

## Awards and Recognition Program

### INTRODUCTION

#### What is the purpose of the Awards and Recognition Program?

There are two main purposes:

- To allow maximum flexibility in the design and application of a variety of traditional and non-traditional mechanisms to recognize individual and group achievement, and;
- To acknowledge contributions that lead to achievement of organizational, team, or individual results.

#### What are the objectives of the Program?

The Program objectives are to encourage all employees and non-employee partners-in-mission\* to:

- share actively in improving Government operations;
- enhance productivity and creativity; and,
- optimize personal job satisfaction.

\*Public- and private-sector organizations and their employees, customers, volunteers, private citizens, etc., whose contributions directly or indirectly support the mission of the Department.

**What are the characteristics of the Program?**

The Program characteristics are:

- simple to use;
- allows for approval at the lowest practical level;
- reduces paperwork;
- encourages timely recognition;
- facilitates creativity in local program design, including peer and team recognition; and
- recognizes and encourages improvement in individual, team, and organizational performance.

**When may achievements be recognized?**

Achievements should be recognized at the time of accomplishment. Acknowledgement of progress toward achieving individual, team, or organizational results should be a continuous process. Quality Step Increases, which are the only awards based solely on an employee's performance appraisal of record, should be awarded at the time of the annual performance appraisal.

**How are awards initiated?**

Quality Step Increases (QSI) are initiated by immediate supervisors. Any other award may be initiated by any employee of the Department of the Interior. Complete form DI-451, *Award Certification*, (when required), and submit to the approving official established in Bureau delegations of authority.

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**What must managers do to support the Program?**

Local managers must:

- seek employee involvement in Program design;
- ensure that employees are aware of the Program;
- publicize employee accomplishments, awards, and informal recognition;
- ensure consistent and equitable opportunity for employee recognition;
- administer the Program fairly;
- comply with negotiated agreements with organized labor and labor-management partnerships;
- ensure the appropriate use of funds; and
- include funding for the Program in the annual budget.

**How should awards be presented?**

Awards should be presented in a way that supports the significance of the recognition. Award presentations may be occasions for the serving of light refreshments purchased by the Government [65 Comptroller General decision (CG) 738 and CG B-223319, dated July 21, 1986]. Travel for Presidential, departmental, or a major Bureau award ceremony may be paid for award recipients and an individual of the recipient's choosing [CG decision B-233607, dated October 26, 1989].

**What is the authority for the Program?**

The authority for the Program is Title 5, United States Code, Chapters 43 and 45, and Executive Orders 11438 and 12828.

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**What will you find in this part of the handbook?**

This part contains instructions on giving positive recognition for achievements through:

- monetary awards;
- continuous improvement incentives;
- non-monetary recognition and informal honors;
- honor awards; and
- outside awards.

## MONETARY AWARDS

Monetary awards are cash awards that may be granted to recognize an individual or team of employees of the Department for:

- achieving organizational results;
- providing quality customer service;
- displaying exemplary behavior, dedication, innovation and/or team cooperation;
- fostering partnerships;
- promoting diversity;
- ensuring safety in the workplace; or for
- sustained exceptional performance.

Approving officials must ensure that employees are not recognized with a monetary award more than once for the same achievement(s).

*Note:* Partners-in-mission are not eligible for monetary awards. Political appointees (Schedule C) are not eligible for monetary awards between June 1 of any year in which there is a Presidential election and January 20 of the following year.

### TYPES

**On-the-Spot Award**--A cash award granted to provide immediate recognition for achievements. On-the-Spot Awards have a net value between \$50 and \$500 (see page 3 of DI-451 for gross amounts). On-the-Spot Awards may be paid from imprest funds, with third party drafts, or through the normal payroll process.

**Special Thanks for Achieving Results (STAR) Award**--A cash award of \$925 (gross) or more. The amount of the award should be commensurate with the value of the individual or team accomplishment, considering the overall benefit to the Government. STAR Awards are paid through the normal payroll process.

**Quality Step Increase (QSI)**—A QSI is a pay increase that provides faster than normal progression through the steps for permanent General Schedule employees. To be eligible for a QSI, employees must achieve all critical results in their Employee Performance Plan and display exceptional performance that is expected to continue. Brief specific examples of how expectations were exceeded must be provided in the justification. A QSI is the only award linked directly to the employee's rating of record and should be granted in a timely manner following receipt of that rating. Only one QSI may be granted in a 52-week period.

### NOMINATION PROCESS

Any employee aware of an achievement(s) they believe deserves recognition may recommend an On-the-Spot or STAR Award. Use form DI-451, *Award Certification*, to recommend a monetary award. Submit recommendations to the recipient's supervisor. Supervisors approve and/or transmit award nominations to the official delegated approval authority in their Bureau for the amount recommended. If an award recognizes team achievements and members are to receive different award amounts, the justification must describe each individual team member's contribution.

QSI's are recommended by the immediate supervisor or rating official, and are approved under appropriate Bureau delegations.

**Approving Authority:** Assistant Secretaries have approving authority for individual awards from \$5,000 to \$10,000. Awards in excess of \$10,000 are submitted by Bureau headquarters through the appropriate Assistant Secretary, the Director of Personnel, and the Assistant Secretary for Policy Management and Budget, to the Office of Personnel Management for approval or further processing. Bureau Directors may approve group awards up to \$10,000 if no group member receives more than \$5,000. They may also approve individual awards up to \$5,000 and QSI's, and are encouraged to delegate this authority to the lowest practical level. Refer to Bureau delegations of authority.

**Note:** Cash awards for SES members must be approved by the Department's Executive Resources Board.

Table 1. on page 1-13 summarizes approval authorities, eligibility, and the nature of recognition for each of the monetary awards.

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## CONTINUOUS IMPROVEMENT INCENTIVES

Continuous improvement incentives are awards to recognize individuals and team members for cost savings, quality improvements, innovation and creativity, and the sharing of ideas. Continuous improvement incentives empower employees and require a commitment from supervisors and managers to champion employee ideas. Timely evaluation of ideas and prompt implementation and recognition of adopted ideas are required. Awarding employees for their continuous improvement contributions promotes productivity improvement throughout the organization.

### TYPES

**Productivity Improvement Award:** A cash award or other recognition for process improvement, cost-saving suggestions, streamlining, or the elimination of non-value added processes. The award shares some portion of actual savings resulting from cost reduction or productivity gains with the employee(s) who recommend or achieve the savings.

**Innovation Award:** Issued to teams or individuals to recognize outstanding achievements in reducing costs, reinventing work processes, and improving service to customers. An award of \$1,000 is transferred to the individual's or team's operating budget to be used for project support such as training, books, software, or office equipment.

**Invention/Patent Award:** Automatic \$500 (gross) compensation awarded upon the actual filing of a patent application at the Patent Office by the Office of the Solicitor. An additional \$800 (gross) will be awarded if the patent is granted. Further recognition based on the benefit of the contribution may be granted through the use of an additional cash award.

### NOMINATION PROCESS

Employees are encouraged to submit a narrative description of their idea and its benefits through supervisory channels to the office with implementing authority. Nominations for the Innovation Award should be submitted through the Bureau Director to the Director of Planning and Performance Measurement. Supervisors or co-workers may recommend individuals or teams for the other continuous improvement incentives based on the value of estimated or actual first-year savings or other benefits. Use form DI-451, *Award Certification*, to make recommendations for monetary or non-monetary awards. Amounts of awards should be commensurate with the savings or value of the improvement realized.

**Approving Authority:** The implementing office should authorize payment of continuous improvement awards. Refer to Bureau delegations of authority.

Table 1. on page 1-13 summarizes approval authorities, eligibility, and the nature of recognition for continuous improvement incentives.

## NON-MONETARY RECOGNITION AND INFORMAL HONORS

Non-monetary recognition and informal honors are granted to employees to recognize contributions to the Department. These contributions may be:

- superior accomplishment of regularly assigned duties;
- exceptional achievement of project goals;
- noteworthy accomplishments over a sustained period; or
- specific contributions to the organization's mission.

*Note:* Partners-in-mission may receive non-monetary recognition of nominal value and informal honors.

The recognition method selected should match the employee's effort expended, the behavior exemplified or the results achieved. Supervisors have the flexibility to tailor recognition of their employees based on the personal interests of the individual. Through the daily communication process, supervisors gain insight into the values of their employees and their personal interests, hobbies, or activities. In addition, supervisors may simply ask employees how they would like to be shown appreciation when they have done a good job. The challenge in recognizing employee accomplishments is that the possibilities are endless!

### TYPES

Non-Monetary Recognition--includes items of:

- Nominal value (up to \$25 cash value); such as coffee cups, key chains, pens, paperweights, plaques, T-shirts, or other appropriate items.
- Significant value (from \$26 to \$250 cash value); such as pen-and-pencil sets, clocks, desk organizers, jackets, watches, gift certificates, fruit baskets, tickets to events, or other appropriate items.

*Note:* Approving officials should exercise care in selecting an appropriate item for non-monetary recognition to avoid potential appearance of misuse of Government funds. The question is: "Would public disclosure cause embarrassment to the Department?" If there is some level of discomfort, an On-the-Spot Award could be an alternative.



