensation strategy, then discusses methods for effectively writing supervisor assessments of employee contributions, and also explains scoring techniques and payout calculations used in CCAS. Process support tools are introduced, including a supervisor assessment-writing model. Practical activities are included to help supervisors' gain experience working through each stage of the CCAS process. Steps to capture CCAS-related data in CAS2Net are also demonstrated.

3.2.1.4 Business Rules Development

This 1-day workshop explains the AcqDemo CCAS process in the context of establishing organization business rules on other AcqDemo flexibilities such as pay setting for promotions, sabbatical, ACDP, cash differential, student intern relocation incentive, etc. The course begins with a look into the elements of an organization's compensation strategy, and then explains scoring techniques and payout calculations used in CCAS. Alternative and example rules are presented and discussed for pay pool structure, compensation rules, and other decision points necessary for AcqDemo implementation. This training may be substituted for another 1-day training event.

3.2.1.5 CAS2Net for Pay Pool Administrators (PPA)

Introduction to CAS2Net for new PPAs. Provides orientation to CAS2Net. Main topics are login, creating employee records and assign supervisory roles (hierarchy). Occurs prior to conversion (within 2 months).

3.2.1.6 Pay Pool Administrators Spreadsheets Training

This course focuses on the technical aspects of the CCAS process. The course begins with a briefing where the main concepts of the process are introduced, followed by a live demonstration of the automated tools. Participants are then encouraged to go through hands-on exercises using notional records on a training computer. The tools addressed in this training are the Sub Panel spreadsheet, the Compensation Management Spreadsheet (CMS) and the Pay Pool Analysis Tool (PAT).

3.2.1.7 Mock Pay Pool or Pay Pool Simulation

This class is a workshop to rehearse the AcqDemo pay pool panel process. Participants will practice how to review and validate recommendations on ratings and make compensation adjustment decisions; also, they will understand their role and responsibilities in the process. The class demonstrates the transparency built into CCAS systems and the ethical standards applied throughout the process. The instructor will use a sample of the organization's actual employees' records for Mock. The instructor will use a set of fictitious records to simulate the pay pool process for simulation. This class can be offered at midyear (April/May) or closer to end of cycle activities (Aug/Sept) depending on conversion date.

3.2.2 Phase II – Initial AcqDemo Implementation Training

Components with and/or participating organizations are responsible for implementation training. The implementation-training period begins at the activity's AcqDemo conversion date, extends through the completion of the first pay pool, and debrief. The purpose of this training is to reinforce the learning obtained during conversion training and ensure the specific flexibilities and procedures selected by the organization are understood at all levels. This training may be delivered via multimedia means, informally through work center "brown bags" or through more formal mechanisms depending on the needs and structure of the organization. Implementation training shall include the following topics:

- Contribution Planning
- Assessment writing for both employees and supervisors
- Pay Pool process overview for employees with a focus on local business rules and the derivation of contribution scores
- Pay Pool procedures for panel members
- Post-Pay Pool explanation of results for all employees including the processes used to derive scores
- For compensation/contribution and performance

3.2.3 Phase III – AcqDemo Sustainment Training

Participating Organizations are responsible for sustainment training. Ideally, AcqDemo sustainment training will be imbedded in ongoing workforce training programs and delivery of training should be consistent with those programs. Minimum training provided shall consist of the following elements:

- AcqDemo training included in new employee orientation programs
- AcqDemo supervisory elements training for new supervisors to include Classification, Contribution Planning, Appraisal, scores for compensation/contribution and performance, Pay Setting and Pay Pool procedures
- Contribution Planning and Self-Assessment for employees offered annually
- Annual training in AcqDemo pay pool results and compensation trends including the processes used to derive scores for compensation/contribution and performance

3.3 Implementation Training Resources for the 2017 FRN

The following Training Information below is a list of the training resources available to the components and/or participating organizations. These training resources consist of overview training briefings for Participating Organizations that can be shared at Town Halls, Executive sessions, staff meetings, etc. In addition, topical training delivered via video renditions of voice-over PowerPoint slides have been developed. Job Aids have also been created on subjects such as Direct Hire Authorities; Factor Level Descriptions and Quality of Performance. All of the training materials are located on the AcqDemo website (http://acqdemo.hci.mil/training.html), where they are available for download. Training resources available to the components and/or participating organizations are listed below.

3.3.1 Training Slide Decks

Training slide decks provide a framework for components to easily create presentations introducing the AcqDemo FRN changes to Participating Organizations. Each deck contains audience-appropriate slides describing the changes including FRN references in the notes. The slides provide placeholders for components and/or participating organizations to include content specific to the way the changes will be implemented at their locations.

1) Employee Overview (All AcqDemo Employees)
Provides a general overview of the major changes to AcqDemo highlighting recruitment and staffing flexibilities and pay administration changes. Describes changes to CCAS including the new factors, very high scores and Quality of Performance.

2) Supervisor and HR Professional FRN Implementation (Supervisors of AcqDemo employees and supporting human resources professional)
Provides a general overview of the major changes to AcqDemo focusing in detail on the new classification, recruitment /staffing and pay administration initiatives. Delineates changes to CCAS including utilization of new factors, very high scores and Quality of Performance.

