

ORDER

WP AT 2510.1

AIR TRAFFIC DIVISION GUIDELINES AND POLICY FOR RESOURCE MANAGEMENT



December 3, 1993

**U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION**

Distribution: A-X-3(AT); A-FAT-0

Initiated By: AWP-520

12/3/93

WP AT 2510.1

FOREWARD

This order prescribes standard operating and reporting procedures and guidelines for division personnel to follow in accomplishing their resource management responsibilities.

The order places accountability on managers to exercise prudent judgment in the utilization of staffing and funding allocations.



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CHAPTER 1. GENERAL

1. PURPOSE. This order establishes guidelines to be followed in resource management practices. It provides policies and procedures required for formulation, presentation and execution of the Air Traffic Division Operations-Direct budget for field facilities and branches.

2. DISTRIBUTION. This order is distributed to the Air Traffic Division branch level and all field facilities.

3. CANCELLATION. Order WP AT 7210.2 dated 2/6/89 is cancelled.

4. EXPLANATION OF CHANGES. This order eliminates obsolete requirements, updates reporting documentation and defines fiscal management responsibilities to the field facility level.

5. OBJECTIVES. The resource management objectives of the Air Traffic Division, Western-Pacific Region, which should be followed in the formulation and execution of the budget, are as follows:

a. The prudent management of resources at each and every level to assure that the agency and the taxpayer are obtaining the maximum benefit from each employee hour and dollar expended.

b. A continual analysis of recurring operations and new programs to ensure that the benefits justify the costs.

c. To program resources to stay within position and dollar limitations, and obtain maximum and effective utilization of resources.

d. To improve work methods and conditions so as to obtain a measurable productivity increase each fiscal year.

6. RESPONSIBILITIES. The following responsibilities are assigned to accomplish the above objectives:

a. **The Resource Management Branch**

(1) Prepares annual estimates, and annual and quarterly fiscal reports for the division. Validates the staffing and dollar requests to assure that the resources being requested are the minimum required to effectively accomplish essential functions.

(2) Provides position and fund allowances to the Facility Operations Branch for distribution to field facilities.

(3) Evaluates program requirements and accomplishments in terms of economy and cost versus benefits, and recommends adjustments in positions and funds as appropriate to the Division Management Team.

(4) Provides financial management assistance to the branches and field facilities.

(5) Implements agency/service budgetary policies and procedures, evaluates their effectiveness, and recommends modifications to the Office of Air Traffic Program Management. Develops regional budgetary policies and procedures.

b. Facility Operations Branch

(1) Reviews field facility input, and recommends positions and funds required to efficiently operate the system during the quarterly review process and for the annual budget submission.

(2) Within the total position and funding allowances provided, distributes resources to field components based upon knowledge of varied requirements throughout the region.

(3) Evaluates each action to fill vacant positions to assure there is a valid need for filling the vacancy.

(4) Reviews budget estimates, quarterly reviews, and other fund and staffing requests submitted by field facilities to ensure that the request meets the objectives set forth in Paragraph 5 above.

c. Managers, Regional Office Branches and Field Facilities

(1) Develop justified estimates of staffing and funding requirements for the annual Call for Estimates and Quarterly Reviews.

(2) On a continuous basis, manage staffing and funding resources in accordance with objectives set forth in Paragraph 104 above.

(3) Ensure quarterly and annual staffing and funding allocations are not exceeded.

7. DIVISION MANAGEMENT TEAM. A function of this team is to determine what staffing and funding requests will be forwarded to the Office of Air Traffic Program Management for the annual Call for Estimates and the quarterly review process. The team also takes action on distribution of initial allowances and periodic adjustments that may be required as a result of the quarterly reviews. The team members are: Manager, Air Traffic Division; Assistant Manager, Air Traffic Division; the Air Traffic Division Branch Managers; and the Air Traffic Executive Board (ATEB).

8. SUMMARY OF ANNUAL AND QUARTERLY REVIEW SUBMISSION DUE DATES FROM FIELD FACILITIES AND BRANCHES TO THE RESOURCE MANAGEMENT BRANCH, AWP-520.

<u>Submission</u>	<u>Due Date</u>
Annual Call for Estimates	20th workday of November
1st Quarter Review	20th workday of January
2nd Quarter Review	20th workday of April
3rd Quarter Review	20th workday of July
Year-end Close Out	August 15
4th Quarter Review	20th workday of October
Bi-weekly Overtime Report	15th workday after close of pay period
Annual Overtime Request	15th workday of July
Annual Staffing Request	15th workday of July
FMIS	Wednesday of every week
Monthly Staffing Report	5th workday after close of month

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CHAPTER 2. BUDGET CYCLE AND DEFINITIONS

200. BUDGET CYCLE. The exact month that certain events in the cycle take place changes from year to year due to the timing of Congressional action. However, the following generally depicts a typical fiscal year:

Month	Event
September	Passage of Appropriation Bill by Congress
October	Initial allowances received from ATZ and distributed to branches/field
November	Field/branch managers submit staffing and fund requirements for the annual Call for Estimates
January	First Quarter Review
February	Division Management Team meeting on annual Call for Estimates submissions
March	Resource Management Branch submits Call for Estimates to Washington
April	Second Quarter Review
July	Third Quarter Review
August	Year-end Close out procedures
September	Fiscal year ends
October	Fourth Quarter Review

201. DEFINITIONS.

a. Administrative Restrictions. A limitation imposed by the agency on the amount of funds that can be used for specific purposes; e.g., travel, equipment, procurement, etc.

b. Appropriation. A statutory authorization to make payments out of the Treasury for specified purposes.

c. Appropriation Limitation. A statutory restriction within an appropriation or other authorization or fund which establishes the maximum amount which may be used for specified purposes.

d. **Authorized Position.** The number of positions, both CWF and OTCWF, that are authorized by Congress, as apportioned by the Office of Management and Budget, and allotted by FAA Headquarters through the Air Traffic Service to the Air Traffic Division. These numbers represent those positions that are recognized by Congress, as needed, for the FAA to manage at the optimum level for the fiscal year. However, funds to pay the salaries for all of these positions for a full year are rarely provided.