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**Informal Honors**--letters of commendation, certificates, "thank you" notes, or other similar items.

**Time Off Recognition**--an excused absence awarded to an employee without charge to leave. The minimum time off recognition is 1 hour. There is no maximum time off recognition.

**Length-of-Service Recognition**--certificates and/or pins awarded at various milestones in an individual's career. Though this recognition is usually given in 10-year increments, Bureaus may give it in 5-year increments. Bureaus may develop their own length-of-service certificates or order Government-issued certificates through the publication rider process. Pins for 10, 20, 30, 40, and 50 years of Government service are available for procurement through a departmental contract. If a Bureau chooses to do so, other Government-issued length-of-service pins may be used. They are ordered through normal General Services Administration (GSA) procurement channels.

### **NOMINATION PROCESS**

Non-Monetary Recognition of nominal value and Informal Honors may be awarded as appropriate without completion of form DI-451, *Award Certification*. Recommendation for Non-Monetary Recognition of significant value and for Time Off Recognition is made on form DI-451. Any employee aware of an achievement(s) they believe deserves recognition may submit an award recommendation. The recommendation must be signed by the Bureau official having delegated authority to approve monetary awards of comparable value.

The specific item should be purchased through normal procurement channels. To effect cost savings and provide for immediate recognition, offices should order supplies of specific items. Where appropriate, the item should contain the Bureau name, logo, award title, and/or mission. (CG decisions allow procurement of non-monetary award items: B-243025, dated May 2, 1991; B-256399, dated June 27, 1994.)

**Approving Authority:** Refer to Bureau delegations of authority.

Table 1. on page 1-13 summarizes approval authorities, eligibility, and the nature of recognition for non-monetary recognition and informal honors.

**Table 1. Monetary Awards, Continuous Improvement Incentives, and Non-Monetary Recognition and Informal Honors**

Award Types <sup>1</sup>	Recipient			Recognition <sup>2</sup>				Value <sup>3</sup>	
	Indiv.	Partner-In-Mission	Group	Cash	Normal Payroll Process	Item	DI-451	Min.	Max.
<b>Monetary Awards</b> --For achieving organizational results: providing quality customer service; displaying exemplary behavior, dedication, innovation, and/or team cooperation; fostering partnerships; promoting diversity; ensuring safety in the workplace; or for sustained exceptional performance.									
<b>On-the-Spot</b> --granted immediately to recognize achievements.	✓		✓	✓	✓		✓	\$91	\$910
<b>Special Thanks for Achieving Results (STAR)</b> --for achieving results that promote DOI programs.	✓		✓		✓		✓	\$925	\$10,000 or more
<b>Quality Step Increase</b> --For sustained exceptional performance in achieving critical results with expectation of continued high-level performance.	✓				✓		✓	One Step	One Step
<b>Continuous Improvement Incentives</b> --For cost savings, quality improvements, innovation and creativity, and the sharing of ideas.									
<b>Productivity Improvement</b> --for elimination of non value-added processes; process improvement; cost-saving suggestions; and streamlining.	✓		✓	✓	✓	✓	✓	\$91	\$10,000 or more
<b>Interior Innovation</b> --for reducing costs, reinventing work processes, and improving service to customers.	✓		✓			✓	✓		\$1,000 budget increase
<b>Invention/Patent</b> --for the filing of a patent application by the Office of the Solicitor and the granting of a patent by the Patent Office.	✓		✓		✓		✓	\$500	Addl. \$800+ <sup>4</sup>
<b>Non-Monetary Recognition and Informal Honors</b> --Superior accomplishment of recurring assigned duties; exceptional achievement in project goals; noteworthy accomplishments over a sustained period of time; or similar specific contributions to the organization's mission.									
<b>Non-Monetary Recognition</b> --nominal value.	✓	✓	✓			✓			\$25 (net)
<b>Non-Monetary Recognition</b> --significant value.	✓		✓			✓	✓	\$48	\$455
<b>Informal Recognition</b> --Letters of commendation, certificates, plaques, thank-you notes, employee-to-employee recognition.	✓	✓	✓			✓			
<b>Time Off Recognition</b> --excused absence, no charge to leave.	✓				✓		✓	One Hour	No Restrictions
<b>Length-of-service</b> --various milestones in career.	✓								

<sup>1</sup> Recommendation and Approval: QSI's are recommended by Rating Officials; any employee may recommend other awards and recognition; the Director, Planning and Performance Management approves Innovation Awards; see Bureau delegations for other approval authorities.

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## HONOR AWARDS

Departmental Honor Awards provide non-monetary recognition to employees of the Department and partners-in-mission. Honor Awards are the most prestigious recognition that can be granted by the Department for career accomplishments, exceptional support of the departmental mission, or for heroism. Because of the status of this recognition, Bureaus are strongly encouraged to establish mechanisms to ensure that a consistent approach is applied to evaluation of the nominees' qualifications for these awards. These mechanisms should also identify employees at all levels of the organization who meet the high standards required for these honors.

When Granted: Honor Awards are meant to be progressive career recognition and should be awarded at successive career milestones.

### NOMINATION PROCESS

Any employee may recommend an Honor Award by completing form DI-451, *Award Certification*, and attaching the required citation. Submit recommendations to the recipient's supervisor for concurrence and further transmittal to the official delegated approval authority.

*Note:* Before final approval of Honor Awards, Bureaus must ensure there is no derogatory information in the nominee's Official Personnel Folder.

The Department's Office of Personnel will maintain a contract for certificates, medals, and pins for all honor awards except Bureau-specific awards. Bureaus must order medals and certificates directly from the contractor.

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**PROCESSING INSTRUCTIONS**

*For Meritorious Service Awards, Unit Awards for Excellence of Service, and Outstanding Service Awards, Bureaus must:*

- prepare the citation in final format (include a surname copy, Bureau copy, and DOI Office of Personnel copy) and send them with the DI-451 to the appropriate Assistant Secretary for approval;
- order the certificate and medal after approval;
- send the citation on Secretarial letterhead, the certificate, and the DI-451 to the Office of the Executive Secretariat for signature; and
- affix the Department's silver seal on the certificate after official signature.

*For Distinguished Service Awards, Valor Awards, Citizen's Award for Bravery, and Conservation Service Awards, Bureaus must:*

- prepare the citation in final format (include a surname copy, Bureau copy, and DOI Office of Personnel copy) and send them with the DI-451 to the appropriate Assistant Secretary for approval;
- send the citation on Secretarial letterhead and the DI-451 to the Office of the Executive Secretariat for signature; and
- order the certificate and medal after notification of a convocation.

The Office of Personnel will obtain the signature of the Secretary on the certificate and affix the Department's gold seal.

Table 2. on page 1-16 summarizes approval authorities, eligibility, and the nature of recognition for each of the departmental honor awards.

**Table 2. Honor Awards**

Award Categories	Approval Authority		Recipient		Recognition			Signature		Presentation	
	Asst. Secy.	Dir/Comm.	Indiv.	Group	Medal/Pin/Plaque	Certificate	Citation	Secy.	Dir/Comm.	DOI <sup>1</sup>	Bur. <sup>2</sup>
<b>Highest Honors</b> --The highest departmental honor awards presented to career employees or non-employee partners-in-mission. The recipient must have demonstrated extremely significant contributions to departmental programs. They include:											
<b>Distinguished Service Award</b> --for career employees of the Department typically those who have received the Meritorious Service Award;	✓		✓		Gold Medal/Pin	✓	✓	✓		✓	
<b>Conservation Service Award</b> --for private citizen or organizational partners-in-mission.	✓		✓	✓		✓	✓	✓		✓	
<b>Mid-Level Honors</b> --The second highest departmental honor awards presented to individual employees or groups that have demonstrated exceptional continuing contributions to departmental or bureau mission accomplishment. They include:											
<b>Meritorious Service Award</b> --for career employees of the Department, typically in mid-career, who may have received one or more Superior Service Awards;	✓		✓		Silver Medal/Pin	✓	✓	✓			✓
<b>Unit Award for Excellence of Service</b> --for recognition of employee group, unit, or team contributions;	✓			✓		✓	✓	✓			✓
<b>Outstanding Service Award</b> --for departmental political appointees.	✓		✓		Silver Medal/Pin	✓	✓	✓			✓
<b>Initial Level Honors</b> --The first level of recognition in the series of departmental honor awards presented to career employees or partners, including volunteers, who have made a significant contribution to the Department through service to a bureau or program. They include:											
<b>Superior Service Award</b> --for career employees of the Department;		✓	✓		Bronze Pin	✓	✓ <sup>4</sup>		✓		✓
<b>Citizen's Award for Exceptional Service</b> --bureau-specific awards for private citizen or organizational partners, including volunteers.		✓	✓	✓	Plaque or Pin <sup>3</sup> (optional)		✓ <sup>4</sup> (optional)		✓		✓
<b>Heroic Act Honors</b> --Honorary recognition granted to employees or private citizens by the Department for heroic acts or unusual bravery in the face of danger. They include:											
<b>Valor Award</b> --for employees of the Department who risk their lives while attempting to save the life of another;	✓		✓	✓	Gold Medal	✓	✓	✓		✓	
<b>Citizen's Award for Bravery</b> --for private citizens who risk their lives to save the life of a departmental employee serving in the line of duty or the life of any other person, while on property owned by or entrusted to the Department.	✓		✓	✓		✓	✓	✓		✓	
<b>Exemplary Act Award</b> --for employees who attempt to save the life of another, or for private citizens who attempt to save the life of a departmental employee serving in the line of duty or any other person while on property owned by or entrusted to the Department, when risk to their own lives is not an issue.		✓	✓	✓		✓	✓	✓			✓

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<sup>2</sup> May be delegated to a ranking executive in an organizational component.

