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Administration**

Order

Subject

Awards and Employee Recognition

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1. **What is the purpose of this Order?** This section provides guidelines, standards, and procedures related to all awards in recognizing employee performance and special accomplishments, contributions, and efforts within the Federal Highway Administration (FHWA).
2. **Does this Order cancel an existing FHWA directive?** Yes. This Order cancels FHWA Personnel Management Manual (PMM), Order 3000.1C, Part 1, Chapter 9, Section 1, and attachments 1 through 4, dated February 10, 2006.

3. What are the authorities governing this Order?

- a. Title 5, United States Code, Chapters 43, 45, 53 and 55.
 - b. Title 5, Code of Federal Regulations, Parts 293, 430, 451 and 531.
 - c. Departmental Personnel Manual Chapter 451, dated December 29, 2003.
- 4. What is an award?** An award is an action taken to recognize and reward individual or team achievement that contributes to meeting organizational goals or improving the efficiency, effectiveness, and economy of the Federal government or is otherwise in the public interest. Awards can be made in the form of cash, honor, or time-off without charge to leave or loss of pay. Awards can be given to an employee as an individual or as a member of a group.
- 5. What is the objective of FHWA's Awards and Recognition Program?** The FHWA recognizes that awards can be an effective tool to improve operations, increase productivity, achieve FHWA's quality goals and initiatives, and improve service to the public. There are many ways to acknowledge an employee's accomplishment or effort. A letter of appreciation or a verbal "thank you" given to an employee in the presence of peers are equally effective methods of recognizing employee efforts. Managers and supervisors are encouraged to recognize the contributions of their employees. Employees need to know that their special efforts and hard work are appreciated.
- 6. What types of awards can FHWA employees receive?** FHWA employees are eligible to receive a number of different types of awards. They include:
- a. **Quality Step Increase (QSI)** is a within grade salary increase granted to a General Schedule (GS) employee to provide appropriate incentive and recognition for excellence in performance resulting in an outstanding performance rating. QSIs are granted in addition to regular within grade salary increases.
 - b. **Special Achievement Award (SAA) for a Special Act or Service** is a one-time award that can be granted to a GS or Wage Grade employee for a non-recurring contribution either within or outside of job responsibilities, a scientific achievement, or an act of heroism. This award can consist of cash and/or time-off from work. An On-the-Spot Award is a SAA for a Special Act that is meant to immediately recognize an individual accomplishment or contribution (see paragraph 15) of a smaller scope than overall performance.
 - c. **SAA based on performance** is a one-time award granted to a Performance Management System (PMS) employee who receives a rating of either "Outstanding" or "Meets or Exceeds Requirements," or for sustained superior achievements in accomplishing performance objectives of the position, as documented in the performance plan, for at least the minimum rating period of 90 days. This award can consist of cash and/or time-off from work.

- d. **Time-Off Award** is an absence granted to an employee without charge to leave in recognition of performance of duties in an exceptional manner, or a special act, service, or other personal effort that contributes to the quality, efficiency, or economy of FHWA's operations.
 - e. **Suggestion Award** is an award granted in recognition of a formal suggestion or a proposed solution to a problem that will save money, manpower, materials, equipment, or supplies or that contributes directly to the productivity, economy, efficiency, and effectiveness of carrying out a program or mission of the Federal government. (See PMM Part 1, Chapter 9, Section 2 for more information about Suggestion Awards.)
 - f. **Honor Award** is a non-monetary award granted in recognition of sustained high-level achievement or in recognition of continued Federal service.
 - g. **Inventive Incentive Award** refers to honorary recognition that can be given by employees through their supervisors to other employees in the organization.
 - h. **Team Achievement Award** is a SAA granted by the Office of the Administrator to a group of employees from various organizations within FHWA who have worked together to accomplish a project or task that is worthy of high-level recognition.
7. **What types of awards can non-FHWA employees and partners receive from FHWA?** Non-FHWA employees and partners are eligible to receive the Strive for Excellence Award (see Chart 2), the Partnership in Excellence Award (see Chart 2), and the Public Service Award (see Chart 4).
8. **How are SAAs funded?**
- a. Funds for awards to be paid in a given fiscal year shall be computed for each organization based on the PMS employee population payroll in effect on September 30, which is the last day of the rating period (as well as the last day of the previous fiscal year).
 - b. At a minimum, there will be individual award pools within the FHWA for the Office of the Administrator, each Associate Administrator, the Chief Counsel, Chief Financial Officer, each Director of Field Services, the Resource Center Director and Operations Manager, and each Division Administrator. Within these organizations, unit managers may assign the management of award pools, and they may officially define award pools at lower organizational levels.
 - c. Each organization will report its official award pool designations to the Office of Human Resources on August 31 each year, so that performance award funds for the following fiscal year may be computed and pools may be documented as required. Performance awards funds computed for one organization will not be transferred to another.
 - d. Each award pool will be funded at no more than 1.4 percent of the estimated amount of covered PMS employees' basic pay for the fiscal year. Each award pool may be funded

at a percentage lower than 1.4 percent in order to meet any limitations established by the Office of the Secretary (OST) or the OPM for the funding of general pay increases, within-grade increases, and performance awards. Other funding limitations may be set by the DOT Appropriations Act. The same funding percentage will be applied to all pools within FHWA in a given fiscal year.