e. **Budget Year Estimate.** The proposed budget for the budget year, which is two years ahead of the fiscal year within which we are currently operating. This budget is prepared with the guidance of the Call for Estimates issued annually and will be submitted by field facilities to the Regional Office in November of each year.

f. **Budget Formulation.** The process which culminates with preparation of the Budget Year Estimate. The actual preparation of the Budget Estimate is usually accomplished in January, February and March of each fiscal year. The formulation process incorporates the agency's long-range plans and objectives through the review and analysis of trends and collection of historical budgetary data.

g. **Budget Presentation.** At the regional level, budget presentation consists of presentation of the Budget Year Estimate and quarterly reviews to the regional office review officials.

h. **Budget Execution.** This includes the 12-month period (from October 1 through September 30) currently in progress. During this period, funds are obligated for the purpose for which budgeted, fiscal programs are constantly reviewed from the standpoint of obligations versus workload and mission accomplishment, and the budget adjusted through the quarterly review process.

i. **Budget Year.** This term is used in conjunction with other terms in budget formulation instructions - Past Year, Prior Year, Current Year and Out Year. At the time you are submitting your Call for Estimates requests:

The PAST YEAR is the fiscal year that just ended
September 30

The PRIOR YEAR (PY) is the fiscal year you are presently
in

The CURRENT YEAR (CY) is the next fiscal year after the
Prior Year (or one year beyond the year of submission)

The BUDGET YEAR (BY) is the next fiscal year after the
Current Year (or two years beyond the year of submission)

The OUT YEAR (OY) is one fiscal year beyond the Budget year.

For example, in November 1993 (FY 94) when you submit your Call for Estimates budget, FY 93 is the Past Year, FY 94 is the Prior Year (PY), FY 95 is the Current Year (CY), FY 96 is the Budget Year (BY), and FY 97 is the Out Year (OY).

j. Ceiling or Funded Ceiling. The maximum allowable number of employees that may be on board during and/or at the end of the fiscal year. The ceiling numbers are based on funding provided to the region. These ceiling numbers are usually less than the authorized positions allocated to the region.

k. Current Year. See definition under Budget Year.

l. Expenditure. An obligation that has been paid.

m. Full-time Equivalent (FTE). The number of paid straight time hours worked per year per employee. This is computed on the basis of 2080 hours a year; i.e., one FTE equals 2,080 hours.

n. FTE Ceiling. The maximum number of FTE's authorized for the fiscal year. This number relates to item "j" above.

o. Lapse. Less than full-year utilization of authorized positions by delay in filling vacancies, absence without pay, and non-filling of vacancies due to employment ceilings.

p. Obligations. Amounts of orders placed, contracts awarded, services received and similar transactions during a given period requiring disbursement of money.

q. Out Year. See definition under Budget Year.

r. Past Year. See definition under Budget Year.

s. Position, Part-time. Position which requires work on a prearranged schedule of hours or days of work less than the prescribed hours or days of work for full-time employees. Such positions may be either permanent or temporary. Hours of work generally cannot exceed 32 hours a week.

t. Position, Full-time Permanent. A full-time position established for longer than one year. Employees in these positions are required to work the full 80 hours per pay period.

u. Position, Full-time Temporary. A position established for a limited period of time, normally less than one year, for use for a temporary workload increase caused by seasonal demands, peak workload, and extended absence of full-time permanent employees. Temporary positions may not be used as a substitute for full-time

permanent positions to accomplish normal workload. Employees in these positions are required to work the full 80 hours per pay period.

v. **Prior Year.** See definition under Budget Year.

w. **Quarterly Review.** A review of the fiscal resources at the end of the quarter to explain deviations in the period being reported, to update the annual requirements as needed, and to update the estimate of the quarterly rate the annual requirements will be obligated.

x. **Reimbursable Agreement.** A written document entered into by authorized representatives of the FAA and interested parties (facilities) requiring the furnishing of services and/or supplies under specifically stipulated conditions, including time period, amount, and billing instructions for reimbursement. The Logistics Division (AWP-50) and the Resource Management Branch (AWP-520) are to be involved in all negotiations.

y. **37th Busiest Day.** One of the factors used to generate engineered staffing standards. Activity over a 12-month period will be reviewed to arrange days in order of the amount of activity accomplished. The first 36 busiest days will be disregarded and the 37th day selected for plotting and analysis.

z. **Staffing Standards.** This is the maximum number of positions which MAY be authorized for a facility under the provisions of the option-specific staffing standards and organizational structure directives. These engineered standards are developed by information submitted to the Statistical and Forecast Branch, APO-110, on a regular basis. This information includes: facility level; number of areas; correct listing of operating sectors, altitudes, and corresponding areas; hours of operation; traffic counts; unique characteristics such as non-standard days of operation; etc. The staffing standards are used as the basis for the agency to request positions from Congress. Usually, we receive authorized position numbers that are something less than the staffing standards reflect as our requirements.

**CHAPTER 3. BUDGET FORMULATION
OPERATIONS, DIRECT APPROPRIATION**

300. ANNUAL CALL FOR ESTIMATES. Budget estimates for future staffing and funding requirements will be submitted annually from the Air Traffic Division to Washington headquarters.

301. RESPONSIBILITIES.

a. Hub/Stand Alone and Branch Managers

(1) Submit staffing and funding requirements by the due date and in the format explained in this Chapter.

(2) Prepare narrative justification for any staffing and funding increases identified in the Budget Year column.

(3) If necessary, appear before the Division Management Team in support of budgetary requests.

b. Facility Operations Branch, System Support Section

(1) Review staffing and funding requirements submitted by the Hub Managers, Supervisory Committee (SUPCOM) and Air Traffic Executive Board (ATEB) to determine adequacy of justification, adherence to division and agency plans and policies, and provide recommended adjustments.

(2) Forward recommendations to Resource Management Branch for incorporation into the preliminary division budget submission.