3.3.2 Operational Guide and Training

Web-based videos briefly introduce viewers to AcqDemo changes and serve as supplements to Components and/or participating organization transition briefings. Each video will point the viewer to legal and policy documents relevant to each topic.

1) Transition Overview
Outlines the major changes to AcqDemo promulgated by the new Federal Register Notice, highlighting CCAS improvements, expanded Recruitment and Staffing Flexibilities and Pay Administration Changes.

2) Classification Changes (All AcqDemo Employees)
Introduces the viewer to the new classification and appraisal factors, describes modifications to appeals process, and discusses resulting PRD and contribution plan updates required.

3) Recruitment and Staffing Changes (Supervisors of AcqDemo employees and supporting human resources professionals)
Presents an overview of the revised FRN's new external hiring and internal placement flexibilities and provides viewer with the resources needed to make informed decisions regarding their use.

4) CCAS Changes (All AcqDemo Employees)
Describes changes to the CCAS. Describes how the previous six Factor Level Descriptors have been assimilated into the new three-factor format. Present the new Quality of Performance framework and discusses the relationship between performance and contribution.

5) Pay Administration Changes (Supervisors of AcqDemo employees and supporting Human Resources Professionals)
Discusses the program's new pay setting flexibilities including ACDP and cash differentials.

3.3.3 Job-Aids

Job-aids are short descriptions of the major changes to AcqDemo being implemented with formal publication of the new Federal Register Notice (FRN) regulating the program. They are 1 to 2 pages in length, identify impacted project participant cohorts, provide relevant text of the FRN, list overarching policy documents as appropriate, and describe what is new or changed. Job-aids are intended to provide interested parties with a consolidated summary and list of references associated with significant modifications and new features of AcqDemo.

1) 6 to 3 Factors (All AcqDemo employees)

Describes how the previous six Factor Level Descriptors have been assimilated into the new three-factor format.

2) Quality of Performance (Supervisors of AcqDemo employees and supporting Human Resources professionals)

Describes the requirement for an annual performance assessment and this rating's role in the Contribution- based Compensation and Appraisal System.

3) Direct Hire Authorities (All AcqDemo employees)

Describes the new AcqDemo permanent external direct hire authorities and the rules of engagement associated with them.

APPENDIX B – SAMPLE SABBATICAL APPLICATION FORM

PART I. 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

PART II. 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

PART III. 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

- - - -

SAMPLE SABBATICAL APPLICATION FORM

PART IV. 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

SAMPLE SABBATICAL APPLICATION FORM

PART V. 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

AcqDemo Chapter 9

Reduction in Force (RIF)

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APPENDICES

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9.0 Reduction in Force

9.1 Table of Changes

Date of Change	Chapter(s)/ Section(s)	Topic	Remarks
3/05/18	All	Update for new Federal Register Notice (FRN)	This chapter aligns to FRN, 82 FR 52104, dated 11/9/2017
4/3/18	All	Administrative Updates	Various administrative updates. Realignment/renumbering due to admin changes
03/08/19	9.2	Introduction	Legislative Citation invoking employee performance as the primary factor in RIF separation found in NDAA FY 16, Section 1101, corrected from 1597(f) to 1597(e). Assume change made when coded into title 10 U.S.C. by Office of the Law Revision Counsel, House of Representatives
03/08/19	9.6.2.1 and 9.6.2.2	Tenure Groups and Tenure Group Subcategories	Clarification of appropriate tenure groups for employees on CIPs during the appraisal year
09/11/19	9.6.2.3	Master Retention List	Updated location of information in Chapter 6 on presumptive ratings
07/31/20		Glossary	Moved to end of Ops Guide

9.2 Introduction

Section 1597(e) of title 10, United States Code (U.S.C.), enacted in section 1101 of the National Defense Authorization Act for Fiscal Year 2016 (Public law 114-92), directed the Secretary of Defense to establish procedures to provide that, in any RIF of civilian positions in the competitive or excepted service, the order of retention will be based primarily on individual employee performance. Accordingly, a quality of performance appraisal (i.e., Outstanding, Fully Successful, or Unacceptable) was added to the Contribution-based Compensation and Appraisal System (CCAS). This appraisal captures on an annual basis the performance standard exhibited by employees in achieving their expected contributions as described in their contribution plans. In the event of a RIF, an average annual rating of record obtained from the two most recent quality of performance appraisals in the four-year period immediately preceding the RIF cutoff date is used as the primary retention factor followed by veterans' preference and the RIF service computation date.

9.3 Title 10 U.S.C. Section 1597

In accordance with section 1597 of Title 10, U.S.C., AcqDemo Participating Organizations may not implement any involuntary reduction or furlough of civilians and may not implement any

substantial reduction of contract operations or contract employment (involving 100 or more people) during a fiscal year, until the expiration of the 45-day period beginning on the date that the Component for the Participating Organization submits to Congress a report setting forth the reasons such reductions or furloughs are required and a description of any change in workload or position requirements that will result from same.