9. Who has approval authority for the various types of awards, and what are the monetary award amounts?

- a. The OST (1) approves all monetary awards for Schedule C employees and employees in the Senior Executive Service (SES), (2) approves all award recommendations from \$10,000 to \$25,000, and (3) concurs in all awards from \$25,000 to \$35,000. Recommendations from \$25,000 to \$35,000 will be forwarded to OST for concurrence prior to forwarding to OPM for review and, if concurred in by OPM, they are submitted to the President for approval.
- b. The Office of the FHWA Administrator approves all Team Achievement Awards, individual awards in excess of \$4,000, and Group/Team Awards in excess of \$9,500, and recommends to the Secretary the approval of an award for an SES employee, a Schedule C employee, or an award for any employee that is in excess of \$10,000.
- c. Award Pool Managers approve: (1) all group/team awards up to \$9,500 and individual awards up to \$4,000; (2) performance rating-based awards not to exceed 10 percent of the employee's annual rate of basic pay, upon the recommendation of the supervisor; and (3) all Time-Off Awards. These authorities may be re-delegated; however, the Award Pool Manager must ensure that appropriate financial controls are in place.
- d. First Level Supervisors can approve On-the-Spot Awards. The maximum monetary amount of a cash On-the-Spot Award is \$300. These awards may be granted in increments of \$50. An employee can receive no more than two cash On-the-Spot Awards in the same year. The maximum for a Time-Off On-the-Spot Award is the equivalent of one workday. On-the-Spot Awards may be a combination of time-off and cash. However, the combination is limited to maximum of one-half a workday for time off and \$150 for cash.

10. What are the criteria for approval? Information concerning criteria for each of these awards is included in the following charts at the end of this Order:

Chart 1: Secretary's Honor Awards

Chart 2: Administrator's Honor Awards

Chart 3: Special Achievement Awards

Chart 4: Other Special FHWA Awards

11. What factors must be considered in making a decision on granting a QSI?

- a. The QSIs are meant to recognize outstanding performance at a faster pace than the usual within grade increases. Because QSIs are permanent increases to base pay and can be granted in addition to any Special Achievement Award that an employee receives, managers are reminded that the QSI justification must support the conclusion that the highest quality of work is characteristic of the employee's performance and is expected to last into the future.
- b. The recommendation to grant a QSI must be supported by the employee's most recent appraisal, or when the appraisal is more than 60 days old, by a supplemental written statement explaining the reasons for granting the increase.

12. What factors must be considered in granting SAAs based on Special Acts or Services?

- a. SAA for a special act should be based on tangible and/or intangible benefits FHWA realizes from the contribution and on whether the contribution is within or outside of the requirements of the position.
- b. Recommendations for SAAs for special acts may be submitted at any time. However, experience has shown that employees most appreciate the award when it is given shortly after the contribution has been made. Nominations should be submitted within 3 months after completion of the act.
- c. Employees can receive any number of SAAs, provided that each award is for a separate act or contribution.
- d. In determining if an employee's contribution is so superior or meritorious that it warrants special recognition with an award, a supervisor must consider:
 - (1) the importance of the contribution to the organization;
 - (2) the amount of independent thought, unusual insight, imagination, or effort involved;
 - (3) the impact or benefit derived from the contribution; and
 - (4) any other forms of compensation the employee may receive.
- e. **Tangible Benefits.** Every effort should be made to determine tangible benefits resulting from employee contributions. If the contributions with tangible benefits are not outside of job responsibilities, the award should be reduced. Tangible benefits can be calculated or estimated when contributions:
 - (1) conserve staffing resources, materials, time or space;
 - (2) eliminate unnecessary processes; or

- (3) improve existing methods.

The following chart should be used as guidance in determining cash awards based on contributions with tangible benefits.

TANGIBLE BENEFITS GUIDANCE

Estimated First Year Benefits to the Government	Amount of Award
Up to \$10,000	10% of estimated benefits
\$10,000 to \$100,000	\$1,000 for the first \$10,000 plus 3% of estimated benefits over \$10,000
\$100,001 or more	\$3,700 for the first \$100,000 plus .5% of estimated benefits over \$100,000

- f. **Intangible Benefits.** When benefits cannot be measured, the award must be based on an assessment of the intangible benefits to the FHWA such as contributions:
 - (1) which improve the state-of-the-art in engineering or sciences; or
 - (2) which provide a service to the public.
- g. Awards based on contributions with intangible benefits will be comparable as much as possible with awards based on tangible benefits. When an award is based on a contribution with both tangible and intangible benefits, the amount of the award is based on the total value of the contribution to the Federal government. Normally, award amounts will be based on estimated first year benefits to the FHWA. However, where a phase-in period occurs, the average annual savings over a 3-year period may be used.

13. What factors must be considered when granting SAAs based on performance?

- a. After the PMS employees in an award pool have been assigned a rating of record for the PMS appraisal period, a determination may be made as to their eligibility for a performance award. The following PMS employees will not be eligible for Performance Awards:
 - (1) employees receiving a rating of “Fails to Meet Requirements;”
 - (2) employees not occupying a PMS position on September 30, the end of the PMS rating period; employees on leave-without-pay (LWOP) or in a non-pay status during the rating year and who were not in a pay status for at least the minimum 90 day appraisal period;
 - (3) employees newly appointed to the Federal government within 90 days of the end of the appraisal period; and

- (4) employees who for any other reason could not be rated under the PMS performance appraisal system.
- b. All eligible PMS employees receiving a current rating of record of either “Outstanding” or “Meets or Exceeds Requirements” may be granted a SAA based on performance. The supervisor and the pool manager will determine award amounts based upon individual performance. The determination will be based upon: (1) the supervisor’s assessment of the value of the employee’s work accomplishments during the rating year, relative to the goals of the organization; (2) the grade level of the position; (3) the impact on mission accomplishment; and (4) the relative contribution of other employees. There is no entitlement to a performance award regardless of the rating of record.
- c. A performance based SAA may be given immediately after the performance appraisal period or throughout the year as long as the employee has a rating of record in the system and 90 days of performance on which the award can be based.
- d. Performance awards granted during the year must be based on at least 3 months of performance.
- e. Under certain circumstances, Award Pool Managers may set aside a portion of the award budget for the unit to recognize team performance. This provision may be used when the unit is formally organized in teams, the work is structured in an interdependent fashion, and the team evaluation features of the performance appraisal system are used. The use of team performance awards is limited to units and employees who identify team performance objectives in their performance plans, and they are rated against the team rating factors on the appraisal form. The set-aside provision should be limited to that portion of the award pool computed from covered salaries of employees actually eligible for team performance awards. Within that sub pool, the set-aside percentage should be determined, subject to the approval of the Award Pool Manager, based upon the relative importance and preponderance of team versus individual performance objectives.
 - (1) Any organization planning to use this team performance award provision should develop and coordinate with the Office of Human Resources (HAHR-10) a plan for approving and distributing Team Performance Awards. The plan should ideally be implemented and communicated to affected employees at the beginning of the rating period, but no later than 90 days prior to the end of the appraisal period.
 - (2) The use of this provision is optional, and it is not required under any circumstances, regardless of how the unit is organized or the work is structured.

