



# DCIPS PAY POOL

## *Advisor Guide*

Winter 2009

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# How This is Organized

This guide follows the phases of the pay pool process. Three chapters provide the information for each phase. There are four types of information, and each is marked with a different icon to help you easily identify it .



## **Start With These Goals in Mind:**

As you prepare and conduct your activities during the pay pool process, focus on the outcome. The justification for everything you do should not be to complete a list of activities. Focus on the outcome and ensure that the pay pool process reaches a successful conclusion.



## **What You Should Consider:**

Questions which you will need to contemplate and discuss with your pay pool manager and possibly with other members of the pay pool panel are included in these lists. Some of the issues involve options for handling your own role. In deciding your approach, you also might want to seek the opinions of fellow pay pool advisors. This list of questions is not meant to be your final list. Consider it a starting point as you begin to prepare.



## **Tasks and Activities:**

Many of the items listed here can be used as to-do lists. Your pay pool's situation, however, may have special considerations. Do not assume that these lists are comprehensive. They are a good starting point to define your activities, but they need to be adjusted to reflect your pay pool's requirements.

# Introduction to DCIPS Pay Pool



## Introduction

This Defense Civilian Intelligence Personnel System (DCIPS) Pay Pool Advisor Guide will help you prepare for your task as pay pool advisor. The success of the pay pool process hinges on the preparation of all individuals involved. As the Pay phase has many critical and time-consuming activities packed into a short three-month period, it is essential to prepare ahead of time. Much of the difficulties and stress that can occur during the Pay phase can be avoided by thoughtful and rigorous preparation. Your role as a pay pool advisor and the activities that you engage in throughout all phases of the pay pool process are critical to that preparation.

The role of advisor is important. As advisor, you are responsible for working with the pay pool manager to facilitate an effective pay pool process and make sure that the pay pool panel fairly and consistently distributes all the pay pool funds by the end of the Pay phase. This requires panel members to understand and master their responsibilities and to implement processes that support the successful completion of the Pay phase. The skills you learn and apply in your role are useful in many areas of work. Although your main responsibility as advisor appears to be guiding the group to a successful end of the Pay phase, there is much more to it: you can drive your team to achieve more than it thought possible.

The pay pool process depends on teamwork. As such, you are in a unique position. You can bring performance management to fruition and cause group synergies to drive performance management. While the quality of your teamwork is intangible and difficult to identify, you will notice when your group has that experience. It is a rewarding one for the advisor, and we wish you the best in achieving it.

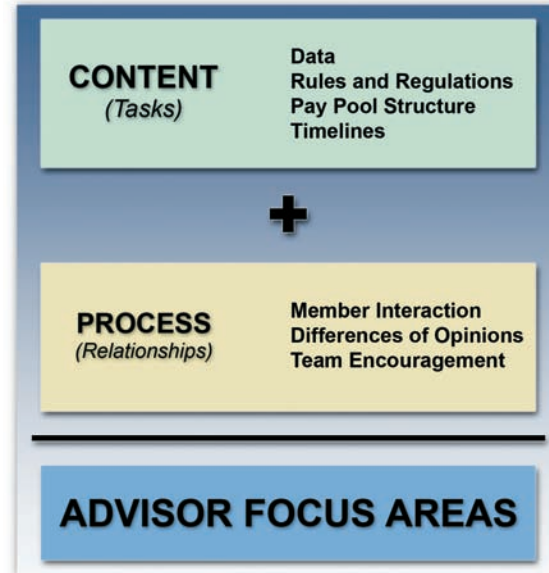
### Role and Authority of the Advisor

The advisor's goal and responsibility is to help the pay pool panel to achieve a shared understanding of the performance-based salary increase and bonus recommendations. Your role as the advisor rests in your skills in conducting the process and in being seen as impartial to the outcome. As you become a skilled advisor, you should aim to effectively balance the need to focus equally on the content (tasks) and process (relationships). This is especially important during pay pool deliberations where timelines are critical and multiple communication styles and behaviors come into play.



## The Advisor's Role in Relation to the Pay Pool Manager

Your success depends on support from the pay pool manager. This support should begin from day one with the establishment of your role and clarification of responsibilities and the parameters of the relationship with the pay pool manager. Unless advised otherwise, the pay pool manager is your customer.



### Focus Areas for Advisors

There are two parts to the advisor equation: content and process or, put another way, tasks and relationships.

#### Content (Tasks)

- Content encompasses the non-behavioral and tangible aspects of the process. It is easy to determine if these tasks have been completed. This part includes items such as data, rules and regulations, pay pool structure, and timelines. Ultimately it is the activities that occur during the pay pool process.
- The advisor must be knowledgeable about all of these activities and ensure they are accomplished. Most likely the advisor will be responsible for ensuring that everything runs smoothly when the panel convenes. To do so the advisor must be certain all data and requirements are accomplished and that everything is ready within each phase of the pay pool process.

#### Process (Relationships)

- Process encompasses the behavioral and intangible aspects of the pay pool. This part includes how team members interact, how to manage differences of opinions, and how to encourage team members to do what they otherwise may not want to do. Advisors must be able to observe, manage, and influence the team's interactions.
- Aiding the team's group interactions is most important when the pay pool panel members convene during the mock and final payout deliberations. The advisor's understanding of how teams operate, different work and communications styles, and how to harness the powers of the individual personalities for the benefit of the team can make the meeting more enjoyable and effective.

## Key Players in DCIPS

Key Player	Primary Responsibility	Specific Task
<b>Employee</b>	Perform, capture performance in Self-Report of Accomplishments.	<ul style="list-style-type: none"> <li>• Write Self-Report of Accomplishments</li> <li>• Participate in performance management cycle conversations with rating official</li> </ul>
<b>Rating Official</b>	Plan, monitor, and develop performance of employee, then rate the performance.	<ul style="list-style-type: none"> <li>• Develop employee performance plan</li> <li>• Monitor employee performance</li> <li>• Hold required performance conversations</li> <li>• Write and final evaluation of record</li> </ul>
<b>Reviewing Official</b>	Set expectations of shared understanding with rating officials; review performance plans and ratings for shared understanding.	<ul style="list-style-type: none"> <li>• Review employee performance plan</li> <li>• Facilitate shared understanding of performance objectives, performance elements, and ratings amongst rating officials</li> <li>• Review final evaluation of record</li> </ul>
<b>Performance Management Performance Review Authority (PRA)</b>	Perform statistical review and approve final evaluations of record for consistency and fairness across multiple rating and reviewing officials.	<ul style="list-style-type: none"> <li>• Perform statistical review and approve final evaluation of record</li> </ul>
<b>Pay Pool Manager</b>	Lead the pay pool decision process with consistency and fairness.	<ul style="list-style-type: none"> <li>• Lead pay pool deliberations</li> <li>• Finalize pay pool decisions in DCIPS Compensation Workbench (CWB)</li> </ul>
<b>Pay Pool Panel Member</b>	Participate in the pay pool decision process.	<ul style="list-style-type: none"> <li>• Participate in pay pool deliberations</li> </ul>
<b>Data Administrator</b>	Prepare and finalize data in CWB.	<ul style="list-style-type: none"> <li>• Load data into the CWB</li> <li>• Check data for completeness and accuracy</li> <li>• Update CWB per pay pool decisions</li> </ul>
<b>Pay Pool PRA</b>	Review and approve aggregate pay pool decisions for implementation.	<ul style="list-style-type: none"> <li>• Review aggregate pay pool decisions for anomalies</li> <li>• Approve payout determinations for implementation</li> </ul>

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# DCIPS Pay Pool: PLAN PHASE



## Plan Phase

During the Plan phase, you will meet with the pay pool manager to reach a shared understanding of roles and responsibilities. This meeting is critical to your success as a pay pool advisor. This discussion should cover the responsibilities of the manager, advisor, and data administrator. If the data administrator is not included in this discussion, the advisor and manager should agree on who is going to notify the data administrator of his or her responsibilities.

