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DEPARTMENT OF THE INTERIOR
ICE OF SURFACE MINING
AMATION AND ENFORCEMENT

RECTIVES SYSTEM

Subject Number:	PER-17
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Date:	MAY 23 1990

ds Program

Approval: [signature] Title: Director

1. **Purpose**. The Incentive Awards Program is designed to improve Government efficiency, economy and effectiveness by motivating employees to increase productivity and creativity by rewarding their efforts which benefit the Government. This directive applies to all Office of Surface Mining Reclamation and Enforcement (OSM) employees.

2. **Summary of Changes**. This release revises and updates the OSM Incentive Awards Program. It covers superior accomplishment awards (special acts or services, suggestions and inventions), awards based on performance, and Departmental Honor Awards. Specifically, it:

a. Revises and consolidates the Incentive Awards Directive, PER-17, and the Employee Suggestion Program Directive, PER-15, thereby deleting the need for two separate issuances. Attachment A.

b. Adds the responsibilities of the Servicing Personnel Offices. Paragraph 4b(4).

c. Adds the revised intrinsic awards table. Attachment D, Table 2.

d. Adds sample citations for honor awards. Attachment C, Appendix 1.

e. Updates the term Sustained Superior Performance Award by deleting the words sustained superior. Attachment B, paragraph 1a.

f. Removes award procedures from the basic directive and places them into attachments (e.g., awards based on performance are in Attachment B). Attachments A-C.

g. Adds an Index at the beginning of the attachments.

h. Deletes reference to OSM-840, "Recommendation for Performance Award," and replaces it with the newly revised Form DI-411, "Recommendation for Monetary Award." Attachment A, paragraphs 3a(1), 3a(5), and 3b(1); Attachment B, paragraphs 1a(2) and 2d.

3. **Definitions.**

a. Adopted Suggestion - a suggestion which has a written commitment by the appropriate program management official to implement.

b. Award or Incentive Award - a monetary or nonmonetary award granted for a contribution resulting in tangible benefits or savings, and/or intangible benefits to the Government.

c. Contribution - an accomplishment achieved through an individual or group effort in the form of a suggestion, an invention, or a special act or service in the public interest connected with or related to official employment, which contributes to the efficiency, economy, or other improvement of Government operations, or achieves a significant reduction in paperwork.

d. Honor Award - an award granted independently of cash awards. Recipients may be private citizens, organizations, or employees.

e. Intangible Benefits - benefits to the Government which cannot be measured in terms of dollar savings.

f. Invention Award - monetary and/or honorary recognition granted for an invention by Federal personnel that is of interest to the U.S. Government or the public, and for which patent coverage is sought or granted.

g. Length-of-Service Award - a nonmonetary award (certificates, emblems, etc.) given to recognize years of service in the Federal Government.

h. Nonmonetary Award - a medal, certificate, plaque, citation, badge, or other similar items that have an award or honor connotation.

i. On-the-Spot Award - a monetary award granted when the accomplishment is of a short-term nature and exceptionally prompt recognition is desired.

j. Patent Award - an award granted by an agency to an employee(s) upon issuance of a patent for an invention (or notice of allowability if a patent cannot be issued for national security reasons).

k. Performance Award - a cash payment (one-time lump sum) based on the employee's rating of record. A performance award does not increase base pay.

l. Quality Step Increase (QSI) - a salary step increase which may be granted to General Schedule employees in permanent positions for "Outstanding" performance.

m. Special Act or Service Award - a contribution or accomplishment in the public interest which is non-recurring, either within or outside of job responsibilities; a scientific achievement; or an act of heroism.

n. Suggestion - a constructive proposal submitted in writing for evaluation by management which both identifies a problem and proposes a solution to the problem.

o. Suggestion Award - a monetary or nonmonetary award granted for the adoption of an employee suggestion.

p. Superior Accomplishment Award - same definition as for Award.

q. Tangible Benefits - benefits or savings to the Government that can be measured in dollars. For purposes of granting awards, benefits or savings for the first year of operation or implementation normally are used.

4. **Policy/Responsibilities/Procedures.**

a. Policy.

(1) It is OSM policy to encourage employees to actively participate in the common task of improving efficiency and economy of Government operations and to submit ideas for improvement. Managers and supervisors are encouraged to give proper recognition to employees for their contributions toward the improvement of Government operations.

(2) Awards, with one exception, are not mandatory but are a management prerogative. The exception is mandatory performance awards for GM employees receiving an outstanding (Level 5) performance rating. An award may be approved in amount or type that differs from the original nomination or may be disapproved entirely. Therefore, an employee will not be advised that an award nomination has been submitted on his or her behalf until final approval has been received. Although reconsideration may be requested if an award is denied, failure to receive an award is not grievable or appealable.

(3) Due consideration will be given to superior accomplishment awards when rating and ranking employees for promotion.

(4) Special care must be exercised in processing award cases to avoid duplicate payments for overlapping periods or the same performance in more than one award recommendation. This does not prohibit two types of recognition for different contributions. For example, a Special Act or Service Award may be given for an act of heroism. Later, a Performance Award may be warranted for high-level performance of regular duties for the period in which the act of heroism occurred.

b. Responsibilities.

(1) The Director has the overall responsibility for the OSM Incentive Awards Program.

(2) Deputy Directors, Assistant Directors, Administrative Service Center Chiefs, Field Office Directors, and Staff Office Heads are responsible for actively promoting the Incentive Awards Program, and for supporting the implementation of this program by providing adequate financial and staff support.

(3) The Chief, Division of Personnel is responsible for developing, administering, monitoring and evaluating the Incentive Awards Program agency-wide in accordance with Departmental and Office of Personnel Management (OPM) requirements.

* (4) Servicing Personnel Offices are responsible for administering, monitoring, and evaluating the Incentive Awards Program for their serviced areas under provisions of governing issuances.

(5) Managers and Supervisors are responsible for:

(a) Understanding the purpose and operation of the program and identifying and recommending awards for employees whose performance or contributions meet standards for formal recognition;

(b) Giving close attention to the total number of cash awards that he/she approves. If too many awards are approved, the incentive value of the awards may be lost. If too few awards are granted, the potential for gains in employee morale and efficiency from the Incentive Awards Program may not be fully realized;

(c) Submitting a written statement to the Chief, Servicing Personnel Office for review and referral to the next higher level official for decision when they do not concur with the Incentive Awards Committee determination that the award nomination or dollar amount proposed is inadequately supported.

The statement must contain reasons for not concurring with the determination. No action may be taken to effect the award until the higher level official makes the final decision;

(d) Encouraging and assisting employees in the preparation and submission of clearly written and meaningful suggestions;

(e) Ensuring prompt review of all suggestions referred to them for evaluation; and

(f) Promptly placing in effect all approved suggestions.

(6) Incentive Awards Committees in each serviced area have the following responsibilities:

(a) Assisting the Servicing Personnel Office in administering, monitoring, and evaluating the Incentive Awards Program;

(b) Advising management on procedures/criteria for incentive awards nominations; and

(c) Reviewing and presenting recommendations to the Director or Assistant Director concerning:

1 Nominations for proposed honorary awards and cash awards up to and including $5,000, excluding Quality Step Increases, Performance Awards, and On-the-Spot Awards;

2 Nominations that are competitive and involve the evaluation of accomplishments of several individuals or groups; and

3 Difficult, complex, or controversial cases. Such cases might arise as the result of an employee's request for reconsideration of a prior action.

(7) The Incentive Awards Administrator, in the Servicing Personnel Office, is responsible for advising and assisting management officials and the Incentive Awards Committee in the operation of the program. In addition to maintaining control of awards files, he/she will work closely with the committee Chairperson on developing internal policy and procedures relating to incentive awards. His/Her responsibilities include the following:

(a) Serving as the executive secretary to the Incentive Awards Committee, maintaining minutes, and preparing

correspondence regarding committee actions;

(b) Providing technical assistance and guidance to supervisors and managers on preparing awards;

(c) Reviewing nominations to assure they meet applicable eligibility criteria contained in guidance and instructions;

(d) Processing approved awards; i.e., ordering checks, preparing letters and certificates, assuring awards are presented in an appropriate and timely manner, and ensuring that copies of documents are filed in the recipient's Official Personnel Folder when appropriate; coordinating awards ceremonies;

(e) Preparing all required reports, including publishing annually the number and types of awards approved within their area of responsibility;

(f) Periodically distributing information regarding incentive awards, including the requirements and procedures for preparing award nominations;

(g) Reviewing suggestions to ascertain whether:

1 they are eligible for consideration;

2 they have Department or Government-wide impact, and if so, submitting the suggestion to the Department Incentive Awards Administrator through the Division of Personnel;

(h) Validating the evaluation and the award amount after the suggestion is returned from the evaluator to ensure compliance with regulations and procedures; and

(i) Promoting the program by implementing campaigns or other promotional ideas to encourage the submission of suggestions.

(8) Administrative Officers are responsible for the technical review and certification for payment of On-the-Spot Awards for their offices. They are also responsible for maintaining records and reporting information concerning these awards to the Servicing Personnel Office at least annually.

(9) Employees share responsibility for improving Government operations and services. Employees may contribute to the operational effectiveness of OSM, the Department, and the

Government by submitting beneficial ideas under the Suggestion Program.

c. Procedures. Managers and supervisors have a variety of awards for recognition of deserving and qualified employees. Incentive Awards Administrators can advise on the type of recognition that is most appropriate. Information concerning award nomination procedures and awards tables are in the attachments.