14. What factors must be considered when granting Time-Off Awards?

- a. A Time-Off Award may be authorized for full-time employees in installments of up to 40 hours for a single award, with a maximum of 80 hours awarded in a given leave year. Awards for part-time employees may be granted on a pro-rata basis, with a single award

of no more than the number of hours worked during an average work week, and an annual maximum that does not exceed the number of hours normally worked during a biweekly pay period. For example, an employee with a part-time work schedule of 32 hours a week may receive a single Time-Off Award maximum of 32 hours and a total of 64 hours in Time-Off Awards during a leave year.

- b. Time-Off and Special Achievement Awards may be combined to recognize an employee accomplishment, effort, or performance. To determine the dollar value of a time-off award, multiply the employee's regular hourly rate of pay times the number of hours granted.
- c. Time-Off granted must be used within 1 year following the effective date of the award. Time-Off Awards do not convert to cash under any circumstances. Any Time-Off Award not used will be lost. When physical incapacitation for duty occurs during the Time-Off Award period, sick leave may be substituted for the period of incapacitation and the award time rescheduled.
- d. Managers are reminded to carefully consider the employee's circumstances when making a decision concerning whether to grant a Time-Off or monetary SAA. Some employees who are beginning their careers may prefer the time-off because it will help them to build up their leave balances. An employee with a number of years of service who has accrued significant leave may prefer the monetary award.

15. What factors must be considered when granting On-the-Spot Awards?

- a. An On-the-Spot Award is meant to provide recognition for an individual accomplishment or contribution that is on a smaller scale than overall performance. It cannot be used to recognize group or team contributions. If a team of employees works on a project and their individual contributions are worthy of a small monetary or Time-Off Award, the award should be documented as a team award to recognize the team's accomplishments.
- b. On-the-Spot Awards require minimum documentation and may be approved by the first level supervisor.
 - (1) Employees can receive no more than two cash On-the-Spot Awards during a calendar year, with a maximum of \$300 per award.
 - (2) There is no limit on the number of Time-Off On-the-Spot Awards an employee may receive in a year. However, a single Time-Off On-the-Spot award may exceed 8 hours, and an employee may receive no more than 80 time-off hours in a leave year.

16. What factors must be considered when granting Honor Awards?

- a. Honor Awards within the DOT are meant to recognize long-term contributions to FHWA initiatives or an exceptionally outstanding contribution with a national or international scope.

- b. Honor Awards must not be used for retirement recognition.

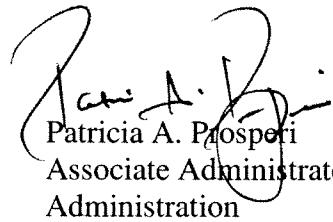
17. What factors must be considered when developing Inventive Incentive Programs?

- a. Inventive Incentives are non-monetary awards. These non-monetary awards are of an honorary nature and are frequently in the form of an item that can be worn or displayed by the employee. It is desirable that the item bear the organization's logo or an appropriate slogan. Offices may also use vouchers to restaurants or movies or tickets to sporting events as a part of their Inventive Incentive Program. However, care must be taken to ensure competition among suppliers. These awards are also called "Peer Awards."
- b. Leadership Team Members, Resource Center Director and Operations Manager, Division Engineers, and Division Administrators are authorized to establish Inventive Incentive Programs that will suit the special circumstances of their organizations. This authority should be redelegated to the lowest practical level. In order to ensure long term employee interest in the program, new and different recognition items should be continually identified.
- c. Each organization will be responsible for developing, naming, and coordinating its own Inventive Incentive Program. A copy of the Inventive Incentive Program should be forwarded to the Office of Human Resources, Employee Relations and Benefits Team (HAHR-23), for informational purposes.
- d. Managers and supervisors are encouraged to make public presentations of their Inventive Incentive Awards. Funding for Inventive Incentive Awards shall be made from the General Operating Expenses funds available to the organization approving the award.

18. What are the procedures for granting SAAs, Time-Off Awards, Team Achievement Awards, or QSIIs?

- a. SAAs and Time-Off Awards for special acts or for performance not based on the rating of record should be initiated by the first level supervisor on form FHWA-1156, Recommendation for Quality Step Increase, Cash or Honor Award. Recommendations should be submitted through the appropriate channels to the approving official. The following award recommendations should be submitted to the Director, Office of Human Resources (HAHR), for appropriate action:
 - (1) Team award recommendations in excess of \$9,500;
 - (2) Team Achievement Award recommendations; and
 - (3) Award recommendations for SES and Schedule C employees.
- b. Approving officials should review each recommendation to ensure that the justification:

- (1) highlights the importance of the contribution to the organization;
 - (2) explains whether the accomplishment or effort is within or outside of job requirements;
 - (3) fully discusses the level of effort expended (any difficulties or problems that had to be overcome); and
 - (4) fully supports the recommended award amount.
- c. If an approving official has a question about the validity of an award recommendation, the servicing human resources office is available to provide advice and assistance.
 - d. Signed copies of the form FHWA-1156 should be forwarded to the appropriate servicing human resources office for processing. The employee will receive a copy of the approved award recommendation and a Standard Form 50 (SF-50) documenting the award.
 - e. Recommendations for Quality Step Increases should be documented on a form FHWA-1156. A copy of the approved outstanding performance rating should be attached. The justification for the outstanding performance rating will provide much of the information needed to support the QSI. However, supervisors are reminded that the justification must support the conclusion that this high level of performance will continue into the future. Quality Step Increases must be approved by an Authorized Approving Official, and submitted to the Director of Human Resources for concurrence.
 - f. Each year the HAHR will issue a call memorandum for completed performance appraisals. At that time managers may document any cash awards based on the performance appraisal on form FHWA-1552a, Performance Award Nomination, and enter the performance award amount on the automated Performance Rating Sheet (PRS). The PRS will automatically upload the award information into the Federal Personnel and Payroll System. Further guidance on documenting SAAs based on the performance appraisal will accompany the fall memorandum.



