

ORDER

U. S. Department of Transportation
Federal Aviation Administration

SO 3450.11

SOUTHERN REGION

3/14/03

**SUBJ: SOUTHERN REGION ARC "SPIRIT OF FLIGHT" AWARD AND
RECOGNITION PROGRAM**

1. **PURPOSE.** This order establishes the Southern Region ARC "Spirit of Flight" Award Program. Regional ARC management believes such a program is an effective means of publicizing the contributions, accomplishments, and high caliber of dedicated ARC employees. The order also identifies other types of recognition available for Southern Region ARC employees.
2. **DISTRIBUTION.** This order is distributed to the following offices: The Regional Administrator's Office, ASO-1; the Runway Safety Program Office, ASO-1R; the Emergency Preparedness Operations Center, ASO-6; the Financial Services Division, ASO-20; the Logistics Division, ASO-50, and the Management Systems Division, ASO-60.
3. **REFERENCE.** The new Federal Aviation Administration (FAA) Performance Management System (PMS), PM-9.1, became effective October 1, 2001. PM-9.1 can be found in Volume 9, Performance Management in the Human Resources Policy Manual at web site <http://www.faa.gov/ahr/policy/hrpm/hrpmtoc.htm>. The new PM-9.1 replaced all of Federal Aviation Personnel Manual Letter 430-1A (FAPM 430-1A) *except for Chapter 2, Recognition, and Subchapter 2, Model Recognition Program*. These chapters provide all FAA managers and supervisors agency-wide policy requirements for recognizing and rewarding employees for outstanding performance/service and incentives to continue to provide outstanding performance/service.
4. **PROGRAM RESPONSIBILITIES.**
 - a. **The Regional Administrator** is responsible for providing leadership, resource support, and for reviewing selections and program results.
 - b. **ARC Division Managers and Staff Officers** are responsible for supporting and participating in the program.
5. **SOUTHERN REGION ARC "SPIRIT OF FLIGHT" AWARD** is a specially designed trophy to be presented by the ASO Regional Administrator to regional ARC employees. The award categories, definitions, eligibility, and rating criteria for this award are given below.

Distribution:
ASO-1, ASO-1R, ASO-6 (2 COPIES); ASO-20,60,50 (4 COPIES)

Initiated By: ASO-65

a. **The Program Excellence Award** is granted to an employee who has made a major contribution toward the accomplishment of an ARC, or an FAA program goal, e.g., budget, resource management, logistics, etc.

Eligible candidates include all Southern Region ARC employees.

Rating Criteria: Identify accomplishments that have significantly contributed to an ARC/FAA program or goal; the impact of the achievement on the agency and the aviation community; outstanding customer feedback; significant impact, recognition within the professional community; other forms of recognition given, and efforts of unusually effective skill, imagination, innovation, leadership, and/or perseverance.

b. **The Administrative Excellence Award** is granted to an employee who has provided excellent administrative or clerical support that has made a major contribution toward the accomplishment of ARC/FAA program goals, or efforts.

Eligible candidates include administrative officers/assistants, secretaries, payroll technicians, accounting technicians, clerical support personnel, program assistants, budget analysts, etc.

Rating Criteria: Describe the results of the individual's dedication/commitment to the ARC organization and the impact their performance has had on those served.

c. **The Leadership Award** is granted to a manager, a supervisor, program manager, or team leader for an accomplishment that demonstrates a high level of expertise in delivering state-of-the art "best practices" in management and administration.

Eligible candidates include a manager, supervisor, program manager, or team leader.

Rating Criteria: Describe how the nominee created clear values and expectations and set clear goals/vision; effectively communicated values, directions, expectations, focused on continuous improvement; empowered others to act, set examples as model for high work ethics; recognized contributions and celebrated accomplishments of staff. Describe results of leadership and supervision and impact on ARC/FAA.

d. **The Customer Service Award:** This award recognizes an individual or team for significant, value-added operational and administrative services to a customer.

Eligible candidates include any regional ARC employee or ARC team.