(1) Superior Accomplishment Awards are at Attachment A. These include:

(a) Suggestions and inventions (patent applications); and

(b) Special act or service awards.

(2) Awards based on performance are at Attachment B. These include:

(a) Performance awards (lump-sum cash); and

(b) Quality step increases.

(3) Honorary Recognition Awards are at Attachment C. These include:

(a) Distinguished Service Award;

(b) Outstanding Service Award;

(c) Meritorious Service Award;

(d) Unit Award for Excellence of Service;

(e) Superior Service Award;

(f) Valor Award;

(g) Exemplary Act Award;

(h) Secretary's Annual Award for Paperwork Reduction;

(i) Conservation Service Award (for citizens in the private sector);

(j) Public Service Award (for citizens in the private sector);

(k) Secretary's Annual Safety Program Award;

(l) Certificate of Safety Achievement Award;

(m) Safety Council Award of Merit;

(n) Length of Service Recognition;

(o) Retirement; and

(p) Awards for Disclosures of Fraud, Waste, and Mismanagement.

(4) Awards Tables are at Attachment D. Level of approval and the dollar amount will be as specified in the most current OSM Directive on Delegations of Authority (OPM-5).

(5) Incentive Awards Committees will be established for the East, West and Headquarters serviced areas.

(a) The Director will select members to serve on the committee for Headquarters and the appropriate Assistant Director(s) will select for the East and West. The Servicing Personnel Offices will assist these individuals in determining how to select committee members.

(b) The committee will consist of the chairperson, who will be selected by a majority vote of all voting members of the committee, and at least four additional members who will serve on a rotating schedule for a period of two years.

(c) The chairperson of the committee may act for the full committee on cases normally requiring committee approval only under unusual circumstances, documented and agreed to in advance by the Incentive Awards Administrator.

(d) The committee members should be from various occupational disciplines, be objective, demonstrate good judgment, and enjoy the confidence of the work force at large.

(e) The Director and Assistant Director(s) will ensure that females and members of minority groups are included in the membership of the Incentive Awards Committees.

(f) A nonvoting executive secretary (normally the Incentive Awards Administrator) will be assigned to perform necessary administrative duties.

(g) An ad hoc committee may be convened or alternate committee members may be designated to consider awards being

recommended for employees who are members of the Incentive Awards Committee; supervise or are supervised by committee members; or are related to committee members.

(h) All "outside" awards (including those for approval at Department level) will be routed through the Division of Personnel prior to leaving OSM. All awards for the Director's approval or for Departmental approval will be routed through the local committee before forwarding to Headquarters (e.g., a Superior Service Award for an employee in the West would be routed through the committee in the West before being sent to Headquarters).

5. **Reporting Requirements**. Annually.

6. **Effect on Other Documents**. Supersedes PER-15 (Employee Suggestion Program) dated 11/3/86; PER-17 (Incentive Awards Program) dated 4/11/83 with Change Notices dated 3/6/84, 9/14/84, 9/27/88; Temporary Directive 89-14 (On-the-Spot Awards) dated 2/10/89; and Temporary Directive 89-18 (Supplemental Incentive Awards Instructions) dated 3/31/89.

7. **References**

a. DOI Departmental Manual - 370 DM 451.

b. FPM - Chapter 451.

c. DOI Departmental Manual - 370 DM 430.

d. OSM Directive, PER-14.

8. **Effective Date**. Upon Issuance.

9. **Contact**. Division of Personnel, Branch of Employee Management Relations, FTS/202-343-1010.

10. **Keywords**. Award, On-the-Spot, Suggestion.

11. **List of Appendices**.

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* **Attachment A - Superior Accomplishment Awards**

1. **SUGGESTION PROGRAM**. This Program is directed toward obtaining employee ideas that assist management in improving efficiency, economy or effectiveness of Government programs and missions. An employee suggestion is a constructive proposal conceived and developed by an employee or a group of employees and submitted to management for evaluation and consideration for an award.

a. Program Responsibility. Responsibilities are covered under paragraph 4.b of the directive.

b. Operation. Operation of the Suggestion Program extends to each organizational element in OSM and is centered around employee ideas for improving Government operations.

(1) Eligible. Idea contributions which are eligible to be considered under the suggestion system include the following:

(a) Ideas which directly contribute to economy or efficiency, directly increase effectiveness in carrying out Government missions, or ideas which identify areas where energy resources are wasted and offer specific solutions to overcome this waste, and ideas relating to environmental considerations in OSM programs.

(b) If the implementation of a suggestion requires legislation, the originating agency will provide a statement of the need and utility of the proposed legislation and the estimated costs and benefits within its own organization. The originating agency should also be willing to support the proposal through testimony at legislative hearings when needed.

(c) Contributions are eligible for award consideration whether approved as submitted or approved in part. Lack of novelty or originality does not necessarily make an idea ineligible for an award.

(2) Ineligible. Ideas related to services or benefits to employees, working conditions, buildings and grounds, and housekeeping are ineligible and should be handled through administrative channels instead of through the suggestion system. Suggestions in the form of complaints or those which identify a problem without proposing a solution should not be accepted into the suggestion system. The following types of contributions are ineligible for suggestion consideration:

(a) services and benefits to employees such as vending

machines, cafeteria services, rest room facilities, parking facilities, or holidays.

(b) working conditions such as air conditioning, decoration, furniture, or mirrors.

(c) the routine work of taking care of buildings, grounds, and parking lots, such as repairing, cleaning, replacing, painting or adjusting.

(d) normal or routine safety practices such as normal protective devices, removal of obstructions, or installation of warning and traffic signs.

(3) Job Related Ideas. Many employee suggestions are related to the employee's work. However, being related to the employee's job does not automatically mean the contribution is part of the employee's job responsibilities. "Job related" contributions are those which are related to the employee's work environment but not required in the usual duties or daily performance expectations of the position. A contribution can be considered to be within "job responsibilities" if it falls within expected job performance requirements. Consideration is to be given as to whether the contribution goes beyond what is normally expected of the employee. A special act or service award may be considered as more appropriate in some instances since a special act or service may fall within the employee's job responsibilities. However, job related contributions may be recognized under the suggestion program. Suggestion awards may be granted in instances where the idea is one in which the employee does not have the authority to implement without higher level approval.

(4) Informal ideas. An employee idea that is informally handled as an employee-management communication item, and accepted for use by the benefiting organization may be recommended for a special act or service award if the officials of the organization consider the benefits so significant that they warrant an award.

(5) Basis for awards. A monetary or nonmonetary award will be based on tangible and/or intangible benefits.

(a) Tangible Benefits. A cash award may be made for an employee suggestion that results in tangible benefits. The amount of an award is normally based on a reasonable estimate of net monetary benefits for the first full year of operation following the contribution. However, if the award is to be based on actual savings, an initial award may be paid at the time the award is approved, with the balance paid as a supplemental at the

time the actual savings are determined. The amount of the award will be determined in accordance with the award scale for tangible benefits in Attachment D.

1 Deviation from Table. When there are substantial non-recurring costs in adopting a contribution which will be useful for a number of years, and the amount of the award on the basis of the net first year benefits would be an inadequate reward, the award may be based on an average of the estimated net benefits over a period of years.

2 Documentation. The awards file on an approved contribution resulting in tangible benefits should contain data supporting the determination of dollar benefits; for example, demonstrable benefits may be in terms of lower unit cost on the same measurable production, or lower unit cost on increased volume of production. However, reductions in unit cost are not considered benefits if they are the result of factors such as less complex work items being received or, cause of less effective operations or poorer quality production or service.

(b) Intangible Benefits. A cash award may be made when an adopted suggestion does not lend itself to appraisal on the basis of monetary benefits, or results in combined monetary benefits and intangible benefits. The amount of the award is determined on the basis of its value or benefit to Government operations after full consideration of such factors as extent and scope of application, significance of the contribution, and importance of programs affected. However, the minimum cash award of $50.00 is not granted unless the contribution is of a comparable high standard, meeting the requirements of the intangible awards scale table. When the contribution does not qualify for a minimum cash award, a letter of appreciation or certificate may be given. The Incentive Awards Administrator will assist in preparing the letters for the appropriate signature. The scale for intangible benefits is found in Attachment D.

(6) Waiver of Claim. The acceptance by the employee of a cash award constitutes an agreement that the use by the Government of any idea, method or device for which the award is made will not form the basis of a further claim of any nature upon the Government by the employee, his/her heirs or assigns.

(7) Docketing of Contributions. Each eligible contribution should be docketed on Form DI-400, Incentive Awards Docket. The description of the contribution must be clear and concise. Dockets should be numbered beginning with one for each fiscal year.

(8) Reconsideration. An action by an evaluator on a suggestion may be reconsidered upon request by the person initiating the idea, line managers, or a supervisory official. Within 60 days following receipt of the formal notice of action, the written statement should be submitted setting forth reasons for requesting reconsideration. Generally, the review of the suggester's statement and the case file should be made at the level responsible for the disapproval. The decision to adopt or not adopt a suggestion, and to grant or not to grant an award, is a management prerogative and not grievable under the OSM's grievance system.

(9) Withdrawals. Requests for a withdrawal of a suggestion should be carried on the records, to maintain sequence of docketing numbers, but should not be reported on the annual report.

