|  |
| --- |
|  |
| **Employee:**  | **Effective Date:** |
| **Organization:** | **NOAC/Nature of Action:** see Codes and Authorities below  |
| **Title, PP/Series/Grade:** | **LAC/Legal Authority:** see Codes and Authorities below |
| **Cash Award Amount:**  | **QSI Step To:** |
| **Base Salary:** |
| **Performance Rating:** | **Date of Rating:**  |

**References:** [5 U.S.C. Chapter 45](https://www.law.cornell.edu/uscode/text/5/part-III/subpart-C/chapter-45), [5 CFR 451](https://www.law.cornell.edu/cfr/text/5/part-451) and [531](https://www.law.cornell.edu/cfr/text/5/part-531), [Guide to Processing Personnel Actions](https://www.opm.gov/policy-data-oversight/data-analysis-documentation/personnel-documentation/#url=Processing-Personnel-Actions), [Guide to Personnel Recordkeeping](https://www.opm.gov/policy-data-oversight/data-analysis-documentation/personnel-documentation/), [Quality Step Increase (opm.gov)](https://www.opm.gov/policy-data-oversight/pay-leave/pay-administration/fact-sheets/quality-step-increase/), [New Performance Management FAQ - OPM.gov](https://www.opm.gov/frequently-asked-questions/new-performance-management-faq/)

**Instructions:** Use this checklist in conjunction with the Performance Appraisal Checklist and Agency specific guidance.

[**Quick Link to "Case File Summary/Comments:"**](#_Case_file_Summary/Comments:)

| **QUALITY STEP INCREASES (QSIs)** [**5 CFR Part 531 Subpart E**](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-531/subpart-E) |
| --- |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | The position is a permanent position and the employee is in a GS pay plan. [[5 CFR 531.402(a)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-531/subpart-D/section-531.402#p-531.402(a))] |  |
|  |  | The employee has received a rating of record at Level 5 (“Outstanding” or equivalent). [[5 CFR 531.504(a)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-531/subpart-E/section-531.504#p-531.504(a))] |  |
|  |  | If the employee is covered by a program that does not use a Level 5 summary, the employee has:1. Received a rating of record at the highest summary level used by the program.