Rating Criteria: Identify accomplishments that have demonstrated improvements in customer service; willingness to find solutions to meet customer needs; recognized customer requirements and expectations; evidence of listening to customers; efforts to improve a product/service or resolve a problem. Describe results achieved and impact on others.

e. **The Model Work Environment Award**: This award recognizes the value which the Regional Administrator places upon ARC managers, supervisors, and employees who have demonstrated leadership and/or active support for results-oriented affirmative action, EEO, and work environment improvement initiatives.

Eligible candidates include all regional ARC employees.

Rating Criteria: Identify accomplishments for developing, implementing and integrating goals and actions outlined in the ARC Affirmative Employment Plan that resulted in changes/improvements in the workforce/workplace. Changes may be in the areas of sensitivity and fairness in the treatment of employees; improvement in motivational factors (recognition, achievement, growth, training, advancement); and improvement in the quality of work life.

f. **Spirit of Cooperation Award**: This award recognizes accomplishments that demonstrate highly successful collaboration and partnership either within or outside the ARC organization that contributes to the success and achievement of ARC/FAA performance goals and objectives.

Eligible candidates include all regional ARC employees.

Rating Criteria: Identify techniques used to effectively coordinate programs between people/organizations. Describe complexity of the planning, interaction with various groups and the impact of the results on the ARC/FAA mission and performance goals.

g. **Rising Star Award**: This award recognizes ARC employees who have demonstrated exceptional ability in performing relatively new work assignments.

Eligible candidates include non-supervisory ARC employees.

Rating Criteria: Identify specific examples of how the employee excelled in performing relatively new work assignments and how the outcome impacted the overall goals of the ARC performance plan.

6. NOMINATION AND SELECTION PROCESS.

a. Nominations for the "Spirit of Flight" awards described in Paragraph 5 above for Southern Region ARC employees will be accepted during the annual call for award nominations.

b. Any FAA Southern Region ARC employee may nominate a Southern Region ARC employee for a "Spirit of Flight" Award. Individuals, teams, program managers, or groups may be nominated in more than one honorary award category.

c. Nominations shall reflect accomplishments within the past year.

d. Nominations must have the concurrence of the Division/Staff Office Manager before submitting to the ARC Awards Coordinator.

e. The Regional Executive Manager will select the members of the Review Panel from representatives outside the regional ARC organization. Review Panel members may include business or civic leaders as well as FAA employees. To facilitate objectivity, the Review Panel will employ a rating process where the panel members will not know who they are rating. The Review Panel will establish the ranking factors for the "Spirit of Flight" Award categories, select the award winners, and submit the names of the winners to the Regional Executive Manager.

f. Appendix 1 provides a sample format for nomination purposes. No more than one typed page will be accepted.

7. RECOGNITION: Recipients of the award categories described in Paragraph 5 above will receive an ASO ARC "Spirit of Flight" trophy. In the case of a group or team receiving an award, all members of the group or team will receive an individual trophy.

8. OTHER TYPES OF RECOGNITION available for ASO ARC employees are described below.

a. Lump sum monetary recognition is paid at one time in addition to regular pay, subject to the withholding of taxes, and is not an increase to base pay. Lump sum monetary recognition may be made to an individual employee, group, or team and must be documented by written justification and filed in an employee's performance file (EPF). (See Appendix 2) In addition, monetary recognition must be documented by SF-50, Notification of Personnel Action. The SF-50 is filed in the employees' official personnel folder (OPF). Criteria for lump sum recognition follow.

(1) Significant contribution to the efficiency, economy or improvement of Government operations;

(2) Exceptional service to the public, superior accomplishment, or special act or project on or off the job;

(3) Recurring exemplary service, i.e., performance throughout the year that consistently exceeds expectations and contributes to FAA/ARC goals and objectives;

(4) Exceptional customer service;

(5) Contributions which promote and support accomplishment of the organization's missions, goals, and/or values;

(6) Contributions made despite unusual difficulties;

(7) **Creative or innovative methods used to make work processes or results more efficient and effective.**

b. **Quality Increase (QI) and In-Position Increase** are increases in an employee's rate of basic pay. The QI is granted in recognition of excellence in demonstrated, sustained performance of high quality. In-Position Increases acknowledge special circumstances such as an employee's significant professional growth or increased complexity of an employee's current job. (See Appendix 2 for guidelines.)