(10) Payment of Award. The organization benefiting from the suggestion should make the full payment of the award. If other organizations benefit and the award is in excess of $200, a proportionate reimbursement will be made by the benefiting organization. Awards may be paid after the death or separation from Government service of the employee concerned, provided the contribution was made while the employee was in the Government service. In no instance will the granting of a cash award be construed as authority to incur a deficiency in an appropriation. Withholding of income tax will be deducted from awards.

(11) Additional Awards. Original awards do not always represent a fair amount to the contributor when considered in the light of subsequent experience. Additional awards provide a way to correct such inequities and their use should be encouraged, particularly for adoptions outside the area covered by the original award. However, the total award should not exceed the award warranted based on the total amount of benefits. Such awards must be fully documented and justified.

(12) Presentation. Employees receiving suggestion awards will be recognized at the annual award ceremonies.

(13) Group Awards. If a group award is made, such grant may be in equal shares or to each employee in proportion to his/her contribution. However, the total amount of the award generally should be the amount authorized for the award when made to one individual. Exceptions in unusual cases may be made by Incentive Awards Committees in amounts not exceeding their authority when shares of a group award would be too small to provide adequate recognition. Approval must be made by a level having the authority to grant the total amount of the group award.

c. Practices. The following guidelines are for use in administering an efficient and effective suggestion program.

(1) Submission of Suggestions. Suggestions must be in writing and submitted on a Suggestion Form, DI-398, to your Servicing Personnel Office Incentive Awards Administrator for reviewing and processing. Employees are encouraged to submit contributions through their supervisors particularly if the contribution involves operations under the direction of the supervisor. Suggestions submitted to the Department will be routed through the Division of Personnel.

(2) Time Limitations. An idea must be submitted in writing within six months after it has been placed in operation, in order to be eligible for suggestion award consideration. A suggestion should be adopted or not adopted within one year after it is received by the suggestions staff. The contributor maintains rights to the idea two years from date of non-adoption. Exceptions may be made to the limitations when a case merits special consideration.

(3) Procedures for Action. When a suggestion is received by the Incentive Awards Administrator, it will be reviewed to ascertain whether the suggestion meets the eligibility criteria and whether procedures have been met. If so, the suggestion will be docketed and referred for evaluation to the management official who has authority to adopt it (i.e., at Division level or higher). The employee will be advised of the status of the suggestion within three (3) days of receipt in the Personnel Office. The bottom of the Suggestion form may be used as an acknowledgement.

(a) The Incentive Awards Administrator will forward an eligible suggestion to the evaluator and allow 20 days from the date of receipt to evaluate and return the suggestion to the Servicing Personnel Office. All evaluations should be in writing stating the decision and rationale for adoption or non-adoption (evaluation will be made on Form DI-399).

(b) The evaluator is the official at division level, or higher, who can determine if a suggestion is of value and should be adopted. They are able to implement it or authorize implementation and the expenditure of funds for payment of an award. The evaluator may request other officials to make informal review or evaluation of suggestions in areas in which they have technical competence and expertise, as a part of the total evaluation. The evaluator is responsible for performing an effective, comprehensive evaluation of the award.

(c) The evaluator must give a thorough reply to the

suggestion and if adopted, must include an estimation of the tangible and/or intangible benefits. If an evaluation is not deemed responsive to the suggestion or is not complete, the Incentive Awards Administrator will return it for reevaluation or additional information.

(d) The following targets should be used as a guideline for processing suggestions:

1 thirty (30) days or less for cases of nominal value or cases which can be implemented within the same organizational segment in which they originated.

2 sixty (60) days for higher value cases or cases that must be sent to the next higher organizational segment for consideration or implementation.

3 ninety (90) days for cases that must be sent to OSM headquarters office for consideration or implementation.

(e) The Evaluation of Employee Suggestion, Form DI-399, signed by the appropriate Incentive Awards Administrator, may be used as an evaluation report to the suggester; or in case of an adopted suggestion, the signature will represent the authority for paying the award. A copy of the evaluation-adoption form should be placed in the employee's personnel folder.

(f) When ideas are not adopted, the suggester should be provided in writing the reasons for non-adoption. The memorandum should encourage the employee to continue submitting ideas.

(g) If adopted, the suggestion is forwarded for review by the Incentive Awards Committee, and processed for presentation of award, check and certificate to the suggester at the appropriate ceremony. A copy should be filed in the employee's Official Personnel Folder.

d. Forms. Copies of Form DI-398, Department Suggestion Form; Form DI-399, Evaluation of Employee Suggestions; and Form DI-400, Incentive Award Docket, are available from standard supply sources.

e. Referral of Contribution. Any suggestions for referrals outside of OSM will be routed through the Division of Personnel. Before referring a suggestion to another organizational unit, the originating office should evaluate the suggestion indicating whether they wish to implement the suggestion, if adopted, and forward the suggestion, with the internal evaluation. Referrals

should be made when:

(1) A suggestion has been adopted and there is reason for believing it has potential use in another bureau or office; or

(2) The originating bureau or office recommends adoption by another bureau or office; or

(3) The suggestion is to be considered outside of the Department. Suggestions to be considered outside of the Department will be referred through Division of Personnel and Office of Personnel in the Department. Three copies of the suggestion and accompanying evaluations should be forwarded. Awards are based solely on benefits to each individual department and are made without comparison to any other agency's evaluation or award. In addition, specific information on comparable activities in other departments, where it is believed the contribution can be used, should accompany the suggestion file when forwarded. The Office of Personnel transmits the contribution to the affected agency. If more than five other agencies are involved, it is sent to the Office of Personnel Management for coordination of the review.

f. Records. Records should be kept in accordance with the Records Management Manual, for easy retrieval.

2. **INVENTIONS**

a. Monetary recognition of employees' inventions is encouraged. Such recognition stimulates the efforts of individuals and groups engaged in work within the Federal Government. It also rewards those whose inventions benefit the Government and/or the public. A monetary award should be considered if the invention either:

(1) contributes to the efficiency, economy or improvement of government operations; or

(2) is in the public interest and is associated with the employee's official employment.

b. Initial Invention Award. An initial award of $300 should be granted in all cases where an employee has disclosed an invention, normally through OSM technical channels, to the Office of the Solicitor and that Office has filed a patent application for the invention. If there are co-inventors, each employee should receive a $300 award.

c. Patent Award. When a patent application has been filed by the Office of the Solicitor and the Federal Government either owns the invention or has a license, a Patent Award of $500 should be granted upon notification that the U.S. Patent and Trademark Office has issued a patent (or notice of allowability in those instances where issuance of a patent is deferred because of national security restrictions). If there are co-inventors, each employee should received $500.

d. Additional Awards. When the Solicitor advises the office that a patent has been granted, the invention should be sent to an evaluating official for determination whether an additional award is justified based on tangible or intangible benefits (see attachment D). Monetary recognition in addition to the Initial Invention Award and the Patent Award should be granted for inventions owned by the Government whenever:

(1) such inventions provide benefit to the Government as evidenced by Government use; and/or

(2) such inventions provide the Government with a license. Additional awards are granted only to the extent that the invention has benefited the Government; and/or

(3) such inventions benefit the public as evidenced by the number of patent licenses granted, reports on commercialization from patent licensees, and other information pertaining to the commercial use of the inventions. If the

calculation or estimate of benefits to the Government does not fairly reflect the later year(s) benefits, consideration should be given to either an averaging of actual benefits during several years of use of the invention by the Government, or using a more representative year, i.e., the benefits in the second or third year following use of the invention.

e. Processing Patents. The rights of the inventor and the Government in an invention made by a Federal employee are protected by filing patent applications with the U.S. Patent and Trademark Office of the Department of Commerce. The Office of the Solicitor should be consulted, and provide assistance in applying for a patent.

(1) So that appropriate recognition may be granted employee inventors, the Office of the Solicitor should notify the appropriate Incentive Awards Administrator:

(a) when a patent application has been filed; and

(b) upon issuance of a patent (or notice of allowability).

(2) Patent statutes require that a patent application be filed within one year after:

(a) the invention is described in a printed publication;

(b) the invention is in actual use (other than experimental); or

(c) the invention has been sold or offered for sale.

(3) Failure to file the application within one year under any of the above conditions will preclude issuance of a valid patent, resulting in loss to the inventor and the Government.

(4) To insure that the inventor's and the Government's patent rights will not be endangered through premature disclosure, it is important that no referral or processing through regular incentive awards channels occur until after the patent applications have been filed.

3. **SPECIAL ACTS OR SERVICES**

a. General. Awards may be granted to an employee or to a group for a special act or service when it is a nonrecurring contribution or accomplishment in the public service within or outside of job responsibilities, or a scientific achievement, or an act of heroism. These awards are not mandatory but are a management prerogative.

(1) Job Relatedness. Many employee special acts or services are related to the employee's work. Being related to the employee's job, however, does not automatically mean that the contribution is part of the employee's job responsibilities. "Job-related" contributions are those which are related to the employee's work environment but not required in the usual and customary duties or daily performance expectations of the position. A contribution can be considered to be within "job responsibilities" if it falls within expected requirements. Because of the close relationship that can exist between an employee contribution and normal job requirements, decisions frequently must be made to determine whether a contribution recommended for recognition goes beyond what is normally expected of the contributor. Employees at all levels of an organization, with all levels of responsibility, should be recognized for their contributions which are above and beyond normal job expectations.