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SECRETARY'S HONOR AWARDS

Chart 1

Secretary's Honor Awards	Who is Eligible?	Purpose of Award	Type of Recognition	Criteria	Nomination Procedures
Partnering for Excellence Award	Intermodal teams/groups	To recognize intermodal teams/groups that have used the Partnering for Excellence training to further ONE DOT activities in support of one or more DOT strategic goals.	Crystal Award	The teams' or groups' activities must support one of these Strategic Goals: Safety: Promote the public health and safety by working toward the elimination of transportation-related deaths, injuries, and property damage. Mobility: Shape America's future by ensuring a transportation system that is accessible, integrated, and efficient, and offers flexibility of choices. Economic Growth and Trade: Advance America's economic growth and competitiveness domestically and internationally through efficient and flexible transportation. Human and Natural Environment: Protect and enhance communities and the natural environment affected by transportation. National Security: Advance the Nation's vital security interests in support of national strategies such as the National Security Strategy and National Drug Control Strategy by ensuring that the transportation system is secure and available for defense mobility and that our borders are safe from illegal intrusion.	Each spring the Office of Human Resources will issue a call for nominations for Secretary's Honor Awards. The nomination should be prepared on white bond paper. The narrative supporting the nomination should be limited to one page per strategic goal. Attachments will not be considered.

Secretary's Award for Meritorious Achievement	All employees	<p>The Secretary is especially interested in recognizing employees who have significantly contributed to organizational goals and objectives by identifying and achieving cost savings and visibly supporting the reinvention efforts of DOT.</p>	<p>Nominations for this award are based on meritorious contributions of unusual value to the DOT in meeting its strategic goals. Examples of such contributions include but are not limited to:</p> <ul style="list-style-type: none"> (a) a very valuable contribution to science or technology with national or international scope; (b) accomplishment of assigned duties in such an outstanding manner as to be clearly exceptional among all those who have performed similar duties; (c) development and improvement of methods and procedures which have accomplished extraordinary results for the DOT; (d) eminent authorship; (e) exceptionally outstanding leadership which resulted in the highly successful accomplishment of DOT missions, the major redirection of objectives or accomplishments to meet unique or emergency situations; (f) contributions to the DOT's Equal Employment Opportunity (EEO) Program of an outstanding and distinctive nature; (g) leadership, accomplishments, or actions that make a significant contribution to building a strategic ONE DOT; (h) demonstrated an outstanding ability to manage diversity by creating an organizational environment that allows every employee to reach his or her full potential and fully contribute to the DOT's mission; (i) excelled or embraced the spirit of the DOT's Managing Diversity Order (DOT Order 3200.1, dated January 21, 1998); or (j) excellent customer service and improved customer satisfaction with transportation systems and Departmental services. 	<p>Each spring the Office of Human Resources will issue a call for nominations for the Secretary's Honor Awards.</p> <p>The nomination should be prepared on DOT Form 3200.2. The narrative supporting the nomination should be limited to the space provided on the form. Attachments will not be considered.</p>
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Award for EEO/Affirmative Action	Any employee whose primary job is not in the EEO and Affirmative Action areas.	To demonstrate the value that top-level management places on efforts to actively and effectively enhance the DOT's efforts in the areas of EEO and Affirmative Action.	Plaque	This award recognizes the DOT's highest level of honor and recognition to those employees who have excelled in promoting equal opportunity/affirmative action while serving in positions that are not primarily EEO related. Employees whose primary job responsibility is in the area of EEO and affirmative action are not eligible for this award. They should be considered for the Meritorious Achievement Award.	Same as above.
Award for Excellence	Career employees in grades General Schedule (GS) - 1 thru GS-14 and Wage Grade (WG) -1 thru WG-8	To honor high achieving employees in clerical, administrative, technical, and general support positions.	Crystal Award	Nominations must be based on outstanding achievement of all major duties. All aspects of performance must not only far exceed normal requirements but also deserve special commendation. In addition, an employee can be recognized, wholly or in part, for accomplishments or actions that contribute to a stronger ONE DOT. An employee need not have received an outstanding rating during the last rating period to be nominated providing he/she is performing at the level to earn such a rating at the time of the nomination.	Same as above.
Award for Valor	All employees	To honor heroism	Plaque	An employee must have demonstrated outstanding courage and voluntary risk of personal safety in the face of danger in an emergency while on or off duty.	Same as above.
The Award for Volunteer Service and the Community Service Award	All employees	The Volunteer Service Award recognizes employees who have made significant contributions through any of the volunteer programs for which the DOT provides support or sponsorship. The Community Service Award recognizes employees who have made significant contributions to their local community or the community at large.	Plaques	The nomination should include length of volunteer or community service, number of hours per week, month or year; innovation or initiative in improving conditions of the organization being served; type of service rendered; and benefits to the community.	Same as above.