c. **Honorary award recognition** may be in the form of a medal, certificate, plaque, citation, lapel pin, or other similar item that has an award or honor connotation. Honorary recognition includes Time-Off Award, FAA Award for Superior Achievement, FAA Distinguished Career Service, Certificate of Achievement, Official Letter of Commendation, or the Regional Administrator's "Special Thank You." (See Appendix 3 for guidelines.)

d. **The Time-Off Award** (excused absence from duty) is granted without any charge to leave or loss of pay. This award may be granted to an individual, group, or team for specific accomplishment(s). It is documented by an SF-50 and written justification and is documented on the time and attendance (T&A) record. An employee's first level supervisor recommends the time-off award with final approval by the employee's second level supervisor. The written justification is filed in the employee's EPF. The SF-50 is filed in the employee's Official Personnel File. Prior coordination between ARC division managers/supervisors is required before granting a time-off Award. ARC organizations may also give time off awards to employees in other lines of business (LOB) with prior coordination. (Appendix 3 provides guidelines for granting the Time-Off Award and other Agency honorary awards not listed in Paragraph 5 of this Order.)

e. **Informal recognition** includes a simple "thank you," timely and positive feedback, a short note of appreciation, special recognition at a staff meeting, or letter of appreciation.

f. **The Regional Administrator's "Special Thank You"** is a specially designed lapel pin presented to an ARC employee by the Regional Administrator in recognition of a special contribution toward furthering the ARC/FAA mission.

g. **The Regional Administrator's Kitty Hawk Award and Top Flight Award** are covered in Order SO 3450.10 and nomination procedures for these awards are described therein.

9. APPROVAL AUTHORITY.

a. First level supervisors may approve monetary awards up to \$500 for an individual , \$1,500 for group/team, and up to 16 hours for an individual time-off award.

b. Second level supervisors may approve monetary awards up to \$2,000 for individuals, \$5,000 for group/team, and up to 40 hours for an individual time-off award.

c. **Division Managers may approve monetary awards up to \$2,000 for individuals, up to \$5,000 for group/team, up to 40 hours for an individual time-off award, and Quality In Grade/In-Position increase awards.**

d. **The Regional Administrator is the approval authority for monetary awards \$2,001 up to \$3,000 for an individual and up to 40 hours for individual time-off recognition.**

e. **The Regional Administrator approves all "Spirit of Flight" Award categories described in Paragraph 5 of this Order.**

10. DOCUMENTATION AND FILES. Each Southern Region ARC organization maintains an Employee Performance File (EPF) System for its employees and justifications for recognition will be maintained in each employee's EPF. (Appendix 4 provides guidance for maintaining an EPF system.)

11. ARC AWARDS COORDINATOR, AWARDS COMMITTEE. The Regional Administrator will appoint an ARC awards coordinator for the Southern Region ARC organization.

a. **The ARC Awards Coordinator will issue the yearly call for award nominations and establish a time line for submission of nominations. The ARC Awards Coordinator will plan, and schedule the annual ARC awards ceremony.**

b. **The ARC Awards Committee will be comprised of the awards coordinators established or appointed by the ARC division managers/staff officers. The committee will assist the Awards Coordinator in planning and scheduling the annual awards ceremony. The Awards Coordinator and Awards Committee will receive guidance from and work closely with the Regional Executive Manager, ASO-3.**



**Carolyn Blum
Regional Administrator**

APPENDIX 1 - SAMPLE FORMAT
SOUTHERN REGION ARC "SPIRIT OF FLIGHT"
AWARD NOMINATION FORM

AWARD CATEGORY:

NOMINEE:

ORGANIZATION:

NOMINATED BY:

NARRATIVE: (Limit to one single page.) (Use Font Times New Roman 12.)