(2) Procedures for Nomination. Awards will be recommended and processed in a timely manner following the contribution being recognized. The recommending official (who is usually the immediate supervisor) prepares a written statement on
* DI-411, "Recommendation for Monetary Award," detailing the contribution or accomplishment made by the employee or group as a one-time occurrence. Sample justifications are appended to the end of this section. After the reviewing official's signature, nominations are forwarded to the servicing personnel office for review to determine whether it meets the criteria and procedural requirements. After approval, arrangements are made for receipt and presentation of the award. Processing of the award should take no longer than 30 days under normal circumstances.

(a) Nominations requiring Departmental approval are to be endorsed by the appropriate committee and forwarded to the Division of Personnel. The Division of Personnel will review the nominations and prepare them for further processing through the Director, OSM, and Assistant Secretary, Land and Minerals Management, to the Director of Personnel at the Department.

(b) Procedures regarding awarding special acts or services from employees outside OSM are explained in 370 DM 451, 2.2A(2) and (3).

(3) Group Awards. A group special act or service award may be appropriate when a group of employees makes a contribution or accomplishment of a nonrecurring nature. The justification must include the specific contribution of each member of the group to the overall organization accomplishment. Each member of the group, including supervisors, may share equally in the award or in proportion to the individual's contribution toward the group effort.

(4) Amount of Awards. Award amounts are based on the tangible savings or benefits and/or the intangible benefits derived from contributions or accomplishments to the Government. The scale for tangible benefits and the scale for intangible benefits in Attachment D are to be used to determine award amounts for special act or service awards. The amount of a group award is based on the total contribution or accomplishment and is divided equally among the group members or in proportion to the contribution of each group member. Exceptions in unusual cases may be made by Incentive Awards Committees for amounts not exceeding their authority when shares of a group award would be too small to provide proper recognition or incentive. Exceptions exceeding bureau authority will be made by the Interior Incentive Awards Committee.

(5) Payment of Awards. Awards and other expenses for the recognition of employees will be paid from funds or appropriations available to the organization(s) primarily benefiting. In no instance will the granting of a monetary award be construed as authority to incur a deficiency in appropriations. Awards may be paid after the death or separation from Government service or the transfer of the employee concerned provided the contribution was made or rendered while the employee was in Government service. Income tax will be withheld from awards.

(6) Ceremonies and Publicity. Ceremonies may be held to present awards to employees. Publicity will be provided so that employees are informed of the specific reasons for granting awards.

(7) Recording and Documentation. A copy of the approved
* DI-411 will be filed on the permanent side of the employee's Official Personnel File.

(8) Administrative Review. The granting of awards is a management prerogative. However, the recommending or reviewing official may request reconsideration by the Incentive Awards Committee or other authority which disapproved the recommendation for an award. Usually additional information and/or the reasons for the request for reconsideration are provided.

b. **ON-THE-SPOT AWARDS**

(1) General. These awards are granted when the accomplishment is of a short-term nature and exceptionally prompt recognition is desired. Committee action is not required. Effort must exceed the reasonable and normal expectation of the job or be a non-recurring assignment or project that is not part of the employee's regular job. Description of the achievement cannot be used as justification for any subsequent special act or service award for the employee. There is no limit to the number of On-the-Spot awards an employee may receive per year.

(2) Procedures for Nomination. The first-level supervisor, or the supervisor most knowledgeable about the event, * will request the award using Form DI-411, "Recommendation for Monetary Award," as shown in the sample at Appendix 2.

(3) Amount of Awards. The award range is $50 to $250 in $25 increments. The following examples should be used as guides in determining the award amount:

(a) Lower range - Completes an extra, short-term assignment in addition to performing regularly assigned duties, all within established deadlines, and with no need for constant supervision, guidance, or overtime (or similar accomplishments).

(b) Middle range - Displays initiative in performing extra, short-term tasks without being requested to do so in addition to performing regularly assigned duties. The results of the extra tasks are that the division benefits through the efforts. For example, the statistics organized by the employee can be readily used by others without a need for research; the manual created provides guidance for the rest of the division on processing of documents; the work performed relieves a need to incur overtime later to complete reports (or similar accomplishments).

(c) Upper range - Develops an idea that enables the Field Office to resolve a major issue with the State; helps the Field Office eliminate a significant barrier to efficient operations; goes out of way to respond to a request/concern from the State, a citizen, or OSM (or similar accomplishments).

(4) Level of Approval. The second-level supervisor serves as approving official. However, in no case will the approval level be lower than that outlined in OPM-5, Delegations of Authority.

(5) Processing. The award should be processed quickly. Procedures are as follows:

(a) The Administrative Officer will conduct a thorough technical review upon receipt, certify the award for payment, send a facsimile of payment documents to payroll following up with hard-copy which has been annotated with the date the facsimile was sent. They will also send the original award document to the Servicing Personnel Office for post-audit review, issuance of a SF-50 (Notification of Personnel Action), and filing.

(b) The Incentive Awards Administrator (IAA) will conduct a thorough technical review, certify the award for payment, send a facsimile of payment documents to payroll following up with hard-copy, annotated with the date the facsimile was sent, of all nominations not processed by an Administrative Officer. Post audit for technical compliance is required for all awards not processed by the IAA. SF-50's will be issued with the nature of action code for Special Act or Service Award. "On-the-Spot Award" should be entered as a remark.

(6) Records. Records will be maintained in such a manner that report information can be readily extracted. Report information may include items such as: number of awards per employee, number of awards per manager per employee, total number of awards, and total dollar amount. Reporting will be required at least annually.

APPENDIX 1

SAMPLE JUSTIFICATIONS - SPECIAL ACT OR SERVICE

#1

Mr. Doe provided invaluable assistance to the Human Resources Task Force by taking raw data, often in handwritten form, and establishing computer programs to analyze the data. He provided the Task Force with different graphic formats to represent the data in the report. His creative products became an important part of the final Task Force report and were essential to the Task Force's research. The graphic representation he provided was influential in the adoption of the Task Force report by the Director for the entire Agency.

These extras efforts were completed without any lapse in Mr. Doe's regularly scheduled duties. Although relatively new to his computer responsibilities, he was able to produce quality documents in the tight time frame required by the Task Force. All of these efforts were above and beyond Mr. Doe's normal responsibilities.

#2

Due to the numerous vacant staff positions within the Branch of Underground Structures in the Southern Field Office (SFO), Agency objectives could not be met. On several occasions, John Doe accepted lengthy details to the SFO to assist in meeting the Agency's mandates. This employee assisted in compiling an accurate listing of all the imminent harm cessation orders (695) and failure-to-abate cessation orders (3,567) to specific time frames, final dispositions and current status. The completion of this task allowed meaningful statistics to be tabulated and conveyed to top-management officials within the Agency and Department.

The employee further assisted the branch by identifying and resolving numerous discrepancies with CMIS and other automated data management systems maintained by the Agency concerning these orders. Also, the employee assisted in compiling additional summary statistics which reflected the progress made by the branch in meeting the court ordered mandates.

Although these duties consumed a considerable amount of time and effort, the employee continued to surpass his assigned critical and required elements. Among the most significant were completing 180 special investigations and 112 reclamation cost estimates.

The smooth and successful transfer of the branch duties from Headquarters to SFO is largely due in part to this employee's efforts and dedication to the Agency.

#3

The employee acted as Division Chief, Alternative Enforcement, for the specified time period. An initial task was to structure the Division and to establish procedures to assure Agency objectives in this area were pursued and achieved. This was accomplished as procedures were established to process and review notices of violation and failure-to-abate cessation orders (FTACO's). Under his own initiative, Mr. Doe reorganized the procedures under which the Field Offices processed enforcement actions. This was accomplished through close consultation with the Field Office Directors, the Office of the Solicitor and Headquarters' personnel. Some of the more significant achievements include: 1) establishing a new reporting methodology for FTACO's; 2) recommending and implementing various management strategies resulting in the streamlining of procedures that significantly decreased the resources needed to perform this function; and 3) the conducting of several briefings for the Field Office Directors, Deputy Directors, Director and the Assistant Secretary for Land and Minerals Management.

Mr. Doe has put in many uncompensated hours during this period to provide quality work in a timely manner. Through his personal involvement and commitment, the Division was established and is responsive to the program requirements of the Southern Field Operations. For these reasons and in recognition of his willing assumption of additional responsibilities and supervisory accomplishments during the establishing of the Division, it is recommended that Mr. Doe receive a Special Service cash award.

APPENDIX Z

FORM DI-411
(Rev. 10/89)

UNITED STATES DEPARTMENT OF THE INTERIOR

RECOMMENDATION FOR MONETARY AWARD

DOCKET NUMBER _____

APPROPRIATION NUMBER _____

Name of Employee (or Group)	Bureau
Social Security Number	Organization Unit
Date and Type of Award Granted within Past 52 Weeks	
Present Position Title, Series, Grade and Salary *(or Hourly Rate)* ☐ Supervisory ☐ Non-Supervisory	Position Title, Series, Grade and Salary *(or Hourly Rate)* during period of recommendation if other than present position ☐ Supervisory ☐ Non-Supervisory

TYPE OF AWARD RECOMMENDED

☐ **PERFORMANCE AWARD** — Amount of Award $ _____ % of Base Pay _____

Current Performance Rating: Level _____ Rating Period: _____

☐ **QUALITY STEP INCREASE** — Current Performance Rating: Level _____ Rating Period: _____

Effective Date: *(Personnel Office Use Only)* _____

☒ **SPECIAL ACT OR SERVICE AWARD FOR AN INDIVIDUAL**
On-the-Spot

☐ *** SPECIAL ACT OR SERVICE AWARD FOR A GROUP**

Period of Service for which nomination is based _____

Amount of Award $ _____

Tangible Benefits $ _____

Intangible Benefits: Value: _____

Application: _____

* List on a separate sheet the following information regarding the individuals involved in the group nomination: Name, Position Title, Series, Grade, Salary (or Hourly Rate), Social Security Number, Amount of Award Recommended for each individual.