9.4 Coordination with the Office of the Under Secretary of Defense (Personnel & Readiness) (OUSD (P&R))

DoD Components of Participating Organizations will coordinate with the OUSD(P&R) (ATTN: Office of the Deputy Assistant Secretary of Defense for Civilian Personnel Policy), and the Director, Human Capital Initiatives (HCI), Office of Under Secretary of Defense (Acquisition and Sustainment) (OUSD (A&S))/regarding any proposed involuntary reduction or furlough of civilians or any substantial reduction of contract operations or contract employment (involving 100 or more people) during a fiscal year. The coordination process must occur before any notification to an employee or member of the public regarding such action, release of information to an employee or the public, or notification to a Member or Committee of Congress, or their staffs, or executive branch agencies. HCI shall also be notified for organization RIF's consisting of less than 100 employees.

9.5 Minimizing the Need for RIF as a Result of Workforce Shaping

The Heads of Participating Organizations will consider and employ every reasonably existing option, consistent with applicable policies and procedures, to mitigate the size of a proposed RIF, including job changes or retraining, the use of voluntary early retirement authority or voluntary separation incentive payments, hiring freezes, job fairs including other government organizations, termination of temporary employees, reductions in work hours, curtailment of discretionary spending, early registration in the DoD Priority Placement Program, and other pre-RIF placement activities for employees eligible for placement assistance and referral programs. A review of the *Office of Personnel Management's Workforce Reshaping Operations Handbook—A Guide for Agency Management and Human Resource Offices* dated March 2017 for additional information and guidance is strongly encouraged. It may be found at https://www.opm.gov/policy-data-oversight/workforce-restructuring/reductions-in-force/workforce_reshaping.pdf.

9.6 RIF Procedures

A Participating Organization is required to use RIF procedures when an employee faces separation or downgrading due to lack of work, shortage of funds, reorganization, insufficient personnel ceiling, the exercise of re-employment or restoration rights, or furlough for more than 30 calendar days or more than 22 discontinuous days. Generally, AcqDemo RIF shall be conducted according to the provisions of 5 CFR part 351, except as otherwise specified below:

9.6.1 Competitive Areas

For an AcqDemo RIF, a competitive area defines the geographical and organizational limits for the RIF competition and includes only AcqDemo employees. It is established no fewer than 90 days in advance of the planned RIF effective date.

Competitive areas are used to:

9.6.1.1 Boundaries

Competitive area establishes the boundaries within which AcqDemo employees compete for retention under AcqDemo RIF regulations. AcqDemo competitive areas may be as large as all AcqDemo positions in an entire AcqDemo Participating Organization or refined to a small group of AcqDemo positions supported by a specific funding line at a given geographic location. Once the geographic area is determined, additional factors will be introduced to ensure that there is sufficient flexibility within the competitive area to effect such reassignments and reallocations of work as necessary to carry out the mission of the organization with minimal disruptions. Typically, these additional factors could include such items as career path (pay plan), specific broadband level(s) within a career path, and occupational series. Additional factors may include lines of business, product lines, organizational units, funding lines, and/or functional area, or a combination of these elements, and must include all AcqDemo project employees within the defined competitive area.

9.6.1.2 Employees Included in an AcqDemo RIF

For each defined RIF competitive area, AcqDemo and non-AcqDemo employees must be placed in separate RIF competitive areas. All AcqDemo project employees within the AcqDemo defined competitive area must be included in that competitive area. Therefore, AcqDemo employees would not displace non-AcqDemo employees and vice versa.

9.6.1.3 Geographic Area

Generally, the geographic area of coverage will be the local commuting area. Once the geographic area is determined, additional factors will be introduced to ensure that there is sufficient flexibility within the competitive area to effect such reassignments and reallocations of work as necessary to carry out the mission of the organization with minimal disruptions. Typically, these additional factors could include such items as career path (pay plan), specific broadband level(s) within a career path, and occupational series. Additional factors may include lines of business, product lines, organizational units, funding lines, and/or functional area, or a combination of these elements, and must include all AcqDemo project employees within the defined competitive area. For each defined RIF competitive area, AcqDemo and non-AcqDemo employees must be placed in separate RIF competitive areas. The RIF competitive areas will be established no fewer than 90 days in advance of any planned effective date of an AcqDemo RIF. All AcqDemo project employees within the AcqDemo defined competitive area must be included in that competitive area. Therefore, AcqDemo employees would not displace non-AcqDemo employees and vice versa.

9.6.1.4 Deadline for Establishing RIF Competitive Area

The RIF competitive areas will be established no fewer than 90 days in advance of any planned effective date of an AcqDemo RIF. Participating Organizations will follow their component, agency, or field activity guidance as well as applicable DoD guidance to obtain approval of the RIF competitive area.

9.6.2 Master Retention List

A Master Retention List contains the names and position information for all AcqDemo competing employees in the RIF competitive area. Competitive service employees and excepted service employees are placed on separate Master Retention Lists. Each list is organized into three main categories: (1) Tenure Group, (2) Periods of Assessed Performance, and (3) Retention Factors with each category further subdivided to capture critical aspects of each topic. For instance, Tenure Group is subdivided into Tenure Group I and Tenure Group II; Periods of Assessed Performance has three subcategories of assessed performance; and Retention Factors are also subdivided into three subcategories. The three main categories and their subcategories are described below with their structural placement on a Master Retention List shown in **Appendix A**.