Approved:

Recommended by:

Regional Administrator

Division Manager/Staff Officer

Date

Date

APPENDIX 2. MONETARY RECOGNITION

**Table 1
(Documented by an SF-50)**

<p>Lump Sum Monetary Recognition (See Table 2 for Measurable Benefits Scale and Table 3 for Non-Measurable Benefits Scale)</p>	<p><u>Monetary recognition</u> paid at one time in addition to regular pay, is subject to the withholding of taxes, and is not an increase to base pay. Criteria for this recognition are described in Paragraph 8a in this Order.</p>
<p>Quality Increase (QI) and In-Position Increase. (Refer to the Human Resource Policy Manual (HRPM), Policy Bulletins, COMP-2.10C for details on In-Position Increases.)</p>	<p><u>A QI</u> is a permanent increase in an employee's rate of basic pay approximately 3 percent. The purpose of a QI is to provide appropriate incentives and recognition for excellence in performance by granting a faster than normal increase. To be eligible, an employee's current performance must be at the highest level that the organization's performance program allows. Employees whose whole performance does not meet expectation are not eligible. Documentation must cite examples of demonstrated sustained performance of high quality. A QI should be effective as soon as practical once it is approved. An employee may be nominated for and receive a QI at any time during the year. A QI may not be granted to an employee who is at the top of his/her pay range, has received a QI within the preceding 52 consecutive calendar weeks, or is in an Executive System (FB, FX, or FJ pay plans) or Wage-Grade position (FW, FL, FS, FJ pay plans).</p> <p><u>An In-position Increase</u> is an increase in base pay when an employee remains in the same position and pay band. In-position base pay increases may range from 1 percent to 7 percent and should average 4 to 5 percent for the organization as a whole during each fiscal year for all in-position increases granted. No more than 2 percent of</p>

	employees within a LOB or Staff Office may receive in-position increases in any fiscal year. An employee may receive no more than one in-position increase over a two-year period.
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Table 2 – Measurable Benefits Scale

<u>Benefit</u>	<u>Amount</u>
Up to \$10,000	10 percent of the benefits
\$10,000 - \$100,000	\$1,000 for the first \$10,000 in benefits, plus 3 percent of benefits over \$10,000
\$100,001 or more	\$3,700 for the first \$100,000 in benefits plus .005 of benefits over \$100,000. Award amount should not exceed recipient's annual salary

Table 3 – Non-measurable Benefits Scale

<u>Value of Benefits</u>	<u>Application</u>		
	<u>Limited:</u> Impacts the public interest or a specific small work unity to as large as a division or region	<u>Broad:-</u> Impacts the public interest or several regional areas or an entire mode	<u>General:</u> Impacts the public interest or more than one mode or the entire Department
<u>Small/Moderate</u>	\$50 - \$325	\$326 - \$650	\$651 - \$1,300
<u>Moderate/Substantial</u>	\$325 - \$650	\$650 - \$1,300	\$1,301 – \$3,150
<u>Substantial/Extended</u>	\$1,000 - \$2,500	\$2,501 - \$5,500	\$5,501 - \$10,000

APPENDIX 3. TIME OFF AND HONORARY AWARD RECOGNITION

<p><u>Time-Off Recognition</u> (Documented by SF-50)</p>	<p>Excused absence granted to an employee without charge to leave or loss of pay. May be granted for individual, group, or team contributions. May be combined with monetary and/or other honorary recognition, but may not be converted to a monetary payment. Must be documented by an SF-50, a written justification, and on the Time and Attendance (T&A) sheets and approved by the supervisor or individual designated by the organization. The written justification is filed in the employee's EPF.</p>
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**Measurable Benefits
for
Time Off Scale**

Value of the Employee's Contribution	Hours to be Granted
<p><u>Small/Moderate:</u> Contributions that help to ease a backlog, promote safety, or complete a special project that benefited primarily the employee's local office/</p>	<p>1 – 16 Hours</p>
<p><u>Moderate/Substantial:</u> Contributions that helped an entire division, region, or other large geographic area.</p>	<p>17 – 40 Hours</p> <p>(Suggested amounts only. Amounts subject to budget limits and approval by the appropriate officials.) May recognize group/team accomplishments but must be limited individually; e.g., for an accomplishment by a group/team of three employees, each employee receives 4 hours.</p>

<p>Regional Administrator's "Special Thank You"</p>	<p>A special lapel pin given by the Regional Administrator at her discretion in recognition of a special contribution toward furthering the ARC/FAA mission.</p>
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OTHER AGENCY HONORARY AWARDS