SUPPORTING JUSTIFICATION

Attach justification as required. See the reverse for general information. Place justification in the space on the reverse.

SIGNATURES AS APPROPRIATE

Recommending Official First-level supervisor	Date	Regional or Area Director	Date
Reviewing Official Admin Officer certification	Date	Chairman, Bureau or Office Committee	Date
Chairperson, Regional or Area Committee	Date	Head, Bureau or Office (or Approving Official) Second-level/Approving Official	Date
Chairperson, Interior Incentive Awards Committee			Date

GENERAL INSTRUCTIONS

Performance Awards:

For non-PMRS employees, a one-time cash award based on a percentage of base pay may be granted to employees who receive a rating of record of exceeds fully successful or above,i.e., Level 4 or 5. See 370 DM 430 and bureau procedures for specific guidance.

Employees under the Performance Management and Recognition System are paid performance awards under that system. See 370 DM 540, annual policy issuances, and bureau procedures for specific guidance.

Quality Step Increases:

For General Schedule employees, a quality step increase may be granted for employees who receive an outstanding (Level 5) rating of record. Only one quality step increase may be granted within a 52-week period. See 370 DM 531 and bureau procedures for specific guidance.

Special Act or Service Award for an Individual:

This is a cash award granted for a non-recurring special act or service. The award is based on tangible and/or intangible benefits. See 370 DM 451 and bureau procedures for specific guidance.

Special Act or Service Award for a Group:

This is a cash award which is divided among members of a group granted for a non-recurring special act or service . Justification should describe the overall mission accomplishment of the group as well as the contributions of each individual toward the overall mission accomplishment. The total award is based on tangible and/or intangible benefits derived from the group accomplishment. Individual awards may be divided equally or in proportion to individual contribution to the group effort. See 370 DM 451 and bureau procedures for specific guidance.

Use this space for the justification of the On-the-Spot Award.

* **Attachment B - AWARDS BASED UPON PERFORMANCE**

1. **PERFORMANCE AWARDS**

* a. For GS or Federal Wage System Employees. A performance award is based on the employee's rating of record for the current appraisal period for which performance awards are being paid. Performance awards are not mandatory but may be granted to those attaining no lower than a Level 4 (Highly Successful) rating of record. Table 3 in Attachment D contains the award scale to be used in determining the award amount.

(1) Review and approval. Review and approval of performance awards will be made by an official who is at a higher level than the official who made the initial decision to recommend a performance award unless there is no official at a higher level in OSM. Consideration and final approval of award recommendations for employees on details will be made by the approving official in the organization where the employee is permanently assigned. Performance Awards exceeding $5,000 will be sent to Division of Personnel for forwarding through the Director of Personnel to the Interior Incentive Awards Committee for review and approval.

(2) Documentation. Documentation of performance awards
* will be made on DI-411, "Recommendation for Monetary Award," with the current rating of record attached as justification, but only if it supports the conclusion that overall performance substantially exceeded the fully successful level. If the performance appraisal is more than 60 days old, it must be accompanied by additional justification. The DI-411 will be filed on the permanent side of the Official Personnel Folder along with any narrative documentation. The current rating of record will not be filed in the OPF due to performance appraisal regulations.

(3) Appropriateness. A performance award may be appropriate when:

(a) the contribution is so great that a large lump-sum payment would be a more fitting recognition than a smaller continuing benefit of a quality step increase;

(b) a quality step increase would increase the waiting time for a within-grade increase by placing the employee in the 4th or 7th step; or,

(c) the employee is at, or will soon approach, the 10th step, or equivalent.

b. For GM (PMRS) employees. Performance awards are based on Performance Management and Recognition System (PMRS) employees' ratings of record and are in addition to merit increases and general increases.

(1) Eligibility. An employee is eligible for a performance award if he or she is in the PMRS position on the last day of the appraisal period for which the awards are being paid, provided he or she is otherwise eligible. If the employee transfers to another agency, leaves the Federal service, retires or dies, he or she is still entitled to the performance award providing he or she met all the eligibility requirements.

(a) An employee rated at Level 5 must receive a performance award of at least two percent. See 370 DM 540,9.4C concerning provisions for unusually outstanding performance (superior to that of other PMRS employees rated Level 5 in OSM).

(b) An employee rated at Level 4 may receive a performance award but less than the amount granted Level 5 ratees.

(c) An employee rated at Level 3 may receive a performance award but less than the amount granted higher ratees.

(d) A failure to pay a discretionary performance award authorized by 5 U.S.C. 5406 (6) may not be grieved or appealed.

(2) Documentation. PMRS performance awards are based on the current rating of record.

2. **QUALITY STEP INCREASE (QSI)**

a. Applicability. The following provisions apply to employees who occupy permanent positions classified and paid under the General Schedule (GS) at less than the maximum step of their grades.

b. Appropriateness. Quality increases provide a device to recognize and to reward employees for sustained high quality performance on a continuing basis by providing faster than normal advancement throughout the rate range. When an employee would enjoy the benefits of an additional within-grade increase for an insufficient length of time, or when the employee's contribution is so great that a large lump-sum payment is more fitting recognition than a smaller continuing benefit, a lump-sum cash award may be more appropriate.

c. Eligibility. Quality step increases are not mandatory but may be granted for outstanding (Level 5) performance. Quality increases will not be granted for performance that merely meets performance standards. QSI's should be awarded in a manner that assures maximum fairness to all employees. To be eligible for a quality increase, performance exceeding the requirements of the critical and required elements of a position must have been sustained for at least six months.

d. Initiating recommendations. The recommending official prepares a written statement detailing the manner in which the particular employee has exceeded normal job expectations. The annual performance appraisal may be used in lieu of a statement, provided it clearly supports the outstanding performance required for a QSI. However, if more than 60 days old, the appraisal must be supplemented by current justification. Supervisors must
* verify on the DI-411 that high level performance is anticipated to continue in the same or a similar position for at least 60 days. The recommendation is submitted on DI-411 through regular channels to the approving authority.

* **Attachment C - Departmental Honor Awards and Other Nonmonetary Recognition**

1. General. Honor awards are granted independently of cash awards. Consideration for an honor award will not preclude consideration for an additional cash award. Honor Awards are not intended to serve as a substitute for deserved monetary awards but are designed to select and bestow singular honor as an official recognition of achievement and as an incentive to further accomplishment.

a. Eligibility. Employees at all grade levels are eligible to be nominated for an honor award in accordance with the criteria established for each category of award. Employees may receive only one honorary award in each category, with the exception of the Valor Award and as a participant in the Unit Award for Excellence of Service. Consultants are not eligible for honor awards.

b. Honor Awards Convocation. OSM is authorized to pay expenses of employees or former employees incident to travel to Departmental convocations to receive honor awards. In cases of posthumous awards, the authority includes the expenses of the surviving spouse. In cases of handicapped employees, expenses of an attendant may be paid provided the employee would otherwise be unable to attend the ceremony. By a decision of The Comptroller General of the United States, B-233607, travel expenses may be paid for the spouses of the recipients to attend the Departmental Convocation.

c. Reception. In accordance with 5 U.S.C. 4503, OSM may pay necessary expenses to provide for a reception at which co-workers and friends may congratulate honor awards recipients. Therefore, light refreshments may be provided at nominal cost.

d. Publicity. Publicity on Presidential, Distinguished Service, Valor, Conservation, and Public Service Awards are the responsibility of the Office of the Secretary. Servicing Personnel Offices will expand on this publicity as well as publicize other honor awards, including cash awards.

2. **DISTINGUISHED SERVICE AWARD (DSA)**

This is the highest Departmental honor award that can be granted to a career employee.

a. Criteria. The DSA may be granted for an outstanding contribution to science; outstanding skill or ability in the performance of duty; an eminent career in the Department; an outstanding record in administration; an outstanding contribution

to equal opportunity in Government; an outstanding contribution to energy conservation; or any other exceptional contribution to the public service.

b. Eligibility. Only career employees who previously have received the Meritorious Service Award (MSA) will be considered for a DSA. Only in rare instances will the DOI Committee consider an exception to this policy and only if the sponsor of the nomination provides a fully justified request for a waiver. An employee may receive only one DSA during his or her career.

c. Basis of Nomination. The nomination is based on the employee's contributions while an employee of the Department. Contributions to other Government agencies where the employee worked may be cited. The emphasis will be on the quality of performance and examples of specific contributions will be included in the justification. Length of service is not a primary factor in the granting of the DSA, nor is impending retirement of the employee.

d. Time Limitation. Nominations should be submitted in a timely manner in order to recognize the employee effectively. Employees should be considered and nominated at the time an important contribution is made. The DSA is not to be viewed as a retirement or farewell testimonial. Unless special justification is provided, nominations received six months after the date of retirement or separation of an employee will not be considered.

e. Source of Nomination. Anyone may initiate a nomination. However, the formal nomination and supporting documents will be prepared and submitted through supervisory channels to the Incentive Awards Committee for the organization in which the nominee is employed. After endorsement by the Director, the concurrence of the Assistant Secretary, Land and Minerals Management, is required before submission through the Office of Personnel, DOI, to the Interior Incentive Awards Committee.

f. Preparation of the Nomination. An original and one copy of the nomination package will be submitted to the Division of Personnel. Personnel will duplicate nine copies for the Department after obtaining all required signatures. The package will include the following:

(1) DI-402, Honor Award Nomination and Personal History Record (available from standard supply sources):

(a) The nominee's OPF will be reviewed for derogatory information and, when appropriate, the following statement will be inserted in the left margin of the form: "There is no derogatory information contained in the nominee's Official

Personnel Folder." The date and initials of the official making the review will follow. Any derogatory information should be either included with the nomination or a statement of the facts of the case provided.