Your main activities in the Plan phase are:

1. Working with the data administrator to compile data and ensure completion and accuracy of data.
2. Building a relationship with the pay pool manager. This relationship helps facilitate the process and assists the group in reaching outcomes.
3. Finalizing the calendar of events (for example, panel meetings and mock pay pools), obtaining budget information, and developing a key-decision matrix. You need to consult frequently with the pay pool manager in establishing timelines, processes, business rules, and responsibilities.



### Start with these Goals in Mind:

- Pay pool structure is set up or revised
- Roles and responsibilities are clarified
- Helpful resources are identified
- Relevant information is published
- Timelines for the pay pool process are established
- Pay pool assessment has been conducted, including a review of last year's process and lessons learned
- Training needs are identified





## What You Should Consider:

### QUESTIONS:

- What skills do you have that make you a good facilitator?
- What are the areas in which you need improvement?

### CONSIDERATION:

- Technical proficiency
- Strong interpersonal skills
- Good understanding of group dynamics
- Mediator
- Problem solver
- Win-win orientation

### QUESTIONS:

- When do you want to capture lessons learned?
- Who should collect them?

### CONSIDERATIONS:

#### *When:*

- Throughout the process at the end of each meeting
- Ongoing at milestones or special meetings that capture lessons learned
- At the end of the pay pool process

#### *Who:*

- Primarily collected by you
- Collected by you as a result of discussions with panel members
- Gather in focus group(s) of the panel
- From a wider audience through a survey

### QUESTIONS:

- To what extent will you help the pay pool manager identify training needs among pay pool members?

### CONSIDERATION:

- While it is typically part of a manager's responsibility to discuss development and training with subordinates, it may be helpful and easier for employees if you participate in that role. Pay pool panel members may find it easier to discuss their skills and the need for training with someone other than their manager.



## What You Should Consider:

### QUESTIONS:

- How do you establish a working relationship built on trust with your pay pool manager and the other panel members?

### CONSIDERATION:

- It is best not to wait until the onset of the Pay phase to build trust with the pay pool members. Establishing a relationship with pay pool members makes it easier for you to advise the group, facilitate the process, and keep the group moving in the right direction. Building such a relationship, however, takes time.
- Begin by establishing a solid relationship with the pay pool manager.
- Next, build relationships with other pay pool panel members so that they know and understand your role ahead of time.
- There are a variety of ways to establish a rapport. Consider your organizational culture and established practices when determining a plan. How formal an approach you take to introducing yourself and your role to pay pool panel members will depend on your organization's culture.
- Your pay pool manager can notify members that you will be scheduling time to meet with them individually or as a group to introduce yourself, give them an idea of what is ahead, and render any assistance.

### QUESTIONS:

- How will employees be informed about the pay pool panel's activities?

### CONSIDERATION:

- The more information you can provide to the employees about the process and activities of the panel, the more likely they are to trust the process. You must balance confidentiality with transparency in all communication, but remember that communication to the employees is the best way to increase acceptance.

### QUESTIONS:

- Is last year's pay pool structure the best structure to use for this year?

### CONSIDERATION:

- You may want to discuss with your pay pool manager if and how you want to conduct an appraisal of the previous pay pool structure. Consider reviewing data and conducting focus groups or debriefs with pay pool panel members and rating officials to learn what worked and did not work. Based on the outcome of these discoveries, you may make recommendations for restructuring, if appropriate.



## What You Should Consider:

### QUESTIONS:

- Why should you identify the pay pool advisors in neighboring pay pools?

### CONSIDERATION:

- Building relationships with pay pool advisors from other pay pools can be useful. Colleagues who face similar situations can provide you with assistance.
- Consider establishing a group with fellow pay pool advisors where you can share information and discuss approaches for handling the situations you face.
- You also may want to establish a network of substitute advisors who can replace each other in case of absence or work overload. Knowing others are there to help or cover for you can help to reduce your stress levels and create a backup plan in case of emergencies.



## Plan Phase Tasks and Activities:

- ☐ Review the volumes for performance management, especially those pertaining to rating performance and the pay pool policies and procedures.
- ☐ Review the lessons learned from the organizations' mock pay pools at the end of the addendum.
- ☐ Meet with the pay pool manager.
- ☐ Clarify roles and responsibilities.
- ☐ Conduct follow-on meetings with pay pool managers and the data administrator to build effective relationships and offer support.
- ☐ Identify the data administrator.
- ☐ Work with the data administrator to identify needed records.
- ☐ Prepare, staff, and finalize the calendar of events.
- ☐ Schedule the dates of mock and final panel meetings and identify space in which to hold them.
- ☐ Obtain budget and financial information.
- ☐ Facilitate discussion of the pay pool structure.
- ☐ Collect, review, and analyze lessons learned from prior year's pay pool process.
- ☐ Coordinate with data administrator to ensure equipment will be available for data upload and pay pool meetings.
- ☐ Verify or schedule mandatory training for pay pool members, and that it will be available prior to the pay pool panel convening.

# DCIPS Pay Pool: PREPARE PHASE



## Prepare Phase

During the Prepare phase, you will organize and facilitate the mock pay pool session; assess performance of the pay pool panels; and submit a report to the pay pool manager on process improvements, training that is needed, and other recommendations. The Prepare phase is also a good opportunity for you to observe how panel members prepare for the tasks and to identify suggestions for improving the preparation.

Your main activities in the Prepare phase are:

- Conducting mock pay pool sessions.
- Practicing observing behavior of pay pool panel members and responding appropriately.
- Establishing lessons learned to ensure that the panel becomes stronger and more effective as it enters the real panel discussions of the Pay phase.

## Why Are Mock Pay Pools Important?

Most people learn by doing. A mock pay pool exercise is the best way for your organization to understand the pay pool process. During the exercise, your pay pool will identify ways to improve processes to ensure consistency and fairness in payout decisions. You will guide the pay pool panel to reach performance-based salary increase and bonus decisions based on midyear ratings which will act as mock-evaluations of record. Components may also use performance ratings from the prior performance year. The mock pay pool results are not recorded for compensation purposes; however, they can help refine the business rules and process for the actual pay pool meetings



### Start with these Goals in Mind:

- The panel has a shared understanding of the CWB
- The business rules and Standard Operating Procedures (SOPs) are reviewed and panel members understand them
- A mock pay pool is conducted (required by policy for first year)

at the end of the performance year. Components may determine how much information regarding the mock pay pool exercise is provided to the workforce. Past experience with performance-based

compensation administration has shown that a panel's familiarity with the process, its ability to handle difficult situations, and the quality of its decisions improve when it conducts a mock pay pool. Furthermore, mock pay pools serve

to reinforce the link between employee performance and compensation and identify opportunities for improvement with regard to writing performance objectives.



## What You Should Consider:

### QUESTIONS:

- Why should the pay pool panel conduct a mock pay pool?