9.6.2.1 Tenure Groups

<u>Change to Tenure Group</u>
Tenure Groups I and II, as defined in 5 CFR section 351.501(b) for competitive service and 5 CFR 351.502(b) for excepted service, have been combined into a new Tenure Group I for the competitive service and a new Tenure Group I for the excepted service. Tenure group III remains the same and will be listed below any Tenure Group I categories. Under AcqDemo, the conversion to permanent appointment of term employees (Tenure Group III) previously selected through competitive procedures, and who otherwise meet conditions required for such conversion, may be converted to permanent appointments (Tenure Group I), provided such conversions are effective not less than 90 days prior to the effective date of the RIF.

9.6.2.2 Tenure Group Subcategories.

Competing employees within a competitive area are listed on the master retention list in one of three tenure group subcategories: Tenure Group I includes all permanent career and career-conditional employees and Tenure Group III includes employees on Term Appointments. Tenure Group III is listed below Tenure Group I. Both Tenures I and III have a third subcategory for a current unacceptable rating of record and/or a decision of inadequate contribution. Each Tenure Group subcategory is divided into two periods of assessed performance.

9.6.2.2.1 Periods of Assessed Performance

1) For RIF purposes assessed performance will be the sum of the months of assessed performance associated with the employee's performance appraisals within the most recent four-year period preceding the "cutoff date" established for the RIF. The periods of assessed performance may be within AcqDemo or another performance system; e.g. the Defense Performance Management and Appraisal Program (DPMAP); Defense Civilian Intelligence Personnel System (DCIPS) performance management system; or a performance management system associated with a Science and Technology Reinvention Laboratory (STRL) personnel demonstration project, or other Federal Performance Management Systems. Periods of time in a rating cycle for which an employee's performance was not assessed are not included in the employee's period of assessed performance. For example, if an employee receives a rating of record after serving 10 months of a 12 month appraisal cycle, the employee's period of assessed performance is "10 months" for that rating cycle.

2) For purposes of AcqDemo RIF, employees are placed in one of two subcategories covering two different periods of assessed performance or in the subcategory covering a current unacceptable rating of record and/or inadequate contribution. The two assessed performance subcategories are (1) employees with a period of assessed performance of less than 12 months and (2) employees with a period of assessed performance of 12 months or more.

3) Once placed in their appropriate Tenure Group subcategory, i.e., Tenure Group I or Tenure Group III, AcqDemo employees are then placed in their appropriate assessed performance subcategories as follows:

    a. Tenure Group I employees who have 12 months or more of assessed performance; then Tenure Group I employees who have less than 12 months of assessed performance; and then Tenure Group I employees who received an unacceptable performance appraisal as their most recent rating of record and/or a decision of inadequate contribution.

    b. Tenure Group III employees who have 12 months or more of assessed performance; then Tenure Group III employees who have less than 12 months or more of assessed performance; and then Tenure Group III employees who received an unacceptable performance appraisal as their most recent rating of record and/or a decision of inadequate contribution.

9.6.2.3 Retention Factors

AcqDemo utilizes three retention factors in establishing the ranking of employees once they are placed in their appropriate Tenure and Period of Assessed Performance category. The three factors are Average Annual Rating of Record, Veterans' Preference, and Length of Service.

9.6.2.3.1 Average Annual Rating of Record

The average annual rating of record is the primary retention factor in determining which employees shall be separated from employment.

a. Rating of Record Criteria
A rating of record may be issued only in accordance with the AcqDemo appraisal cycle, other approved appraisal periods under AcqDemo such as for a Contribution Improvement Plan (CIP), another DoD performance management program, or a performance management system used by another federal agency with which an employee was formerly employed. Ratings of record may not be issued solely for purposes of documenting performance in advance of a RIF. An employee's average annual rating of record for RIF purposes is the average of the ratings of record averages drawn from the two most recent annual CCAS ratings or other official ratings of record received by the employee within the four-year period preceding the "cutoff date" established for the RIF, except when the employee's most recent rating of record is "unacceptable." When the most recent rating of record is "unacceptable," only that rating of record will be considered for purposes of RIF. This includes an official unacceptable rating received as the result of a CIP. Other rating of record exceptions include the following situations:

1. Employees serving as fulltime union representatives or on a prolonged absence due to a work-related injury discussed in the Ops Guide, Chapter 6, Section 6.18.2.4 – Presumptive Status 4; and

2. Employees who were absent for military service referred to in Ops Guide, Chapter 6, Section 6.18.2.5, Presumptive Status 5.

b. "Cutoff Date."

