

INCENTIVE AWARDS

HANDBOOK

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UNITED STATES DEPARTMENT OF THE INTERIOR  
Bureau of Indian Affairs

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**1.1 Policy Statement:** It is the policy of the Bureau to recognize and reward employees who, by their suggestions, inventions, and superior accomplishments, have assisted management in improving efficiency, economy, and mission effectiveness of the Bureau. The Bureau recognizes the incentive awards program as a key factor in improving operations by making full use of employee skills and resourcefulness.

Supervisors will periodically review employee performance and initiate recommendations for cash awards for deserving employees. Management officials in their review processes and management surveys will identify operational programs which have attained superior results. When areas of superior program results have been identified, management officials will initiate a positive management effort to identify and award individuals and groups responsible for these superior results. Supervisors also shall be given due recognition for the extent to which they are successful in motivating the interests and participation of their employees in the incentive awards program.

The incentive awards program is conducted in accordance with standards and regulations published by the Civil Service Commission under authority of the Government Employees' Incentive Awards Act, 68 Stat. 1112; 5 U. S. C. 2121. A Conservation Service Award established by authority of the Secretary is administered under the incentive awards program and is granted to individuals and groups not employed by the Department of the Interior. The Department of the Interior also participates in awards granted by non-Federal organizations upon receipt of request for nominations from the governing body of the foundation or other group making the award. These include the William A. Jump Award, the Arthur S. Flemming Award, The National Civil Service League Career Service Award, the Rockefeller Public Service Award, the Federal Woman's Award, etc.

**1.2 Delegation of Authority.**

A. Authority of the Commissioner - The Commissioner of Indian Affairs is authorized to approve cash awards up to and including \$1000, quality increases for employees up to and including GS-15 and commendable service awards. Since much of the authority is redelegated, the Commissioner signs the following awards:

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(1) For Central Office employees cash awards up to and including \$1000, quality step increases in grades through GS-15 and commendable service awards.

(2) For employees of Cherokee, Miccosukee and Seminole Agencies cash awards above \$500 up to and including \$1000, quality step increases in grades GS-10 through GS-15 and commendable service awards.

(3) An individual acting for the Commissioner may not sign as Recommending Officer for distinguished service awards.

The Commissioner is responsible for the direction and supervision of the incentive awards program of the Bureau and for appointment of the Bureau incentive awards committee to administer the program.

B. Authority of Area Directors - Area Directors are delegated authority for approving the following awards in their respective areas:

- (1) Cash awards up to and including \$1000
- (2) Quality step increases in grades through GS-15
- (3) Commendable Service Awards

(4) Area Directors may not approve awards for employees under their immediate supervision (i.e., first line employees). They shall recommend these awards for Commissioner approval.

Each Area Director is responsible for the direction and supervision of the incentive awards program in his area and for appointment of the area incentive awards committee to administer the program.

C. Authority of the Superintendents: Cherokee, Miccosukee, and Seminole Agencies. These Superintendents are delegated the following authority for approving awards in their respective agencies:

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- (1) To approve cash awards up to and including \$500
- (2) To approve quality step increases in grades through GS-9
- (3) Superintendents may not approve awards for employees under their immediate supervision (i.e., first line employees). They shall recommend such awards for Commissioner approval.

Each superintendent is responsible for the direction and supervision of the incentive awards program in his agency. He may appoint an incentive awards committee to help administer the program.

D. Redelegation of Authority to Agencies

(1) Within the authority delegated to him, an area director may redelegate to superintendents of agencies and equivalent officers in charge authority to approve cash awards in amounts up to and including \$500 and quality step increases for grade levels through GS-9.

(2) An area director shall not redelegate to superintendents of agencies or equivalent officers in charge authority to approve Commendable Service Awards or awards to employees under their immediate supervision (i.e., first line employees). Superintendents will recommend these awards to the area director for final approval.

(3) Each superintendent and equivalent officer in charge is responsible for the direction and supervision of the incentive awards program within his organization. He may appoint an incentive awards committee to help administer the program.

E. Special Status of Certain Groups in Albuquerque, Littleton, and Santa Fe.

The Executive Officer, Indian Affairs Data Center (IADC), is authorized to designate an incentive awards committee and coordinator for Central Office groups serviced by the IADC Personnel Office. These presently include Indian Affairs Data Center, Division of Financial Management, Division of

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Plant Design and Construction, Division of Safety, Teacher Recruitment, Roads Central Design Office, Land Records Improvement Program, Institute of American Indian Arts, and Plant Management Engineering Center. He is authorized to approve awards for suggestions up to and including \$1000, to recommend approval of other awards to the Commissioner and to reject submissions. He may not approve awards for employees under his immediate supervision (i.e., first line employees).

