

ORDER

U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
GREAT LAKES REGION

GL AT 3450.1G

5/21/84

SUBJ: INCENTIVE AWARDS PROGRAM - AIR TRAFFIC DIVISION

1. PURPOSE. This order revises procedures for processing Quality Step Increases (QSI's) and Special Achievement Awards (SAA's), including Special Act/Service Awards.
2. DISTRIBUTION. This order is distributed to section level and above in the Air Traffic Division and to all air traffic field facilities, Great Lakes Region.
3. CANCELLATION. This order cancels Order GL AT 3450.1F, dated 4/5/83.
4. ASSOCIATED DIRECTIVES. FAA Order 3450.7D, Incentive Awards Program, and FAA Order 3400.13, General Performance Appraisal System.
5. BACKGROUND.

* a. Previously, the regional Incentive Awards Coordinator had the responsibility for reviewing all award justifications for specificity, format, length, and compliance with existing directives and, if necessary, returned them to the originating facility/branch/staff office for rewrite with an explanation of changes required. This included awards that were already approved by the facility/branch office manager. This removes from the regional incentive Awards Coordinator, the responsibility for reviewing facility/branch approved awards and places it solely on those facility and branch managers who approve them. Subsequent reviews of those facility/branch approved awards will be conducted by the Evaluation Staff, AGL-505, during regular check and special evaluations as a separate line item. The regional awards coordinator will continue to process awards in all other aspects and manage program resources. Those awards that require approval by the Air Traffic Division Manager will continue to be reviewed by the Regional Incentive Awards Coordinator.

b. Since the development of "Merit Pay" classification, separate directives provide procedures when granting Merit Pay employees monetary awards for sustained superior performance. The Incentive Awards Program Handbook and this directive are used for all other types of awards (i.e., Special Act/Special Service, Beneficial Suggestions, etc.) for these employees.

6. ACTION.

* a. Each field facility shall appoint a facility Incentive Awards Coordinator, if other than the Air Traffic Manager, to be the focal point for all facility communication and coordination with the regional Incentive Awards Coordinator. The name of the appointee shall be confirmed in writing to the regional Incentive Awards Coordinator, AGL-513, with a copy retained by the designating/delegating official.

Distribution: A-X(AT)-4; FAT-0 (limited)

Initiated By: AGL-510

b. Supervisors shall ensure that the criteria described in FAA Order 3450.7D, "Incentive Awards Program," is documented in the awards justification write-up.

c. All award justifications for QSI's and SAA's for sustained superior performance shall:

(1) be submitted on plain bond paper in the format depicted in Appendix 1 or 2 of this order. When supervisors use the format depicted in Appendix 2, they must ensure that:

* (a) the most recent General Performance Appraisal Document (GPAD) is attached and is not more than 60 days old (if more than 60 days old, use Appendix 1 format);

(b) the GPAD contains in each Critical Job Element (CJE), a minimum of one specific occurrence of observed or known employee performance that exceeds the performance standards for the position; and

(2) the GPAD reflects the majority of the award period. *

(3) normally not exceed two typewritten pages.

d. Award justification for SAA's for Special Act/s or Service/s, whether for individual or groups, shall:

(1) specifically describe the act or service performed;

(2) indicate the period covering the act or service;

(3) explain how the act or service increased the efficiency, productivity, and/or economy of government operations, and

(4) normally not exceed one typewritten page.

e. Award amounts for SAA's for sustained superior performance shall be determined through use of the formula and worksheet depicted in Appendix 4.

f. Award amounts for SAA's for Special Act's or Special Service's shall be determined in accordance with Handbook 3450.7D, paragraphs 36a and 36b.

7. RESPONSIBILITIES AND AUTHORITY.

* a. Facility/branch office managers (when approval authority is within the facility/branch office) shall:

(1) review the justification for format, length, compliance with existing directives, and the specificity of the award justification for those awards submitted by subordinate supervisors;

(2) approve or disapprove award recommendations;

(a) if approved, forward the award justification and appropriate forms to the regional Incentive Awards Coordinator for further processing. The award shall not be announced until notified by the regional Incentive Awards Coordinator that final processing has been completed.

(b) if disapproved, return the award to the recommending official with an explanation why it was disapproved. When appropriate, provide guidance and assistance to the recommending official for rewrite and required changes.

b. Facility/branch/staff office managers when approval authority is at the division level shall forward award recommendations and appropriate forms to the regional Incentive Awards Coordinator for review and obtain the necessary division approval. The award shall not be announced until notified by the regional Incentive Awards Coordinator that final processing has been completed.

c. Regional Incentive Awards Coordinator shall:

(1) when the approval authority is the Air Traffic Division Manager or above, review the justification format, length, compliance with existing directives, and the specificity of the award justification; and if necessary, return the award to the originating facility/branch/staff office for rewrite with an explanation of changes required; and

(2) process awards in accordance with procedures outlined in paragraph 8 below.