(b) The date the MSA was received should be inserted on the form or a statement that no MSA was received and that a waiver is attached.

(c) A place for the concurrence of the Assistant Secretary, Land and Minerals Management, will be placed at the bottom margin of the form.

(2) Justification:

(a) should not exceed three pages, single spaced.

(b) must clearly show specific accomplishments in enough detail to provide a layman with an understanding of the contribution.

(3) Citation:

(a) is submitted on plain bond, should be approximately 350 words, single spaced, and must fit on one page. A sample is appended to the end of this section.

(b) must clearly indicate specific contributions since this will be a permanent historical document.

(4) A brief of at least 25-30 words for use in announcing the award at the Departmental Honor Awards Convocation should be included on plain bond.

g. Evidence of Award. Each recipient of the DSA receives an engraved gold medal, a gold lapel emblem, a certificate and letter-size citation signed by the Secretary outlining the achievements of the individual.

h. Presentation. Presentation of the DSA is normally made by the Secretary at the Departmental Honor Awards Convocation.

3. **OUTSTANDING SERVICE AWARD (OSA)**

a. The OSA may be granted to non-career employees for outstanding performance in a policy or personal staff relationship with the Secretary or the various Secretarial offices. This award gives the Secretary a vehicle for recognizing outstanding personal and policy service to his or her administration.

b. Nomination criteria is at 370 DM 451,4.3. Award presentation is made as determined by the Secretary.

4. **MERITORIOUS SERVICE AWARD (MSA)**

This is the second highest Departmental honor award that can be granted to a career employee. An employee may receive only one MSA during his or her career.

a. Criteria. The MSA may be granted for an important contribution to science or management; a notable career; superior service in administration or in the execution of duties; initiative in devising new and improved work methods and procedures; superior achievement in improving safety or health of workers or employee morale; superior accomplishments in fostering the objective of equal employment opportunity; or important contributions to energy conservation. Nominations based on a notable career will be made well in advance of retirement.

b. Basis of nomination. The nomination is based on the employee's contributions while an employee of the Department. Contributions to other Government agencies may be cited. The emphasis will be on the quality of performance and examples of the specific contributions will be in the justification. Length of service is not a primary factor in the granting of a MSA, nor is impending retirement of the employee.

c. Time Limitation. Employees will be considered and nominated for the MSA at the time an important contribution is made. The MSA is not to be viewed as a retirement or farewell testimonial. Nominations received six months after the date of retirement or separation of an employee will not be considered unless special justification is provided.

d. Source of Nomination. Nominations may be initiated by anyone. However, the formal nomination and supporting documents will be prepared and submitted through supervisory channels to the Incentive Awards Committee.

e. Preparation of the Nomination. An original and one copy of the nomination package will be submitted to the Division of Personnel and will include the following:

(1) DI-402, Honor Award Nomination and Personal History Record (available from standard supply sources):

(a) The nominee's OPF will be reviewed for derogatory information and, when appropriate, the following statement will be inserted in the left margin of the form: "There is no derogatory information contained in the nominee's Official

Personnel Folder." The date and initials of the official making the review will follow. Any derogatory information should be either included with the nomination or a statement of the facts of the case provided.

(b) A place for the concurrence of the Assistant Secretary, Land and Minerals Management, will be placed at the bottom margin of the form.

(2) Justification:

(a) should not exceed three pages, single spaced.

(b) must clearly show specific accomplishments in enough detail to provide a layman with an understanding of the contribution.

(3) Citation:

(a) is submitted on plain bond, should be approximately 350 words, single spaced, and must fit on one page. A sample is appended to the end of this section.

(b) must clearly indicate specific contributions since this will be a permanent historical document.

f. Processing of Nomination.

(1) Nominations will be acted upon by the servicing Incentive Awards Committee and if approved will be forwarded to the Division of Personnel.

(2) The Division of Personnel will complete processing of the nomination (e.g., request Director's and Assistant Secretary's signatures) prior to forwarding to the Office of Personnel.

(3) The Department will advise OSM of the approval or disapproval of the nomination.

g. Evidence of Award. Each recipient of the MSA receives an engraved silver medal, a silver lapel emblem, a certificate and a letter-size citation signed by the Secretary containing a statement of the meritorious service worthy of this award.

h. Presentation. Presentation of the MSA will be made at an OSM awards ceremony.

5. **UNIT AWARD FOR EXCELLENCE OF SERVICE (UNIT AWARD)**

a. The Unit Award is a Departmental Honor Award granted to a group of employees who have worked together as a unit to perform a service so far above and beyond that normally expected that it is considered to be superior.

b. Nomination criteria is at 370 DM 451,4.5. Award presentation will be made at an OSM awards ceremony.

6. **SUPERIOR SERVICE AWARD (SSA)**

The SSA is a Departmental Honor Award granted for significant acts, services, or achievements that materially aid or affect the successful accomplishment of the Department's mission. This award will be granted at the time a superior contribution is made. Presentation is by the Director or his/her representative.

a. Basis of Nomination. The nomination is based on the employee's contribution while an employee of the Department. The achievement or contribution cited must show one or more of the following:

(1) Accomplishment of a particularly difficult or important mission, operation or assignment in a manner that reflects credit on the individual or OSM.

(2) Development of a new procedure or process that results in substantially increased productivity, efficiency or economy of operation and for which the employee has not been otherwise rewarded.

(3) Innovations of significance which further OSM's programs.

(4) Any other aspect of superior performance related to assigned duties and deemed to be deserving of special recognition.

b. Time Limitation. SSA should be granted to the employee while he or she is actively employed and at the time a superior contribution is made. Final action on the nomination must be completed not later than six months after retirement or separation of an employee, unless special justification is provided.

c. Processing of Nomination. Nominations are submitted on Form DI-402, Honor Award Nomination and Personal History Record. A sample citation is appended to the end of this section. Awards will be acted upon by the servicing Incentive Awards

Committee prior to forwarding to the Division of Personnel. The Director has the final award authority.

d. Evidence of Award. Each recipient of a SSA receives a lapel pin or tie tac and a certificate signed by the Director. Accompanying the award will be a citation containing a statement of superior service meriting this award.

e. Presentation. Presentation of the SSA will be made at an OSM awards ceremony.

7. **VALOR AWARD**

The Valor Award is the highest honor granted by the Department to employees who demonstrate unusual courage involving a high degree of personal risk in the face of danger. There is no requirement that the act be related to official duties or that the site of the incident be the official duty station. The award is based on the nature of the act and is given individually. Employees at all levels in the Department are eligible for this award.

a. Source of nomination. Nominations may be made by any individual or group of individuals, public or private. However, the formal nomination and supporting documents will be prepared and submitted through supervisory channels to the servicing Incentive Awards Committee. If approved, nominations will be sent to the Division of Personnel for action. After endorsement by the Director and concurrence by the Assistant Secretary, Land and Minerals Management, the nomination is submitted to the DOI Incentive Awards Committee through the Office of Personnel, DOI.

b. Time Limitation. Nominations received more than six months after the date of the heroic act will not be forwarded by the Division of Personnel unless special justification is provided.

c. Preparation of Nomination. An original and one copy of the nomination package will be submitted to the Division of Personnel. Personnel will duplicate nine copies for the Department after obtaining all required signatures. The package will include the following:

(1) DI-401, Award for Valor Nomination (available from standard supply sources), should include the justification describing the heroic act or rescue. Photographs, newspaper articles, and any other supporting data may be included.

(2) Citation:

(a) is submitted on plain bond, should be

approximately 350 words, single spaced and must fit on one page.

(b) must clearly outline the heroic act or rescue since this will become a permanent historical document.

d. Evidence of Award. Each recipient of the Valor Award receives an engraved gold medal and a letter-size citation signed by the Secretary outlining the heroic act.

e. Presentation. Presentation is made by the Secretary at the Departmental Honor Awards Convocation.

f. Carnegie Award Consideration. After the Valor Award has been approved by the Secretary, the Office of Personnel, DOI, will forward recommendations to the Carnegie Hero Fund Commission for consideration of the Carnegie Hero Award.