<sup>3</sup> Charm or lapel pin with bureau logo.

<sup>4</sup> May be a letter.

## OUTSIDE AWARDS

These awards are sponsored by other organizations or are co-sponsored with the Department of the Interior. The Department will provide criteria, the exact due date, and other pertinent information concerning outside awards to the Bureau personnel offices when awards are announced each year. Bureau nominations must be consolidated and submitted through the appropriate Assistant Secretary to the Department's Office of Personnel.

Table 3. on page 1-18 summarizes the purpose and eligibility requirements for many outside award programs that the Department supports. The table is not intended to be all inclusive.

**Table 3. Outside Awards**

Award	Purpose/Criteria	Sponsor	Approximate Due Date
Arthur S. Flemming Award	To recognize a career employee of the Federal government who has performed outstanding and meritorious work; employee must be under age 40 and have or will have a total of 36 months of government service by the end of the calendar year in which the nomination is submitted.	The Downtown Jaycees of Washington, D.C.	December
Executive Excellence Award	To recognize career members of the Senior Executive Service and equivalent Federal pay systems who contribute significantly to public service and who improve the image of the career executive service.	Senior Executives Association Professional Development League	June
Federal Engineer of the Year Award	To honor outstanding Federal engineers. Only one nominee from each Bureau employing at least 250 engineers will be accepted annually.	National Society of Professional Engineers	October
Federal Environmental Engineer Award	To recognize exemplary work and accomplishments by environmental engineers in Federal Service.	Conference of Federal Environmental Engineers	February
Federal Technology Leadership Award	To recognize Federal projects and programs that have made exceptional contributions to mission effectiveness, cost-effectiveness, and service to the public through the use of automated information systems.	General Services Administration and Government Executive Magazine	May
GEICO Public Service Award	To recognize Federal employees for outstanding achievements in substance abuse prevention and treatment; fire prevention and safety; physical rehabilitation; and traffic safety and accident prevention.	GEICO Philanthropic Foundation	August
Roger W. Jones Award	To recognize Federal career executives who demonstrated superior leadership that resulted in outstanding organizational achievements, or a strong commitment to effective continuity of government by successfully bringing about the development of managers and executives.	The American University	December
William T. Pecora Award	To recognize outstanding contributions toward understanding the earth by means of remote sensing.	National Aeronautics and Space Administration and Department of the Interior	July
WISE (Women in Science and Engineering) Award	To recognize Federal women scientists and engineers for their special or specific scientific or technical contributions.	Women in Science and Engineering	late December or early January



UNITED STATES DEPARTMENT OF THE INTERIOR  
**AWARD CERTIFICATION**

\_\_\_\_\_  
(Recipient)

Is Presented as:

*Monetary Award or Recognition*

\_\_\_\_ On-the-Spot Award in the net amount of \$ \_\_\_\_\_

\_\_\_\_ STAR Award in the gross amount of \$ \_\_\_\_\_

\_\_\_\_ Quality Step Increase (sustained exceptional performance pay increase)

\_\_\_\_ Time Off Recognition—number of hours \_\_\_\_\_

\_\_\_\_ Non-Monetary Recognition with a cash value of \$ \_\_\_\_\_

\_\_\_\_ Interior Innovation Award (\$1,000 increase to operating budget)

\_\_\_\_ Continuous Improvement Incentive (check appropriate award above)

*Bureau-Specific Award* \_\_\_\_\_

(Title)

*Honor Award*

- Highest Honors: \_\_\_\_\_ Distinguished Service Award  
\_\_\_\_\_ Conservation Service Award
- Mid-Level Honors: \_\_\_\_\_ Meritorious Service Award  
\_\_\_\_\_ Outstanding Service Award  
\_\_\_\_\_ Unit Award for Excellence of Service
- Initial Honors: \_\_\_\_\_ Superior Service Award  
\_\_\_\_\_ Citizen's Award for Exceptional Service
- Heroic Act Honors: \_\_\_\_\_ Valor Award  
\_\_\_\_\_ Citizen's Award for Bravery  
\_\_\_\_\_ Exemplary Act Award

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**JUSTIFICATION** Required only for monetary awards, innovation awards, non-monetary recognition of significant value, or time off recognition. Citation is justification for honor awards. Attach copy of citation.

**APPROVED BY:** \_\_\_\_\_  
(Signature, Date, and Telephone Number including Area Code)

**ADDITIONAL SIGNATURES**  
[As required by Bureau delegations]

\_\_\_\_\_  
(Signature and Date) (Signature and Date)

**FINANCIAL ACTION RECORD** This record is to initiate payment, accounting and tax transactions for STAR awards, On-the-Spot awards, and non-monetary recognition of significant value. Do not complete for Quality Step Increases, Time Off recognition, Interior Innovation Award or Honor Awards.

Recipient Name: \_\_\_\_\_ Social Security Number: \_\_\_\_\_

\_\_\_\_\_  
Bureau Sub-Bureau Block Org. Code Cost Account

**MONETARY AWARD TO BE PAID THROUGH IMPREST (ON-THE-SPOT)**

Amount Authorized for Imprest Payment (Hours Code 66A) \$ \_\_\_\_\_ (Net Amount)  
Amount Including Taxes (Amount Paid divided by .55) (Hours Code 30A) \$ \_\_\_\_\_ (Gross Amount)

**IMPREST FUND PAYMENT RECORD** (To be Completed by Imprest Fund Cashier)  
Paid by: Cash [ ] Third Party Draft [ ] Subvoucher # \_\_\_\_\_

Received by Signature and Date: \_\_\_\_\_

**MONETARY AWARD TO BE PAID THROUGH THE PAYROLL SYSTEM (STAR OR ON-THE-SPOT)**

Total Cash Award (Hours Code 30A) \$ \_\_\_\_\_ (Gross Amount)  
Pay Period to be Processed by Payroll \_\_\_\_\_

**NON-MONETARY RECOGNITION OF SIGNIFICANT VALUE** (Date Presented: \_\_\_\_\_)

Cash Value of Award (Hours Code 66A) \$ \_\_\_\_\_ (Net Amount)  
Value Including Taxes (Cash Value divided by .55) (Hours Code 30A) \$ \_\_\_\_\_ (Gross Amount)

Disposition of this form: Original to servicing personnel office, copy to recipient. For STAR awards, On-the-Spot awards, and non-monetary recognition of significant value FAX page 2 of this form to the Payroll Operations Division. This fax is in lieu of original. **DO NOT SEND ORIGINAL OF THIS DOCUMENT TO PAYROLL.**

Note: Information on this form is protected by the Privacy Act. Disclosure may be made only to authorized persons according to Title 5 U.S.C., Section 552a(b).

**- INSTRUCTIONS -**

This Award Certification will be used for all awards for individuals or teams, when required. In the "Justification" section on page 2, provide a brief summary of the accomplishment being recognized by the award, using specific examples. For Honor Awards, the citation is the award justification. The amount of the award should be commensurate with the value of the individual or team accomplishment, considering the overall benefit to the government. Complete the "Financial Action Record" section on page 2, for each recipient of monetary awards and non-monetary recognition of significant value. A copy of the Financial Action Record must be faxed to the Payroll Operations Division to update the employee's pay record. A "Notification of Personnel Action" (SF-50) must be generated for all monetary, time off, and Quality Step increase awards. For more detailed information, refer to the Awards and Recognition Program, Departmental Human Resources Management Handbook.

**On-the-Spot Awards**

On-the-Spot Awards have a net value between \$50 and \$500. The amount given to the recipient (net amount) must be increased to cover the applicable withholdings (gross amount). Complete the Financial Action Record indicating whether payment is to be made through Imprest Fund or Payroll System. Divide the net amount by .55 to calculate the gross amount of the award. The following table calculates the gross amounts in \$50 increments, however, net amounts may range anywhere from \$50 to \$500:

NET AMOUNT	GROSS AMOUNT	NET AMOUNT	GROSS AMOUNT
\$50	\$91	\$300	\$546
\$100	\$182	\$350	\$637
\$150	\$273	\$400	\$728
\$200	\$364	\$450	\$819
\$250	\$455	\$500	\$910

**STAR Awards**

STAR Awards are cash awards in the gross amount of \$925 or more. In the Financial Action Record, complete the Monetary Award to be Paid Through the Payroll System Section, inserting the gross amount of the award. All STAR awards are to be paid through the payroll system. For team awards, an Award Certification must be completed for each team member. If members are to receive different award amounts, the justification must describe the individual team member's specific contribution(s).