### 1.3 Committee Responsibility

A. Bureau Committee. The Indian Incentive Awards Committee shall be responsible to the Commissioner for the successful operation of the Bureau's incentive awards program.

The Commissioner shall appoint the Indian Incentive Awards Committee which shall consist of a chairman, three voting members, and three alternate members. The chairman of the committee may designate an acting chairman to serve in his absence, and alternate members to serve in the absence of the other members. The alternate members will have no vote unless serving in an "acting" capacity for a regular member. One member will be appointed from the staff of each Office of the Assistant Commissioner. Each voting member will be appointed to serve a two-year term of office. Upon the expiration of the two year term of office, the alternates will become voting members to replace the three outgoing members and three new alternates selected from the Offices of the Assistant Commissioners previously represented by the outgoing members. The chairman of the committee will be appointed for a two-year term of office.

The Indian Incentive Awards Committee will operate primarily in the capacity of a planning, policy, evaluative, and advisory body with limited case functions, as set forth below:

(1) Plan program activities for the year within the Bureau, such as determining what aspects of the program should be given special attention, what to emphasize in program promotion, how to implement new program features, how to improve local techniques, etc.;

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- (2) Establish Bureau policies and procedures;
- (3) Establish goals and targets for the Bureau program;
- (4) Establish how the Bureau program is working, including the analysis of results and trends, and appraisals of reactions of employees, supervisors, and management officials;
- (5) Consider for recognition supervisors who have performed exceptionally well in motivating the interest and participation of their employees in the incentive awards program;
- (6) Recommend for approval of the Commissioner for submission to the Interior Incentive Awards Committee nominations for all honor awards except Commendable Service Awards;
- (7) Approve for the signature of the Commissioner all Commendable Service Awards for employees of the Central Office and employees of the Cherokee, Miccosukee, and Seminole Agencies;
- (8) Review and/or select nominees for awards which are primarily competitive (supervisor-of-the-year, contests, etc.) and which involve the evaluation of accomplishments of several groups or individuals. This includes awards sponsored by non-Federal groups and special awards established locally to recognize particular achievements, e.g., scientific achievement, supervisory excellence and service to the public;
- (9) Review and approve outstanding performance ratings in accordance with 44 BIAM Performance Evaluation Plan; and
- (10) Advise on, or decide on, difficult, complex or controversial cases.

B. Area Committees - The Area Incentive Awards Committee shall be responsible to the Area Director for the successful operation of the Area's incentive awards program.

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The Area Director shall appoint the members of the Area Incentive Awards Committee, which shall consist of the chairman and at least two additional members. The chairman of the committee may designate an acting chairman to serve in his absence, and alternate members to serve in the absence of other members.

The Area Incentive Awards Committee will operate primarily in the capacity of a planning, policy, evaluative, and advisory body with limited case functions, as set forth below:

- (1) Plan program activities for the year within the Area, such as determining what aspects of the program should be given special attention, what to emphasize in program promotion, how to implement new program features, how to improve local techniques, etc;
- (2) Establish area policies and procedures;
- (3) Establish goals and targets for area programs;
- (4) Evaluate how the program is working, including the analysis of results and trends, and appraisal of reactions of employees, supervisors, and management officials;
- (5) Consider for recognition supervisors who have performed exceptionally well in motivating the interest and participation of their employees in the incentive awards program;
- (6) Recommend for approval of the Area Director for submission to the Indian Incentive Awards Committee nominations for all honor awards except Commendable Service Awards;
- (7) Approve for the signature of the Area Director all Commendable Service Awards for employees in the Area;
- (8) Review and/or select nominees for awards which are primarily competitive (supervisor-of-the-year, contests, etc.,) and which involve the evaluation of accomplishments of several individuals or groups. This includes awards sponsored by non-Federal groups and special awards established



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locally to recognize particular achievements, e.g., scientific achievement, supervisory excellence and service to the public;

(9) Review and approve outstanding performance rating in accordance with 44 BIAM Performance Evaluation Plan; and

(10) Advise on, or decide on, difficult, complex or controversial cases.

C. Agency and Local Facility Committees. The Superintendent of an agency or the officer in charge of a local facility shall be responsible for the operation and general supervision of the incentive awards program in his jurisdiction, and may appoint a local incentive awards committee to assist him in the administration of the program.

The Superintendent of Cherokee, Miccosukee, and Seminole Agencies and the Executive Officer, IADC, shall have the same responsibilities as other agencies. The Indian Incentive Awards Committee shall perform the functions of an area committee for Cherokee, Miccosukee, and Seminole Agencies and IADC.

Where a local committee is appointed by the Superintendent or officer in charge, such committee shall function in the manner of the Area Incentive Awards Committee, except that it will recommend all honor awards to the Superintendent or officer in charge for submission to the Area Committee.