The "cutoff date" is the date after which no new rating of record will be considered for purposes of the RIF. The "cutoff date" established will be at least 60 days prior to the date of the issuance of RIF notices.

c. CCAS Ratings of Record

The CCAS average annual rating of record is the average of the averages obtained for each of the two most recent CCAS ratings of record (if less than two, the actual rating of record average) that determined the final performance appraisal level for each of the two most recent annual ratings of record in the four-year period preceding the "cutoff date" established for the RIF. The averages for the two CCAS ratings of record would be totaled and the sum divided by two to determine the average annual rating of record for RIF retention. The resulting quotient will be rounded to the nearest tenth of a decimal point. If the hundredths decimal is less than 0.05, the tenths decimal does not change. If the hundredths decimal is equal to or greater than 0.05, the tenths decimal is increased by ".1".

d. Non-CCAS Ratings of Record

An employee may have a non-CCAS rating from another Federal organization as one or both of the two most recent ratings of record within the most recent four-year period preceding the RIF "cutoff date." In this instance, the average annual rating of record will be determined by converting the employee's two non-CCAS ratings (if less than two, the actual rating) to the corresponding numeric rating, regardless of performance summary level pattern (for example: Highly Successful – Level 4; Pass – Level 3; Marginally Successful - Level 2; or Unacceptable – Level 1) provided by the summary level pattern used by the employee's former Federal organization, totaling the numeric ratings, and dividing by the actual number of ratings. If one of the two most recent ratings is a CCAS rating, add the average obtained for determination of the annual CCAS rating of record and the numeric rating of record level for the non-CCAS rating of record to obtain a total, divide the sum by two. The resulting quotient, for either scenario, is rounded in the same manner as for two CCAS ratings as described in Ops Guide Chapter 6, CCAS, Section 6.9.

e. Employees without a Rating

Presumptive status ratings 1, 2, and 3 assigned pursuant to Ops Guide Chapter 6, CCAS, Section 6.18.2 will be used for RIF purposes. In the event of a RIF, employees with less than 12 months of assessed performance within the most recent four-year period prior to a RIF "cutoff date" will be placed at the bottom of Tenure Group I – Less than 12 months of Assessed Performance.

f. CIP

Employees under a CIP are listed on the master retention list in their appropriate tenure group and assessed performance categories until a decision is reached on the CIP. If the decision is that the employees have improved to a fully successful level, the employees will be issued out of cycle contribution assessment and/or a quality of performance appraisals and will continue to compete in their appropriate tenure group and assessed performance categories with other employees whose average ratings of record are above unacceptable. If the decision results in an unacceptable rating of record, the employees are listed in Tenure Group I or III – Current Unacceptable Rating of Record according to their retention standing and compete only within this tenure group.

g. Unacceptable Ratings of Record.

If an employee's most recent annual or other official rating of record, e.g., rating of record based on completion of a CIP, is "unacceptable," the employee would compete only in Tenure Group I or III – Current Unacceptable Rating of Record with other employees in the tenure group who received a current unacceptable rating of record. If a position encumbered by an unacceptable employee is the best offer for an employee with a rating of record above unacceptable, the employee with the higher retention standing may be offered the position regardless of the retention standing of the unacceptable employee. If there is no other position listed in Tenure Group I – Current Unacceptable Rating of Record for which the

unacceptable employee is qualified, the employee will be separated. The unacceptable employee has no further displacement rights.

9.6.2.3.2 Veterans' Preference.

Competing employees are placed in a veterans' preference subgroup in accordance with the definitions in 5 CFR 351.501(c). The three veterans' preference subgroups are: AD (30% disabled veteran); A (a veteran who is eligible for veterans' preference for purposes of RIF, but is not eligible for placement in the AD category); and B (an employee not eligible for veterans' preference for purposes of RIF.)

9.6.2.3.3 Length of Service (DoD SCD-RIF).

The DoD service computation date includes all creditable service under 5 CFR 351.503(a) and (b). Each AcqDemo Participating Organization is responsible for establishing the DoD SCD-RIF applicable to each employee competing for retention under this process. Additional service credit for outstanding and fully successful performance appraisals will not be calculated in the DoD SCD-RIF.

9.6.3 Displacement

The AcqDemo RIF process has a single round of competition which replaces the traditional two-round (bump and retreat) process. Displacement is limited to an employee's current career path, broadband level, and one broadband level below that is within the employee's career path. Broadband level I employees would displace within their current broadband level I. Preference eligible employees with a compensable service connected disability of 30 percent or more may displace within the two broadband levels below their present broadband level within their career path not to exceed the equivalent of 5 GS grades below the employee's present GS grade-level equivalent. Broadband level I preference eligible employees with a compensable service connected disability of 30 percent or more can displace within their current broadband level. 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.

9.6.4 Qualifications for Assignment

An employee is qualified to displace another employee on the retention list if he or she meets the designated standards and requirements in 5 CFR 351.702, including DAWIA certification, if applicable, for the position. (However, statutory waivers shall continue to apply.) Recent experience may be used, when appropriate, to determine an employee's proper placement. The "undue disruption" standard currently outlined in 5 CFR 351.203 will serve as the criteria to determine if an employee is fully qualified.

9.6.5 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 basic pay 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 basic pay of the lower broadband level.

9.6.6 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.