**Quality Step Increases**

An employee may receive only one Quality Step Increase in a 52 week period. In the "Justification" section, enter brief specific examples of how expectations were exceeded in achieving all Critical Results. Follow Bureau guidance to generate an SF-50.

**Time Off Recognition**

The minimum time off recognition is 1 hour. There is no maximum time off recognition. A copy of the awards certification must be forwarded to the employee's timekeeper for coding on the Time and Attendance Report.

**Non-Monetary Recognition**

Use this Award Certification when the value of a non-monetary recognition is significant (\$26 to \$250). Recognition of nominal value does not require documentation. In the Financial Action Record, complete the Non-Monetary Recognition of Significant Value Section, inserting the cash value (net) of the award, the gross value including taxes and the date presented. The gross value is computed by dividing the cash value by .55.

**Continuous Improvement Incentives**

An appropriately-valued award granted to recognize process improvement, cost-saving suggestions, streamlining, elimination of non-value added processes, gains in productivity, or inventions and patents. See above award descriptions. Patent Awards are processed through the Solicitor's Office. Innovation Award budget increases (granted for cost reduction, reinvention efforts, and improving customer service) are used for project support such as training and equipment.

### *Highest Honors*

The highest departmental honor awards presented to career employees or non-employee partners-in mission. Recipients must have demonstrated extremely significant long-term contributions to departmental programs and missions.

- Distinguished Service Award  
For career employees, typically those who have received the Meritorious Service Award.
- Conservation Service Award  
For private citizen or organizational partners-in-mission.

### *Mid-Level Honors*

The second highest departmental honor awards presented to employees, groups, and partners-in-mission who have made exceptional continuing contribution(s) to Department or Bureau mission accomplishment.

- Meritorious Service Award  
For career employees of the Department, typically in mid-career, who may have received one or more Superior Service Awards.
- Outstanding Service Award  
For departmental political appointees.
- Unit Award for Excellence of Service  
For exceptional contribution(s) of employee groups, units, or teams.

### *Initial Honors*

The first level of recognition in the departmental honor awards program, presented to career or non-career employees, volunteers, or other partners who have made significant contribution(s) to the Department through outstanding service to a Bureau program.

- Superior Service Award  
For career employees of the Department.
- Citizen's Award for Exceptional Service  
Bureau-specific awards for private citizen or organizational partners, including volunteers.

### *Heroic Act Honors*

Departmental honorary recognition granted to employees for heroic acts or unusual bravery in the face of danger.

- Valor Award  
For employees of the Department who risk their lives while attempting to save the life of another.
- Citizen's Award for Bravery  
For private citizens who risk their lives to save the life of a departmental employee serving in the line of duty or the life of any other person, while on property owned by or entrusted to the Department.
- Exemplary Act Award  
For employees or private citizens who attempt to save the life of another, or for private citizens who attempt to save the life of a departmental employee serving in the line of duty or any other person while on property owned by or entrusted to the Department, when risk to their own lives is not an issue.

## SAMPLE ON-THE-SPOT AWARD



### UNITED STATES DEPARTMENT OF THE INTERIOR AWARD CERTIFICATION

[Full Name]  
\_\_\_\_\_  
(Recipient)

Is Presented a:

#### Monetary Award or Recognition

- I. On-the-Spot Award** in the net amount of \$ 100.00
- STAR Award** in the gross amount of \$ \_\_\_\_\_
- Quality Step Increase** (sustained exceptional performance pay increase)
- Time Off Recognition**—number of hours \_\_\_\_\_
- Non-Monetary Recognition** with a cash value of \$ \_\_\_\_\_
- Interior Innovation Award** (\$1,000 increase to operating budget)
- Continuous Improvement Incentive** (check appropriate award above)

#### Bureau-Specific Award \_\_\_\_\_

(Title)

#### Honor Award

- **Highest Honors:**
  - Distinguished Service Award
  - Conservation Service Award
- **Mid-Level Honors:**
  - Meritorious Service Award
  - Outstanding Service Award
  - Unit Award for Excellence of Service
- **Initial Honors:**
  - Superior Service Award
  - Citizen's Award for Exceptional Service
- **Heroic Act Honors:**
  - Valor Award
  - Citizen's Award for Bravery
  - Exemplary Act Award

-2-

**JUSTIFICATION** Required only for monetary awards, innovation awards, non-monetary recognition of significant value, or time off recognition. Citation is justification for honor awards. Attach copy of citation.

The Division's Training Office presents an orientation program each summer for students and new employees at Headquarters, and includes a trip to a local field installation to demonstrate on site the substantive work of the organization. Because the Training Office was short staffed, a call for volunteers was made to provide support for the orientation activity. [Name] indicated an interest, and provided assistance in clerical preparations for the several presenters, and coordinated logistics for the field trip. She was a source of both information and guidance to participants and presenters alike, and suggested a simple but meaningful letter of appreciation for each of the presenters. The day would not have been a success without [Name]'s exceptional support.

**APPROVED BY:** \_\_\_\_\_ (See Bureau Delegations) 2/13/96 (123) 555-4567

(Signature, Date, and Telephone Number Including Area Code)

#### ADDITIONAL SIGNATURES

(As required by Bureau delegations)

(Nominator)

\_\_\_\_\_  
(Signature and Date)

\_\_\_\_\_  
(Signature and Date)

**FINANCIAL ACTION RECORD** This record is to initiate payment, accounting and tax transactions for STAR awards, On-the-Spot awards, and non-monetary recognition of significant value. Do not complete for Quality Step Increases, Time Off recognition, Interior Innovation Award or Honor Awards.

Recipient Name: (Full Name) \_\_\_\_\_ Social Security Number: 123-45-6789

<u>01</u>	<u>02</u>	<u>345</u>	<u>12345678</u>	<u>6-1234-56789</u>
<small>Bureau</small>	<small>Sub-Bureau</small>	<small>Block</small>	<small>Org. Code</small>	<small>Cost Account</small>

#### MONETARY AWARD TO BE PAID THROUGH IMPREST (ON-THE-SPOT)

Amount Authorized for Imprest Payment (Hours Code 66A) \$ 100 (Net Amount)  
Amount including Taxes (Amount Paid divided by .55) (Hours Code 30A) \$ 182 (Gross Amount)

**IMPREST FUND PAYMENT RECORD** (To be Completed by Imprest Fund Cashier)  
Paid by: Cash [ ] Third Party Draft [ ] Subvoucher # 1234

Received by Signature and Date: (Signature 2/13/96) \_\_\_\_\_

#### MONETARY AWARD TO BE PAID THROUGH THE PAYROLL SYSTEM (STAR OR ON-THE-SPOT)

Total Cash Award (Hours Code 30A) \$ \_\_\_\_\_ (Gross Amount)  
Pay Period to be Processed by Payroll \_\_\_\_\_

#### NON-MONETARY RECOGNITION OF SIGNIFICANT VALUE (Date Presented: \_\_\_\_\_)

Cash Value of Award (Hours Code 66A) \$ \_\_\_\_\_ (Net Amount)  
Value including Taxes (Cash Value divided by .55) (Hours Code 30A) \$ \_\_\_\_\_ (Gross Amount)

Disposition of this form: Original to servicing personnel office, copy to recipient. For STAR awards, On-the-Spot awards, and non-monetary recognition of significant value FAX page 2 of this form to the Payroll Operations Division. This fax is in lieu of original. **DO NOT SEND ORIGINAL OF THIS DOCUMENT TO PAYROLL.**

Note: Submission on this form is prohibited by the Privacy Act. Checkboxes may be made only in authorized process according to Title 5 U.S.C., Section 552a(b)

# SAMPLE CONTINUOUS IMPROVEMENT INCENTIVE



## UNITED STATES DEPARTMENT OF THE INTERIOR AWARD CERTIFICATION

\_\_\_\_\_ [Full Name] \_\_\_\_\_  
(Recipient)  
Is Presented as:

### Monetary Award or Recognition

- \_\_\_\_\_ On-the-Spot Award in the net amount of \$ \_\_\_\_\_
- STAR Award in the gross amount of \$ 1500.00
- \_\_\_\_\_ Quality Step Increase (sustained exceptional performance pay increase)
- \_\_\_\_\_ Time Off Recognition—number of hours \_\_\_\_\_
- \_\_\_\_\_ Non-Monetary Recognition with a cash value of \$ \_\_\_\_\_
- \_\_\_\_\_ Interior Innovation Award (\$1,000 increase to operating budget)
- Continuous Improvement Incentive (check appropriate award above)

Bureau-Specific Award \_\_\_\_\_  
(Title)

### Honor Award

- Highest Honors: \_\_\_\_\_ Distinguished Service Award  
\_\_\_\_\_ Conservation Service Award
- Mid-Level Honors: \_\_\_\_\_ Meritorious Service Award  
\_\_\_\_\_ Outstanding Service Award  
\_\_\_\_\_ Unit Award for Excellence of Service
- Initial Honors: \_\_\_\_\_ Superior Service Award  
\_\_\_\_\_ Citizen's Award for Exceptional Service
- Heroic Act Honors: \_\_\_\_\_ Valor Award  
\_\_\_\_\_ Citizen's Award for Bravery  
\_\_\_\_\_ Exemplary Act Award

FORM 89-02  
January 1994

-2-

**JUSTIFICATION** Required only for monetary awards, innovation awards, non-monetary recognition of significant value, or time off recognition. Citation is justification for honor awards. Attach copy of citation.