(3) As a member of the Division Management Team, participate in reviewing the overall division request prior to submission to Washington headquarters.

c. Resource Management Branch

(1) Receive and log the staffing and funding requirements submitted by the Hub Managers, Branch Managers, SUPCOM and ATEB. Forward all but Branch Managers' submissions to the Facility Operations Branch.

(2) Review staffing and funding requirements submitted by Branch Managers to determine adequacy of justification, adherence to division and agency plans and policies, and provide recommendations.

(3) Review, analyze and consolidate all staffing and funding submissions for presentation to the Division Management Team.

(4) As a member of the Division Management Team, presents the preliminary staffing and funding requirements in total, and formulates recommendations for Team review.

(5) After final review and approval by the Division Management Team, prepare formal budget documents for transmittal to Washington.

302. GUIDELINES AND INSTRUCTIONS

a. **Figure 3-1 - Field Facility Full-time Permanent Staffing Request.** This spreadsheet is required for each air traffic facility, as well as a Hub summary sheet. Budget Year increases or decreases over the Prior Year authorized column must be fully justified in narrative form. In the justification, state specific position title, series, and grade so the justification will relate easily to the line items on the spreadsheet. Definitions of the position titles can be found in Chapter 6, Staffing Management.

(1) Number of center/tower controllers (CWF) and AFSS/FSS specialists (SWF) required will be determined by using the 1.6 staffing factor process displayed in Chapter 6, Staffing Management.

b. **Figure 3-2 - Branch Full-Time Permanent Staffing Request.** This spreadsheet is required for each branch within the Air Traffic Division. Budget increases or decreases over the Prior Year authorized column must be fully justified in narrative form. In the justification, state specific position title, series, and grade so the justification will relate easily to the line items on the spreadsheet.

c. **Figure 3-3 - Overtime Estimates.** This spreadsheet is required at the Hub level only, and for the Budget Year. Overtime requests are required for both hours and dollars, by line item. Increases over the Prior Year must have narrative justification. Do not assume pay raise costs in dollar estimates. Estimates should be based on historical data along with known changes.

d. **Figure 3-4 - Travel Estimates.** This spreadsheet is required at the Hub level only, and for the Budget Year. Increases over the Prior Year must have narrative justification.

e. **Figures 3-5 and 3-6 - Equipment/Furniture and Automatic Data Processing Requests.** These spreadsheets are required at the Hub level only for the Budget Year, but with the facility identifier by the item(s) requested. New and replacement equipment or furniture items and automatic data processing requirements are to be identified on separate spreadsheets as unique needs for the Budget Year, not what has been requested in the past but remains unpurchased due to funding problems. Do not submit Procurement Requests for these items in this submission.

303. ACTION

a. Hub/Stand Alone Managers will submit a diskette and one hard copy to reach AWP-520 not later than close of business of the 20th workday of November of each calendar year.

b. Branch Managers will submit a diskette only to AWP-520 not later than close of business of the 20th workday of November of each calendar year.

FIGURE 3-1, FIELD FACILITY PERMANENT STAFFING REQUEST

HUB/STAND ALONE _____

AIR TRAFFIC CALL FOR ESTIMATES
FULL TIME PERMANENT
STAFFING REQUEST

<u>POSITION TITLE</u>	<u>FY 19 (PY) AUTHORIZED</u>	<u>FY 19 (BY) REQUEST</u>
-----------------------	----------------------------------	-------------------------------

MANAGERS

- ATM
- AATM
- AMP
- AMPP
- AMAP
- AMQA
- AMT
- AMA
- AMNI
- AM

SUB-TOTAL

STAFF /ATCS

- QATS
- QAS
- TS
- PPS
- AUS
- MOS
- APS
- IATCS/IOS
- DSS/DSC

SUB-TOTAL

STAFF/OTHER

- PMS
- APMS
- AO
- AA

FIGURE 3-1, FIELD FACILITY PERMANENT STAFFING REQUEST (CONT.)

HUB/STAND ALONE _____

AIR TRAFFIC CALL FOR ESTIMATES
FULL TIME PERMANENT
STAFFING REQUEST

<u>POSITION TITLE</u>	<u>FY 19 (PY) AUTHORIZED</u>	<u>FY 19 (BY) REQUEST</u>
<u>STAFF/OTHER (CONT.)</u>		
CLERICAL		
ATA		
ES		
TTO		
CT		
FDCS		
SFDCS		
PROG. ANAL.		
CT/VISUAL SPEC		
SUB-TOTAL		
<u>SWF</u>		
AS		
ATCS		
EFAS		
SUB-TOTAL		
TOTAL OTCWF		
<u>CWF</u>		
ATM - LEVEL I (TOWER ONLY)		
AS		
TMS		
TMC		
ATCS		
TOTAL CWF		
GRAND TOTAL		

NOTE: PLEASE DO NOT MAKE ANY CHANGES IN THE "POSITION TITLE" COLUMN. THIS IS A STANDARDIZED COLUMN WHICH WILL ROLL UP TO REGIONAL TOTALS BY POSITION TITLE. IF YOU ARE REQUESTING A NON-STANDARD POSITION, PLACE IT ON THE MOST APPROPRIATE LINE AND THEN FOOTNOTE THE POSITION TITLE YOU ARE REQUESTING.

FIGURE 3-2. BRANCH FULL-TIME PERMANENT STAFFING REQUEST

Branch: _____

AIR TRAFFIC CALL FOR ESTIMATES
FULL-TIME PERMANENT
STAFFING REQUEST

FY 19 (PY) AUTHORIZED FY 19 (BY) REQUEST

Manager/Supervisor

Specialist - 2152

Specialist - non-2152:

 Program Analyst

 Computer Prog. Analyst

 Budget Analyst

 Administrative Officer

Management Asst.

Secretary

Clerical Asst.