9.6.7 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 (except for positions requiring positive education requirements). When an AcqDemo participating organization chooses to fill a vacancy with an employee who will be released from his/her position, the organization must consider the relative retention standing of all released employees. The vacant position must be offered to the released employee with the highest retention standing before offering a position to a released employee with a lower retention standing. The vacant position may be outside an employee's displacement rights and/or in another pay system such as GS or Federal Wage System (FWS). 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.

9.6.8 Notice Period

Participating Organizations will comply with all notification provisions set forth in 5 CFR part 351, subpart H.

9.6.9 Records

Participating Organizations will comply with 5 CFR § 351.505. Notwithstanding 5 CFR § 351.505 and 5 CFR § 351.505(c)(1), the completed RIF master retention lists, tenure, assessed periods of performance, and retention factors of average rating of record, veterans' preference, and RIF-SCD will be consistent with the procedures set forth in this Ops Guide Chapter.

9.6.10 Interim RIF Process

In the event a RIF is necessary after the final FRN is published but before a rating of record with an average score can be established for employees in the competitive area pursuant to the FRN and this Ops Guide, the Under Secretary of Defense (Personnel & Readiness) (USD(P&R)) may approve an interim RIF process.

Appendix A - AcqDemo Sample Master Retention List

Employee	Career Path, Broadband Level, Series, and Title	Average Annual Rating of Record	Veterans' Preference	SCD-RIF	RIF Impact (Displacement)[15]
Tenure Group 1 – 12 Months or More of Assessed Performance					
Brown, Maxine	NH-0801-IV, General Engineer	5.0	AD	17 Dec 1979	
White, Bryan[16]	NH-1102-III, Contract Negotiator	5.0	A	3 Feb 1992	Position Abolished.
Brown, Samuel	NH-2003-III, Supply Prgm Mgr	4.5	B	3 Nov 1990	
Thomas, Franklin[17]	NH-346-III, Logistics Mgt Spec	3.5	A	9 July 1995	Position Abolished.
Payne, Rosa	NH-2030-II, Distribution Fac Spec	3.5	B	27 Mar 2015	
Smith, Jonathan	NH-201-III, Pers Mgt Spec	3.0	B	12 Dec 2013	Displaced by F. Thomas on reassignment. Separated, no other position available.
Waters, Edward	NH-1102-II, Contract Specialist	2.0	AD	10 Jan 2010	
Tenure Group I – Less than 12 Months of Assessed Performance					
Gates, Lionel	NH-1102-II Contract Specialist	5.0	A	1 July 2016	
Builder, John	NH-2010-II, Inventory Mgt Spec	5.0	B	15 May 2016	
Sugg, Steven	NH-346-II, Logistics Mgt Spec	3.5	B	15 May 2016	
Chartruex, Thor[18]	NH-1102-III, Contract Specialist	N/A	A	15 April 2012	
Worth, Jean	NH-201-IV, Pers Mgt Spec	N/A	A	1 March 2017	
Carper, Carlyle	NH-1102-III, Contract Specialist	N/A	B	1 Jan 2017	Displaced by B. White on reassignment. Qualifies for E. Ziegler position. Changed to Lower Broadband Level.
Tenure Group I – Current Unacceptable Rating of Record					
Rose, Abagail	NH-2030-II, Distribution Fac. Spec	1.5	A	7 Apr 2013	
Ziegler, Eric	NH-1102-II, Contract Specialist	1.0	B	15 Jun 2010	Ziegler separated. No other position available.
Tenure Group III – 12 Months or More of Assessed Performance					
Dante, Michele	NH-2003-II, Supply Prgm Mgr	3.5	AD	24 Aug 2013	
Jones, Rose	NH-2003-III, Supply Prgm Mgr	3.5	A	7 Dec 2014	
Tenure Group III – Less than 12 Months of Assessed Performance					
Franc, Lizette	NH-2001-III, Supply Spec	4.5	B	6 May 2016	

Competitive Area: Local Commuting Area; Fort Husky, Virginia; Supply Directorate; Business Management and Technical Management Career Path (NH)

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Glossary

Acronyms

ACDP	Accelerated Compensation for Developmental Positions
AcqDemo	Acquisition Demonstration
AFGE	American Federation of Federal Employees
AWF	Acquisition Workforce
CA	Contribution Award
CCAS	Contribution-based Compensation and Appraisal System
CFR	Code of Federal Regulations
CIP	Contribution Improvement Plan
CMS	Compensation Management Spreadsheet
CRI	Contribution Rating Increase
DAWIA	Defense Acquisition Workforce Improvement Act
DCIPS	Defense Civilian Intelligence Personnel System
DCPDS	Defense Civilian Personnel Data System
DoD	Department of Defense
DoDI	Department of Defense Instruction
DPMAP	Defense Performance Management and Appraisal Program
ECR	Expected Contribution Range
EOCS	Expected Overall Contribution Score
EOCS Range	Expected Overall Contribution Score Range
FLSA	Fair Labor Standards Act
FR	Federal Register
FRN	Federal Register Notice