The core barrel design first suggested by [Name] in 1994 as an improvement idea, addresses the common problem of retention of loose, unconsolidated sands during collection of sediment samples. The proposed barrel uses two methods simultaneously to retain the sample during retrieval. Based on his design, these core barrels have since been developed independently by several other groups. They have contributed significantly to studies of physical and geochemical heterogeneity and microbiological processes in shallow sand aquifers. Much of what is known in this field was determined from cores collected by this core barrel. [Name]'s design, which has been adopted by DOI and the scientific community at large, significantly improved the ability to collect cores and contributed to an important area of multidisciplinary ground-water research.

APPROVED BY: \_\_\_\_\_ [See Bureau Delegation] 2/13/96 [234] 555-5678  
(Signature, Date, and Telephone Number including Area Code)

ADDITIONAL SIGNATURES  
(As required by Bureau Delegations)

(Nominator) \_\_\_\_\_  
(Signature and Date) \_\_\_\_\_ (Signature and Date) \_\_\_\_\_

**FINANCIAL ACTION RECORD** This record is to initiate payment, accounting and tax transactions for STAR awards, On-the-Spot awards, and non-monetary recognition of significant value. Do not complete for Quality Step Increases, Time Off recognition, Interior Innovation Award or Honor Awards.

Recipient Name: \_\_\_\_\_ (Full Name) Social Security Number: 123-45-6789  
01 02 345 12345678 6-1234-56789  
Bureau Sub-Bureau Block Org. Code Cost Account

### MONETARY AWARD TO BE PAID THROUGH IMPREST (ON-THE-SPOT)

Amount Authorized for Imprest Payment (Hours Code 66A) \$ \_\_\_\_\_ (Net Amount)  
Amount Including Taxes (Amount Paid divided by .55) (Hours Code 30A) \$ \_\_\_\_\_ (Gross Amount)

IMPREST FUND PAYMENT RECORD (To be Completed by Imprest Fund Cashier)  
Paid by: Cash [ ] Third Party Draft [ ] Subvoucher # \_\_\_\_\_

Received by Signature and Date: \_\_\_\_\_

### MONETARY AWARD TO BE PAID THROUGH THE PAYROLL SYSTEM (STAR OR ON-THE-SPOT)

Total Cash Award (Hours Code 30A) \$ 1500 (Gross Amount)  
Pay Period to be Processed by Payroll 9805

### NON-MONETARY RECOGNITION OF SIGNIFICANT VALUE (Date Presented: \_\_\_\_\_)

Cash Value of Award (Hours Code 66A) \$ \_\_\_\_\_ (Net Amount)  
Value Including Taxes (Cash Value divided by .55) (Hours Code 30A) \$ \_\_\_\_\_ (Gross Amount)

Disposition of this form: Original to servicing personnel office, copy to recipient. For STAR awards, On-the-Spot awards, and non-monetary recognition of significant value FAX page 2 of this form to the Payroll Operations Division. This form is in lieu of original. **DO NOT SEND ORIGINAL OF THIS DOCUMENT TO PAYROLL.**

Note: Information on this form is protected by the Privacy Act. Disclosure may be made only to authorized persons according to Title 5 U.S.C., Section 552b(4).

FORM 89-02  
January 1994

1-24

February 1996

# SAMPLE QUALITY STEP INCREASE (1ST OF 2 PAGES)



## U.S. DEPARTMENT OF THE INTERIOR EMPLOYEE PERFORMANCE PLAN AND RESULTS REPORT

Form DI-2001  
September 1995

Employee's Name: [Full Name] Rating Period: 10/1/95 - 9/30/96  
 Title/Series/Grade: Secretary (GA), GS-318-7 Bureau/Office: [Name]  
 Duty Location: City, State Social Security No.: 123-45-6789

### PART I. PERFORMANCE PLAN

#### CRITICAL RESULTS (List no more than five)

RESULTS (Enter  
Achieved or Not Achieved)

<b>A Office Management</b> —An orderly flow of work is maintained. Processes are established and improvements are made to meet the needs of professional staff in the areas of travel, duplicating, file search, word processing, and supplies.	Achieved
<b>B Typing</b> —Typed materials are finalized in accordance with correspondence procedures in effect at the time and requirements in the Government Style Manual. Subordinate clerical staff have the guidance needed to ensure quality products the first time.	Achieved
<b>C Reception</b> —Customers receive the information requested or are referred to the appropriate staff member for response.	Achieved
<b>D Files</b> —A redesigned filing system eliminates duplicate paper files that are also stored electronically. A briefing is provided to staff members to ensure their understanding of the system and easy access to filed material.	Achieved
<b>E Office Equipment Needs</b> —Report of a study identifies needed unacquired office equipment, and provides a plan for replacement. The plan includes at least three funding alternatives to meet equipment needs over the next two years.	Achieved

PERFORMANCE INDICATORS: Check or underline the applicable critical result letter(s).

QUALITY	Apply to Critical Result(s):
<b>Knowledge of Field or Profession:</b> Exhibits and demonstrates technical competence and/or expertise in area of assigned responsibility.	(A) A B C D E
<b>Accuracy and Thoroughness of Work:</b> Plans, organizes, executes work logically. Anticipates and analyzes problems clearly and determines appropriate solutions. Work is correct and complete.	All A B C D E
<b>Soundness of Judgment and Decisions:</b> Analyzes tasks objectively and rationally and determines consequences carefully. Weighs alternative courses of action, considering long- and short-term implications. Makes and executes timely decisions.	All A B C D E
<b>Effectiveness of Written Documents:</b> Writes work in clear, relevant, concise, well-organized, grammatically correct, and appropriate to audience.	All A B C D E
<b>Effectiveness of Communications:</b> Presentation meets objectives, is persuasive, useful, and appropriate to audience. Demonstrates attention, courtesy, and respect for other points of view.	(A) A B C D E
<b>Timeliness in Meeting Deadlines:</b> Completes work in accordance with established deadlines.	All A B C D E
<b>Effectiveness of Supervision:</b> Directs and coordinates activities of staff, ensuring deadlines are met. Coaches, counsels, develops, and motivates staff effectively, demonstrating a commitment to the workforce.	All A B C D E
Other (specify)	All A B C D E
Other (specify)	All A B C D E

### PERFORMANCE INDICATORS (cont.)

TEAMWORK	Apply to Critical Result(s):
<b>Participation:</b> Willingly participates in group activities, performing in a thorough and complete fashion. Communicates regularly with team members. Seeks team consensus.	All (A) B C D E
<b>Leadership:</b> Provides encouragement, guidance, and direction to team members as needed. Adjusts style to fit situation.	All (A) B C D E
<b>Cooperation:</b> Supports team initiatives. Demonstrates respect for team members, accepts the views of others, and actively supports team decisions.	All (A) B C D E
Other (specify)	All A B C D E
CUSTOMER SERVICE	Apply to Critical Result(s):
<b>Quality of Service:</b> Delivers high quality products and services to both external and internal customers. Initiates and responds to suggestions for improving services.	(A) A B C D E
<b>Timeliness of Service:</b> Delivers quality products and services in accordance with time schedules agreed upon with customer.	All (A) B C D E
<b>Courtesy:</b> Treats external and internal customers with courtesy and respect. Customer satisfaction is high priority.	(A) A B C D E
Other (specify)	All A B C D E

### PART II. PROGRESS REVIEWS: Date of review and initials of employee and Rating Official (R.O.) must also be provided for each review. A summary of comments to external unless results are not being achieved.

Making the most of short staff in most office management and typing needs. Excellent team cooperation is a result of your leadership. Early file reorganization effort greatly simplified file search. I'm very pleased with your progress.

Date: 3/28/96  
Emp. Initials: A.B.C.  
R.O. Initials: A.C.D.

Both file and office equipment projects moving along exceptionally well. Very positive feedback on detail to Public Affairs Office. An outstanding effort to date.

Date: 9/28/96  
Emp. Initials: A.B.C.  
R.O. Initials: A.C.D.

### PART III. SUMMARY RATING: (Enter: Achieved or Not Achieved on this line) RESULTS

Space is provided to summarize the basis for rating given. A "Results Not Achieved" rating requires explanation. If more space is needed, provide additional comments as an attachment.

Great effort throughout the rating year. All objectives were met, and results of file redesign and office equipment analysis will save the office considerable money in the coming years. Leadership of the clerical staff was excellent.

### PART IV. CERTIFICATION: (Employee's signature certifies review and discussion with the Rating Official. It does not necessarily mean that the employee concurs with the information on this form.)