_____ _____
Total

NOTE: PLEASE DO NOT MAKE ANY CHANGES IN THE "POSITION TITLE" COLUMN. THIS IS A STANDARDIZED COLUMN WHICH WILL ROLL UP TO A REGION SUMMARY. IF YOU ARE REQUESTING A NON-STANDARD POSITION, PLACE IT ON THE MOST APPROPRIATE LINE AND THEN FOOTNOTE THE POSITION TITLE YOU ARE REQUESTING.

FIGURE 3-3, OVERTIME ESTIMATES

HUB/STAND ALONE: _____

AIR TRAFFIC CALL FOR ESTIMATES

OVERTIME REQUIREMENTS

	<u>PY Authorized</u>		<u>By Request</u>	
	<u>Hours</u>	<u>Dollars</u>	<u>Hours</u>	<u>Dollars</u>
Regular sick				
Extended sick				
Scheduled A/L				
Military leave				
Acc/Inc. Invest.				
Union briefings				
Medical disqual.				
Decertified				
Staffing shortage				
FLSA overlap				
Weather				
Shift transfer				
Temporary prom.				
Details				
OJT				
Refresher trng.				
Mgmt. trng.				
Court leave				
Physicals				
Meetings				
Special projects/events*	_____	_____	_____	_____
TOTALS				

*Special Projects/Events Breakdown:

FIGURE 3-4, TRAVEL ESTIMATES

HUB/STAND ALONE/BRANCH: _____

AIR TRAFFIC CALL FOR ESTIMATES

TRAVEL ESTIMATES

	<u>PY</u> <u>Authorized</u>	<u>BY</u> <u>Request</u>
2100 - Continental travel to perform operational and managerial activities (day-to-day activities)	\$	\$
2101 - Continental travel for informational meetings (general agency operations, review reports)	\$	\$
2102 - Continental travel for speech/presentation (take part in a formal program)	\$	\$
2103 - Continental travel for conference attendance (includes seminars, symposiums, etc.)	\$	\$
2113 - Oversees travel for conference attendance (includes seminars, symposiums, etc.)	\$	\$
2116 - Biennial vacation leave (applies to outside continental U.S. only)	\$	\$
2171 - Rental of GSA vehicles assigned to a field facility: Number of vehicles	\$ ()	\$ ()
Est. annual cost	\$	\$
	_____	_____
Total Estimate	\$	\$

Justification for increase over PY Authorized:

FIGURE 3-5

HUBS/STAND ALONE/BRANCH: _____

AIR TRAFFIC CALL FOR ESTIMATES

EQUIPMENT/FURNITURE REQUEST - BY

ITEM	NEW	REPLACE	QUANTITY	TOTAL COST	JUSTIFICATION
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FIGURE 3-6

HUBS/STAND ALONE/BRANCH:

AIR TRAFFIC CALL FOR ESTIMATES

AUTOMATIC DATA PROCESSING HARDWARE/SOFTWARE - BY

ITEM	NEW	REPLACE	QUANTITY	TOTAL COST	JUSTIFICATION
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**CHAPTER 4. BUDGET EXECUTION
OPERATIONS, DIRECT APPROPRIATION**

400. FISCAL MANAGEMENT. It is the responsibility of all managers to use prudent judgement in the administration of their human and financial resources during the fiscal year.

401. INITIAL ALLOWANCES. In October of each year initial allowances are to be distributed to all regions by the Office of Air Traffic Program Management (ATZ). These allowances provide staffing and dollar levels for regions to operate during the fiscal year. The allowances are then redistributed to Regional Office Branch Managers and Hub/Stand Alone Managers by the Resource Management Branch, AWP-520, by memorandum as reflected in Figure 4-1, Subject: FY-19__ Initial Allocations.

402. TENTATIVE ALLOCATIONS. If initial allowances for the upcoming fiscal year are not received in the region in a timely manner, a tentative allocation for the first quarter of the fiscal year will be provided to each Hub/Stand Alone and Branch Manager for staffing, overtime, travel, awards and supplies. Each manager will use these tentative allocations as the basis for the first quarter review, unless otherwise directed.

403. QUARTERLY REVIEWS. A comprehensive review of each Hub/Stand Alone and Branch will be conducted at the end of every quarter to determine program accomplishments, and identify where adjustments may need to be considered throughout the division, for the balance of the fiscal year.

404. CONTROL OF FUNDS.

a. The central control of funds by the Air Traffic Division Manager is not intended to restrict operations in the branches and field facilities. For example, typewriter repairs, Sunday pay, holiday pay, maintenance contracts, and other expenditures required for the daily operation of the system will be processed with the assurance that funds are available to continue a smooth operation.

b. Adequate control of funds is required so that we can be sure resources are being obligated for the purpose for which appropriated, that maximum and effective utilization is being made of resources, that our financial reporting system is providing reliable data for making managerial decisions, and that the quarterly/annual plan is not overobligated. The incurring of obligations in excess of a quarterly or annual fiscal allowance will lead to the Division Manager being held in violation of the Anti-Deficiency Act.

c. Controls must be established at every level within the Air Traffic Division so that a simple but accurate record can be maintained of the funds utilized on a monthly basis.

d. Branch Managers and Field Facility Managers are provided monthly accounting reports (Cost Center Fund Status Report, 13-2F/13-2H and Cost Center Detailed Transaction Listing, 13-3F/13-3H) to use in management and control of funds. These reports will show obligations by subobject class as recorded in the official accounting records in the Regional Office. It is highly possible that the amount of obligation shown on the reports will not agree with the amount of estimates for the same period shown on field office cuff records. This can be caused by numerous items. The most common item being obligation documents intransit (document flow through normal channels) that have not reached the Accounting Division. The 13-3F/3-H report lists the transactions that are included in the obligations for that month by subobject class. By comparing these transactions with those included in the cuff records, the two amounts can be reconciled in basically the same way you would reconcile a personal checking account.

e. If there are questions regarding entries on the above reports (13-3F/3H, etc.), send a copy of the page(s) with a brief description of the problem to the appropriate branch within the Accounting Division. For example, if a payment of a travel voucher appears on your cost center and your records do not show such an entry, the query should be directed to the Travel and Transportation Branch, AWP-26.