FAA Award for Superior Achievement	The highest FAA award for achievement, which the Administrator must approve. The award consists of a bronze medal, lapel, rosette, and plaque. Organizations must submit proposal memos with accompanying documentation through appropriate officials to the Administrator.
FAA Distinguished Career Service Award	Granted to a retiring employee who has exhibited truly exemplary performance and has made significant, widely recognized contributions to the FAA and the Federal service during an entire career. Associate/Assistant/Regional /Administrators and Program/Center Directors may approve this award on behalf of the Administrator. The award consists of an engraved plaque. Employees retiring with at least 20 years of Federal service are eligible, provided they have previously received at least two of the following: monetary award, any Department of Transportation or FAA honorary recognition, or FAA nominee for any governmental or external recognition. Organizations submit proposal memos with supporting documentation through appropriate officials to approving officials.
Certificate of Achievement	Granted to employees or groups of employees for significant acts, services, or achievements that materially aid or effect the successful accomplishment of the agency's mission. Associate/Assistant/Regional Administrators and Program/Center Directors can approve this award upon receipt of proposal memos and supporting documentation.
Official Letter of Commendation	Is written and normally presented by immediate supervisors for high quality performance of official duties such as extra effort, consistent devotion to duty, or above average contribution on a project or public relations assignment. Supervisors may also award these letters to recognize special contributions by employees in other organizations.

APPENDIX 4. EMPLOYEE PERFORMANCE FILE SYSTEM (EPF)

The Employee Performance File System (EPF) was implemented October 1, 2001, when the new FAA Performance Management System was effective. The information in this Appendix is to be used in conjunction with the appropriate policy chapters found within the Human Resource Policy Manual (HRPM) located at web site <http://www.faa.gov/ahr/policy/>.

1. Employee Performance Files (EPF's) are to be maintained at levels within an organization that allow for adequate safeguards and controls. For example, EPF's may be maintained by:

- a. An administrative office in a headquarters, region, division, branch, or lower levels within an organization;
- b. With supervisors at any level of the organization; or
- c. The servicing HRMD.

2. EPF's must be maintained in accordance with the Office of Personnel Management's (OPM) Guide to Personnel Record-keeping and Privacy Act provisions. EPF's for members of the Executive System or Political Appointees will be maintained in the servicing human resource management divisions (HRMD). Performance summaries of record and justifications for recognition will be maintained in each employee's EPF. These records must be stored in metal filing cabinets that are locked when the records are not in use or stored in secured rooms. Alternative storage facilities may be used if they furnish an equivalent or greater degree of security.

a. Access to EPF's is limited to only those individuals whose official duties require access to and use of these records, such as the supervisor, manager, or administrative person responsible for maintaining the EPF system. Employees and/or their designated representatives may also be provided monitored access.

b. Contents of the EPF shall include:

- (1) Performance summaries or record (cover sheet with attached Performance plans, employee comments, and supervisory documentation, etc.),
- (2) Justifications for monetary recognition requiring an SF-50,
- (3) Justification for non-monetary recognition,
- (4) Official Letters of Commendation,
- (5) Individual development plans (IDP),

(6) EPF's may include other performance-related information as the organization deems appropriate.

3. **EPF RETENTION SCHEDULES.** Performance summaries of record, related performance plans, and other supporting documentation will be retained 4 years. Superseded performance records (e.g., administrative or judicial procedure and other performance-related records) will be retained 4 years.

4. **DISPOSITION OF EPF RECORDS.**

a. **When a non-Executive System employee transfers to another organization within the FAA that is serviced by another HRMD or another Federal agency outside FAA, or resigns, retires, or is removed, the losing organization will forward the employee's EPF to the servicing HRMD organization.**

b. **The losing HRMD will forward the OPF and EPF to the gaining HRMD. In the case of resignation, retirement, or removal, the HRMD will forward the EPF with the OPF to the National Personnel Records Center.**

c. **The gaining HRMD will forward the EPF to the gaining organization responsible for the EPF.**

d. **If the employee transfers to another organization serviced by the same HRMD, the losing organization will forward the employee's EPF to the gaining organization, if the transfer results in a change in the organization responsible for EPF maintenance.**

e. **Performance related records should be destroyed as provided in Chapter 6 of FAA Order 1350.15, Records Organization, Transfer, and Destruction Standards. The method of destruction can be either shredding or burning.**

5. **Additional information.** Refer to FAA Order 1280.1A, Protecting Privacy of Information about Individuals, and OPM's Guide to Record-keeping available in servicing HRMD.