8. **EXEMPLARY ACT AWARD**

This is a Departmental honor award to recognize those whose prompt decision or action significantly contributed toward the saving of a life or property, or helping another person in need of physical assistance. This emergency or critical situation would be one that did not necessarily involve personal risk to the nominee. There is no requirement that the act be related to official duties or that the site of the incident by the official duty station. The award is based on the nature of the act and is given individually or to a group.

a. Eligibility. Employees of the Department at all grade levels may be nominated for this honor award. In exceptional instances, the award may be given to a private citizen or group of citizens.

b. Time Limitation. The award nomination will be received by the Division of Personnel no later than six months after the exemplary act, unless special justification is provided.

c. Source of Nomination. The Exemplary Act Award nomination may be made by any individual or group of individuals, public or private, who have knowledge of the incident. However, the formal nomination and supporting documents will be prepared and submitted through supervisory channels to the servicing Incentive Awards Committee.

d. Processing of Nomination. A memorandum outlining all facts of the incident will be prepared for consideration by the servicing Incentive Awards Committee. A sample citation is appended to the end of this section. Nominations will be forwarded to the Division of Personnel for final processing. The

Director has final award authority.

e. Evidence of Award. Each recipient receives a certificate signed by the Director. The certificate is accompanied by a citation outlining the incident.

f. Presentation. Presentation of the Exemplary Act Award is made in an appropriate ceremony by top management officials.

9. **SECRETARY'S ANNUAL AWARD FOR PUBLIC PAPERWORK REDUCTION**

a. This is a Departmental honor award to recognize an individual or group of employees of the Department that made an outstanding contribution in reducing the reporting, record keeping, or paperwork burden that the Department imposes on the public.

b. Nomination criteria is at 370 DM 451,4.9. Presentation of the award is usually made by the Secretary at the Departmental Honor Awards Convocation.

10. **CONSERVATION SERVICE AWARD (CSA)**

a. The CSA is a Departmental honor award granted to a private citizen or a group or organization of private citizens for direct service to the Department of the Interior. It is considered along with the Public Service Award to be the highest honor that can be bestowed upon a private citizen or group by the Department.

b. Nomination criteria is at 370 DM 451,4.10. Presentation of the award is normally made by the Secretary at the Departmental Honor Awards Convocation.

11. **PUBLIC SERVICE AWARD (PSA)**

a. The PSA is a Departmental honor award granted to a private citizen or group or organization of citizens for indirect service to the Department of the Interior. Along with the Conservation Service Award, it is considered to be the highest honor that can be bestowed upon private citizens or groups by the Department.

b. Nomination criteria is at 370 DM 451,4.11. Presentation is normally made by the Secretary at the Departmental Honor Awards Convocation.

12. **SECRETARY'S ANNUAL SAFETY PROGRAM AWARD**

a. This award is presented to one bureau or office each year

in recognition of outstanding achievement in safety and environmental health management.

b. Nomination criteria is at 485 DM 6.3.

13. **CERTIFICATE OF SAFETY ACHIEVEMENT AWARD**

a. The Department recognizes outstanding safety achievements of any organizational unit of a bureau where: (1) 500,000 or more employee hours of exposure have been completed without a lost workday due to injury or illness; and, (2) 500,000 or more miles of driving exposure have been completed without a motor vehicle fleet accident.

b. Nomination criteria is at 370 DM 451,4.14.

14. **SAFETY COUNCIL AWARD OF MERIT**

a. This award is given by the Interior Safety and Health Council when an individual, group, or bureau organizational unit has performed an outstanding service for, or made a contribution of unusual value to, the Department's safety and environmental health program. This award is given only when no other type of Department award is appropriate to recognize the accomplishment.

b. Nomination criteria is at 370 DM 451,4.15.

15. **CAREER SERVICE RECOGNITION**

Length-of-Service emblems are awarded for 10, 15, 20, 25, 30, 35, 40, 45, and 50 years of Government service. Chiefs of Servicing Personnel Offices will provide Incentive Awards Committees with lists of employees entitled to receive length-of-service recognition. Each Incentive Awards Committee is responsible for issuing service recognition and scheduling presentations. The employee's service computation date is to be used for determining eligibility. Federal emblems will be used for 15, 25, 35, or 45 years of service since the Department will not have these manufactured. Federal certificates and emblems may be ordered from the General Services Administration through FED STRIP. Departmental emblems for 10, 20, 30, 40, and 50 years of service are to be ordered annually through the Division of Personnel.

16. **RETIREMENT**

Federal retirement certificates and emblems are available through the Servicing Personnel Office or through FED STRIP from the General Services Administration.

17. **AWARDS FOR DISCLOSURES OF FRAUD, WASTE, AND MISMANAGEMENT**

a. In order to encourage disclosures of fraud, waste, or mismanagement, the Department of the Interior will make cash awards (under the provisions of 5 U.S.C. 4512) to Department employees for disclosures to the Inspector General (IG) of fraud, waste or mismanagement where such disclosures have resulted in cost savings to the Department. The amount of an award may not exceed the lesser of $10,000 or an amount equal to one percent of the agency's total cost savings attributable to the employee's disclosure.

b. The IG is prohibited from revealing the identity of an employee who discloses information to the IG concerning fraud, waste or mismanagement, unless the IG determines that revealing such identity is unavoidable during the course of the investigation. Reprisals against employees for making a complaint or disclosing information to the IG is prohibited, unless the complaint was made or the information was disclosed with the knowledge that it was false or with willful disregard for its truth or falsity.

18. **OTHER NONMONETARY RECOGNITION** (also known as Alternative Means Awards)

Supervisors may create nonmonetary awards specific to their organization. These awards should be used to supplement, not supplant, the more formal Incentive Awards Program. Items selected for award should be worn or displayed in an office setting with logo or inscription to connote the award (e.g., medal, plaque, certificate, bowl, suitably engraved desk pen, clock, tray). Ideas include Employee of the Month or Quarter; "Atta Person" award; " Grace Under Pressure" award; or, pictures taken with key officials. Incentive Awards Administrators can help define selection criteria and otherwise assist efforts. Employee input in the design of the program is encouraged.

Appendix 1

SAMPLE CITATION FOR DISTINGUISHED SERVICE AWARD

CITATION

FOR DISTINGUISHED SERVICE

(NAME CAPITALIZED)

In recognition of his continued innovative and effective contributions to management and administration of the Department of the Interior.

Mr. Employee has, since his appointment in (year) continuously and effectively utilized his skills as a manager, administrator and engineer in the service of the Department. His early supervisory and management experience with the (organization) served as a foundation for his effectiveness in representing the Department at hearings and coordinating legislative and administrative activities. As Administrator of the (blank) Program, Mr. Employee was provided the opportunity to manage and coordinate both internal and external interfaces with other agencies and the public in innovative ways. Later, Mr. Employee was assigned to the other Program to manage the functional design, development and implementation of the System. His guidance of this 10.4 million dollar contract effort produced a system which was completed on time and within budget. The system when implemented both during the pilot and final offshore oil and gas phases, met all requirements for processing and output. Mr. Employee's philosophy regarding outreach proved extremely effective as an unprecedented three percent error rate was achieved within three months. He subsequently managed the installation of new IBM hardware and conversion of the system. His insistence on quality throughout the conversion process enabled the converted system to be brought on line smoothly and accurately with all output schedules met during the first month of operation. Mr. Employee has continued to apply his management and negotiation skills in his assignment with Office of Surface Mining Reclamation and Enforcement (OSM). He has placed emphasis on the resolution of long-standing major permitting problems and jurisdictional issues. Mr. Employee's accomplishments in improving efficiency and reducing conflict with OSM's Division constituencies are reflected in improved communications and coordination with the U.S.D.A. Forest Service, Interior bureaus, and others. For his many outstanding achievements and contributions, Employee is granted the highest honor of the Department of the Interior, the Distinguished Service Award.

Secretary of the Interior

SAMPLE CITATION FOR MERITORIOUS SERVICE AWARD

CITATION

FOR MERITORIOUS SERVICE

(NAME CAPITALIZED)

In recognition of his outstanding accomplishments and contributions in the field of management of abandoned mine land and regulatory programs within the Office of Surface Mining Reclamation and Enforcement (OSM).

Mr. Employee has made many significant contributions to OSM's programs through his dedicated efforts and knowledge in the areas of management and administration of Department of the Interior programs in abandoned mine land reclamation and surface mining regulation. He was instrumental in getting the young Bureau firmly established in the area of effectively dealing with abandoned mine land (AML) emergencies. He accomplished this by developing new guidelines and procedures designed to implement a critical and unique Bureau program in the (area) and effectively managing the work force in a manner that ensured success. He also successfully guided the work force through a difficult transition during the OSM's reorganization without sacrificing the quality of the Bureau's response capability in addressing serious AML emergency problems. In addition, Mr. Employee was instrumental in significantly improving operations in OSM's Field Office shortly after the Bureau assumed responsibility for surface mine regulation in the State. He accomplished this using his management skills to improve morale and create a more unified operation. As a result, Mr. Employee was able to create an environment in which the field office could more successfully work with the public and industry in achieving the objectives of the Surface Mining Control and Reclamation Act of 1977. For his resourceful leadership and skillful application of management principles in successfully furthering the goals of OSM, Employee is granted the Meritorious Service Award of the Department of the Interior.

Secretary of the Interior

SAMPLE CITATION FOR SUPERIOR SERVICE AWARD

CITATION

FOR SUPERIOR SERVICE

(NAME CAPITALIZED)

In recognition of her outstanding contributions to the management of the Nations resources through her service to the Federal Government during times of difficult organizational, regulatory and public demands.