405. CONTROL OF STAFFING.

a. As with the financial administration of the Air Traffic program, total position and staffing control is the responsibility of the Air Traffic Division Manager. Branch managers and Hub/Stand Alone managers are responsible for management of staffing levels provided to them within the division's allowance.

b. It is imperative that all managers maintain strict control of the controller work force (CWF) and other than controller work force (OTCWF) ceilings provided to them. Any deviations, especially unfunded increases, significantly impacts the national Air Traffic budget and requires a detailed explanation from the Air Traffic Division Manager to the Associate Administrator for Air Traffic.

406. QUARTERLY PROGRAM REVIEW (QPR).

a. A comprehensive review will be made after the close of each quarter to determine program accomplishments and the validity of projected requirements for workload, funds and staffing for the remainder of the fiscal year. The QPR will be used to explain deviations in the period being reported, adjustments made within delegated authority, and to request and justify adjustments in the annual program. Unless the urgency of the situation necessitates immediate action, all desired adjustments requiring approval will

be included in the QPR. The information submitted in this quarterly process will also be used in each manager's annual performance rating.

407. RESPONSIBILITIES.

a. Hub/Stand Alone and Branch Managers.

(1) Submit required forms by the due date and in the format explained in this Chapter.

(2) Ensure that allocated resources will be used as planned. If surpluses are available, identify the amount and the controllable item from which funding may be withdrawn. If a staffing or dollar deficit occurs, a narrative explanation is required as to the circumstances for the occurrence, how the deficit can be adjusted within current resources in the next quarter, or why sufficient resources are not available to you to correct the deficit. A deficit may create the need to divert staffing or funds from another Hub/Stand Alone allocation, which could have a negative effect on the entire regional resource management posture.

(3) Appear before the Division Management Team to review current status, and describe future plans related to the overall operation of the system.

b. Facility Operations Branch, System Support Section.

(1) Review quarterly reports submitted by the Hub/Stand Alone managers to assure adherence to fiscal policies, and provide recommended adjustments, if required.

(2) Forward recommendations to the Resource Management Branch for inclusion into the division's quarterly review for submission to Washington.

(3) Serve as a member of the Division Management Team to review the overall status of the division's budget for the balance of the fiscal year.

c. Resource Management Branch.

(1) Log receipt of the QPR from field facilities and branches. Forward field submissions to Facility Operations Branch for review.

(2) Review QPR from branches and incorporate into total regional spreadsheets.

(3) Review, analyze and consolidate all submissions for presentation to the Division Management Team.

(4) As a member of the Division Management Team, make staffing and/or dollar recommendations and adjustments, when necessary, as a result of the quarterly review process. Recommend alternative courses of action to ensure adjustments will not exceed the division's total annual allowance.

(5) After final review and approval by the Division Management Team, prepare the division's response in appropriate format for submission to Washington.

408. GUIDELINES AND INSTRUCTIONS.

a. Figure 4-2. Present Staffing Status VS Past Year's Actual

(1) COLUMN explanation:

(a) AUTH - ATZ authorized full-time permanent positions issued to you by AWP-520 for your Hub/Stand alone.

(b) FUNDED CEILING - Funded number of employees that may be on board at the end of the fiscal year issued to you by AWP-520 for your Hub/Stand alone.

(c) ACTUAL ON BOARD - Indicate number of employees actually on board at the end of the reporting quarter.

(d) (FPLs) (AOB/%CWF) - Within the CWF on board at the end of the reporting period, indicate how many employees are FPLs and the related percentage. The definition of FPL for reporting purposes includes FPL Center/Terminal controllers and Traffic Management personnel ONLY.

(2) LINE ITEM explanation:

(a) FY 9 9/30/9 - Indicate previous fiscal year's AUTHORIZED, FUNDED CEILING, ACTUAL ON BOARD and associated FPL information as of the close of the fiscal year.

(b) FY 9 1st Qtr - ACTUAL ON BOARD and
 FY 9 2nd Qtr - associated FPL information
 FY 9 3rd Qtr - for the present fiscal year
 FY 9 4th Qtr - for the reporting quarter

(3) PROJECTED GAINS/LOSSES explanation:

(a) Reporting organization to indicate KNOWN gains and losses by employee name, etc. May also be used for ANTICIPATED gains/losses (possible assumption of a retirement, etc.) by employee name, etc.

b. Figure 4-3. Field Breakdown of Current Quarter-End On Board Staffing, by Category, VS Funded Ceiling

(1) COLUMN explanation:

(a) QUARTER-END ACTUAL ON BOARD - Number of employees actually on board at the end of the reporting quarter by category.

(b) FUNDED CEILING - Funded number of employees that may be on board at the end of the reporting quarter. Funded ceilings will be at the sub-total CWF, sub-total OTCWF/SWF and Total staffing levels. The funded ceiling sub-totals cannot be intermixed. (Reporting organizations have the flexibility to utilize personnel within each individual sub-total as they deem necessary.)

(2) LINE ITEM explanation:

(a) SELF-EXPLANATORY.

(b) The bottom portion of this form is to report other than full-time permanent employees within your organization who are on board at the close of the quarter. Indicate their job title and type of appointment, e. g., Clerk-typist (SIS), FPL (part-time), FPL (temporary rehired annuitant), etc.

c. Figure 4-4. Branch Breakdown of Current Quarter End on Board Staffing, by Category, VS Funded Ceiling.

(1) COLUMN Explanation:

(a) QUARTER-END ACTUAL ON BOARD - Number of employees actually on board at the end of the reporting quarter by category.

(b) FUNDED CEILING - Funded number of employees that may be on board at the end of the reporting period.

(2) LINE ITEM Explanation:

(a) Managers/Supervisors - branch managers, section supervisors.

(b) Specialists - 2152 - self-explanatory

(c) Specialists - non 2152 - includes program analysts, management technicians, etc.