[Signed] _____ Employee Date: <u>10/10/95</u>	[Signed] _____ Rating Official Date: <u>10/10/96</u>
[Signed] _____ Rating Official Date: <u>10/10/95</u>	Reviewing Official (prepared for summary of "Results Not Achieved") Date: _____
Reviewing Official (when required by Bureau official) Date: _____	[Signed] _____ Employee Date: <u>10/10/96</u>

Primary and Primary Subordinate information is necessary. Failure to provide information will prohibit data collection required by the Office of Personnel Management.

1-25

February 1996



**U.S. DEPARTMENT OF THE INTERIOR  
EMPLOYEE PERFORMANCE PLAN AND RESULTS REPORT**

Form DI-1002  
September 1995

**SAMPLE QUALITY STEP INCREASE (1ST OF 2 PAGES)**

Employee's Name: J.PALL, BAMA Rating Period: 10/1/95 - 9/30/96  
 Title/Serial/Grade: Supervisor (GSA), GS-3182-1 Bureau/Office: IBAMA  
 Duty Location: GISL, Steato Social Security No.: 133-43-8789

**PART I. PERFORMANCE PLAN**

CRITICAL RESULTS (List no more than five)	RESULTS (Enter: Achieved or Not Achieved)
A Office Management--An orderly flow of work is maintained. Processes are established and improvements are made to meet the needs of professional staff in the area of work. Applying, file search, word processing, and copying.	Achieved
B Typing--Typed materials are finished in accordance with correspondence procedures in effect at the time and responsiveness in the Government Style Manual. Subordinate clerical staff have the guidance needed to ensure quality products the first time.	Achieved
C Reception--Customers receive the information requested or are referred to the appropriate staff member as required.	Achieved
D Files--A redesigned filing system eliminates duplicate paper files that are often stored electronically. A budget is provided to staff members to ensure their understanding of the system and easy access to filed material.	Achieved
E Office Equipment Needs--Report of a study identifies needed unmet office equipment, and provides a plan for replacement. The plan includes at least three funding alternatives to meet equipment needs over the next two years.	Achieved

**PERFORMANCE INDICATORS: Check or underline the applicable critical result letter(s).**

QUALITY	Apply to Critical Result(s):
Knowledge of Field or Problems: Substantive and demonstrable technical competence enables employee to assume full range of assigned responsibility.	<u>(A)</u> A B C D E
Accuracy and Thoroughness of Work: Plans, organizes, executes work logically. Anticipates and analyzes problems clearly and determines appropriate solutions. Works to correct and complete.	A B <u>(A)</u> <u>(B)</u> C D E
Soundness of Judgment and Decisions: Assesses risks objectively and comprehends and documents management variability. Weighs alternative courses of action, considering long- and short-term implications. Makes and executes timely decisions.	A B <u>(A)</u> <u>(B)</u> <u>(C)</u> <u>(D)</u> E
Effectiveness of Written Documents: Writes work to clear, relevant, concise, well-organized, grammatically correct, and appropriate to audience.	A B A B C D <u>(B)</u>
Effectiveness of Communications: Promotes team objectives by persuasive, written, and appropriate to audience. Demonstrates excellent, courtesy, and respect for other points of view.	<u>(A)</u> A B C D E
Thoroughness in Meeting Deadlines: Completes work in accordance with established deadlines.	A B <u>(A)</u> <u>(B)</u> C <u>(D)</u> E
Effectiveness of Supervision: Directs and coordinates activities of staff, ensuring deadlines are met. Coordinates, develops, and utilizes staff effectively, demonstrating a commitment to the workforce.	A B <u>(A)</u> <u>(B)</u> C D E
Other (specify)	A B A B C D E
Other (specify)	A B A B C D E

PERFORMANCE INDICATORS (cont.):	Apply to Critical Result(s):
<b>TEAMWORK</b> Participates. Willingly participates in group activities, performing at a thorough and complete level. Communicates regularly with team members. Seeks team consensus.	All <u>(A)</u> <u>(B)</u> C D E
Leadership: Provides encouragement, guidance, and direction to team members as needed. Adjusts style to fit situation.	All <u>(A)</u> <u>(B)</u> C D E
Cooperation: Supports team initiatives. Demonstrates respect for team members, accepts the views of others, and actively supports team decisions.	All <u>(A)</u> <u>(B)</u> C D E
Other (specify)	A B A B C D E
<b>CUSTOMER SERVICE</b>	Apply to Critical Result(s):
Quality of Service: Delivers high quality products and services to both internal and external customers. Listens and responds to suggestions for improving services.	<u>(A)</u> A B C D E
Timeliness of Service: Delivers quality products and services in accordance with time standards agreed upon with customer.	All <u>(A)</u> <u>(B)</u> C <u>(D)</u> E
Courtesy: Treats external and internal customers with courtesy and respect. Customer satisfaction is high priority.	<u>(A)</u> A B C D E
Other (specify)	A B A B C D E

**PART II. PROGRESS REVIEWS:** Date of review and feedback of employee and Rating Official (R.O.) name also be provided for each review. A summary of comments is optional unless results are not being achieved. Making the area of short staff to meet office management and typing needs. Excellent team cooperation is a result of your leadership. Early file reorganization effort greatly simplified file search. I'm very pleased with your program.

Both files and office equipment projects moving along exceptionally well. Very positive feedback on detail to Public Affairs Office. An outstanding effort to date.

Date: 3/22/96  
 By: J.P.C.  
 R.O. Initials: J.P.C.

Date: 9/28/95  
 By: J.P.C.  
 R.O. Initials: J.P.C.

**PART III. SUMMARY RATING: (Enter: Achieved or Not Achieved on this line) RESULTS**

Space is provided to summarize the basis for rating given. A "Results Not Achieved" rating requires explanation. If more space is needed, provide additional comments on an additional page.

Over effort throughout the rating year. All objectives were met, and results of file reorganization and office equipment analysis will save the office considerable money in the coming year. Leadership of the clerical staff was excellent.

**PART IV. CERTIFICATION:** (Employee's signature certifies review and discussion with the Rating Official. It does not necessarily mean that the employee concurs with the information on this form.)

Employee	<u>[Signature]</u>	Date	<u>10/18/95</u>
Rating Official	<u>[Signature]</u>	Date	<u>10/18/95</u>
Reviewing Official (Required for Summary of "Results Not Achieved")	<u>[Signature]</u>	Date	<u>10/18/95</u>
Employee	<u>[Signature]</u>	Date	<u>10/18/95</u>

Privacy Act Notice: Submission of information to members. Public to provide information will prohibit data collection required by the Office of Personnel Management.



UNITED STATES DEPARTMENT OF THE INTERIOR  
AWARD CERTIFICATION

SAMPLE QUALITY STEP INCREASE (2ND OF 2 PAGES)

\_\_\_\_\_  
[Full Name]  
(Employee)

Is Presented as:

*Monetary Award or Recognition*

\_\_\_\_\_  
On-the-Spot Award in the net amount of \$ \_\_\_\_\_

\_\_\_\_\_  
STAR Award in the gross amount of \$ \_\_\_\_\_

\_\_\_\_\_  
X. Quality Step Increase (achieved exceptional performance pay increase)

\_\_\_\_\_  
Time Off Recognition—number of hours \_\_\_\_\_

\_\_\_\_\_  
Non-Monetary Recognition with a cash value of \$ \_\_\_\_\_

\_\_\_\_\_  
Interior Innovation Award (\$1,000 increase to operating budget)

\_\_\_\_\_  
Continuous Improvement Initiative (check appropriate award above)

- Bureau-Specific Award* \_\_\_\_\_ (Title)
- Honor Award*
- Highest Honors: \_\_\_\_\_  
Distinguished Service Award  
Cassowaries Service Award
  - Mid-Level Honors: \_\_\_\_\_  
Meritorious Service Award  
Outstanding Service Award  
Unit Award for Excellence of Service
  - Initial Honors: \_\_\_\_\_  
Superior Service Award  
Citizen's Award for Exceptional Service
  - Heroic Act Honors: \_\_\_\_\_  
Valor Award  
Citizen's Award for Bravery  
Exemplary Act Award

Form 10-88  
Rev. 1-88

**JUSTIFICATION** Required only for monetary awards, innovation awards, non-monetary recognitions of significant value, or time off recognition. Citation in justification for honor awards. Attach copy of citation.

Though short one clerical staff member for several months. (Name) effectively arranged for field office details, provided OJT, and created a unique HQ experience for them, with no noticeable decline in meeting professional staff needs. Though correspondence procedures changed with a change in the directorate, (Name)'s staff was frequently recruited by the Division chief to finalize Congressional responses because of consistent quality. A customer survey was extremely positive about (Name)'s knowledge and professionalism in responding to inquiries. Service to the Public Affairs Office while on short-term detail received special thanks from the Director. Revised filing system is now the Division model. (Name) has briefed all HQ offices on its functions and use. The analysis of office equipment needs and procurement options was so well organized and so thorough that I used it without change in successfully justifying our 2-year plan for capital equipment expenditures.

