



DEPARTMENT OF THE ARMY
U.S. ARMY INSTALLATION MANAGEMENT COMMAND
HEADQUARTERS, UNITED STATES ARMY GARRISON WEST POINT
681 HARDEE PLACE
WEST POINT, NY 10996

IMML-ZA

11 July 2016

U.S. ARMY GARRISON WEST POINT POLICY #3

SUBJECT: United States Army Garrison West Point (USAG WP) Annual Performance Awards Program

1. References.

- a. Title 5 CFR, CH 451.
- b. Army Regulation 672-20, Incentive Awards, dated 1 April 2014.
- c. Army Regulation 690-400, Total Army Performance Evaluation System, Chapter 4302, dated 16 November 1998.
- d. Army Regulation 215-3, Non-Appropriated Funds Personnel Policy, dated 16 September 2015.
- e. Army Policy Memorandum dated 14 December 2015, Subject: Guidance on Award Limitation for Department of the Army Civilian Employees Fiscal Year (FY) 2016.
- f. Installation Management Command Regulation 672-10, Incentive Award Program for Military and Civilian Personnel, draft, 1 January 2012.
- g. Army Directive 2015-02 (On the Spot Cash Awards), dated 9 December 2014.
- h. Local Processing of civilian Employee Incentive Awards, dated 21 July 2015.

2. Applicability. This memorandum provides guidance on the limitation on issuing discretionary monetary awards and applies to all Garrison assigned Civilian employees covered by all Department of Defense (DoD) Civilian personnel system(s) and to all performance awards programs, regardless of funding source, to include awards for Non-Appropriated Fund (NAF) and Appropriated Fund (AF) employees as well as Alternate Pay Systems employees. Award limitations previously prescribed by OMB, OPM, DoD and HQDA remain in effect until further notice.

3. Policy. This command recognizes employees for their significant achievements and outstanding service in a timely manner with appropriate decorum. This program supports the goal of the Total Army Awards Program to foster mission accomplishment by recognizing excellence within our workforce and motivating them to high levels of

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performance and service. All Civilian employees who establish a pattern of noteworthy achievements by accomplishing their individual duties in an outstanding manner contributing to mission accomplishment should be considered for both honorary and monetary Civilian awards.

4. The Garrison policy will comply with region and IMCOM Headquarters awards policy and will be coordinated, if applicable, with the local bargaining unit prior to implementation. The awards policy will be reviewed during changes of command and the new commander will sign the awards policy. The Garrisons will have a Performance Review Board (PRB) that reviews and recommends performance awards to the DGC for approval. The PRB is chaired by the DGC and the board members are approved by the Director's. Board members must reflect the diversity of the workforce and the PRB must have an EEO advisor as a non-voting member. The Region will conduct a PRB to review DGC performance appraisals where the Region Director is the senior rater. The Region Director will approve all awards for the DGC within the Garrison.

5. A well-managed awards program provides for monetary and non-monetary options to recognize performance and contributions in support of the IMCOM mission. All available awards, as well as a combination of these awards to recognize performance will be used. This will provide Director's the ability to recognize employees and provide appropriate recognition while staying within established funding limitations. There are many non-monetary options to recognize performance and contributions to mission. Time-Off awards do not count against the awards spending limitation; however, commanders/managers must refrain from increasing time off awards to compensate for restrictions on cash awards. Director's should make full use of the many honorary awards available. Recognition in any form should be done publicly to maximize awareness that good performance and solid contributions will be recognized. Budget limitations should not result in less recognition of employee performance.

6. Procedures. RMO is responsible to notify Directors of their award budget before they look for award approval at a PRB. RMO will publish award cut off dates for the PRB. Monetary and time off awards to recognize performance are awards that represent an additional investment in the employee that is supporting the Garrison mission. Garrison monetary performance awards are capped, in the aggregate, at .96% of total salaries (base salary and locality pay). This amount may change over time and new awards limitation guidance is applicable once published by either the region or the headquarters. The Director's are responsible to ensure award budgets are not exceeded and must carefully manage the organization awards program to ensure there is a fair and equitable approval process. The Region policy and subsequently the Garrison awards policy is designed to recognize performance that is truly exceptional and deserving of either monetary or time off awards. The following guidance is designed to support the Garrison awards program by implementing standard guidance for the following type of awards (Encl): special act awards, on the

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spot cash awards, monetary performance awards, quality step increases and time off awards. Generally all performance awards listed are available to be presented to both APF and NAF employees. Specific limitations for either APF or NAF employees are covered by the appropriate regulatory guidance.