8. PROCEDURES (QSI's, SAA's).

a. Facility/branch office managers shall submit the following:

(1) When approval authority is within the facility/branch -

(a) One copy of the award justification with signatures.

(b) One copy of the most recent GPAD including performance standard. (SAA's for Special Act/Service need performance standard only.)

(c) One original FAA Form 2730-71 (SAA's only).

(2) When approval authority is the Air Traffic Division Manager or above -

(a) The original and one copy of the award justification with signatures on each.

(b) One copy of the most recent GPAD including performance standard. (SAA's for Special Act/Service need performance standard only).

b. The regional Incentive Awards Coordinator shall sign only the copy of the award justification that is forwarded to the employee's Official Personnel Folder (OPF). The signature line shall be omitted on the employee's copy.

c. The regional Incentive Awards Coordinator shall:

(1) When approval authority is within the facility/branch -

(a) Insure all appropriate documents are included in the awards package, and

(b) Complete final processing.

(2) When approval authority is the Air Traffic Division Manager, or above -

(a) Insure all appropriate documents are included in the award package;

(b) Review the justification for format, length, specificity, and compliance with existing directives; and

(c) Complete final processing.

(3) Notify the originating facility/branch/staff office when final processing has been completed;

(a) verbally, when the approval authority is at the facility/branch office level, or

(b) by returning an approved original letter of justification and an appropriately completed "certificate" when the approval authority is the Air Traffic Division Manager or above.

* c. The facility, branch, staff office presents the award. (The facility/branch is responsible for the preparation of the appropriate certificate when the approval authority is at the facility/branch office level. The regional Incentive Awards Coordinator is responsible for the preparation of the appropriate certificate when the approval authority is at the division level.) *

9. LETTERS OF COMMENDATION. Facility/branch/staff office managers shall forward one copy of all Letters of Commendation directly to AGL-14 for inclusion in the employee's official personnel folder.

10. FORMS AND CERTIFICATES. The following is a list of forms and an explanation of their use in the Incentive Awards Program.

* a. SF-50, "Notice of Personnel Action." This is provided to the employee when a Quality Step Increase Award has been approved and processed. *

b. FAA 2730-71, "Cash Award Payment Authorization." This is used to authorize payment of Special Achievement Awards.

c. FAA 3450-14, "Certificate of Special Achievement." This certificate is given to an employee in association with a Special Achievement Award. (However, when a Special Achievement Award is based on the same period of performance for which an outstanding rating is approved, FAA Form 3450-13, Outstanding Performance Certificate, is issued in lieu of an award certificate.)

d. FAA 3450-7, "Certificate of Quality Performance." This certificate is given to an employee in association with a Quality Step Increase Award. (However, when a Quality Step Increase Award is based on the same period of performance for which an outstanding rating is approved, FAA Form 3450-13, Outstanding Performance Certificate, is issued in lieu of an award certificate).



K. C. Patterson
Manager, Air Traffic Division

APPENDIX 1. AWARD FORMAT FOR QSI AND SAA FOR SUSTAINED SUPERIOR PERFORMANCE

JUSTIFICATION FOR (QSI OR SAA) FOR SUSTAINED SUPERIOR PERFORMANCE

<u>NAME & SSN</u>	<u>TITLE & GRADE/STEP</u>	<u>PERIOD COVERED</u>	<u>TIME IN POSITION</u>
John Doe 999-99-9999	ATCS GS-12/5	11/1/81-11/1/82	3 years 5 months

General description of duties are included in the attached performance standard (or performance appraisal document).

Examples of superior performance are:

* CJE #1 - (Title of Critical Job Element) *

(Briefly describe one occurrence of observed or known performance of how the employee actually performed above and beyond the performance standards for the position. This example must be representative of the employee's normal performance. Stating bench marks described in 3400.15, Appendix 5, and 3400.16, Appendix 5, will not suffice.)

* CJE #2 - (Title of Critical Job Element) *

(Same as in CJE #1. Continue for each subsequent CJE.)

The employee's position description and the performance standard for the position were thoroughly reviewed prior to submitting this recommendation. I certify that the employee's performance of all the critical job elements met or exceeded the standard.

NOTE: Select the appropriate sentence to finish supervisory certification.

For Quality Step Increases

Performance was sustained at these levels for at least 6 months and is expected to continue in the future.

For Special Achievement Award

Performance was sustained at these levels for at least 6 months.

* Therefore, I recommend John Doe for a (Quality Step Increase Award or Special Achievement Award). *

I certify that all applicable requirements of FAA Order 3450.7D and 3400.13 have been met, and that this employee has not received an award based upon

sustained individual performance of regularly assigned duties within the previous 52 weeks.