### CONSIDERATION:

The following list identifies many benefits of conducting a mock pay pool:

- Helps to identify process gaps
- Develops a shared understanding of levels of performance
- Shortens the learning curve by providing an opportunity to practice
- Develops an understanding and agreement on process improvements and how to implement them
- Provides experience and a greater understanding of the process
- Identifies behavioral skills that need to be developed to improve the pay pool process



## Prepare Phase Tasks and Activities:

- ☐ Prepare for mock pay pool ensuring, among other things, that performance objectives and mock-evaluations of record are complete.
- ☐ Facilitate discussion of success for the pay pool process.
- ☐ Discuss what information will be released to employees following the mock pay pool process.
- ☐ Facilitate discussion of business rules and SOPs for pay pool process.
- ☐ Work with the data administrator to ensure the CWB and related pay pool data is available for the pay pool meeting.
- ☐ Facilitate the mock pay pool session.
- ☐ Capture and assess lessons learned.
- ☐ Prepare and report recommendations for process improvements, training, and support. Collect, review, and analyze lessons learned from the prior year's pay pool process.
- ☐ Close out previous year's pay pool process as required by Component-specific guidance.
- ☐ Publish any advance materials to workforce, as determined by Component.
- ☐ Verify and document that panel members have completed mandatory training for participation on pay pools.



# DCIPS Pay Pool: PAY PHASE



## Pay Phase

During the Pay phase, you will prepare for the pay pool panel sessions, including the logistics and facilitation of the meeting(s). In addition, the advisor will collect lessons learned and report recommendations for the next cycle.

Your main activities in the Pay phase are:

- Conducting pay pool sessions
- Facilitating performance-based salary increase and bonus decisions



### Start with these Goals in Mind:

- Payout decisions are recommended and supported (performance-based salary increase and bonus)
- Payout decisions are fair, consistent, and drive desired performance
- Decisions are communicated
- Processes and paperwork are completed on time



## What You Should Consider:

### QUESTIONS:

- How can you help prepare the panel meetings for the Pay Phase discussions?

### CONSIDERATION:

- Notify attendees of the meeting
- Prepare the agenda
- Prepare copies of all completed performance forms which include performance objectives, Self-Report of Accomplishments, and rating official assessments for each pay pool member
- Provide at least one hard copy of completed performance appraisals for all employees in the pay pool for use the day of the pay pool deliberations. This becomes a part of the file to be retained.
- Assign responsibilities for the meeting
- Prepare the physical meeting room, materials, and equipment
- Ensure confidentiality forms are signed and retained
- Communicate and verify mandatory training requirements

### QUESTIONS:

- Why should you create a sense of team amongst panel members?

### CONSIDERATION:

- Creating a sense of team spirit can help when reconciliation discussions become impassioned.
- Developing a sense of camaraderie early can make reaching compromises easier later in the process.

### QUESTIONS:

- Will your panel meetings include a data administrator or someone else who immediately changes payout distributions based on panel decisions?

### CONSIDERATION:

- Having a data administrator in the meeting to make changes makes it easier to ensure that the changes are input into the CWB and the effects of the adjustments are realized by the panel.

### QUESTIONS:

- What are the personality types in your pay pool panel and how will you handle the different personalities?

### CONSIDERATION:

- Remember that your role is not necessarily to “manage behavior.” It is to help facilitate the process. Understanding what people are thinking helps you understand what level and type of support is needed to effectively work with panel members.

## Planning for Contingencies

As part of your preparation, you need to anticipate things that might go wrong. The best strategy for dealing with worst-case scenarios is to discuss and plan for contingencies before the need arises. This approach allows for a calmer discussion of the consequences and removes the element of personal bias that is inevitable when the situation involves particular individuals.

In collaboration with the pay pool manager and possibly pay pool panel members, you should decide on how you want to handle the following situations in advance of them happening:



### What You Should Consider:

SITUATION:	CONTINGENCY
<ul style="list-style-type: none"><li>• The pay pool manager is absent from the meeting.</li></ul>	<ul style="list-style-type: none"><li>• It is recommended that all panel members be present for the entire pay pool panel decision meeting(s). To ensure continuous process flow, consider holding the meeting until the pay pool manager is able to attend or nominating a substitute pay pool manager. However, such an appointment is only effective if the pay pool manager considers the decisions of the substitute as binding. If the manager feels the need to revisit a decision the substitute made, it is more efficient for everyone to postpone all deliberations until the manager becomes available again.</li></ul>
SITUATION:	CONTINGENCY
<ul style="list-style-type: none"><li>• Panel members are absent from the meeting.</li></ul>	<ul style="list-style-type: none"><li>• There are many reasons why a panel member may be absent from a meeting; however, the key here is accountability and fairness. If multiple meetings are being held for planning and discussion, either reschedule the meeting or proceed without the member. If the member misses a meeting discussing pay decisions, an absent member is no longer a pay pool panel member.</li></ul>
SITUATION:	CONTINGENCY
<ul style="list-style-type: none"><li>• Panel members are not prepared for the meeting.</li></ul>	<ul style="list-style-type: none"><li>• If it is a singular incident, this situation is similar to the absence of a panel member. If it occurs frequently, this behavior can indicate that panel members do not take their responsibility seriously. If you notice a pattern, it is important to discuss the issue with the pay pool manager to determine appropriate actions.</li></ul>



## What You Should Consider:

### SITUATION:

- You are absent from the meeting.

### CONTINGENCY

- If, as an advisor you are expected to attend pay pool panel meeting, and you have to miss a portion of the meeting, find a substitute. The substitute ideally should be one who is versed in the role of pay pool advisor. Inform the panel members before the meeting that someone will replace you and use the introduction to emphasize that person's strengths and capabilities.

### SITUATION:

- During the meeting you encounter frequent disagreement on payout decisions.

### CONTINGENCY

- What is the cause of the disagreement? Is there general disagreement around the payout determinations or does the disagreement focus around specific individuals or parts of the organization? Try to identify patterns in the disagreement. Once you have identified patterns, raise the level of the discussion to the appropriate topic. Establish business rules that facilitate open discussion and deliberation, but keep meetings moving forward with the task at hand.

If the discussions around the disagreements take up so much time that it puts the overall process into jeopardy, you need to raise the issue with your pay pool manager.



## Plan Phase Tasks and Activities:

- ☐ Review component communications and requirements regarding pay pool process.
- ☐ Prepare for the panel sessions.
- ☐ Ensure that panel members have the information they need to review for the meetings.
- ☐ Remind panel members of their responsibilities to follow business rules, SOPs, Merit Systems Principles, and policies in deciding payouts.
- ☐ Ensure that all decisions from the panel discussions are captured in the CWB.
- ☐ Coordinate the communication of results.
- ☐ Collect all forms required to be signed by pay pool panel members.
- ☐ Collect and retain all documentation required to be retained with the file (potentially, have a records administrator role).