Team Award	Groups or teams	Crystal award obelisk	Nominations must specifically address each element included in the following: Teamwork - Describe how the members of the team/group work together effectively either within FHWA or across OAs in coordinating and carrying out assignments to achieve common objectives. At least one example of an activity that displays cooperation, coordination, or group process skills is required. Problem Solving - Describe how the members of the group or team effectively use problem solving methods, techniques, and tools (as appropriate) to achieve desired objectives and/or integrate objectives, procedures, etc., of participating OAs. Customer Focus - Describe the link between the work of the team and the benefits derived by the customers; how customer input and feedback were obtained, and how they were used to make corrective actions or to improve services to the customers. Where appropriate, describe how using an intermodal approach enhanced customer service. Creative and Innovative Techniques - Describe any innovative techniques used by the team to develop recommendations for improvements. The work of the team should reflect an awareness of evolving methods, procedures, and technologies. Where appropriate, highlight techniques that promote cooperation and collaboration among the OAs. Results - Describe results accomplished by the team such as objectives met, solutions found, and process changed or improved.	Descriptions should be limited to one page per criterion/element, for a total of 5 pages, plus Form DOT 3200.2 as the coversheet. Attachments will not be considered in the evaluation process.
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Chart 2
ADMINISTRATOR'S HONOR AWARDS

Administrator's Honor Awards	Who is Eligible?	Type of Recognition	Criteria	Nomination Procedures
Superior Achievement	All employees To recognize superior service which has been an inspiration to others, or the exceptional accomplishment of a specific DOT or FHWA program.	Plaque, medal and lapel rosette	<p>This is the highest honor award given by the Federal Highway Administrator and nominations should reflect significant contributions in advancing FHWA's Performance Objectives including the Vital Few and the Corporate Management Strategies. If necessary, a panel will be convened to select the best candidates.</p> <p>Nominations for this award are based on a degree of performance which is less than the requirement for the Secretary's Award for Meritorious Achievement, but which far exceeds normal job requirements, such as:</p> <ul style="list-style-type: none"> (a) performance of assigned duties in a superior manner, setting a record of performance goal achievements which has inspired others employees to improve the quality and/or quantity of their work; (b) demonstration of unusual initiative or creative ability in the development and improvement of work methods and procedures or the conception of inventions that will result in substantial savings in staff power, time, space, materials, or other items of expense, or the improved safety or health of the workforce and the traveling public; (c) highly distinguished authorship; (d) exceptional accomplishment of a specific DOT or FHWA strategic or performance plan goal and objective; (e) significant achievements in support of the EEO program; (f) exceptional customer service; (g) improved quality of efficiency of information gathering or improved data analysis and performance measurement; and (h) exemplary efforts demonstrating extraordinary commitment for sharing knowledge such as creating, facilitating, or growing one or more communities of practice that expand the knowledge base of FHWA and/or raise the competencies of staff. 	Each spring the Office of Human Resources will solicit nominations. Special instructions will be included in this memorandum. Nominations should be prepared on Form FHWA-1156

Quality Journey Awards	FHWA Organizations	<p>To recognize organizational efforts in working toward a total quality environment.</p>	<p>Nominations for this award are evaluated based on the organization's demonstrated use of quality management practices in leadership, strategic planning, customer focus, information and analysis, human resource development and management, process management, and results.</p>	<p>Each spring the Office of Human Resources will solicit nominations.</p> <p>LEADERSHIP. This item addresses senior management's role in providing leadership and direction in building and improving organizational performance and capabilities.</p> <p>(a) Provide a description of senior management's role in the quality effort. Include examples of visible and personal involvement in creating and reinforcing values throughout the organization, setting directions and performance excellence goals through strategic and business planning, and reviewing overall organization performance including customer related and operational performance.</p> <p>(b) Describe how the organization's customer focus and performance expectations are integrated into the organization's leadership system and structure; how the organization communicates and reinforces its values, expectations and directions throughout the unit; and how the overall organization performance is reviewed and how the reviews are used to improve performance.</p> <p>(c) Describe how the organization addresses its responsibilities to the public in its planning and operations. Describe what the organization does to proactively address possible environmental, health, and safety impacts on society of its products, services, and operations. Discuss efforts to promote legal and ethical conduct in the organization's operations.</p> <p>(d) Describe efforts of the organization and its employees to be effective and contributing members of their key communities.</p> <p>STRATEGIC PLANNING.</p> <p>(a) Describe the organization's business planning process for short and long-term overall performance and leadership. Describe how this process ensures the deployment of the FHWA Strategic Plan throughout the organization, including the use of performance measures. Describe how the process relates the FHWA Strategic Plan to the work of individual employees. Describe how your organization has developed strategies and business plans to strengthen its customer related performance.</p>
Quality Excellence		<p>Large Crystal Award</p> <p>Wooden Plaque</p> <p>Framed Certificate</p>	<p>Quality Breakthrough</p> <p>Quality Commitment</p>	

		<p>(b) Describe the processes by which long term plans are translated into short term actions, including the allocation of resources to support achievement of FHWA goals.</p> <p>(c) Describe how the organization evaluates and improves its quality planning and plan deployment process.</p> <p>(d) Describe the process by which the organization plans for its human resource requirements to maintain alignment with the organization's strategic direction.</p>
		<p>CUSTOMER FOCUS. This factor addresses the effectiveness of the organization's system to determine customer requirements.</p> <p>(a) Describe how the organization determines short and long term expectations of customers.</p> <p>(b) Describe how the organization provides easy access for customers seeking information, assistance, and/or a way to communicate comments and concerns. Describe how the organization builds and maintains its relationships with its customers.</p> <p>(c) Describe the means by which your organization measures the satisfaction of your major customer segments. Describe how the organization analyzes customer feedback and complaints, and takes corrective action as appropriate.</p> <p>INFORMATION AND ANALYSIS. This factor addresses the organization's management of data and information for quality improvement and planning.</p> <p>(a) Describe the measures used by the organization to track and improve operational and program performance. Describe the organization's sources of data and information, and the scope and types of data contained on customers, suppliers, internal operations, products, or services.</p> <p>(b) Describe the organization's processes and uses of comparative information and data to support improvement. Analyze how the needs and priorities are determined, and describe the criteria for seeking appropriate information and data from within and outside the organization.</p> <p>(c) Describe how the organization relates customer data, improvements in product/service quality, and improvements in operational performance to</p>