FWS	Federal Wage System
GPI	General Pay Increase
GS	General Schedule
GPA	Grade Point Average
GSSG	General Schedule Supervisory Guide
HCI	Human Capital Initiatives
HPR	Highest Previous Rate
HRO	Human Resources Office
HR Specialist	Human Resources Specialist
IAFF	International Association of Firefighters
IDP	Individual Development Plan
IFPTE	International Federation of Professional and Technical Engineers
IPS	Integrated Pay Schedule
ISP	Internal Staffing Processes
KLP	Key Leadership Position
LAC	Legal Authority Code
LIUNA	Laborers' International Union of North America
MH	Medium High
ML	Medium Low
MSPB	Merit Systems Protection Board
NAGE	National Association of Government Employees
NDAA	National Defense Authorization Act
NH	Business Management and Technical Management Professional Career Path
NJ	Technical Management Support Career Path

NK	Administrative Support Career Path
NOAC	Nature of Action Code
NPR	Normal Pay Region
NTE	Not to Exceed
OCS	Overall Contribution Score
OPM	Office of Personnel Management
Ops Guide	Operating Guide
PAQL	Performance Appraisal Quality Level
PM	Program Manager
PMO	Program Management Office
PPB	Personnel Policy Board
PRD	Position Requirements Document
RIF	Reduction in Force
RPA	Request for Personnel Action
SCD-RIF	Service Computation Date – Reduction in Force
SF	Standard Form
SPL	Standard Pay Line
SRP	Simplified Recruitment Processes
STRL	Science and Technology Reinvention Laboratory
TS	Transmittal Sheet
U.S.C.	United States Code
OUSD(A&S)	Office Under Secretary of Defense (Acquisition and Sustainment)
USD (P&R)	Under Secretary of Defense for Personnel and Readiness
USERRA	Uniformed Services Employment And Reemployment Rights

WGI	With-in Grade Increase

Definitions

AcqDemo Adjusted Rate of Basic Pay	AcqDemo rate of basic pay is set within the pay range of the broadband level to which an employee's position is classified considering the scope, level, and difficulty of the position; the organizational level of the position within an organization's position management structure; and the qualifications needed to perform the work of the position. Next, the employee's basic pay is adjusted based on the current locality adjustment rate for the OPM pay locality in which he/she works. Subsequent basic pay adjustments are determined through the Contribution-based Compensation and Appraisal System (CCAS). Locality is added after any subsequent CCAS pay adjustments are finalized.
AWF	Civilian employees occupying positions coded as meeting the requirements of the Defense Acquisition Workforce Improvement Act of 1990 as amended.
Basic Pay	Basic pay is defined as the rate fixed by applicable law or regulation. The basic pay ranges associated with the AcqDemo broadband levels are set using the GS base rate schedules without inclusion of other types of pay such as locality-based comparability payments, hazardous duty pay, overtime, bonuses, etc. These latter pay types are included after the basic pay is determined and the sum titled Adjusted Basic Pay.
Broadband Level	A broadband level is a basic pay range derived from the General Schedule base pay rates.
Career Ladder	The range of broadband levels for a position to which an employee may be promoted noncompetitively when basically qualified and eligible.
Career Path	One of three career paths where AcqDemo occupations with similar characteristics are grouped together to facilitate advancement and pay progression

Categorical Score	A score that depicts an employee's contribution results to a set of descriptors and discriminators for a particular factor and a numerical range in a broadband level.
Change to Lower Broadband Level	Personnel action that moves an employee to a position in a broadband level with a lower rate of maximum basic pay than the position from which the employee is moving. Applies even when both the old and the new positions are in a different pay-method category, e.g., STRL to AcqDemo and GS to AcqDemo.
Competitive Area	Establishes the boundaries within which employees compete for retention under AcqDemo RIF regulations. The boundaries may include organizational entities such as funding lines, occupational series, broadband level, career path, functional area, etc.
Competitively	Term refers to the type of action typically requiring competition among interested applicants for consideration for a higher level position. The position normally is at a higher broadband, control point, or pay range within a broadband level for which an employee has not previously competed.
Contribution Award	CA is a rating based CCAS contribution award effective the beginning of the first full pay period in January. It is equivalent to a performance award for the GS. It is a lump-sum payment that does not affect basic pay. NOTE: CA is sometimes used to designate a non-rating based, special act cash award.
Contribution Rating Increase	Equivalent to WGIs, quality step increases, and promotions between grades for the GS grades combined in a broadband level.
Control Points	Control points are defined as compensation limits within a broadband level based on an organization's position management structure and assessment of the difficulty, scope, and value of positions. Control points are developed to ensure compensation equity and consistency within the organization. Compensation limits may be stated as a monetary value, control points, internal pay range within the broadband level, or an overall contribution score.