# DCIPS Pay Pool: RESOURCES



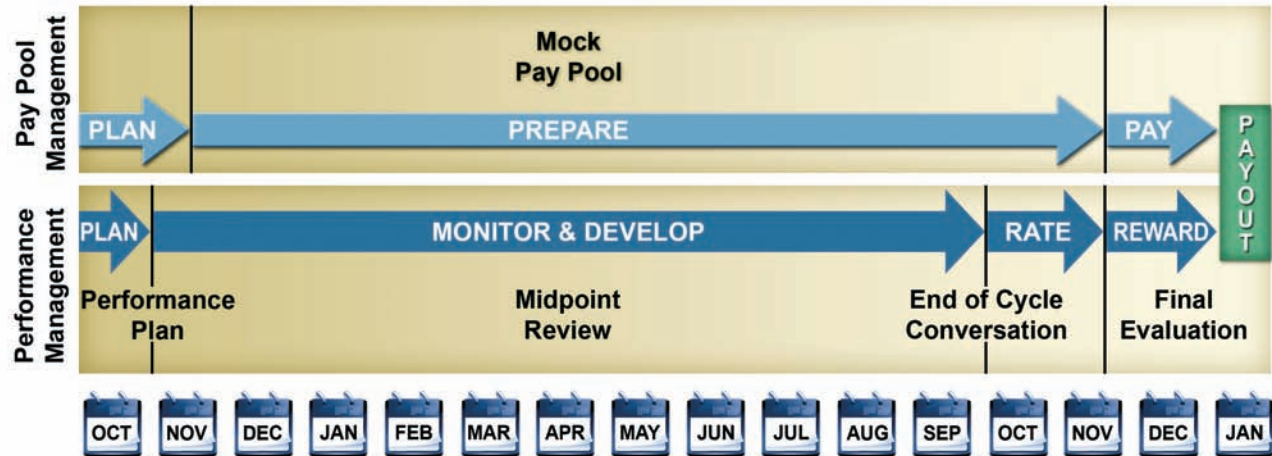
## Responsibilities to be Divided Among the Pay Pool Manager, Pay Pool Advisor, and Data Administrator

The following is a partial list of specific responsibilities for the pay pool process. Discuss the list with your pay pool manager and complete the list by including other responsibilities that need to be assumed in your pay pool process. Also, make sure that all responsibilities are assigned to the pay pool manager, the data administrator, or you. Indicate the person who is responsible on the line before the responsibility and copy the list for all people who share in the process.

	Create schedule of events
	Distribute funding information
	Distribute pay pool structure information
	Distribute employee performance information to all panel members for review and ensure the information is available during the panel meeting
	Set and arrange panel meetings
	Reserve rooms and equipment for panel meetings
	Discuss agenda for the panel meetings with all panel members
	Write and distribute agenda prior to panel meeting
	Record decisions made during panel meetings
	Follow-up on consequences to decisions after panel meetings
	Communicate process to employees
	Discuss absences or frequent late arrivals with panel members
	Discuss lack of preparation with the panel member concerned
	Elicit feedback from panel members at various stages
	If necessary, discuss with rating officials the need to change ratings after pay pool panel meetings
	Retain documents
	Submit completed files or documents










## Pay Pool Timeline








### Notes:

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## Notional Sequence for Performance Management and Pay Pool Activities

	Timeframe	Activities
	<b>After midpoint review,</b> usually April or May	The pay pool manager and panel members conduct a mock pay pool (mandatory in year of conversion to DCIPS)
	<b>End of fiscal year,</b> usually September or early October	The employee prepares a Self-Report of Accomplishments for the evaluation period.
	<b>End of fiscal year,</b> usually by the end of October	The rating official completes a narrative and assigns a numerical performance rating for each employee and forwards it to the reviewing official prior to discussing the evaluation with the employee.
	<b>Within 45 days after the close of the rating cycle,</b> usually by November 15	The reviewing official reviews the evaluations and ratings for the rating official's employees.
	<b>Within 45 days after the close of the rating cycle,</b> usually by November 15	On completion of the reviewing official's action, a summary of all performance evaluations are forwarded to the performance management PRA for final review to ensure consistency across supervisors and reviewing officials. The performance management PRA review may run concurrently with reviewing official action, at the discretion of the Component.
	<b>After reviewing official reviews individual ratings,</b> and performance management PRA performs summary review of aggregate ratings, usually in November	The rating official communicates the final rating of record to the employee after the reviewing official completes his or her review.
	<b>Not less than 15 days prior</b> to the beginning of pay pool deliberations, usually by November 1	Supporting organizations such as Human Resources (HR) shall confirm the status of all performance evaluations and prepare a listing of potentially delinquent performance evaluations by employee and rating officials.

	Timeframe	Activities
	<b>45 days following</b> the end of the performance evaluation period, usually mid November.	The pay pool budget will be set as of the date of pay pool membership is frozen.
	<b>Not later than 45 days following the close of the rating period</b> , usually mid November.	The pay pool panel shall begin their deliberations.
	<b>After pay pool panel deliberations and before the January payout</b> , usually in December	The pay pool PRA conducts a summary review of pay pool recommendations. On completion of the pay pool PRA action, the Component head authorizes the results of the pay pools for processing and payment.
	<b>Generally the first day of the first pay period</b> following January 1 of the new calendar year, usually mid January.	Pay pool results shall be available and approved such that payments may be made to employees to coincide with the annual Federal General Schedule pay increase.
	<b>Not later than March 31</b> of the year in which the review is conducted	Each Defense Intelligence component will conduct a formal analysis of the decision, payout, and communication process, and develop an action plan for the next year based on that analysis. The results of the Component review will be forwarded to the Under Secretary of Defense for Intelligence (USD(I)).

Notes:

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## Pay Pool Action Plan

### Pay Pool Action Plan

To make the pay pool process a success, use this table to create the steps needed to prepare yourself and your panel.

Outcome	Activity	Timeline	Resources	Critical Success Factors	Other Considerations

## Pay Pool Advisor and Data Administrator Checklist

### Advisor and Data Administrator Checklist

Done	Date	Action
<input type="checkbox"/>		Ensure business rules are established (know Component's SOPs and determine/revise pay pool's business rules)
<input type="checkbox"/>		Coordinate with management to ensure hierarchy is current and correct
<input type="checkbox"/>		Pay Pool Panel logistics – you may need some or all of the following depending on your pay pool processes: <ul style="list-style-type: none"> <li><input type="checkbox"/> Meeting room(s) – consider privacy issues</li> <li><input type="checkbox"/> Computer and projector (or equivalent)</li> <li><input type="checkbox"/> Computers for panel members with appropriate network access for viewing stored evaluations of record or printouts of evaluations of record</li> <li><input type="checkbox"/> Printer/copier for generating hard copies, if needed</li> <li><input type="checkbox"/> Telephone and/or e-mail access</li> </ul>
<input type="checkbox"/>		Ensure you've made contact with the facilitator and coordinated access to mock site (as needed).
<input type="checkbox"/>		Review CWB to ensure each employee's information is complete and accurate
<input type="checkbox"/>		Prepare the following documents for the panel meeting (electronic or hard-copy in binder is acceptable); send information prior to the panel meeting for review as requested: <ul style="list-style-type: none"> <li><input type="checkbox"/> Employee final performance information</li> <li><input type="checkbox"/> Copy of Component business rules</li> <li><input type="checkbox"/> Copy of the Pay Pool business rules (if applicable)</li> <li><input type="checkbox"/> Copy of the current DCIPS Pay Schedules and Pay Band rate ranges</li> <li><input type="checkbox"/> Copy of the Volumes addressing DCIPS performance management and pay pools</li> <li><input type="checkbox"/> Signed nondisclosure agreements should be obtained from all pay pool panel participants, observers, and data administrators</li> </ul>
<input type="checkbox"/>		Perform employee data extract from the Human Resources Information System (HRIS), Defense Civilian Personnel Data System (DCPDS) or PeopleSoft
<input type="checkbox"/>		Enter funding parameters on CWB according to Component guidance if not prepopulated, and any ratings that did not flow from the automated performance management tool
<input type="checkbox"/>		Conduct pay pool panel meeting
<input type="checkbox"/>		Pay pool panel meetings (the advisor may want to determine this ahead of time with the pay pool manager to save time – if not already identified in the Component business rules): <ul style="list-style-type: none"> <li><input type="checkbox"/> Step 1: Review pay pool business rules, establish ground rules, and provide administrative information</li> <li><input type="checkbox"/> Step 2: Decide on approach</li> <li><input type="checkbox"/> Step 3: Review CWB results</li> <li><input type="checkbox"/> Step 4: Adjust CWB results for performance-based salary increases, as needed, and document</li> <li><input type="checkbox"/> Step 5: Adjust CWB results for performance-based bonuses, as needed, and document.</li> </ul>
<input type="checkbox"/>		Export DCIPS CWB rating and payout data and upload to Component system per Component guidance



## Sample Pay Pool Panel Process Participant Nondisclosure Agreement

### SAMPLE PAY POOL PANEL PROCESS PARTICIPANT NONDISCLOSURE AGREEMENT

As a pay pool panel process participant, I participate in decisions related to pay pool administration, as well as the performance-based salary increase and bonus recommendations made through the pay pool process. I will have access to written information, both hard copy and electronic, and will be privy to oral information pertaining to employee performance and the pay pool process.