APPROVED BY: \_\_\_\_\_ (See Bureau Delegations) 10/20/95 (123) 555-4567  
(Signature, Date, and Telephone Number Including Area Code)

ADDITIONAL SIGNATURES  
(As required by Bureau delegations)

\_\_\_\_\_  
(Signature and Date)

**FINANCIAL ACTION RECORD** This record is to indicate payment, accounting and tax transactions for STAR awards, On-the-Spot awards, and non-monetary recognitions of significant value. Do not complete for Quality Step increases, Time Off recognition, Interior Innovation Award or Honor Awards.

Recipient Name: \_\_\_\_\_ Social Security Number: \_\_\_\_\_

Bureau: \_\_\_\_\_ Sub-Bureau: \_\_\_\_\_ Block: \_\_\_\_\_ Org. Code: \_\_\_\_\_ Cost Account: \_\_\_\_\_

**MONETARY AWARD TO BE PAID THROUGH EMPREST (ON-THE-SPOT)**

Amount Authorized for Emprest Payment (Hours Code 66A) \$ \_\_\_\_\_ (Net Amount)

Amount Including Taxes (Amount Paid divided by .95) (Hours Code 30A) \$ \_\_\_\_\_ (Gross Amount)

**EMPREST FUND PAYMENT RECORD (To be Completed by Emprest Fund Cashier)**

Paid by: Cash ( ) Third Party Debit ( ) Subvoucher # \_\_\_\_\_

Received by Signature and Date: \_\_\_\_\_

**MONETARY AWARD TO BE PAID THROUGH THE PAYROLL SYSTEM (STAR OR ON-THE-SPOT)**

Total Cash Award (Hours Code 30A) \$ \_\_\_\_\_ (Gross Amount)

Pay Period to be Processed by Payroll \_\_\_\_\_

**NON-MONETARY RECOGNITION OF SIGNIFICANT VALUE (Date Presented: \_\_\_\_\_)**

Cash Value of Award (Hours Code 66A) \$ \_\_\_\_\_ (Net Amount)

Value Including Taxes (Cash Value divided by .95) (Hours Code 30A) \$ \_\_\_\_\_ (Gross Amount)

Deposition of this form: Original to servicing personnel office, copy to recipient. For STAR awards, On-the-Spot awards, and non-monetary recognitions of significant value FAX page 2 of this form to the Payroll Operations Division. This form is in lieu of original. **DO NOT SEND ORIGINAL OF THIS DOCUMENT TO PAYROLL.**

Note: Information on this form is protected by the Privacy Act. Disclosure may be made only to authorized persons according to Title 5 U.S.C., Section 552a-4.



# SAMPLE HONOR AWARD



THE SECRETARY OF THE INTERIOR  
WASHINGTON

CITATION  
FOR MERITORIOUS SERVICE  
(FULL NAME)

In recognition of her outstanding contributions to the [Bureau name] international water resources programs.

To representatives of numerous United States and international organizations who work with visiting scientists and officials from other countries, Ms. [last name] is the helpful and knowledgeable person who can always be depended upon to provide needed information about the [Bureau name] or any other U.S. agency or organization concerned with water resources. To hundreds of scientists, engineers, and governmental officials in dozens of countries, she is the friendly and efficient person who made their training assignment or visit to the United States both productive and enjoyable and, in many cases, gave them their first glimpse of what America and Americans really are like. There are few countries in the world in which at least one former trainee or official visitor cannot be found to offer testimony to Ms. [last name] capabilities, her work friendship, and her personal concern for them as individuals. Her work with, and on behalf of, international participants has contributed immeasurably to the favorable reputation of the [Bureau name] and the United States held by thousands of scientists, engineers, government officials, and private citizens around the world. As coordinator for the People's Republic of China affairs under the US-PAC Surface-Water Hydrology Protocol, Ms. [last name] was instrumental in the development of a collaborative program that has been cited by the Department of State as a model for US-PAC intergovernmental relations. Her effective and innovative efforts have contributed in great measure to the development of collaborative research agreements with water agencies in India, Russia, Sweden, Spain, and the United Arab Emirates. As the principal [Bureau name] representative in the Department of State-sponsored multinational effort to enhance water-data availability in the Middle East in support of the on-going Mid-East Peace Negotiations, she has been a major contributor to the achievement of significant breakthroughs in communication and cooperation among the regional parties. The success of the water-data enhancement thrust and the [Bureau name] leadership role therein have been acknowledged by the Department of State and the approach used cited as an example for other multinational groups supporting the Peace Process to follow. For the excellence of these, and her many other contributions to international water-resources programs, [full name] is granted the Meritorious Service Award of the Department of the Interior.

Secretary of the Interior

## FORMAT FOR PREPARING CITATION FOR DEPARTMENTAL HONOR AWARDS <sup>1</sup>

(Justify right-hand margin)

(Do Not Date)

(Use all CAPS for next 3 lines)

### CITATION

FOR [NAME OF AWARD]

[FULL NAME]

In recognition of her outstanding leadership of scientific programs in hydrology for the [Bureau name] <sup>2</sup> (This line statement constitutes the first paragraph)

There should follow those facts in the nominee's employment history which are particularly related to employee's service with the Bureau and the Department, and not exceeding 350 words. The Citation must clearly explain contributions for which the nominee is receiving the award. The Citation is for the nominee, so when writing the document keep the following question in mind: "What would the nominee like to hear about him/herself?" The final sentence of the second paragraph for MSA's must be structured as follows: For her outstanding service as a leader of research in hydrology, [full name] is granted the [Name of Award] of the Department of the Interior.

Secretary of the Interior

BCC: Secretary Sumname  
Bureau Copy(ies)  
DOI Office of Personnel

<sup>1</sup> Similar format is used for all departmental honor awards. At Bureau discretion, the Superior Service Award may be a citation or letter signed by the Director or Commissioner.

<sup>2</sup> Underlined portion will change on each Citation.

DELEGATIONS OF AWARD AUTHORITY

<u>Position</u>	<u>Authority</u>
Assistant Secretary for Land and Minerals Management	Cash awards from \$5,001 to 10,000 Distinguished Service Awards Conservation Service Awards Meritorious Service Awards Unit Awards Outstanding Service Awards Valor Awards
Director, Minerals Management Service	Group awards up to \$10,000 with no individual awards over \$5,000 Superior Service Awards Citizen's Award for Exceptional Service Citizen's Award for Bravery Exemplary Act Award
Associate Directors	Cash awards up to \$5,000
Deputy Associate Directors, Regional Directors, and Program Directors	Cash awards up to \$3,500
Division Chiefs, Administrative Service Center Managers, Regional Supervisors, and Headquarters Staff Office Heads	Cash awards up to \$2,500, QSI's Non-Monetary Awards Time Off Recognition in Excess of 1 Work Day
First-level supervisor	Time Off Recognition up to 1 Work Day

NOTE: Award authorities delegated to lower level positions may also be exercised by higher levels.

AWARDS COORDINATORS

Minerals Management Service

Beverly Wilson

Office of the Director

Donna Cedar-Southworth  
Rosa Thomas

Administration and Budget

Budget and Finance  
Robin Bland  
Management Services and Security Division  
Pat Poore  
Beverly Wilson  
Personnel Division  
Dot Nosal  
Information Resources Management Division  
Edgar Vega  
Procurement and Property Management Division  
Jane Carlson  
Alaska Satellite Office  
Linda Reeves  
Southern Administrative Service Center  
Mike Knight  
Western Administrative Service Center  
Lenna Gerwing

Royalty Management Program

Office of the Associate Director for Royalty Management  
Lou Commerford  
Office of Indian Royalty Assistance  
Joy Alley  
Royalty Management Liaison  
Marilyn Johnson  
Office of Enforcement  
Stacey Browne  
Program Services Office  
Mary Peschong  
Office of the Deputy Associate Director for Valuation and  
Operations  
Mary Lou Miller  
Data Management Division  
Ann Wosley  
Reports and Financial Division  
Mary Dietrick

Royalty Management Program (continued)

System Management Division  
Millie Weingardt  
Valuation and Standards Division  
Janet Courtney  
Office of the Deputy Associate Director for Compliance  
Sara Warne  
Lakewood Compliance Division  
Dorothy Hise  
Dallas Compliance Division  
Linda Shearin  
Houston Compliance Division  
Carol Smothers  
State and Indian Compliance Division  
Brenda Lechuga  
Compliance Verification Division  
Mary Ann Martinez

Offshore Minerals Management

Offshore Management Support and TIMS  
Vicki Agnew  
Vanessa Grable  
Offshore Operations and Safety Management  
Debbie O'Brien  
Janice Shay  
Resources and Environmental Management and Office of Program  
Development and Coordination  
Jeri Bryant  
Joanne McCammon  
Office of International Activities and Marine Minerals  
Patty Hawk  
Gulf of Mexico Region  
Mary Ann Lamm  
Eileen Swiler  
Pacific OCS Region  
Barbara Voyles  
Patricia Bowen  
Alaska OCS Region  
Wanda Jones

Policy and Management Improvement

Gale Hudgens, D.C.  
Janet Drake, Denver

Appeals  
Denise Gaines, Herndon



UNITED STATES DEPARTMENT OF THE INTERIOR  
**AWARD CERTIFICATION**

\_\_\_\_\_  
(Recipient)