(d) Secretary/Clerical - self-explanatory

(e) The bottom portion of this form is to report other than full-time permanent employees within your organization who are on board at the close of the quarter. Indicate their job title, type of appointment, e.g., Clerk-Typist (SIS).

d. Figure 4-5. FY 9_ Controllable Items

(1) COLUMN explanation:

(a) FY 9_ ACTUAL \$(THOU) - Provide previous fiscal year's actuals as of the close of the fiscal year.

(b) FY 9_ 1ST Qtr THROUGH TOTAL YTD (Year to Date) - Reporting organization will break out, by quarter, the estimated expenditure rates within total annual allocation received from AWP-520. At the end of each quarter, reporting organization will then reflect actual expenditures, by quarter, against their quarterly estimates.

(2) LINE ITEM explanation:

(a) OVERTIME -- ALLOC: Reporting organization will break out, by quarter, the approved dollar level, and an estimated number of hours associated with that dollar level, estimated to be used during each quarter of the fiscal year.

(b) OVERTIME - ACTUAL: Reflect actual hours and dollars used during reporting quarter against the allocation discussed in (a) above.

(c) TRAVEL, SUPPLIES, AWARDS - Reporting organization will provide a break out of estimated use by quarter, and report actual expenditures through each reporting period. Report ONLY those amounts being charged to your cost center code(s). Items funded using a division cost center code (e.g. conference travel coded to 4-2050, training travel coded to 4-1840, etc.) will be reported by AWP-520.

(3) NOTE: For quarterly overtime reporting purposes, examples of pay period ending dates are as follows:

(a) FY93 - 10/1/92 to 12/26/92 (pay period 1); 3/20/93 (pay period 7); 5/26/93 (pay period 14); 9/30/93 (or 90% of all overtime worked in pay period 21, regardless of the day worked).

(b) FY94 - 10/1/93 to 12/25/93 (pay period 1); 3/19/94 (pay period 7); 6/25/94 (pay period 14); 9/30/94 (pay period 21).

(c) FY95 - 10/1/94 to 12/24/94 (pay period 1); 4/1/95 (pay period 8); 6/24/95 (pay period 14); 9/30/95 (pay period 21).

e. Figure 4-6. Employee Recognition.**(1) COLUMN explanation:**

(a) ACTUAL 1ST QTR THROUGH ANNUAL TOTAL - Reflect those awards processed within your organization during each quarter, with a cumulative total in the Annual Total column.

(2) LINE ITEM explanation:

(a) SELF-EXPLANATORY.

f. Figure 4-7. Annual Leave/Sick Leave Statistics.**(1) COLUMN explanation:**

(a) 1ST QTR THROUGH TOTAL - Enter data provided on SYS-CTL:035, Leave Report, received each pay period with facility T&As. Quarter ending dates will be SIMILAR to those used for overtime reporting. They are: 12/26/92 (pay period 1); 3/20/93 (pay period 7); 6/26/93 (pay period 14); 10/2/93 (pay period 21).

(2) LINE ITEM explanation:

(b) SELF-EXPLANATORY.

g. Figure 4-8. Other Resource Expenditures**(1) COLUMN explanation:**

(a) SELF-EXPLANATORY

(2) LINE explanation:

(a) 22. thru 25. Items in these categories are not considered controllable items by field/branch managers, but are required in the day-to-day administration of the facility such as emergency equipment repairs. Be specific as to the types of charges that will occasionally appear in these subobject classes. If you are unclear as to what subobject class is appropriate, refer to Order WP 2700.6C, Accounting Division Policy and Procedures. You will also need to review monthly accounting reports to be sure charges are reported correctly.

(b) Do not include annual maintenance agreements for copiers, typewriters, or data processing equipment since those items are tracked separately at the division level.

(c) Do not include equipment purchases (31XX subobject classes) since Procurement Requests are necessary, and prior approval is required from the division.

h. Figure 4-9. IDP Participation/Organizational Population Diversity.

(1) COLUMN explanation - IDP Participation:

(a) TOTAL HUB/STAND ALONE/BRANCH ON-BOARD STAFFING - Reflect all employees EXCEPT FOR THE MANAGER OF the Hub, Stand Alone or Branch. This column should be the total of the other five columns. If there is a difference, it should be addressed in narrative form; i.e., two employees on extended leave, one on Headquarters' detail, etc.

(b) REMAINING FIVE SELF-EXPLANATORY.

(2) LINE explanation - IDP Participation:

(a) ALL EMPLOYEES - Include all on-board employees in the cost center codes reporting to the Hub, Stand Alone or Branch (EXCEPT FOR THE HUB, STAND ALONE OR BRANCH MANAGERS).

(b) WOMEN - Women of color will be included in the "minorities" count line. If there is a GS/GM-13/14/15 woman in your organization who is not a GS/GM-2152, note this separately in narrative form with this report.

(c) MINORITIES - Self-Explanatory.

(3) COLUMN explanation - Organizational Population Diversity:

(a) HEADINGS ARE SELF-EXPLANATORY.

(4) LINE explanation - Organizational Population Diversity:

(a) Enter the number of GS/GM-2152's in each category for each line item. This information is available from FMIS records for each individual in your facility. For administrative purposes, count as "White, not of Hispanic origin" any individuals WHO HAVE NOT INDICATED another preference. Do not rely on your personal judgment in this count.

(b) The figures in MALES/FEMALES COLUMNS in parentheses reflect percentages of the groups in the Civilian Labor Force, as adjusted by the National Census Bureau, and are the latest figures available. Your work force population should be close to these percentages at staff, supervisory and managerial levels. If it is not, it is your responsibility to take appropriate corrective action in all personnel and training decisions.

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(c) Compute and enter the percentage of each group in MALES/FEMALES COLUMNS by dividing the number in the group by the total number of GS/GM-2152's.

409. YEAR END CLOSE OUT

Reserved

Memorandum



U.S. Department
of Transportation
Federal Aviation
Administration

Subject: INFORMATION: FY 19__ Initial
Allocations

Date:

From: Manager, Resource Management Branch,
AWP-520

**Reply to
Attn of:**

To: Manager,

Your initial annual allocations for overtime, awards, travel and supplies are listed below (dollars in thousands):

OVERTIME	\$ _____
AWARDS	\$ _____
TRAVEL	\$ _____
SUPPLIES	\$ _____

Overtime related to LDR required special projects is not included above. Those adjustments will be handled separately.