		<p>changes in overall indicators of performance. Describe how this information is reviewed and analyzed to identify, prioritize, and carry out improvement actions.</p> <p>HUMAN RESOURCE DEVELOPMENT AND MANAGEMENT. This factor examines how the workforce is enabled to develop and utilize its full potential, as a part of the organization's total quality strategy.</p> <ul style="list-style-type: none"> (a) Describe key strategies for increasing the empowerment, involvement, effectiveness, and productivity of all types of employees. Provide information related to current employee involvement efforts, such as participation in quality improvement teams. (b) Describe the organization's approach for identifying and meeting its critical training and development needs. Describe the types of quality training provided for management and employees. (c) Describe how contributions of employees are evaluated and recognized. Indicate whether and how team and peer recognition are used. (d) Describe the services, facilities, activities, and opportunities that the organization makes available to employees to support their overall well-being and satisfaction and/or to enhance their work experience and developmental potential. (e) Describe how the organization obtains feedback from employees about their level of satisfaction and how the feedback is used to identify improvement priorities. <p>PROCESS MANAGEMENT. This element is the focal point within the criteria for all key work processes. Included in this category are the central requirements for efficient and effective process management: effective design, prevention orientation, evaluation and continuous improvement, linkage to suppliers, and overall high performance.</p> <ul style="list-style-type: none"> (a) Describe how products, services, and processes are developed and improved. Describe how customer requirements are translated into product and service design requirements and how the product and service design requirements are translated into efficient and effective processes including an appropriate measurement plan.
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		<p>(b) Describe how the organization's key support services are designed and managed so that current requirements are met and that operational performance is continuously improved. Include how key requirements are determined or set and how these requirements are translated into efficient and effective processes, including operational requirements and appropriate measurement plans.</p> <p>(c) Describe how the organization assures that materials, components, and services furnished by other organizations meet performance requirements. Explain how the organization determines whether or not its requirements are met and how performance information is fed back to suppliers/partners. Describe how the organization evaluates and improves its management of supplier/partner relationships and performance, including actions and plans to improve suppliers/partners' abilities to meet requirements.</p>
		<p>BUSINESS RESULTS. This factor provides a results focus for all processes and process improvement activities. This element has a dual purpose: superior value of offerings as viewed by customers, and superior organization performance reflected in productivity and effectiveness indicators.</p> <p>(a) Address current levels and trends in satisfaction of major customer segments.</p> <p>(b) Address the operational and financial performance of the organization. Focus on the most critical requirements from the point of view of the organization.</p> <p>(c) Address current levels and trends in human resource results, including indicators such as employee satisfaction, safety, absenteeism, and turnover.</p> <p>(d) Address current levels and trends in key measures and/or indicators of supplier/partner performance.</p> <p>(e) Address current levels and trends in product and service quality using key measures and/or indicators of quality such as resource utilization, cycle time, and productivity. The measures and/or indicators selected should relate to requirements that matter to the customer.</p>

Heartland Award	All employees	The Heartland Award was established in 1995 to honor the memories of those lives lost in the blast at the Murrah Federal Building in Oklahoma City and to recognize the dedication of the survivors.	Large Crystal Award	The Administrator may grant this award to an individual employee or to a team whose exceptional service to the public reflects the high level of dedication and determination exemplified by the Oklahoma Division employees.
Strive for Excellence Awards: a. Customer Service	Teams, groups, or individuals	Salutes a commitment to customer service and products that exemplifies FHWA's vision, mission, values, and goals.	National: Crystal Award Local: Crystal Paperweights	<p>Customer Satisfaction.</p> <p>(a) Describe customer and customer's needs;</p> <p>(b) Describe organization's mission as it relates to the customer;</p> <p>(c) Describe tools used to determine customers needs and/or problems; and</p> <p>(d) Provide discussion of conclusions drawn from the data.</p> <p>Quality Improvement Efforts.</p> <p>(a) Describe special considerations made in order to ensure quality customer service;</p> <p>(b) Describe any output or results and accomplishments; and</p> <p>(c) Provide evidence of customer satisfaction.</p> <p>Employee Commitment to Customer Service.</p> <p>Describe proactive efforts to anticipate or prevent future problems.</p>