I understand that this information is For Official Use Only (FOUO) and shall not be disclosed to individuals without a legitimate need-to-know. Further, I understand that unauthorized disclosure may result in administrative sanctions up to and including removal from my position and from the Federal service. I also understand that unauthorized disclosure of FOUO information that is protected by the Privacy Act may result in civil and criminal sanctions.

Consistent with the DoD Privacy Program, DoD Directive 5400.11, I will:

- Protect the security and confidentiality of personal information contained in a system of records to which I have access or am using incident to the conduct of official business.
- Not disclose any personal information contained in any system of records, except as authorized by applicable law or regulation.
- Report any unauthorized disclosures of personal information from a system of records or the maintenance of any system of records that are not authorized to the pay pool manager or performance review authority.

I understand that I am not to discuss, forward, or otherwise disseminate any performance rating or payout information (e.g., ratings, performance-based salary increase or bonus amounts) and comments of the group or from the CWB to persons outside the pay pool process (i.e. pay pool manager, panel members, advisors, data administrators, and pay pool performance review authority) and then on a need to know basis only.

I understand that I must coordinate with the Office of General Counsel prior to releasing information to any individuals outside the immediate pay pool process for any purpose, including official inquiries and investigations.

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SIGNATURE

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DATE

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PRINTED NAME AND TITLE

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PAY POOL IDENTIFIER

## Merit System Principles

### SECTION 2301, TITLE 5, UNITED STATES CODE

#### § 2301. Merit system principles

- (a) This section shall apply to--
  - (1) an Executive agency; and
  - (2) the Government Printing Office.
- (b) Federal personnel management should be implemented consistent with the following merit system principles:
  - (1) Recruitment should be from qualified individuals from appropriate sources in an endeavor to achieve a work force from all segments of society, and selection and advancement should be determined solely on the basis of relative ability, knowledge and skills, after fair and open competition which assures that all receive equal opportunity.
  - (2) All employees and applicants for employment should receive fair and equitable treatment in all aspects of personnel management without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition, and with proper regard for their privacy and constitutional rights.
  - (3) Equal pay should be provided for work of equal value, with appropriate consideration of both national and local rates paid by employers in the private sector, and appropriate incentives and recognition should be provided for excellence in performance.
  - (4) All employees should maintain high standards of integrity, conduct, and concern for the public interest.
  - (5) The Federal work force should be used efficiently and effectively.
  - (6) Employees should be retained on the basis of adequacy of their performance, inadequate performance should be corrected, and employees should be separated who cannot or will not improve their performance to meet required standards.
  - (7) Employees should be provided effective education and training in cases in which such education and training would result in better organizational and individual performance.
  - (8) Employees should be--
    - (A) protected against arbitrary action, personal favoritism, or coercion for partisan political purposes, and
    - (B) prohibited from using their official authority or influence for the purpose of interfering with or affecting the result of an election or a nomination for election.
  - (9) Employees should be protected against reprisal for the lawful disclosure of information which the employees reasonably believe evidences--
    - (A) a violation of any law, rule, or regulation, or
    - (B) mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety.
- (c) In administering the provisions of this chapter--
  - (1) with respect to any agency (as defined in section 2302(a)(2)(C) of this title), the President shall, pursuant to the authority otherwise available under this title, take any action including the issuance of rules, regulations, or directives; and
  - (2) with respect to any entity in the executive branch which is not such an agency or part of such an agency, the head of such entity shall, pursuant to authority otherwise available, take any action, including the issuance of rules, regulations, or directives; which is consistent with the provisions of this title and which the President or the head, as the case may be, determines is necessary to ensure that personnel management is based on and embodies the merit system principles.

# Conducting a High-Impact Meeting

## Deciding Meeting Details

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- Who should be there/not be there?
- What is the best forum/media for the meeting (in person, conference call, Web-enabled conference)? If in person, what room?
- What is the best time for the meeting?
- What needs to be accomplished in this meeting?
- What else would be nice to accomplish in this meeting?
- What are the criteria for success?

## Preparation

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- Determine space
  - ♦ Choose the best, available location for the meeting and reserve it
  - ♦ Ensure that the space is an appropriate size
- Decide on agenda and time it
  - ♦ List everything you want/need to cover. Everything in the meeting should have a purpose—if it doesn't, take it out
  - ♦ Group agenda items with the other items that serve the same purpose
  - ♦ List timing on your agenda
  - ♦ Plan within your time limits, but plan for a dynamic pace

- Invite and prepare attendees
  - ♦ Set expectations for timing, purpose, etc.
  - ♦ Assess and accommodate for special needs (laptop, projector, handouts, whiteboard, markers, etc.)
  - ♦ Coordinate with data administrator regarding technical and other needs
  - ♦ Send invitations/meeting maker
    - Desired attendees
    - What are the purpose and objectives of the meeting?
    - Meeting details (times, location)
    - Agenda
  - Be clear in preparing attendees: Prior to the meeting, what should they expect, prepare, bring, think through?

## Before Meeting Starts

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- Arrive early to:
  - ♦ Set up room (seating arrangement, climate, and equipment)
  - ♦ Arrange materials
  - ♦ Make last-minute arrangements for data administrator
  - ♦ Choose your seat strategically
  - ♦ Greet meeting participants

## During the Meeting

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- Always start on time (or verbally acknowledge to the group that you are waiting to start for a certain reason and when you will start in earnest—start at that time)
- Announce the meeting's purpose
  - ♦ Make sure everyone understands why you have asked them to be present
- Stick to the agenda
  - ♦ Keep the meeting pace upbeat and dynamic
  - ♦ Anticipate the next agenda item
  - ♦ Redirect if the meeting shifts off course
  - ♦ Designate someone to take meeting minutes
  - ♦ Set yourself up for a successfully timed meeting
    - Make a conspicuous joke about your timing shortfall and give someone the authority to tell everyone when it's time to move on to the next subject or end the meeting
    - Have someone prepped ahead of time to sit inconspicuously in your line of sight and signal you
    - Position yourself so that you can see a wall clock or take off your watch and set it somewhere you can see it
- Include and support all participants
  - ♦ Introduce meeting participants and their roles
  - ♦ Introduce yourself and your role as pay pool advisor
  - ♦ Allow only one person to talk at a time to avoid confusion
  - ♦ Draw out comments from attendees and encourage them to explain reasoning
- Conclude
  - ♦ Repeat decisions and resolutions made during the meeting
  - ♦ Review action items and responsible parties
  - ♦ Thank everyone for their attendance and participation
- Always end on time or slightly early (in special cases, ask the group if it is okay to go over time limits and allow those who need to leave to leave at the original end time)

## Strategies for Communication Styles

A critical competency for managing group interaction is the ability to discern communication styles. Often a person who appears difficult may only have a different communication style. Identifying different communication styles helps you resolve conflicts and move forward.