A review of your financial status will be accomplished in the Quarterly Program Review. If you have any questions please contact your AWP-541 Specialist.

Sidney R. Allen

FIGURE 4-2

TOTAL HUB/STAND ALONE: _____
 QUARTER ENDING DATE: _____

PRESENT STAFFING STATUS VS PAST YEAR'S ACTUAL

	AUTH	FUNDED CEILING	ACTUAL ON BOARD	(FPLs) (AOB/%CWF)
CWF				
FY9 9/30/9				
FY9 1st Qtr				
FY9 2nd Qtr				
FY9 3rd Qtr				
FY9 4th Qtr				
OTCWF/SWF				
FY9 9/30/9				
FY9 1st Qtr				
FY9 2nd Qtr				
FY9 3rd Qtr				
FY9 4th Qtr				
TOTAL				
FY9 9/30/9				
FY9 1st Qtr				
FY9 2nd Qtr				
FY9 3rd Qtr				
FY9 4th Qtr				

Projected Gains (employee name, organization title, grade, date, gained from)

Projected Losses (employee name, organization title, grade, date, loss to)

PROBLEM AREAS:

FIGURE 4-3

TOTAL HUB/STAND ALONE: _____
 QUARTER ENDING DATE: _____

FIELD BREAKDOWN OF CURRENT QUARTER END ON BOARD
 STAFFING, BY CATEGORY, VS. FUNDED CEILING

	<u>Quarter End</u> <u>Actual On Board</u>	<u>Funded</u> <u>Ceiling</u>
CWF		
FPL		
Developmental		
THU/TMC		
Area Supervisor		
Level I ATM		
Sub total CWF		
OTCWF/SWF		
Staff ATCS (incl ATM/AATM/AMT/etc)		
FDCS		
ATA		
Admin/Clerical		
Sub total OTCWF		
Total Staffing		

The above staffing numbers should reflect full-time permanent employees only. List below and identify separately on-board staffing of rehired annuitants; (temporary/part-time appointments), job-share controllers, Stay-in-Schoolers, etc.

FIGURE 4-4

BRANCH: _____
 QUARTER ENDING DATE: _____

BRANCH BREAKDOWN OF CURRENT QUARTER END ON BOARD
 STAFFING, BY CATEGORY, VS. FUNDED CEILING

	<u>Quarter End</u> <u>Actual On Board</u>	<u>Funded</u> <u>Ceiling</u>
OTCWF		
Managers/Supervisors		
Specialists - 2152		
Specialists - non2152		
Secretary/Clerical		
Total Staffing		

The above staffing numbers should reflect full-time permanent employees only. List below and identify separately on-board staffing of rehired annuitants (temporary/part-time appointments), Stay-in-Schoolers, etc.

FIGURE 4-5

TOTAL HUB/STAND ALONE/BRANCH: _____
 QUARTER ENDING DATE: _____

FY__ CONTROLLABLE ITEMS

	FY__ ACTUAL \$ (Thou)	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	Total To Date
OVERTIME:						
Alloc:						
Hours						
Dollars						
Actual:						
Hours						
Dollars						
TRAVEL						
Alloc.						
Actual						
SUPPLIES						
Alloc.						
Actual						
AWARDS						
Alloc.						
Actual						

Remarks/Problem Areas

FIGURE 4-6

TOTAL HUB/STAND ALONE/BRANCH: _____
 QUARTER ENDING DATE: _____

EMPLOYEE RECOGNITION

	Actual 1st Qtr	Actual 2nd Qtr	Actual 3rd Qtr	Actual 4th Qtr	Total To Date
On the Spot:					
No. Empl.					
Amount					
Special Accomplishments					
No. Empl.					
Amount					
Group SAA award:					
No. Group Awards					
No. Empl. Covered					
Amount					
Totals:					
No. Empl.					
Amount					

Remarks:

TOTAL HUB/STAND ALONE/BRANCH: _____
 QUARTER ENDING DATE: _____

ANNUAL LEAVE

	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	Total
Annual Leave					
CWF - Controllers					
Earned					
Used					
% Used					
CWF - Supervisors					
Earned					
Used					
% Used					
OTCWF /SWF					
Earned					
Used					
% Used					
Sick Leave					
CWF - Controllers					
Earned					
Used					
% Used					
CWF - Supvrs.					
Earned					
Used					
% Used					
OTCWF/SWF					
Earned					
Used					
% Used					

FIGURE 4-8

	<u>1st Qtr.</u>	<u>2nd Qtr.</u>	<u>3rd Qtr.</u>	<u>4th Qtr.</u>	<u>Total</u>
<u>TOTAL HUB/STAND ALONE:</u> _____					
<u>QUARTER ENDING DATE:</u> _____					
<u>OTHER RESOURCE EXPENDITURES</u>					
22. <u>Transportation of Things</u>					
2211 - Mailing of T&A's					
22XX - Other (Specify)					
23. <u>Rent, Communications & Utilities</u>					
23XX - Specify					
24. <u>Printing & Reproduction Services</u>					
24XX - Specify					
25. <u>Other Services</u>					
2542 - Repair & maintenance of common-use equipment					
2543 - Repair & maintenance of operating & working equip.					
2545 - Repair & maintenance of ADP equipment					
25XX - Other (Specify)					

FIGURE 4-9

QUARTERLY PROGRAM REVIEW INPUT - IDP PARTICIPATION/DIVERSITY

REPORTING HUB/STAND ALONE/BRANCH: _____ QUARTER, _____
 FY- _____

IDP PARTICIPATION

	TOTAL ON-BOARD STAFFING	HOW MANY IDP'S OFFERED YTD?	HOW MANY ACCEPTED YTD?	HOW MANY DECLINED YTD?	HOW MANY COMPLETED YTD?	NUMBER OFFERS PENDING FPL?
ALL EMPLOYEES						
WOMEN*						
MINORITIES*						

*Report GS/GM-2152-13/14/15 only.