b. Team	Teams, groups or individuals Honors the spirit of partnership and teamwork between FHWA and its partners to accomplish the organization's goals.	<p>Same as above.</p> <p>Team Organization.</p> <p>(a) Describe the type of team, the reason for the team's formation, the team's purpose, the team's parent organization, how the team's objective aligns with organizational goals, and the team composition and selection criteria.</p> <p>(b) Describe the role and responsibility of team sponsors and team members; applicable methodology used to assure adequate interpersonal and team skills; team's operating agreement and management processes for self managing budget, schedules and decision making; and methodology for measuring team performance and accountability.</p> <p>Team Process and Actions.</p> <p>Describe the methods and tools used to determine the current level of customer satisfaction; methods and tools used to identify and prioritize improvement, changes, and/or processes; actions taken to gain cooperation and support of customers, suppliers, stakeholders, and/or process owners; process actions deployed and their effectiveness, feasibility and cost benefits, plus any modeling, and/or benchmarking; and action plan or action register development, and implementation and deployment process and results.</p> <p>Team Results.</p> <p>Provide evidence of measured output or outcome results and accomplishments, value added and quality improvement, and within budget and schedule; customer satisfaction that team's activity and performance led to improved results; and that results met/achieved organization's goals and/or objectives.</p> <p>Team Follow-up and Corrective Actions.</p> <p>Provide evidence of team actions to integrate, communicate and monitor the deployment or outcomes and outputs; methods and actions to ensure process, systems, or products continue to meet or accomplish the continuous improvement objectives; identification of additional deficiencies and opportunities for improvement or productivity outputs; measured team assessment and performance and evidence that team process and the results were compared and found superior over more traditional business processes; and actions taken to disseminate/share information and results for purposes of learning and understanding, and any evidence that other teams and organizations benefited from the shared information.</p>
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c. Innovation	Teams, groups or individuals	<p>Recognizes a suggestion, special act or initiative that has substantially impacted quality and productivity in the FHWA.</p> <p>Identity of Improvement Opportunity.</p> <p>Same as above</p> <p>Describe the organization's role and mission; the problem in terms of waste, inefficiency, rework, and costs using the former method of implementation or of the gap between current performance and desired performance; methods and tools used to identify improvement opportunity; and methods and tools used to identify current level of customer satisfaction.</p> <p>Process Action.</p> <p>Describe the actions taken to accomplish the improvement; explain what makes the improvement or accomplishment unique; and describe methods and tools used to insure the improvement or accomplishment is aligned with organizational goals and objectives.</p> <p>Results.</p> <p>Describe results; explain how the innovation rectified the problem; provide evidence that innovation led to savings of time, money, and person power; and describe how results met the organization's mission, goals, and objectives.</p> <p>Follow-up (Extra Credit).</p> <p>Describe the efforts to ensure that improvements are integrated and communicated to other concerned or interested organizations; efforts to integrate improvements into daily activities; and efforts to disseminate success story.</p>	Same as above
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Partnership in Excellence Award	<p>This award recognizes grassroots activities and contributions toward achieving DOT's Strategic Goals. This award can be the first tier of a two-tiered recognition effort. Groups honored with this award can be later considered for the Strive for Excellence Award.</p>	Paperweights	<p>The groups or teams should be comprised of no less than 3 people and at least one of the members of the team must be an employee of another DOT mode. The team's accomplishments must be directly related to one of DOT's Strategic Goals: Safety, Mobility, Economic Growth and Trade, Human and Natural Environment, and National Security.</p> <p>The FHWA-1156 can be submitted by the team's leader or by the manager for whom the team is working. The nomination can be approved at the local level. Copies of approved nominations should be forwarded to the Washington Headquarters Office of Human Resources for record keeping purposes and to servicing human resource offices for inclusion in the Employee Performance Folder.</p>
Excellence in Leadership Awards	<p>All employees</p>	<p>An engraved marble statue</p>	<p>(a) Describe the nominee's approach to leadership; show how the nominee has led by example.</p> <p>(b) Discuss the leadership role the employee has played in advancing FHWA goals and mission. Describe the employee's personal commitment and efforts (beyond his/her current job) that exemplify leadership.</p> <p>(c) Describe how the nominee uses his/her individual leadership competencies (for example: customer service, interpersonal skills, flexibility, decisiveness, integrity/honesty, partnering, problem solving, etc.) in his/her interaction with coworkers, partners, and team members. Further information on leadership competencies is provided on the following StaffNet web page: http://intra.fhwa.dot.gov/documents/leadership/chp3.htm#figure3a.</p> <p>(d) Discover the special communication tools that the nominee employed to generate enthusiasm and support for goals and plans and to influence the behavior and performance of others. Describe efforts to facilitate open exchange of ideas and efforts to foster open communication, provide</p>

<p>The FHWA Leadership Award</p> <p>Individual FHWA Employees</p> <p>Leadership can be found throughout all levels of the organization. This is consistent with FHWA's philosophy that "leadership is everyone's business." The FHWA Leadership Award honors those employees in all grade levels who have taken leadership roles in advancing FHWA's goals and mission.</p> <p>This award is designed to honor those team leaders, managers and supervisors who, as leaders, are nurturing and supporting the development of their employees to ensure a future cadre of FHWA organizational leaders.</p>	<p>Same as above</p>	<p>examples of how the nominee obtains input, and describe the nominee's responses to input.</p>
<p>The Richard D. Morgan Leadership Development Award</p> <p>FHWA managers and supervisors</p> <p>An engraved marble clock</p>	<p>There will be no solicitation for this award. The Administrator will select the recipient.</p>	

Chart 3
SPECIAL ACHIEVEMENT AWARDS

Type of Award	Who is Eligible?	Purpose of Award	Type of Recognition	Criteria	Nomination Procedures
Special Achievement Award based on a Special Act or Service	To recognize the superior acts, services, contributions, or efforts of individual employees or teams of employees.			Performance of a particular project or assignment or a detail of either short or long duration, which warrants special recognition.	Supervisor should prepare recommendations for awards on Form FHW-A-1156. The recommendation should describe: (a) the importance or significance of the contribution to the organization;
Monetary	All General Schedule (GS) or Wage Grade (WG) employees			A significant individual accomplishment that management wishes to recognize immediately rather than waiting to recognize with a performance award at the end of the rating period.	(b) the amount of independent thought or unusual insight, imagination, or effort involved; (c) the impact or benefits derived from the contribution; and (d) obstacles that had to be overcome in making this contribution.
Time-Off	All GS, WG, or Career Senior Executive Service (SES) employees			A significant team/group contribution that management wishes to recognize.	Recommendations should be made within 30 days of the accomplishment or contribution.
Combination	All GS or WG employees			Superior contributions, which warrant a one-time bonus.	Employees may only receive one award per accomplishment or contribution. Award recommendations must be forwarded to the appropriate manager for approval.