By recognizing an individual's preferred communication style, you can identify what strategy works best to communicate with them. Before you can judge how to communicate best with others, you need to understand how others receive your own style. This can help you adapt to their styles of communicating.

The Keirsey Temperament Model offers characteristics and strategies for working with four temperaments: stabilizer, troubleshooter, analyst, and seeker; it provides details on how to identify these temperaments and strategies for winning their support.

## The Four Classic Personality Temperaments

The following text is adapted from “Please Understand Me: Character and Temperament Types” by David Keirsey and Marilyn Bates. It outlines how to interact with certain personality types. Each of these temperaments has its time and place. As an advisor, you need to be able to discern when certain personality temperaments are hindering the team’s performance. Once you identify the type of temperament, you can then work at uncovering and fixing the underlying cause.

### Temperament Characterization

	Words that Characterize the Temperament	Behavior at Work
<b>Stabilizer</b>	<ul style="list-style-type: none"> <li>• Steadfast</li> <li>• Dependable</li> <li>• Stable</li> <li>• Cautious</li> <li>• Conservative</li> <li>• Accurate</li> </ul>	<ul style="list-style-type: none"> <li>• Establishes policies and rules</li> <li>• Enjoys working by standard procedures</li> <li>• Has sense of responsibility and obligation</li> <li>• Brings stability to organization</li> <li>• Helps others and does job well</li> </ul>
<b>Troubleshooter</b>	<ul style="list-style-type: none"> <li>• Enjoys freedom</li> <li>• Exciting</li> <li>• Optimistic</li> <li>• Seeks variety</li> <li>• Courageous</li> <li>• Independent</li> </ul>	<ul style="list-style-type: none"> <li>• Good at problem-solving</li> <li>• Manages crisis in ways others can’t match</li> <li>• Diplomat and negotiator</li> <li>• Thrives on impulse; isn’t stopped by rules and regulations</li> <li>• Always on lookout for opportunities</li> </ul>
<b>Analyst</b>	<ul style="list-style-type: none"> <li>• Logical</li> <li>• Future-oriented</li> <li>• Perfectionist</li> <li>• Desires power</li> <li>• Persistent</li> <li>• Open-minded</li> </ul>	<ul style="list-style-type: none"> <li>• Takes pride in technical know-how</li> <li>• Excels at precision</li> <li>• Not strong at unsnarling messes</li> <li>• Stands on principles</li> <li>• Seeks complex tasks</li> </ul>
<b>Seeker</b>	<ul style="list-style-type: none"> <li>• People-oriented</li> <li>• Talkative</li> <li>• Influencer</li> <li>• Emotional</li> <li>• Seeks relationships</li> <li>• Prefer to work with words</li> </ul>	<ul style="list-style-type: none"> <li>• Gets the best out of people</li> <li>• Focuses on people</li> <li>• Optimistic spokesperson</li> <li>• Sympathetic and generous with time</li> <li>• Enthusiastic worker</li> </ul>



*The Four Classic Personality Temperaments (continued)*

## Strengths and Weaknesses

	Strengths	Weaknesses
<b>Stabilizer</b>	<ul style="list-style-type: none"> <li>• Super dependable</li> <li>• Decisive</li> <li>• Patient</li> <li>• Excellent planner</li> <li>• Always prepared</li> </ul>	<ul style="list-style-type: none"> <li>• Can be overly pessimistic</li> <li>• Responds to the negative aspects of people when under pressure</li> <li>• May make decisions too quickly</li> <li>• Tends to resist change</li> </ul>
<b>Troubleshooter</b>	<ul style="list-style-type: none"> <li>• Practical</li> <li>• Adapts easily to new situation</li> <li>• Works well under pressure</li> <li>• Excellent problem-solver</li> <li>• Excellent decision-maker</li> </ul>	<ul style="list-style-type: none"> <li>• Impatient with any type of structure</li> <li>• Can be predictable</li> <li>• Resists changes for which they are not responsible</li> <li>• Can be unreliable</li> </ul>
<b>Analyst</b>	<ul style="list-style-type: none"> <li>• Creative</li> <li>• Future-oriented</li> <li>• Excellent designer of theoretical models</li> <li>• Intelligent</li> </ul>	<ul style="list-style-type: none"> <li>• Can come across as impersonal</li> <li>• Often expects too much of themselves and others</li> <li>• Can be hard for co-workers to approach</li> <li>• Impatient</li> </ul>
<b>Seeker</b>	<ul style="list-style-type: none"> <li>• Excellent communication skills</li> <li>• Excellent problem-solver</li> <li>• Caring</li> <li>• Eager</li> <li>• Best givers of appreciation</li> </ul>	<ul style="list-style-type: none"> <li>• Too generous with their time</li> <li>• May lose self-confidence under pressure</li> <li>• May base decisions on personal biases</li> <li>• Avoids unpleasantness by taking easy way out</li> </ul>

*The Four Classic Personality Temperaments (continued)*

Contribution

	Contribution to Organization	To Be More Effective and Productive They ...
<b>Stabilizer</b>	<ul style="list-style-type: none"> <li>• Excellent at organizing and accomplishing tasks</li> <li>• Keeps everyone well informed</li> <li>• Important details won't be missed</li> </ul>	<ul style="list-style-type: none"> <li>• Like compliments on how accurate and thorough they are</li> <li>• Focus on procedure rather than people</li> <li>• Can be insensitive to "lines of authority"</li> <li>• Are frequently influenced by Seekers</li> </ul>
<b>Troubleshooter</b>	<ul style="list-style-type: none"> <li>• Can spur an organization to action</li> <li>• Spots trouble signs in an organization early</li> <li>• Makes business a pleasure</li> </ul>	<ul style="list-style-type: none"> <li>• Like compliments on the grace and flair of their actions</li> <li>• Are more process-oriented and inventive</li> <li>• Move with authority in a crisis</li> <li>• Are risk-takers and need support from others</li> <li>• Pride themselves on bravery, boldness, and cleverness</li> </ul>
<b>Analyst</b>	<ul style="list-style-type: none"> <li>• Makes changes in the organization when necessary</li> <li>• Supportive of the ideas of others</li> <li>• Make excellent leaders or followers as circumstances demand</li> </ul>	<ul style="list-style-type: none"> <li>• Want to be appreciated for their ideas</li> <li>• Want people to follow their complex thinking</li> <li>• Don't care about personal compliments</li> <li>• Are logical and seldom resistant to change</li> <li>• Resist issues that violate common sense</li> </ul>
<b>Seeker</b>	<ul style="list-style-type: none"> <li>• Adds personalized, people point-of-view to organization</li> <li>• Outstanding at public relations</li> <li>• Excellent spokesperson for the organization</li> </ul>	<ul style="list-style-type: none"> <li>• Want to be appreciated in a personal way</li> <li>• Have difficulty handling negative criticism well</li> <li>• Want their feelings and ideas understood</li> <li>• Freedom and independence are crucial to their work environment</li> <li>• Make organization-wide changes possible</li> </ul>

