

S5-4. CAREER APPOINTMENTS

b. Recruitment.

(2) Vacancy announcement.

(g) Vacancy announcements for all SES positions must contain a statement in the Description of Duties section which describes the diversity responsibilities of the position.

S5-4. CAREER APPOINTMENTS

c. Rating and selection.

(2) Heads of Operating Administrations, or their designees, are responsible for ensuring that a commitment to equal opportunity and an understanding of the importance of workforce diversity is an integral part of the consideration process for individuals entering into the Senior Executive Service.

S9-2. PRESIDENTIAL RANK AWARDS

f. Nomination procedures.

(1) The Departmental Office of Personnel will issue an annual call for rank nominations. Specific nomination procedures and the deadline for submission of nominations will be stated in the call and will allow for Secretarial review of the submitted nominations.

S9-3. PERFORMANCE AWARDS

b. **Eligibility.** (1) To be eligible for a bonus, the SES member must have been subject to approved written performance elements and standards of DOT for at least the 120 days immediately preceding the last day of the rating period.

S9-3. PERFORMANCE AWARDS

e. Number and amount of individual awards.

(3) Amount of Awards. The following limitations apply to the distribution of award dollars within DOT:

(a) Performance awards of 20 percent (Category A) will be limited to no more than 5 percent of those receiving awards.

(b) Performance awards in the 17-19 percent range (Category B) will be limited to no more than 5 percent of those receiving awards.

(c) Performance awards of 12-16 percent (Category C) will be limited to no more than 20 percent of those receiving awards.

(d) The remaining employees receiving awards will receive amounts ranging from 5-11 percent, as determined by the Secretary.

f. **Award determinations.** (1) Although the SES positions of the Department are a resource of the Secretary, the great majority of the input concerning individual performance awards will be provided by the Heads of Operating Administrations (OA) and Departmental Officers (DO). With the exception of those organizational elements with five or fewer eligible career SES members, Heads of OAs/DOs who are themselves eligible for a performance award, and a small Secretarial reserve (to be determined annually), decisions as to the recipients of an SES performance award will be made by the Head of the OA/DO, subject to the procedures below. The Executive Resources Review Committee (ERRC) will determine, based upon the recommendations of the appropriate Head of the OA/DO, the performance award recipient(s) in those OAs with five or fewer eligible career SES members as well as those SES members who will receive the awards described in paragraph S9-3e(3)(a)-(c) above.

(2) The Secretary will determine annually the award formula to be used that year. Each OA/DO with more than five eligible SES members will receive an allocation based on the award formula. There will be a small reserve to accommodate the organizational elements with five or fewer

eligible SES members and Heads of OAs/DOs who are eligible for performance awards, as well as a small reserve for the Secretary's distribution as appropriate (i.e., to reward special performance or organizational performance). The Deputy Secretary or ERRC may distribute this reserve on the Secretary's behalf.

(3) Each Performance Review Board (PRB), as a continuation of its responsibility under the DOT Executive Performance Appraisal System, will rank all career executives within each eligible overall performance rating. In arriving at the recommended rankings, each PRB shall consider not only the overall performance ratings, but also the comparative difficulty of each position and other significant organizational accomplishments not adequately covered by an SES member's individual performance elements. Additionally, PRBs should consider, where appropriate, executives' efforts with regard to their commitment to equal opportunity and their understanding of the importance of work force diversity. The systems used to assist the PRB in making their recommendations must be committed to writing and adequate documentation must be maintained to reconstruct the ranking process if necessary. The PRB will provide the Administrator or DO, as appropriate, with:

(a) A written ranked list of those SES members (excluding those in (b) below) eligible for a performance award; and

(b) A separate list of those members of the PRB who are subject to the SES performance award system and who meet the eligibility criteria for an award.

(4) It will be the responsibility of each Head of an OA/DO to review the recommendation of the appropriate PRB, incorporating, if necessary, the PRB members into the overall ranking, and to make the selection of the performance award recipients for that organizational element in accordance with performance award allocations, subject to the concurrence of the Secretary or the ERRC on his/her behalf.

(5) Each Head of an OA/DO may submit a specified number of award recipients (to be determined by the Secretary and transmitted

with the space allocation described in paragraph S9-3f(2)) to vie for the limited number of the higher percentage performance awards (i.e., Categories A, B, and C). This recommendation should include a specified award category and should be in priority order, if applicable. Generally, if not selected for an award in one of the higher categories, the nominee will receive an award of 11 percent.

(6) On a date to be determined annually (on or about November 15), each Head of an OA/DO will submit to the Departmental Office of Personnel a list of nominees for each award category (including lower level awards) in accordance with the number of spaces allocated with the following information: individual's name, social security number, pay level, and proposed award category. In addition, nominations for higher level awards should include all information reviewed by the PRB, as well as any additional information relevant to the process.

(7) After the conclusion of the review process, approved lists of award recipients will be returned to the appropriate Head of the OA/DO.

g. Payment procedures. (1) The Departmental Office of Personnel, will send a list of the award recipients to the appropriate office to have checks issued by the end of the calendar year. However, servicing personnel offices are responsible for taking appropriate action to document the awards in the employees' records on Standard Form (SF) 50, Notification of Personnel Action.

Payroll office copies of each SF 50 should be forwarded to the servicing payroll office under separate cover from other SF 50s and with clear designation as personnel actions covering SES bonuses.

h. Reporting requirements and OPM review.

(3) Each OA and DO will provide the Departmental Office of Personnel, within 2 weeks of the final determination of performance awards for the performance period, a copy of the Performance Appraisal Summary for each executive who received a performance rating for the appraisal period and an alphabetical listing of all executives covered by the provisions of the Executive Performance Appraisal System who received performance appraisals. The list should include the following information:

- (1) The executive's position title;
- (2) The executive's position number;
- (3) The executive's performance appraisal overall rating and the date the rating was made;
- (4) The performance award amount, if any, and the date of the award; and
- (5) Any incentive award granted the executive during the rating period, the type of incentive award, the date of the award, the dollar amount, if any, and the dollar benefit of the award to the Government.

**S9-4. SUPERIOR ACCOMPLISHMENT
INCENTIVE AWARDS**

e. **Approval and documentation.** Approval authority and Departmental documentation requirements for processing superior accomplishment awards are contained in Appendix G.