	Control points are published in local business rules and in vacancy announcements.
DAWIA	The Defense Acquisition Workforce Improvement Act (DAWIA) was initially enacted by Public Law 101-510 on November 5, 1990. It requires the Department of Defense to establish education and training standards, requirements, and courses for the civilian and military workforce.
Deciding Official	The management official higher in the chain of command than the supervisor/rating official who proposed an action as a result of a CIP.
Descriptors	Descriptors are narrative statements that are written at increasing levels of complexity, scope, and employee contribution. They are meant to correspond with the broadband levels, and their associated ranges of basic pay, for classification and appraisal purposes. Descriptors are not to be used individually to determine position classification or assess contributions, but rather are to be considered as a group to derive a single evaluation of each factor.
Discriminators	The discriminators refine the descriptors to help define the type and complexity of work; degree of responsibility; and scope of contributions that need to be ultimately accomplished to reach the highest basic pay potential within a broadband level for an employee's position and contributions.
Employee Voluntary Movement	An employee of another pay and/or personnel system on his/her own initiative accepts a position under AcqDemo, e.g. General Schedule (GS) to AcqDemo, or decides to accept and move to a position in another pay and/or personnel system, e.g. AcqDemo to Air Force Research Laboratory's Personnel Demonstration Project.
Expected Contribution Criteria	This baseline criteria form the basis from which specific contribution expectations, standards, goals, or objectives are developed for an employee's contribution plan for the classification level of work in the employee's position.

Factors	The three factors are the basis for classification, assessing contributions and performance. They represent the primary type of work and contribution typically found in positions classified to a specific career path and broadband level. The same three factors (job achievement and/or innovation, communication and/or teamwork, and mission. support) apply to all career paths and broadband levels
GPI	An across-the-board basic pay increase authorized by law or the President for the GS.
GS Base Pay	GS base pay is determined based on an employee's GS pay grade and step, which are based on the employee's job title and seniority. Next, the employee's GS base pay is adjusted based on the current locality adjustment rate for the OPM pay locality in which he/she works. Subsequent GS base pay adjustments are made based on a time-in-position schedule.
Head of Participating Organization	The senior most person in an organization. (e.g. Director/ Commander).
HPR	Highest previous rate (HPR) is the highest rate received on a regular tour of duty while serving on an appointment not limited to 90 days or less.
Integrated Pay Schedule	The foundation for the basic pay structure under AcqDemo. It provides a direct link between increasing levels of contribution and increasing basic pay.
Maximum Broadband Level	The highest broadband level of a position to which an employee may be promoted through successive noncompetitive career promotions.
Non-competitively	Highest previous rate (HPR) is the highest rate received on a regular tour of duty while serving on an appointment not limited to 90 days or less.
Normal Pay Region	An area of the IPS where basic pay, value, and level of contributions and position are aligned and properly related resulting in the employee being appropriately compensated.

Notice Period	The defined period when notice both verbally and written is given to employees regarding a RIF and its consequences.
Numerical Score	A score that depicts an employee's contribution results aligned to the categorical score of a broadband level
Organizational Conversion	A management directed organizational conversion including the organization's employees into or from AcqDemo due to reorganization, realignment, consolidation, Congressional dictate, or other organizational changes.
Pay Pool	A group of employees among whom the funding allocated to CCAS is distributed. This might be all the employees in a division or directorate, or employees involved in the same type of work, e.g., supervisors, or a functional group
Pay Pool Funding	Money available for CRI and CA.
Pay Pool Manager	The individual within the organization responsible for managing the CCAS process. Gives final approval of OCS, compensation adjustments, and ratings of record.
Pay Pool Panel	Composed of the pay pool manager and those who report directly to him/her. Their purpose is to share a common view of the organization mission, goals, and objectives in reviewing the contribution and performance of employees and bring a common perspective to how employees are evaluated and, therefore, compensated and appraised. A score that depicts the quality of performance an employee demonstrates in achieving his/her expected contribution results.
Performance Appraisal Quality Level	Experience, competencies, and DAWIA certifications required that are expected to enhance performance in a position and focus on the level of proficiency the selectee brings to the job. Quality ranking factors are not used to "screen out" applicants but to focus on assessing the level of proficiency applicants would bring to the position.

Quality Ranking Factors	The average of the three Performance Appraisal Quality Levels used for RIF IAW 10 U.S.C. Section 1597(e).
Rating of Record	The three performance appraisal levels are averaged and compared to a translation table to calculate the annual rating of record.
Rating Official/Immediate Supervisor	The person who writes an assessment of an employee's contribution/performance.
Reassignment (Federal Employee Outside of the AcqDemo) Entering the AcqDemo	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 basic pay than the employee's current position. Depending upon an employee's eligibility, change in basic pay would result from application of the WGI and/or Career Ladder Promotion Buy-in provisions, offer and voluntary acceptance of a lower basic pay, or application of the maximum payable rate rule at 5 CFR 531.221.
Selective Placement Factors	Identify any qualifications that are required when a selectee starts the job. If an applicant does not meet a selective factor, he/she is ineligible for further consideration.
SRP	A simplified recruitment process to be used for hiring selectees to fill positions under the Term, Direct Hire, Scholastic Achievement, and Acquisition Student Intern appointment authorities.
Supervisor	The first-level supervisor is usually the individual who prepares a PRD to document a position under his/her purview.
Very High Score	Recognition to an employee for exemplary contributions and overall quality of performance; results are substantially beyond what was expected and warrant a score that exceeds the top score for the highest broadband level in the employee's career path.

Veteran	A person who served in the active military, naval, or air service, and who was discharged or released there from under conditions other than dishonorable.