*The Four Classic Personality Temperaments (continued)*

Communicating Change

	<b>This Person is Annoyed When ...</b>	<b>To Win this Person's Support During Change...</b>	<b>This Person Responds to Others by...</b>
<b>Stabilizer</b>	<ul style="list-style-type: none"> <li>• People don't follow standard procedure</li> <li>• Deadlines are not met</li> </ul>	<ul style="list-style-type: none"> <li>• Provide them with facts</li> <li>• Provide them with written documents describing the change</li> </ul>	<ul style="list-style-type: none"> <li>• Wanting people to get to the point and stick to it</li> <li>• Speaking on their and others' weaknesses rather than their strengths</li> <li>• Sometimes withholding compliments</li> <li>• Being straightforward when dealing with people, confronting them if necessary</li> </ul>
<b>Troubleshooter</b>	<ul style="list-style-type: none"> <li>• Being told how to work</li> <li>• Asked to follow standard procedure</li> </ul>	<ul style="list-style-type: none"> <li>• Let them do things their own way</li> <li>• Include them in the change</li> </ul>	<ul style="list-style-type: none"> <li>• Responding quickly to the ideas of others; easygoing most of the time</li> <li>• Taking risks and encouraging others to do the same</li> <li>• Changing their position as new facts and ideas arise</li> <li>• Listening to directions from the boss but may not follow them</li> </ul>
<b>Analyst</b>	<ul style="list-style-type: none"> <li>• Asked to do something unreasonable</li> <li>• Traditions or personal bias get in the way</li> </ul>	<ul style="list-style-type: none"> <li>• Appeal to their intellect</li> <li>• Let them design models for change</li> </ul>	<ul style="list-style-type: none"> <li>• Not thinking they must get ahead at the expense of others</li> <li>• Responding to ideas of others</li> <li>• Acknowledging others' contributions</li> <li>• Remembering and honoring all decisions even when pressured</li> </ul>
<b>Seeker</b>	<ul style="list-style-type: none"> <li>• Treated impersonally</li> <li>• Asked to work behind a desk for any length of time</li> </ul>	<ul style="list-style-type: none"> <li>• Involve them in decisions</li> <li>• Give them time to discuss change</li> </ul>	<ul style="list-style-type: none"> <li>• Relating well and being popular with people</li> <li>• Being personal</li> <li>• Finding work a source of social satisfaction</li> <li>• Knowing a great deal about the people they work with</li> </ul>

## The Art of Facilitation

The following are some suggestions for effective facilitation.

A Participant Needs...	Suggestions for Facilitators
To feel their opinions and concerns are being heard.	<ul style="list-style-type: none"> <li>• Listen attentively to all participants</li> <li>• Maintain eye contact with each speaker</li> <li>• Use gender-neutral or unbiased speech</li> </ul>
To feel validated.	<ul style="list-style-type: none"> <li>• Generously offer genuine comments such as “I like that idea” or “I’m glad you’re here.”</li> </ul>
To feel accepted.	<ul style="list-style-type: none"> <li>• If participants are not familiar with one another, provide an opportunity for them to introduce themselves.</li> </ul>
To feel a sense of trust and safety in the group.	<ul style="list-style-type: none"> <li>• Interrupt any negative comments or nonverbal behaviors that may be interpreted as a put down or that imply superiority of one sex, race, economic class, or ethnic group.</li> <li>• Tactfully defuse such situations with statements to the contrary: “Mike’s comment expresses a common assumption . . . I want to request that we eliminate that sort of bias from our conversations.”</li> </ul>
To feel that they are able and expected to give suggestions, lend support, and take initiative.	<ul style="list-style-type: none"> <li>• Encourage and solicit participant interaction, including advice and encouragement to both the instructor and other participants.</li> </ul>
To know it is okay to ask for suggestions and encouragement.	<ul style="list-style-type: none"> <li>• Model these behaviors by doing them yourself or encouraging people to ask for help.</li> </ul>
To know that their life experiences are an important and valuable resource.	<ul style="list-style-type: none"> <li>• State that their examples and comments are welcome.</li> </ul>
Processes that allow for the free release of their feelings and thoughts.	<ul style="list-style-type: none"> <li>• Allow time for discussion.</li> </ul>
An atmosphere where they can be taken seriously while at the same time allowing for laughter, humor, errors, and flexibility.	<ul style="list-style-type: none"> <li>• Allow participants to have fun and be lighthearted. If they are enjoying themselves, they are probably open to new ideas.</li> </ul>

A Participant Needs...	Suggestions for Facilitators
Processes that allow for resolving conflicts without one person winning at another's expense.	<ul style="list-style-type: none"> <li>• There may not always be a right answer. Recognize the valid components of all input.</li> <li>• Strive for creative-blend solutions based on participant input.</li> </ul>
The opportunity to evaluate their learning.	<ul style="list-style-type: none"> <li>• Allow participants to express their satisfaction, dissatisfaction, or suggestions.</li> </ul>
To feel they are engaged in a meaningful and important activity.	<ul style="list-style-type: none"> <li>• Explain the purposes of learning activities.</li> <li>• Allow participants to question, clarify, and even change the expected outcomes at the start of a workshop.</li> </ul>
To develop new ideas about the teacher-student relationship.	<ul style="list-style-type: none"> <li>• Recognize that you may not have all the answers.</li> <li>• Rather than presenting a know-it-all image, be eager to learn, with a lot of ideas about how to learn, where to find out new information, and how to acquire new skills.</li> <li>• Be flexible to allow participants to take control of their own learning.</li> </ul>
Help sometimes to overcome old patterns of passivity and feelings of inadequacy.	<ul style="list-style-type: none"> <li>• Ask for the thoughts of those who have not spoken.</li> <li>• Set a guideline that no one speaks twice until everyone has spoken once.</li> <li>• Check out concerns with those holding back in a one-on-one setting.</li> </ul>
To know how a learning activity relates to real situations.	<ul style="list-style-type: none"> <li>• Help participants make their conclusions explicit by asking questions such as "How will we use the ideas that have come up today?"</li> </ul>
Consideration even when the best of learning plans do not hold his or her attention all of the time.	<ul style="list-style-type: none"> <li>• Use the attention level as a gauge of how well things are going.</li> <li>• If attention levels drop, ask what is wrong or where the discussion should go next.</li> </ul>
To understand where the group is in the planned sequence of activities.	<ul style="list-style-type: none"> <li>• Post or distribute an agenda.</li> </ul>

A Participant Needs...	Suggestions for Facilitators
To have control over how they spend their time.	<ul style="list-style-type: none"> <li>• Include timeframes in the agenda. If necessary, these can be revisited or debated.</li> <li>• If an activity runs over on time, consider cutting it short, dropping a later item, or extending the workshop. Make the group aware of any such decisions.</li> <li>• If particularly tight on time, consider limiting time for individual contributions to a discussion.</li> </ul>
Real evidence that their efforts to shape the learning experience have some impact.	<ul style="list-style-type: none"> <li>• Be flexible and willing to adapt to the learning needs of the group.</li> <li>• To be responsive to participants' learning needs, be prepared to add, delay, or even scrap the prepared agenda.</li> </ul>
A comfortable physical environment in order to learn most effectively.	<ul style="list-style-type: none"> <li>• Ensure space provides adequate lighting, heat, ventilation, and square footage for the purpose.</li> <li>• Monitor these conditions and be prepared to adjust.</li> </ul>
To have a sense of forward progress.	<ul style="list-style-type: none"> <li>• Spot trivial discussions, endless debates, and reinventions of the wheel. Topics meriting later consideration can be flagged.</li> </ul>
To be able to see from where their conclusions came.	<ul style="list-style-type: none"> <li>• Summarize major discussion points by posting them in a conspicuous place.</li> </ul>

Association for Community Based Education. *The Art of Facilitation. Literacy for Empowerment Resource Handbook*. Washington, D.C., pp. 184-87.