George S. Best
Recommending Official
Area Supervisor, Anyplace, IL, ATCT

5/19/84
Date

Felicia F. Fontana
Approving Official
Manager, Anyplace, IL, ATCT

5/18/84
Date

Ernest W. Holmes
**Regional Incentive Awards Coordinator
Supervisor, Programs Section, AGL-513

5/20/84
Date

*

*

** See paragraph 8.b.

APPENDIX 2. AWARD FORMAT (ALTERNATE) FOR OSI AND SAA FOR SUSTAINED SUPERIOR PERFORMANCE

JUSTIFICATION FOR QUALITY STEP INCREASE SPECIAL ACHIEVEMENT
AWARD FOR SUSTAINED SUPERIOR PERFORMANCE

NAME: Raymond Leonard TITLE: ATCS
SSN: 999-99-9999 GRADE/STEP: GS-12/5
PERIOD COVERED: 5/15/83-5/14/84 TIME IN POSITION: 3 YRS - 2 MOS.

* In support of this award, the attached GPAD is not more than 60 days old and contains within each CJE a description of at least one specific occurrence of observed or known performance of how the employee actually performed above and beyond the performance standards for the position.

The employee's position description and the performance standard for the position were thoroughly reviewed prior to submitting this recommendation. I certify that the employee's performance of all the critical job elements met or exceeded the standard.

Quality Increase - Performance was sustained at these levels for at least 6 months and is expected to continue in the future.

Special Achievement Award - Performance was sustained at these levels for at least 6 months.

* Therefore, I recommend Raymond Leonard for a (Quality Step Increase or Special Achievement Award).

I certify that all applicable requirements of FAA Orders 3450.7D and 3400.13 have been met and that this employee has not received an award based upon sustained individual performance of regularly assigned duties within the previous 52 weeks.

George S. Best
Recommending Official
Area Supervisor, Anyplace, IL, ATCT

5/19/84
Date

Felicia F. Fontana
Approving Official
Manager, Anyplace, IL, ATCT

5/18/84
Date

Ernest W. Halms
**Regional Incentive Awards Coordinator
Supervisor, Programs Section, AGL-513

5/20/84
Date

**See paragraph 8.b.

APPENDIX 3. AWARD FORMAT FOR SAA FOR SPECIAL ACT AND/OR SPECIAL SERVICE

* JUSTIFICATION FOR SAA FOR (SPECIAL ACT OR SPECIAL SERVICE)

<u>NAME & SSN</u>	<u>TITLE & GRADE/STEP</u>	<u>PERIOD COVERED</u>	<u>TIME IN POSITION</u>
John Doe 999-99-9999	ATCS GS-12/5	11/1/81-11/1/82	3 years 5 months

General description of duties are included in the attached performance standard (or performance appraisal document).

(Describe the act or service that was performed and explain how it increased the efficiency, productivity, and/or improved the economy of the operation.)

In accordance with Handbook 3450.7D, the above contributions have resulted in benefits in the amount of \$ 8,000.00 or intangible benefits of (moderate/substantial/high/exceptional) value and (limited/extended/broad/general) benefit. Therefore, I recommend that a cash award in the amount of \$ 800.00 be awarded. (See 3450.7D, Chapter 4.)

I certify that all applicable requirements of FAA Order 3450.7D have been met.

George S. Best
Recommending Official
Area Supervisor, Anyplace, IL, ATCT

5/17/84
Date

Felicia S. Fontana
Approving Official
Manager, Anyplace, IL, ATCT

5/18/84
Date

* Ernest W. Holmes
**Regional Incentive Awards Coordinator
Supervisor, Programs Section, AGL-513

5/20/84
Date

**See paragraph 8.b.

APPENDIX 4. SAA FOR SUSTAINED SUPERIOR PERFORMANCE FORMULA

1. (Step 1) Enter the employee's General Salary (GS) grade and step plus the salary for the step (e.g., GS-11/6/\$28,593).
2. (Step 2) Enter the Total Performance Appraisal Score (TPAS) found in Section VI of the General Performance Appraisal Document.
3. (Step 3) Check the appropriate box in which the TPAS is found, in order to determine the percentage to be applied to the award.
4. (Step 4) Use the base salary (determined in Step 1) and multiply it by the percentage (determined in Step 3).
5. Take the figure, determined in Step 4, and round up to the next dollar increment.

SAA WORKSHEET FOR SUSTAINED SUPERIOR PERFORMANCE

1. Employee GS Grade/Step/Base Salary - GS-12/5 #34621
Grade/Step/\$Amount
2. Total Performance Appraisal Score (TPAS) - 1.70
3. Percentage to be applied:

	TPAS	Percentage
<input type="checkbox"/>	1.50 to 1.54	1%
<input type="checkbox"/>	1.55 to 1.64	2%
<input type="checkbox"/>	1.65 to 1.74	3%
<input type="checkbox"/>	1.75 to 1.84	4%
<input type="checkbox"/>	1.85 to 1.94	5%
<input type="checkbox"/>	1.95 to 2.00	6%

4. Amount of Award \$ 1038.63
(% x base pay)

5. Round up to the nearest dollar \$ 1039⁰⁰ (NOTE: The maximum dollar amount approvable within the Air Traffic Division is \$2,000.)