1.4 Program Evaluation. Each Area, through channels other than incentive awards committees, shall systematically review and evaluate its awards program and report on its problems and accomplishments to the Commissioner. This review and evaluation should involve the use of questionnaires, supervisor-employee conferences, and other analytical techniques. A minimum of 20 per cent sampling is recommended.

A. Techniques. The following techniques should be followed:

(1) a statistical analysis of the distribution of superior performance awards between blue and white collar employees and supervisory and nonsupervisory employees, broken down by grades;

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(2) the number of outstanding performance ratings granted and the number of such ratings for which special achievement awards were approved;

(3) identification of the suggestion or invention activities which show the greatest employee participation by type of work and grade and those which show the least;

(4) an analysis of the processing time required for handling incentive award cases from the time of initial submission to final action;

(5) an analysis of contributions geographically by program and by administrative operations; their significance in relation to program operations of an organizational unit; and whether full use is being made of contributions in the originating office and in other offices of the Bureau or Department;

(6) a more subjective evaluation of the effect of the incentive awards program on the management and productivity of the operations of the organization unit.

(7) an analysis of a sampling of award cases for the purpose of determining the consistency of the criteria and standards for approving awards.

B. Use of Forms. Department of the Interior Forms DI-406 and DI-407, Incentive Awards Program Evaluation and Employee Incentive Awards Questionnaire, have been developed to assist in program evaluation (See Illustration 13 and 14).

C. Frequency of Review. Each Area should develop a long-range program based on three-year periods utilizing the suggested techniques set forth above and the results of Civil Service Commission inspections to provide a valid basis for the evaluation of the area incentive awards program. As the evaluations of individual organizational units are completed, they should be consolidated into an areawide evaluation for submission to the Indian Incentive Awards Committee. Area evaluations will be consolidated into a Bureauwide evaluation for submission to the Interior Incentive Awards Committee by the Commissioner.

D. Report. A program evaluation report shall be submitted every three years (See Section 5.4 of this supplement).

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1.5 Appeals. An action by an approving official on a suggestion may be appealed by the person initiating the contribution or his supervisor. Within sixty days following receipt of the formal notice of action, the appellant should submit a clear and concise written statement setting forth the reasons for requesting reconsideration. Generally, the review of the appellant's statement and the case file should be made at the level responsible for the disapproval. If the case cannot be resolved at this level, it may be submitted by the appellant to his respective incentive awards committee. Finally, if the case cannot be resolved, it may be submitted by the appellant with all pertinent information to the Interior Incentive Awards Committee.

1.6 Payment of Awards (Appropriations). Every effort will be made for early payment of incentive awards checks. The preferable time would be at an appropriate ceremony. However, if a ceremony will be delayed, the check may be presented early and the certificate be presented at the ceremony. Cash awards will normally be paid from the same appropriation as the employee's salary. When a contribution is of primary benefit to an organization other than the employee's, that organization would normally pay the award from their appropriation. Where the benefit is to more than one organization and the award is in excess of \$100, a proportionate reimbursement may be made. Evaluators shall be responsible for furnishing the proper cost coding on usable suggestions. In no instance shall the granting of a cash award be construed as authority to incur a deficiency in an appropriation.

1.7 Publicity and Presentation. Ceremonies should be held in connection with presentation of awards to employees. Posthumous honor awards should be presented to the surviving spouse or to the next of kin. Articles announcing awards should appear where possible in local, area, bureau or departmental publications and should be submitted to local papers. Extreme caution should be taken regarding premature publication of awards. The employee should not be notified of a proposed award until final approval is completed.

It is the policy of the Department to hold honor award convocations on a semi-annual basis to honor employees receiving the Distinguished Service and Valor awards. Publicity and

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the release date for all information on Presidential, Distinguished Service, Valor and Conservation Service Awards are controlled by the Office of the Secretary. Publicity to be released by the Bureau or field offices regarding these awards shall conform to limitations fixed by the Department for its publicity. Officials are responsible for publicizing awards approved for employees in their jurisdiction.

Travel expenses are authorized for employees or former employees incident to travel to convocations to receive honor awards. In case of posthumous awards, the authority includes the expenses of the surviving spouse for the same purpose.

1.8 Group Awards. Where several individuals have contributed to an outstanding performance, specific accomplishment or adopted suggestion, every effort should be made to identify each individual's contribution and to process them separately. If this is impossible, a group cash award may be considered.

If a group cash award is made, it may be in equal shares or in proportion to each employee's contribution. The total amount of the award will be computed the same as if the award were made to one individual.

## 2.1 Key Individuals in the Suggestion Process

A. Suggestor is the person with a suggestion. Bureau and Departmental policy as well as Federal Law is quite specific that any employee can submit a suggestion and receive an award. This is regardless of grade level or type of job.