Throughout her career, Ms. Employee has continually demonstrated exceptional knowledge as well as a high quality of expertise, leadership, and personal commitment. Particular recognition of her dedication and accomplishments is noted in her support of the Program under the Surface Mining Control and Reclamation Act of 1977. Through personal sacrifice she has consistently maintained a professional work ethic of doing whatever is necessary, within the limits of government regulations, to obtain the programs objective. Her knowledge and innovativeness in the (work) process has enabled her to stand out among her peers in the (work) community. These abilities, along with her outstanding leadership and organization qualities, have guided the Office of Surface Mining Reclamation and Enforcement through periods of changing demands and priorities and revised policies and organizational responsibilities. Her leadership in providing uniform and consistent interpretations of (work) regulations and the Surface Mining Control and Reclamation Act of 1977 has provided a stable environment for the Office of Surface Mining. Her exceptional efforts to maintain consistency and communication is recognized throughout the Agency. As a tribute to her noteworthy contributions, Employee is granted the Superior Service Award of the Department of the Interior.

Director, Office of Surface Mining
Reclamation and Enforcement

SAMPLE CITATION FOR EXEMPLARY ACT AWARD

CITATION

FOR EXEMPLARY ACT

(NAME CAPITALIZED)

In recognition of assistance rendered which resulted in the saving of a life.

On Saturday, (date), while on a camping and fishing trip with his family on the River in County, State, Mr. Employee observed two small boys approximately eight years of age playing on a large rock near the river. Suddenly one of the boys fell into the water which was about 40 feet deep and the other boy immediately started screaming for help. Mr. Employee rushed to the aid of the partially submerged boy, retrieved him from the water, and brought him to safety thereby saving him from drowning. For his quick reaction in this emergency situation, Employee is granted this Exemplary Act Award.

Director, Office of Surface Mining
Reclamation and Enforcement

Attachment D

AWARDS SCALES

AWARDS BASED ON TANGIBLE BENEFITS OR SAVINGS . Normally, awards for contributions which result in tangible benefits or savings are based on an estimate of the first-year dollar savings or benefits. An estimate of savings should be used in most cases to permit timely recognition of the contribution. If actual savings are used to calculate the award, an initial award should be paid at the time the contribution is approved, with the balance paid in a supplemental award at the time actual savings are determined. The minimum award granted is to be $50, based on either tangible savings of $500 or intangible benefits of limited application and moderate value.

Tangible Benefits or Savings Awards Scale

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

(Attached at Table 1 is a Quick Guide for Determining Awards for Tangible Benefits.)

AWARDS BASED ON INTANGIBLE BENEFITS. Whenever possible, evaluating or recommending officials should identify dollar savings or benefits resulting from the contribution and base an award on tangible benefits. When dollar benefits cannot be determined, the amount of award may be derived using the scale for intangible benefits which is attached at Table 2. In recommending awards based on intangible benefits, recommending officials should consider the savings that would have been required using the tangible benefits scale to merit an award amount. For example, an employee contribution saving $100,000 earns the employee an award of $3,700. Another employee made a contribution which does not lend itself to dollar measurement. The recommending official, while not being able to identify dollars, must use judgment to

establish the value of the contribution to the organization and the extent of application of the contribution.

AWARDS BASED ON TANGIBLE AND INTANGIBLE BENEFITS. Certain contributions produce dollar benefits and significant intangible benefits. In those instances, recommending officials may base the award on both types of benefits and grant an award based on its total value to the organization. The amount of the award for intangible benefits will be added to the amount of the award for tangible benefits to derive the total award.

TABLE 1

Quick guide for calculating awards based on dollar benefits

Benefits	Award	Benefits	Award	Benefits	Award
Up to $10,000	10%	80,000	3,100	600,000	6,200
11,000	1,030	81,000	3,130	650,000	6,450
12,000	1,060	82,000	3,160	700,000	6,700
13,000	1,090	83,000	3,190	750,000	6,950
14,000	1,120	84,000	3,220	800,000	7,200
15,000	1,150	85,000	3,250	850,000	7,450
16,000	1,180	86,000	3,280	900,000	7,700
17,000	1,210	87,000	3,310	950,000	7,950
18,000	1,240	88,000	3,340	1,000,000	8,200
19,000	1,270	89,000	3,370	1,050,000	8,450
20,000	1,300	90,000	3,400	1,100,000	8,700
21,000	1,330	91,000	3,430	1,150,000	8,950
22,000	1,360	92,000	3,460	1,200,000	9,200
23,000	1,390	93,000	3,490	1,250,000	9,450
24,000	1,420	94,000	3,520	1,300,000	9,700
25,000	1,450	95,000	3,550	1,350,000	9,950
26,000	1,480	96,000	3,580	1,400,000	10,200*
27,000	1,510	97,000	3,610	1,450,000	10,450
28,000	1,540	98,000	3,640	1,500,000	10,700
29,000	1,570	99,000	3,670	1,600,000	11,200
30,000	1,600	100,000	3,700	1,700,000	11,700
31,000	1,630	101,000	3,705	1,800,000	12,200
32,000	1,660	102,000	3,710	1,900,000	12,700
33,000	1,690	103,000	3,715	2,000,000	13,200
34,000	1,720	104,000	3,720	2,100,000	13,700
35,000	1,750	105,000	3,725	2,200,000	14,200
36,000	1,780	106,000	3,730	2,300,000	14,700
37,000	1,810	107,000	3,735	2,400,000	15,200
38,000	1,840	108,000	3,740	2,500,000	15,700
39,000	1,870	109,000	3,745	2,600,000	16,200
40,000	1,900	110,000	3,750	2,700,000	16,700
41,000	1,930	111,000	3,755	2,800,000	17,200
42,000	1,960	112,000	3,760	2,900,000	17,700
43,000	1,990	113,000	3,765	3,000,000	18,200
44,000	2,020	114,000	3,770	3,100,000	18,700
45,000	2,050	115,000	3,775	3,200,000	19,200
46,000	2,080	116,000	3,780	3,300,000	19,700
47,000	2,110	117,000	3,785	3,400,000	20,200
48,000	2,140	118,000	3,790	3,500,000	20,700
49,000	2,170	119,000	3,795	3,600,000	21,200
50,000	2,200	120,000	3,800	3,700,000	21,700
51,000	2,230	125,000	3,825	3,800,000	22,200
52,000	2,260	130,000	3,850	3,900,000	22,700
53,000	2,290	135,000	3,875	4,000,000	23,200
54,000	2,320	140,000	3,900	4,100,000	23,700
55,000	2,350	145,000	3,925	4,200,000	24,200
56,000	2,380	150,000	3,950	4,300,000	24,700
57,000	2,410	155,000	3,975	4,360,000	25,000**
58,000	2,440	160,000	4,000		
59,000	2,470	165,000	4,025		
60,000	2,500	170,000	4,050		
61,000	2,530	175,000	4,075		
62,000	2,560	180,000	4,100		
63,000	2,590	185,000	4,125		
64,000	2,620	190,000	4,150		
65,000	2,650	195,000	4,175		
66,000	2,680	200,000	4,200		
67,000	2,710	225,000	4,325		
68,000	2,740	250,000	4,450		
69,000	2,770	275,000	4,575		
70,000	2,800	300,000	4,700		
71,000	2,830	325,000	4,825		
72,000	2,860	350,000	4,950		
73,000	2,890	375,000	5,075		
74,000	2,920	400,000	5,200		
75,000	2,950	425,000	5,325		
76,000	2,980	450,000	5,450		
77,000	3,010	475,000	5,575		
78,000	3,040	500,000	5,700		
79,000	3,070	550,000	5,950		

*An award over $10,000 requires the approval of the Office of Personnel Management

**An award in excess of $25,000 may be approved by the President.

SCALE OF AWARDS BASED ON INTANGIBLE BENEFITS

Value of Benefit	Extent of Application			
	Limited	Extended	Broad	General
	Affects functions, missions or personnel of one office, facility, installation, or an organizational element. Affects a small area of science or technology.	Affects functions, missions or personnel of several offices, facilities or installations. Affects an important area of science or technology.	Affects functions, missions or personnel of an entire region or several regions, or an entire bureau. Affects a broad area of science or technology.	Affects functions, missions or personnel of several bureaus, an entire Department, or is in the public interest throughout the nation or beyond.
MODERATE Change or modification to an operating principle or procedure with limited impact or use. Contribution may represent completion of a project or an assignment in a very successful manner.	$50-100	$100-500	$500-1000	$1,000-3,000
HIGH VALUE Complete revision of a basic principle or procedure; a highly significant improvement in the value of a product or service. Contribution may represent completion of a project or an assignment in a highly successful manner.	$100-500	$500-1000	$1,000-3,000	$3,000-5,000
EXCEPTIONAL VALUE Initiation of a new principle or major procedure; a superior improvement in the quality of a critical product activity, program or service to the public. Contribution may represent completion of a project or an assignment in an outstanding manner.	$500-1,000	$1,000-3,000	$3,000-5,000	$5,000-10,000

TABLE 2

TABLE 3

AWARD SCALE FOR JOB PERFORMANCE

GS Performance Awards are to be based on a percentage of base salary thus making the awards more meaningful and self-adjusting with salary changes. Performance appraisal systems are linked with performance awards to provide objectivity and to increase employee perceptions that deserving employees are recognized.

Scale: Up to 5% of base salary

Annual Performance Rating	Amount
Outstanding (Level 5)	3% to 5%
Highly Successful (Level 4)	1% to 3%

The elements which have been rendered negotiable by 5 U.S.C. 7117 may be negotiated at the appropriate authority level. In negotiations, the provisions of this directive will serve as guidelines.