ORGANIZATIONAL POPULATION DIVERSITY

RACE AND NATIONAL ORIGIN CATEGORIES, GS/GM-2152 ONLY TOTAL GS/GM-2152 OB	MALES	FEMALES
	NUMBER AND PER CENT OF TOTAL HUB POPULATION	NUMBER AND PER CENT OF TOTAL HUB POPULATION
AMERICAN INDIAN OR ALASKAN NATIVE	(.6)	(.4)
ASIAN OR PACIFIC ISLANDER	(3.6)	(3.2)
BLACK, NOT OF HISPANIC ORIGIN	(3.1)	(2.9)
HISPANIC	(9.8)	(6.4)
WHITE, NOT OF HISPANIC ORIGIN	(40.3)	(29.7)

(PARENTHEZIZED FIGURES REPRESENT REGIONAL CIVILIAN LABOR FORCE)

CHAPTER 5. OVERTIME MANAGEMENT**500. RESPONSIBILITIES.**

a. All Air Traffic Facility Managers. Shall ensure the optimal use of resources through internal monitoring of overtime usage and the establishment and use of effective managerial controls. Ensure that scheduling matches actual position requirements and workload demand. Ensure that time on position is in accordance within established division goals. The goal for an 8 hour shift is 5.5 hours on position for Level 4 and 5 terminals and centers and 6.0 hours on position for Level 1, 2 and 3 terminals and all AFSS/FSS. The normal time on position for personnel working an alternate work schedule (AWS) should be the established goal plus 75% of the time worked in excess of 8 hours.

b. Hub Managers. Review total Hub requirements and judiciously allocate funds to facilities. Establish regular monitoring procedures for adherence to total Hub allocations. If adjustments to overtime authorizations are needed due to unusual circumstances arising during the fiscal year, the Hub Manager will justify increases in specific terms and submit requirements in the quarterly program review cycle.

c. Facility Operations Branch. Determine allocations each Hub/Stand Alone will receive, based upon resources available to the region. This is based on the adequacy of the justification for funds and validation of such requirement. Consideration will be given to existing facility operations, analysis of current uses of overtime, future requirements, and spot checks during on-site visits. When a notable difference occurs between amounts requested by Hub/Stand Alone managers and their needs as perceived by the division, the manager will be contacted to resolve the difference.

d. Resource Management Branch. Responsible for developing the total division budget, of which overtime is part of the PC&B calculation. Determines/recommends dollars available to support division overtime requirements. Provides division overtime funded level to Facility Operations Branch for further distribution to field level.

501. GUIDELINES AND INSTRUCTIONS.

a. Figure 5-1. Reasons for Overtime Usage by Number of Hours by Pay Period.

(1) COLUMN explanation:

(a) CATEGORY - Identifies major categories for use of overtime. Special Projects/Events for which overtime was required is to be explained in narrative form either at the bottom of the report, or separate page if required.

(b) NO. HOURS WORKED - Breakdown hourly usage for that pay period by category.

(2) LINE explanation:

(a) SELF-EXPLANATORY.

(3) Action. This report is due to AWP-541 specialists 15 work days after the close of each pay period. A copy is to be sent to the appropriate Hub manager.

b. Figure 5-2. FY 9__ Annual Request for Overtime. Once a year each Hub/Stand Alone manager will submit an overtime request for the upcoming fiscal year's requirements. A form will be submitted for each facility, with a Hub summary.

(1) COLUMN explanation:

(a) CATEGORY - Identifies major categories for use of overtime. Special Projects/Events for which overtime is required is to be explained in narrative form either at the bottom of the form, or separate page, if required.

(b) NUMBER OF HOURS REQUESTED - Breakdown hourly requests based upon past history and staffing changes, in addition to any new requirements for the new fiscal year.

(c) AMOUNT - Estimate the dollar amount associated with the number of hours requested. This can normally be done by using the average cost of overtime per hour currently being used at the facility times the number of hours requested. Do not add in any estimated costs for future pay raises.

(2) LINE explanation:

(a) SELF-EXPLANATORY

(3) Action. This report is to be submitted for each facility, with a summary sheet at the Hub level. It is due in AWP-520 by the 15th workday of July of each year.

FIGURE 5-1

FACILITY: _____ PAY PERIOD NO.: _____
 P. P. ENDING DATE: _____

REASONS FOR OVERTIME USAGE BY
 NUMBER OF HOURS BY PAY PERIOD

<u>Category</u>	<u>No. Hours Worked</u>
Regular Sick	
Extended sick	
Scheduled A/L	
Emergency A/L	
Military leave	
Acc/Inc. invest.	
Union briefings	
Medical disqual.	
Decertified	
Staffing shortage	
FLSA overlap	
Weather	
Shift transfer	
Temporary prom.	
Details	
OJT	
Refresher trng.	
Mgmt. trng.	
Court leave	
Physicals	
Meetings	
Special projects/events*	
Total hours worked	

*Special Projects/Events breakdown:

FIGURE 5-2

FACILITY: _____

FY __ ANNUAL REQUEST FOR OVERTIME

<u>Category</u>	<u>No. Hours Requested</u>	<u>Total Cost</u>
Regular Sick		
Extended Sick		
Scheduled A/L		
Emergency A/L		
Military leave		
Acc/Inc. invest.		
Union briefings		
Medical disqual.		
Decertified		
Staffing shortage		
FLSA overlap		
Weather		
Shift transfer		
Temporary prom.		
Details		
OJT		
Refresher trng.		
Mgmt. trng.		
Court leave		
Physicals		
Meetings		
Special projects/events*		
Total hours worked		

*Special Projects/Events breakdown:

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CHAPTER 6. STAFFING MANAGEMENT

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**CHAPTER 7. FACILITY MANAGEMENT INFORMATION
SYSTEM (FMIS)**

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Y. J. WONG & ASSOCIATES . P. ESTIMATED
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CHAPTER 8. PROCUREMENT PROCEDURES

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