[illegible]

## Definition of Terms

**Authorizing Official**—A management official who has been assigned authority to obligate and expend funds of the organization. For the purposes of approving the results of the Component pay decision process, the authorizing official will be the head of the Component.

**Compensation Workbench**—Compensation Workbench (CWB) is a tool used by DCIPS organizations to facilitate pay pool meetings. It is a spreadsheet that contains all the functionality needed to develop initial performance-based salary increase and performance-based bonus recommendations.

**DCIPS Performance Appraisal Application (PAA)**—The DCIPS Performance Appraisal Application is the web-based tool that supports the performance planning and evaluation process of DCIPS for employees whose personnel data is contained in the Defense Civilian Personnel Data System (DCPDS). DCIPS PAA is accessible via My Biz or My Workplace.

**Evaluation of Record**—The summary performance rating, derived from the employee's ratings on his or her performance elements and performance objectives, assigned during the annual evaluation of employee performance that is used for official purposes, including decisions on performance-based salary increase and bonus decision processes under DCIPS.

**Evaluation Period**—The annual period from creation of the employee performance plan through completion of the annual performance evaluation and evaluation of record. For DCIPS, the evaluation period covers the period 1 October through 30 September each year.

**Individual Development Plan (IDP)**—A document initiated by the employee and supplemented by the supervisor as part of the annual performance planning process that outlines development objectives for the employee. IDPs may include training, education, individual coaching, work assignments or other activities designed to improve the employee's capability within his or her career field.

**Midpoint in the Pay Band**—The point halfway between the minimum and maximum of a pay band. The midpoint is the default control point for all DCIPS pay bands and serves as the reference point for establishing the relationship between DCIPS rate ranges and the applicable labor market.

**Midpoint Performance Review**—A required formal review and conversation that typically takes place about midway through the performance cycle. The employee and rating official discuss the employee's progress towards completing the employee's performance plan. If necessary, the performance plan and job objectives may be adjusted to address changes in priorities or work requirements.

**Mock Pay Pool**—An exercise during the Prepare phase of the pay pool process, in which organizations seek to identify ways to improve their pay pool process to achieve greater efficiency, consistency, and fairness.

**Pay Band or Band**—The pay range associated with a particular work category and work level. There are five (5) pay bands in DCIPS.

**Pay Phase of the Pay Pool Cycle**—The Pay phase of the pay pool process is focused on reviewing initial performance-based salary and bonus information for purposes of making meaningful decisions about employee performance-based compensation.

**Pay Pool**—A logical aggregation of employees within a Component for the purpose of making annual performance-based compensation decisions. The organizing construct for a pay pool may include consideration of organization or region of assignment, occupation, or other organizing criterion involving a common mission focus.

**Pay Pool Fund**—The amount of money designated for performance payouts to employees covered by a pay pool. The pay pool fund consists of the budget for performance-based increases and the budget for performance-based bonuses.

**Pay Pool Manager**—An individual typically in the chain of command for employees assigned to a pay pool. The panel are designated by the head of the Component to conduct the decision making process for annual performance-based compensation decisions for employees assigned to the pay pool.

**Pay Pool Panel**—A group of managers who typically share chain of command responsibilities for employees assigned to a pay pool who are designated by the head of the Component to participate in the annual performance-based pay decision making process under the leadership of a pay pool manager.

**Pay Pool Performance Review Authority (PRA)**—A senior executive or board of executives within the chain of command of employees included in the rating and pay pool processes for the organization. Except where the PRA is the head of the Component, the PRA should be at a level higher within the organizational hierarchy than the most senior pay pool manager or reviewing official participating in the performance or pay decision process. Where separation is not possible, the PRA shall be established as a senior manager or panel not in the chain of command.

**Performance-based Bonus**—A one-time lump-sum payment made to employees for high-quality performance during the year.

**Performance-based Bonus Algorithm**—The algorithm by which initial performance-based bonuses are determined, the results of which are used by the pay pool to begin deliberations about bonuses for members of the pay pool.

**Performance-based Salary Algorithm**—The algorithm by which initial performance-based salary increases are determined, the results of which are used by the pay pool to begin deliberations about salary increases for members of the pay pool.

**Performance Element**—A standard set of behaviors for all DCIPS positions derived from analysis of the work being performed by employees that are necessary for successful performance of that work.

**Performance Evaluation**—The written, or otherwise recorded, evaluation of performance and accomplishments rated against DCIPS performance elements and objectives.

**Performance Evaluation Conversation**—A performance conversation at the conclusion of a performance cycle in which an employee and his or her rating official review the employee's performance evaluation and rating after approval by the reviewing official. This conversation could also include discussions about performance expectations for the upcoming cycle and opportunities for individual development.

**Performance Evaluation of Record**—The summary performance rating, derived from the employee's ratings on his or her performance elements and performance objectives. The rating is assigned during the annual evaluation of employee performance that is used for official purposes, including decisions on performance-based salary increases and bonuses.

**Performance Management**—Applying the integrated processes of setting and communicating performance expectations; monitoring performance and providing feedback; developing performance and addressing poor performance; and rating and rewarding performance in support of the organization's goals and objectives.

**Performance Management Performance Review Authority (PRA)**—A performance management PRA is a senior manager within the chain of command of employees to provide oversight of the rating process and assure consistency in the application of principles and criteria, and will resolve employee requests for reconsideration.

**Performance Objectives**—Information that relates individual job assignments or position responsibilities accomplishments to performance elements, standards and the mission, goals, and objectives of the Component.

**Performance Payout**—The combination of your performance-based salary increase and your performance-based bonus increase.

**Performance Payout "Floor"**—The minimum performance increase in base salary an employee performing at a "successful" level, and otherwise eligible for a performance payout, may receive during the annual performance decision process. This amount will be established annually by the USD(I) based on the recommendation of the Defense Intelligence Human Resource Board (DIHRB). Initially this amount will not be less than the annual Congressional General Pay Increase (GPI) authorized for Federal General Schedule (GS) employees.

**Performance Plan**—All of the written, or otherwise recorded, performance elements, standards, and objectives against which the employee's performance shall be measured.

**Performance Standards**—Descriptors, by performance element, of “successful” performance thresholds, requirements, or expectations for each career path and pay band.

**Plan Phase of the Pay Pool Cycle**—The Plan phase of the pay pool process is marked by events such as establishing pay pool structures, identifying or confirming the employee, rating official, and reviewing official hierarchy, capturing financial data, and communicating organizational goals and priorities throughout the organization. The pay pool Plan phase happens concurrently with the Plan phase of the performance management cycle.

**Prepare Phase of the Pay Pool Cycle**—The Prepare phase of the pay pool cycle parallels and supports the Monitor, Develop, and Rate phases of the performance management cycle. The Prepare phase includes activities that strengthen skills and improve the pay pool process by helping pay pool members fine-tune their understanding of performance levels and the pay pool process. Mock pay pools are conducted during the Prepare phase.

**Rating Official**—The official in an employee’s chain of command, generally the supervisor, responsible for conducting performance planning, managing performance throughout the evaluation period, and preparing the end-of-year performance evaluation on an employee.

**Reviewing Official**—An individual in the rater’s direct chain of supervision designated by the head of the Component to assess supervisors’ preliminary performance ratings for consistency.

**Self-Report of Accomplishments**—Self documentation of an employee’s accomplishments. They confirm the employee’s understanding of his or her performance objectives, highlight the most significant achievements, address performance elements, and how the accomplishments helped the organization to meet its goals.

## Other Resources

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