and1. Demonstrated sustained performance of high quality significantly above that expected at the fully successful level. [[5 CFR 531.504(b)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-531/subpart-E/section-531.504#p-531.504(b))]
 |  |
|  |  | Employee has not received a QSI within the preceding 52 calendar weeks. [[5 CFR 531.505](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-531/subpart-E/section-531.505)] |  |
|  |  | The effective date of the QSI is as soon as possible after final approval. [[5 CFR 531.506](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-531/subpart-E/section-531.506)]***\*Note: If no, please note the timeframe after final approval.*** |  |
|  |  | A copy of the Notice of Personnel Action, SF-50, is maintained in the OPF on the right (permanent) side. [[5 CFR 451.106(f)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.106#p-451.106(f))] |  |
| **CASH AWARD BASED ON PERFORMANCE – 5** [**U.S.C. 4505a**](https://www.law.cornell.edu/uscode/text/5/4505a)**;** [**5 CFR 451.104**](https://www.law.cornell.edu/cfr/text/5/451.104) |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | Employee's most recent performance rating was at least fully successful, or better [[5 CFR 451.104(a)(3)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.104#p-451.104(a)(3))]  |  |
|  |  | Awards do not exceed 10% of annual rate of *basic* pay (or 20% if approved by agency head.) [[5 U.S.C. 4505a(a)(2)](https://uscode.house.gov/view.xhtml?req=(title:5%20section:4505a%20edition:prelim))] |  |
|  |  | If awards for non-SES employees are a percentage of the employee’s rate of basic pay, include locality payments, special rate supplements or other similar payments. (Must follow agency plan) [[5 CFR 451.104(g)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.104#p-451.104(g))] |  |
|  |  | Awards greater than $10,000 are approved by OPM [5 U.S.C. 4502(b) and 5 CFR 451.106(b)]; DoD and IRS may approve awards up to $25,000 without OPM approval. [[5 U.S.C. 4502(f)](https://uscode.house.gov/view.xhtml?edition=prelim&req=granuleid%3AUSC-prelim-title5-chapter45-front&f=treesort&num=0) and [5 U.S.C. 9508(c)(2)](https://uscode.house.gov/view.xhtml?req=granuleid:USC-prelim-title5-section9508&num=0&edition=prelim)] |  |
|  |  | Cash award was paid as a lump sum. [[5 U.S.C. 4505a(2)(b)(1)](https://uscode.house.gov/view.xhtml?req=(title:5%20section:4505a%20edition:prelim))]***\*Note: If cash award was not paid as lump sum, please document how it was paid.*** |  |
|  |  | Non-career SES employees and Schedule C appointees do not receive cash awards during a Presidential election period; Executive Schedule officers appointed by the President with Senate confirmation do not receive cash awards. [[5 CFR 451.105(a) and (b)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.105)] |  |
|  |  | Agency reported the cash award to EHRI. [[5 CFR 451.106(g)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.106#p-451.106(g))] |  |
|  |  | Documentation is maintained in accordance with *OPM’s Guide to Personnel Recordkeeping* and no SF-50’s are maintained on the right side of the OPF [[5 CFR 451.106(f)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.106#p-451.106(f))] |  |
|  |  | Award was granted timely based on the employee’s contribution.\****Note: Consider the following:**** ***Date award recommendation submitted.***
* ***Date approved by approving official.***
* ***Date of committee approval (if applicable)***
* ***Date received in personnel office.***
* ***Number of calendar days to process.***
* ***Agency processing timeframes.***
 |  |
| **CASH AWARD BASED ON CONTRIBUTION, SUGGESTION, OR INVENTION** |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | Written justification documented for each award that is not based on a rating of record. [[5 CFR 451.103(c)(2)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.103#p-451.103(c)(2))] |  |
|  |  | Cash awards greater than $10,000 must have OPM approval. [[5 CFR 451.107(a)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.107#p-451.107(a)) and [5 CFR 451.107(b)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.107#p-451.107(a))] |  |
|  |  | Cash award was paid as a lump sum. [[5 U.S.C. 4505a(2)(b)(1)](https://uscode.house.gov/view.xhtml?req=(title:5%20section:4505a%20edition:prelim))]***\*Note: If cash award was not paid as lump sum, please document how it was paid.*** |  |
|  |  | Non-career SES employees and Schedule C appointees do not receive cash awards during a Presidential election period; Executive Schedule officers appointed by the President with Senate confirmation do not receive cash awards. [[5 CFR 451.105(a) and (b)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.105#p-451.105(a))] |  |
|  |  | Agency reported the cash award to EHRI. [[5 CFR 451.106(g)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.106#p-451.106(g))] |  |
|  |  | Documentation is maintained in accordance with *OPM’s Guide to Personnel Recordkeeping* [[5 CFR 451.106(f)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.106#p-451.106(g))] |  |
|  |  | Award documentation filed in an individual’s record complies with the Privacy Act of 1974 and does not contain information about another employee’s award. [[5 U.S.C. 552a(e)(1)](https://uscode.house.gov/view.xhtml?req=Title+18&f=treesort&num=141)] |  |
|  |  | Award was granted timely based on the employee’s contribution.*\*****Note: Consider the following:**** ***Date award recommendation submitted***
* ***Date approved by approving official***
* ***Date of committee approval (if applicable)***
* ***Date received in personnel office***
* ***Number of calendar days to process***
* ***Agency processing timeframes***
 |  |
| **TIME-OFF AWARD (TOA)** |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | Written justification documented for each award that is not based on a rating of record [[5 CFR 451.103(c)(2)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.103#p-451.103(c)(2))] |  |
|  |  | TOA is not converted to cash under any circumstances [[5 CFR 451.104(f)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.104#p-451.104(f))] |  |
|  |  | Non-career SES employees and Schedule C appointees do not receive a TOA during a Presidential Election period [[5 CFR 451.105 (a)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.105#p-451.105(a))] |  |
|  |  | Executive Schedule officers appointed by the President with Senate confirmation do not receive time-off awards. [[5 CFR 451.105(b)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.105#p-451.105(b))] |  |
|  |  | Agency reported the time off award to EHRI. [[5 CFR 451.106(g)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.106#p-451.106(g))] |  |
|  |  | Awards documents filed in OPF in accordance with Guide to Personnel Recordkeeping, Chapter 3. Note: Documentation for all awards actions except Senior Executive Service Rank Awards are NOT authorized for right side retention in the OPF on or after January 1, 1999. (QSI authorized on right side as a WIG) [[5 CFR 451.106(f)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.106#p-451.106(f))] |  |
|  |  | Award documentation filed in an individual’s record complies with the Privacy Act of 1974 and does not contain information about another employee’s award. [[5 U.S.C. 552a(e)(1)](https://uscode.house.gov/view.xhtml?req=Title+18&f=treesort&num=141)] |  |
|  |  | TOA was granted timely based on the employee’s contribution.\****Note: Consider the following:**** ***Date award recommendation submitted***
* ***Date approved by approving official***
* ***Date of committee approval (if applicable)***
* ***Date received in personnel office***
 |  |
| Case file Summary/Comments:  |

**Reviewer/Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**