		Combination	
Performance based Special Achievement Awards	All Performance Management System (PMS) employees who receive a rating of "Outstanding" or "Meets or Exceeds Requirements;" have occupied a PMS position for 90 days prior to September 30; and have not been in a non-pay status for 90 days or more during the rating period.	<p>Monetary</p> <p>An employee with a rating of "Outstanding" or Meets or Exceeds Requirements" may be granted an award not exceeding 10 percent of the employee's annual rate of basic pay upon the recommendation of the supervisor and the approval of the award pool manager.</p> <p>Time-Off</p> <p>An employee may be granted up to 40 hours of Time-Off in recognition of a rating of "Outstanding" or "Meets or Exceeds Requirements." The number of hours granted should be based on an assessment of the value of the employee's work accomplishments, relative to the goals of the organization, the grade level of the position, and impact on mission.</p>	<p>Special Act Awards may be a combination of cash and time-off. The combination of the two should not exceed the value of the contribution to the FHWA.</p> <p>A rating of Outstanding or Meets or Exceeds requirements based upon at least 90 days of performance.</p>
		Combination	<p>An employee may be granted a combination of cash and time-off in recognition of an "Outstanding" or "Meets or Exceeds Requirements" rating. The combination of the two awards should not exceed the</p>

		assessment of the value of the performance to the organization.	
On-the-Spot Monetary, Time-Off Combination	All GS and WG employees	<p>It is meant to recognize a one time accomplishment or contribution that merits only a small award.</p> <p>A combination of the two: e.g., an on-the-spot award can be \$150 and half a day in time-off.</p>	<p>An individual effort or contribution of limited value to the organization.</p> <p>Cash Awards from \$50 not to exceed \$300, not to exceed two in a year; or Time-off not to exceed 1 work day; or A combination of the two: e.g., an on-the-spot award can be \$150 and half a day in time-off.</p>
Quality Step Increases (QSI)	All GS employees who are not at the end of the pay band.	<p>The purpose of the QSI is to recognize outstanding performance by granting faster than normal step increases.</p>	<p>The employee must have a current performance rating of outstanding. A brief narrative should be included which:</p> <ul style="list-style-type: none"> (a) highlights the employee's outstanding accomplishments, and (b) supports the conclusion that the highest quality of work is characteristic of the employee's performance and is expected to last into the future. <p>A narrative discussion of the performance, which clearly identifies the outstanding performance and explains why the performance is worthy of a QSI.</p> <p>NOTE: The description of performance on the appraisal form may be sufficient. Supervisors are reminded to consider this point when preparing the recommendation.</p> <p>All QSI recommendations must be approved by the appropriate Award Pool Managers. Due to monetary considerations, the Office of Human Resources will review advise on all approved and requested QSI's.</p> <p>The employee has not received a QSI within the past 52 weeks.</p> <p>The employee is not at the end of the pay band.</p>

Chart 4
OTHER SPECIAL FHWA AWARDS

Other Special FHWA Awards	Who is Eligible?	Purpose of Award	Type of Recognition	Criteria	How to Nominate
Engineering Excellence Award	Individuals, groups and teams	This award recognizes outstanding engineering achievements by FHWA engineers or teams within the past three years.	The award consists of a plaque and a \$1,000 cash award. These awards will be presented at a Washington Headquarters ceremony during National Engineers Week.	<p>The engineering excellence award winners will be selected by a panel of judges established by the Executive Director. This panel will base their selections on the significance of the engineering contribution to FHWA, the engineering profession, and the traveling public. Nominees will be ranked using a weighting of 60 percent for engineering achievement and 40 percent for education, professional honors, and contributions to the community.</p> <p>Three awards will be presented each year. One of the winners will be designated as the "FHWA Engineer of the Year" and may be nominated by FHWA for the National Society of Professional Engineers "Federal Engineer of the Year"</p>	<p>The Office of Human Resources will begin soliciting for nominations in mid-July. Nominations will be due to Washington Headquarters by September 1.</p>

Made a Difference Award	GS-1 thru 8 clerical, technical and administrative support personnel.	To recognize employees who are high achievers and leaders among their peers.	A plaque and a \$500 cash award.	<p>Employees must have a minimum of one year of appropriate experience.</p> <p>Nominations must provide specific examples of:</p> <ul style="list-style-type: none"> (a) excellence in secretarial, administrative, and clerical skills; (b) sound judgment; (c) willingness to assume additional responsibility; (d) initiative in improving work methods or operations; (e) responsiveness to program needs; and (f) ability to work as a team member. <p>First level supervisors can make nominations to the appropriate supervisor.</p> <p>Nominations should be submitted on FHWA-1156.</p>
Public Service Awards	Private citizens	To recognize contributions of private citizens to the FHWA program.	A plaque and a letter from the Federal Highway Administrator	<p>Description of the contributions that have benefited the FHWA.</p> <p>Managers may submit nominations at any time thru the Office of Human Resources to the Federal Highway Administrator.</p> <p>Nominations may be submitted on memo paper.</p>

Inventive Incentive Awards	All employees	To enhance employee morale and encourage high quality service.	Items of an honorary nature that can be worn or displayed. Each item must bear an appropriate logo, which will allow others to know that the item is an award. Tickets to local sporting events or vouchers to local restaurants or movies may also be used as inventive incentives. All of these items may be awarded in combination with small amounts of cash. NOTE: Inventive incentives can only be purchased with GOE funds. The cash award allocation cannot be used to purchase recognition items!	<p>Each office can establish an inventive incentive program. Inventive incentive programs should be designed to honor an accomplishment or act of limited significance, which a supervisor would like to formally recognize. Examples of acts which can be recognized with an inventive incentive award are:</p> <ul style="list-style-type: none"> (a) a short term accomplishment; (b) a one time accomplishment of limited significance that merits some recognition; or (c) an accomplishment or personal service which reflects favorably on the FHWA, but does not warrant any other form of recognition. <p>The recommendation should be made on the appropriate nomination form and should include a description of the accomplishment that is being recognized.</p> <p>A supervisor or co-worker through the appropriate supervisor may nominate any deserving employee observed performing a high quality act, which reflects favorably on FHWA. NOTE: Employees may not give awards to supervisors.</p> <p>Nominations should be forwarded to the appropriate approving official. Once approved, the nominating official should present the approved nomination and the award to the employee, preferably in the presence of the employee's peers.</p>	Unit Managers may delegate approval authority for inventive incentives to the lowest possible supervisory level.
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