a. Special Act or Service Awards (SASA). All AP and NAF employees are eligible for this award. A SASA is a cash award given to recognize a meritorious personal effort, act, service, scientific, or other achievement accomplished within or outside assigned job responsibilities. The act or service must result in either tangible or intangible benefits or both to the Government and may involve more than one employee. Army Regulation 215-3, NAF Personnel Policy and IMCOM Regulation 672-10 provides monetary limitation for SASA. DGC and the Director's must ensure that SASA are not used as a means to bypass monetary limitation for performance awards.

b. On-the-Spot Awards (OTS). OTS is a small award given in recognition of one-time achievement. These awards are limited from \$50 to a maximum of \$500 and processed using DA Form 1256 with a written justification. All OTS awards are approved by either the, Director and/or the The DGC.

c. Performance Awards recognize outstanding performance of Civilian employees and to recognize their performance at level one or level two performance. Performance awards are capped at .96% in the aggregate at the Garrison level. All performance awards .97% through 2.99% must be approved through the use of a PRB chaired by the DGC and approved by the Director's. Performance awards generally should not exceed 3% of an individual employee's salary (base pay plus locality starting in FY 17). Awards that exceed the 3% cap must be fully justified and submitted to the Regional Director for confirmation prior to approval.

d. Quality Step Increases (QSI) – QSI is an additional within-grade pay increase. A QSI is reserved for employees who receive the highest rating available – “Exceptional” Level one and who have demonstrated sustained performance at that level. To be eligible for a QSI, the employee must not have been granted a QSI in the previous 52-week period. The DGC is the approval authority for all QSIs. The number of QSIs granted in a fiscal year will not exceed 5% of the Garrison permanent authorizations. The number of QSI's is a fixed number the Garrison may not approve more than the authorized number without the Regional Director's approval. An employee may not receive a QSI if the employee received a Special Act Award during the performance period and the SASA is based in whole or in part of the performance being recommended for recognition via a QSI. An approved QSI will not count against the .96% spending limitation.

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e. Performance Pay Increases – These are performance based pay increases for NAF employees. The IMCOM G9 establishes policy for the maximum pay increase authorized for NAF employees.

f. Time Off Awards (TOA) – TOA is limited to 40 hours for a single contribution and up to 80 hours of time off during one-leave year for achievement or performance contributing to the IMCOM mission. This award is available for APF and NAF employees. TOA's must be scheduled and used within one year of the approval date. Nominations may be submitted on DA Form 1256 with a description of the achievement and the benefits to IMCOM. TOAs and cash awards may be combined. TOAs do not convert to cash payment under any circumstances. Guidance concerning part-time employees with uncommon tours of duty is located in AR 672-20. The DGC is the approval authority for time off awards.

6. The point of contact is the Deputy Garrison Commander, Thomas H. Cowan, Jr., at (845)938-4268.

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ANDREW S. HANSON
COL, SF
Commanding

Standard Operating Procedures
Performance Review Board (PRB)

1. References. Same as in paragraph 1, GC Policy #3.
2. Purpose. To establish a comprehensive policy, procedures, and responsibilities for the Performance Review Board (PRB) that will review all requests for cash awards (Performance, SASA) and TOA, that exceed the Director's level approval authority, and all QSIs. Recommendations will be provided to the Deputy Garrison Commander (DGC) for final approval.
3. Applicability. This SOP applies to all U.S. Army Garrison (USAG) assigned Civilian employees, supervisors and board members.
4. Policy. The PRB will review nominations with a view towards fairness, equity, and consistency considering the significance of accomplishments as compared with the criteria in USAG WP Policy #3. The PRB will be used to determine distribution of awards, distinguish between performance levels, and ensure equity for high performing employees. Consideration will be given to the significance level of accomplishments or contributions (i.e., HQDA, IMCOM, Functional, Region, Installation, Garrison Civilian of the Year, IMCOM Hero, etc.).
5. Procedures. The PRB will at the discretion of the DGC. Board statistics will be kept for future review to improve board performance. Only awards for which funds are available will be approved. The PRB may consider award submissions for which there is no available funding under one of two options (1) hold pending availability of funds, or (2) reduce the amount of the award(s) to the level of available funds. Exceptions (i.e., late award submissions for a PRB) will appear before the next PRB.
6. Nomination Procedures.
 - a. The recommending official will normally be the First Line Supervisor.
 - b. The First Line Supervisor prepares the nomination for the Civilian employee using the appropriate regulatory guidance and prepares the nomination packet as follows:

<u>Documents Required</u>	<u>QSI Performance Award</u>	<u>SASA/OTS/TOA</u>
DA Form 1256 w/Supervisor/Director's signature.	Yes	Yes