**Is Presented a:**

***Monetary Award or Recognition***

\_\_\_\_\_ **On-the-Spot Award in the net amount of \$** \_\_\_\_\_

\_\_\_\_\_ **STAR Award in the gross amount of \$** \_\_\_\_\_

\_\_\_\_\_ **Quality Step Increase (sustained exceptional performance pay increase)**

\_\_\_\_\_ **Time Off Recognition--number of hours** \_\_\_\_\_

\_\_\_\_\_ **Non-Monetary Recognition with a cash value of \$** \_\_\_\_\_

\_\_\_\_\_ **Interior Innovation Award (\$1,000 increase to operating budget)**

\_\_\_\_\_ **Continuous Improvement Incentive (check appropriate award above)**

***Bureau-Specific Award*** \_\_\_\_\_

(Title)

***Honor Award***

- **Highest Honors:**
  - \_\_\_\_\_ **Distinguished Service Award**
  - \_\_\_\_\_ **Conservation Service Award**
  
- **Mid-Level Honors:**
  - \_\_\_\_\_ **Meritorious Service Award**
  - \_\_\_\_\_ **Outstanding Service Award**
  - \_\_\_\_\_ **Unit Award for Excellence of Service**
  
- **Initial Honors:**
  - \_\_\_\_\_ **Superior Service Award**
  - \_\_\_\_\_ **Citizen's Award for Exceptional Service**
  
- **Heroic Act Honors:**
  - \_\_\_\_\_ **Valor Award**
  - \_\_\_\_\_ **Citizen's Award for Bravery**
  - \_\_\_\_\_ **Exemplary Act Award**

**JUSTIFICATION** Required only for monetary awards, innovation awards, significant value, or time off recognition. Citation is justification for honor awards. Attach copy of citation.

**APPROVED BY:** \_\_\_\_\_

(Signature, Date, and Telephone Number including Area Code)

**ADDITIONAL SIGNATURES**

[As required by Bureau delegations]

\_\_\_\_\_  
(Signature and Date)

\_\_\_\_\_  
(Signature and Date)

**FINANCIAL ACTION RECORD** This record is to initiate payment, accounting and tax transactions for STAR awards, On-the-Spot awards, and non-monetary recognition of significant value. Do not complete for Quality Step Increases, Time Off recognition, Interior Innovation Award or Honor Awards.

Recipient Name: \_\_\_\_\_ Social Security Number: \_\_\_\_\_

\_\_\_\_\_  
Bureau

\_\_\_\_\_  
Sub-Bureau

\_\_\_\_\_  
Block

\_\_\_\_\_  
Org. Code

\_\_\_\_\_  
Cost Account

**MONETARY AWARD TO BE PAID THROUGH IMPREST (ON-THE-SPOT)**

Amount Authorized for Imprest Payment (Hours Code 66A) \$ \_\_\_\_\_ (Net Amount)

Amount Including Taxes (Amount Paid divided by .55) (Hours Code 30A) \$ \_\_\_\_\_ (Gross Amount)

**IMPREST FUND PAYMENT RECORD** (To be Completed by Imprest Fund Cashier)

Paid by: Cash [ ] Third Party Draft [ ] Subvoucher # \_\_\_\_\_

Received by Signature and Date: \_\_\_\_\_

**MONETARY AWARD TO BE PAID THROUGH THE PAYROLL SYSTEM (STAR OR ON-THE-SPOT)**

Total Cash Award (Hours Code 30A) \$ \_\_\_\_\_ (Gross Amount)

Pay Period to be Processed by Payroll \_\_\_\_\_

**NON-MONETARY RECOGNITION OF SIGNIFICANT VALUE** (Date Presented: \_\_\_\_\_)

Cash Value of Award (Hours Code 66A) \$ \_\_\_\_\_ (Net Amount)

Value Including Taxes (Cash Value divided by .55) (Hours Code 30A) \$ \_\_\_\_\_ (Gross Amount)

**Disposition of this form:** Original to servicing personnel office, copy to recipient. For STAR awards, On-the-Spot awards, and non-monetary recognition of significant value FAX page 2 of this form to the Payroll Operations Division.

This fax is in lieu of original. **DO NOT SEND ORIGINAL OF THIS DOCUMENT TO PAYROLL.**

Note: Information on this form is protected by the Privacy Act. Disclosure may be made only to authorized persons according to Title 5 U.S.C., Section 552a(b).

**- INSTRUCTIONS -**

This Award Certification will be used for all awards for individuals or teams, when required. In the "Justification" section on page 2, provide a brief summary of the accomplishment being recognized by the award, using specific examples. For Honor Awards, the citation is the award justification. The amount of the award should be commensurate with the value of the individual or team accomplishment, considering the overall benefit to the government. Complete the "Financial Action Record" section on page 2, for each recipient of monetary awards and non monetary recognition of significant value. A copy of the Financial Action Record must be faxed to the Payroll Operations Division to update the employee's pay record. A "Notification of Personnel Action" (SF-50) must be generated for all monetary, time off, and Quality Step Increase awards. For more detailed information, refer to the Awards and Recognition Program, Departmental Human Resources Manager Handbook.

**On-the-Spot Awards**

On-the-Spot Awards have a net value between \$50 and \$500. The amount given to the recipient (net amount) must be increased to cover the applicable withholdings (gross amount). Complete the Financial Action Record indicating whether payment is to be made through Imprest Fund or Payroll System. Divide the net amount by .55 to calculate the gross amount of the award. The following table calculates the gross amounts in \$50 increments, however, net amounts may range anywhere from \$50 to \$500:

NET AMOUNT	GROSS AMOUNT	NET AMOUNT	GROSS AMOUNT
\$50	\$91	\$300	\$546
\$100	\$182	\$350	\$637
\$150	\$273	\$400	\$728
\$200	\$364	\$450	\$819
\$250	\$455	\$500	\$910

**STAR Awards**

STAR Awards are cash awards in the gross amount of \$925 or more. In the Financial Action Record, complete the Monetary Award to Paid Through the Payroll System Section, inserting the gross amount of the award. All STAR awards are to be paid through the payroll system. For team awards, an Award Certification must be completed for each team member. If members are to receive different award amounts, justification must describe the individual team member's specific contribution(s).

**Quality Step Increases**

An employee may receive only one Quality Step Increase in a 52 week period. In the "Justification" section, enter brief specific examples of how expectations were exceeded in achieving all Critical Results. Follow Bureau guidance to generate an SF-50.

**Time Off Recognition**

The minimum time off recognition is 1 hour. There is no maximum time off recognition. A copy of the awards certification must be forwarded to the employee's timekeeper for coding on the Time and Attendance Report.

**Non-Monetary Recognition**

Use this Award Certification when the value of a non-monetary recognition is significant (\$26 to \$250). Recognition of nominal value not require documentation. In the Financial Action Record, complete the Non-Monetary Recognition of Significant Value Section, insert the cash value (net) of the award, the gross value including taxes and the date presented. The gross value is computed by dividing the cash by .55.

**Continuous Improvement Incentives**

An appropriately-valued award granted to recognize process improvement, cost-saving suggestions, streamlining, elimination of non-added processes, gains in productivity, or inventions and patents. See above award descriptions. Patent Awards are processed through Solicitor's Office. Innovation Award budget increases (granted for cost reduction, reinvention efforts, and improving customer service used for project support such as training and equipment.

### ***Highest Honors***

The highest departmental honor awards presented to career employees or non-employee partners-in-mission. Recipients must have demonstrated extremely significant long-term contributions to departmental programs and missions.

- **Distinguished Service Award**

For career employees, typically those who have received the Meritorious Service Award.

- **Conservation Service Award**

For private citizen or organizational partners-in-mission.

### ***Mid-Level Honors***

The second highest departmental honor awards presented to employees, groups, and partners-in-mission who have made exceptional continuing contribution(s) to Department or Bureau mission accomplishment.

- **Meritorious Service Award**

For career employees of the Department, typically in mid-career, who may have received one or more Superior Service Awards.

- **Outstanding Service Award**

For departmental political appointees.

- **Unit Award for Excellence of Service**

For exceptional contribution(s) of employee groups, units, or teams.

### ***Initial Honors***

The first level of recognition in the departmental honor awards program, presented to career or non-career employees, volunteers, or other partners who have made significant contribution(s) to the Department through outstanding service to a Bureau program.

- **Superior Service Award**

For career employees of the Department.

- **Citizen's Award for Exceptional Service**

Bureau-specific awards for private citizen or organizational partners, including volunteers.

### ***Heroic Act Honors***

Departmental honorary recognition granted to employees for heroic acts or unusual bravery in the face of danger.

- **Valor Award**

For employees of the Department who risk their lives while attempting to save the life of another.

- **Citizen's Award for Bravery**

For private citizens who risk their lives to save the life of a departmental employee serving in the line of duty or the life of any other person, while on property owned by or entrusted to the Department.

- **Exemplary Act Award**

For employees or private citizens who attempt to save the life of another, or for private citizens who attempt to save the life of a departmental employee serving in the line of duty or any other person while on property owned by or entrusted to the Department, when risk to their own lives is not an issue.