Completed performance appraisal (DA Form 7222-Senior System or DA 7223-Base System, and appropriate -1, support form.	Yes	No – SASA/OTS Yes – TOA and/or performance award
List of all previous awards (Honorary, Monetary, and TOA)	Yes	Yes
Justification (State why QSI and not a Performance Award)	Yes	Yes Optional
Director's POC name and telephone number	Yes	Yes

c. Directors will submit all monetary and TOA's to the DHR/ADMIN for processing. All packets for the upcoming review board will be sent to the DHR/ADMIN within two weeks of the PRB is scheduled to meet.

d. Recommending officials will not discuss award recommendations with any employee prior to PRB approval and final processing of the award via the completed RPA. Such actions can create serious morale problems should the nomination be downgraded or disapproved.

7. Quality Step Increases (QSI).

a. Only General Schedule (GS) employees are eligible to receive a QSI. The QSI is an additional within-grade pay increase. A QSI will be reserved for employees who receive the highest rating available "Exceptional" level one and who have demonstrated sustained performance at that level. To be eligible for a QSI, the employee must not have been granted a QSI in the previous 52-week period. The employee must be expected to remain in the position at the same grade level that was the basis for the Exceptional rating, or a similar position at that grade level for at least 60 days. The DGC retains authority to approve all QSIs based on the recommendation of the PRB. The nomination packet must be submitted to the DGC within 30 days after the end of the performance rating period. The nomination packet will include a DA Form 1256, Incentive Award Nomination and Approval Form with nominating official signature, completed performance appraisal (DA Form 7222-Senior System or DA 7223 - Base System, and appropriate -1), The number of QSIs granted in a fiscal year will

generally not exceed more than 5 percent of the total Garrison Civilian permanent on-board strength. An employee may not receive a QSI if the employee has received a Performance Award based in whole or in part of the performance being recommended for recognition. An approved QSI will not count against the .096% spending limitation.

b. A QSI cannot be granted if the employee is already at Step 10 of their grade level. The QSI does not change the effective date of the employee's normal Wage Grade Incentive (WIGI) except when the QSI places the employee in the fourth or seventh step; in which case, the employee enters into the prescribed longer waiting period. When a WIGI and QSI are effective the same day, the WIGI will be processed before the QSI to avoid situations where the QSI may place an employee in a longer waiting period.

8. Board Procedures.

a. DGC will:

(1) Establish, monitor and evaluate the PRB.

(2) Approve the recommendations of the PRB by signing DA Form 1256, and return to the DHR/ADMIN for final processing.

b. Board Chairperson (normally the DGC).

(1) Control the uniformity and adequacy of the PRB process by comparing performance expectations and performance reviews of employees.

(2) Ensure consistency among performance expectations set by supervisors.

(3) Verify that reviews are accomplished according to policy, procedures and timelines.

(4) Review personnel actions recommended by supervisors for consistency as compared with performance appraisals and appropriate regulatory guidance/standards.

(5) Is a voting member and is responsible for the overall functioning of the PRB.

c. Members/Recommendations. The PRB, by majority vote, will recommend approval/disapproval of nominations based on appropriate regulatory guidance/standards. If the PRB disagrees on the performance award percentage amount, then each member will make their individual

recommendation on the amount and annotate the vote sheet. The decision on the final amount will be determined based on the average of the sum of the amounts annotated.

The Performance Review Board will consist of the following:

- DGC – President
- Director of Public Works
- Director of Plans, Training and Mobilization
- Director of Emergency Services
- Equal Opportunity Officer (non-voting member)
- Recorder – DHR Administrative Support Assistant

Rotating Members:

- Director of Human Resources
- Chief, Plans, Analysis and Integration office
- Resource Management Officer

d. The recommending supervisor of a nominated employee will not be a board member.

e. The Garrison DHR/ADMIN will oversee, provide administrative support and act as the PRB Recorder. He/she will also ensure all nominations are administratively correct prior to being presented to the PRB. For award recommendations that are incomplete or do not meet the proper standards, the chairperson will sign DA Form 1256, and return it to the Garrison DHR/ADMIN who will return the recommendation back through the chain of command to the submitting official with an explanation.

f. The Garrison DHR/ADMIN will submit award documentation to RMO to ensure the money is in the budget for awards approved by the PRB before being uploaded into the AUTONOA system. When the awards are approved for funding from RMO the DHR/ADMIN will enter into the AUTONOA system"

g. EEO and Union representatives will be invited to be observers on the PRB only.

9. PRB'S are scheduled every month and conducted as necessary.

USAG-West Point Civilian Awards Processing Flow – APF Employees