B. Supervisor is the immediate first line supervisor of the employees.

C. Incentive Awards Coordinator is the employee at the installation charged with the administration of the incentive awards program. He may be the chairman of the incentive awards committee, the secretary of the incentive awards committee or some other official designated by the installation head. This employee is responsible for the paperwork and staff functions of the incentive awards program. He maintains a follow-up control on suggestions even through higher level approval channels.

D. Evaluator is the official who can determine if a suggestion is useable. He must be in a position to realistically evaluate the suggestion and to implement it if adopted. Sometimes this is the supervisor.

E. Installation head is the head of the immediate organization where the employee works, specifically, the Agency Superintendent, the Superintendent of an Independent Boarding School, the Manager of an Independent Irrigation Project, Executive Officer of Indian Affairs Data Center, the Area Director or an Associate Commissioner of Indian Affairs. He has the authority to approve suggestions or recommend approval to higher authority dependent upon his delegated authority.

2.2 Processing the Suggestion. A suggestion is processed in accordance with the attached procedure and chart.

Suggestor: Submits suggestion in writing to his supervisor or the local incentive awards coordinator or as a final source the Interior Incentive Awards Committee. Employees are encouraged to submit their suggestions to their supervisors but are free to submit to the local incentive awards coordinator if they wish. The bureau suggestion form (Illustration 6) is the preferred form for a suggestion but is not mandatory.

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Supervisor: A. Returns ineligible suggestions to the employee explaining in writing why the suggestion cannot be accepted (See Section 2.4 for specific causes for ineligible suggestions). He forwards a copy of the letter to the local incentive awards coordinator.

B. Forwards all other suggestions to the local incentive awards coordinator for docketing. If the suggestion applies to the supervisor's operation he will attach a written memorandum or form 5-3305, making his evaluation and recommendation. If the suggestion is useable in his organization he will recommend a monetary award. Section 2.6 contains the criteria for determining the amount of an award.

Do not forward the suggestion through channels. The incentive awards coordinator will insure that the supervisors who need to know (the evaluators) will have the opportunity to review the suggestion. Channels in this instance only delay the suggestion.

Incentive Awards Coordinator:

A. Returns ineligible suggestions to the employee explaining in writing why the suggestion cannot be accepted. These suggestions will not be docketed (See Section 2.4 for specific causes for ineligible suggestions).

B. Dockets eligible suggestions. Docketed suggestions are numbered with other incentive awards contributions in order of receipt. The numbering system shall consist of letters to identify the Bureau, the organizational code numbers, the fiscal year and the case number. For example, Ind-AOO-69-3, means Bureau of Indian Affairs, Aberdeen Area, fiscal year 1969 and the third incentive award contribution of FY 1969 numbered by the Aberdeen Area Office. Form DI-400-(Illustration 1) is recommended for docketing suggestions.

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C. Forwards eligible suggestions to an evaluator for review. Along with the suggestion, he will attach form 5-3305 (Illustration 16) and tables of tangible and intangible benefits. This form and attached tables will be used by the Washington Office and is preferred for field use. The Area Directors, however, may elect to use local forms or memoranda. In order to insure a meaningful review, he will choose an evaluator at a high enough level to insure the potential value of the suggestion is realized.

Evaluator: Prepares written evaluation recommending approval or rejection of the suggestion. The Bureau evaluation form (Illustration 16) will be used by the Washington Office and is preferred for field use. The Area Directors, however, may elect to use local forms or memoranda. The recommendation will include the reasons for recommended approval and/or rejection and in the case of a positive recommendation, a suggested monetary award and the appropriation to be charged. The evaluation and suggestion will be forwarded to the installation head promptly.

This step may be omitted when the supervisor has prepared a meaningful evaluation.

Installation Head:

Approves suggestions and monetary awards within his delegated authority. Rejects suggestions which do not meet the eligibility criteria (See Section 2.5). Recommends worthy suggestions above his delegated authority to the next higher authority. He will also forward suggestions within his authority which he recommends but does not have the authority to implement.

Incentive Awards Coordinator:

A. Prepares a letter notifying the employees if the suggestion was approved or rejected. If rejected, he explains the reason why. The person who will sign the letter is the option

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of the installation. Prepares instead a letter of commendation if the suggestion is adopted but does not warrant a cash award. A copy of the letter is forwarded to the personnel office for inclusion in the Official Personnel Folder.

B. Submits request for Incentive Awards check, form 5-3304, to Executive Officer, Indian Affairs Data Center, authorizing payment (See Illustration 10).

C. Arranges for presentation of the check either through the supervisor or in a convocation. Arranges publicity for the award.

D. Insures file is complete. The file will include:

- (1) Employee's written suggestion
- (2) Docket - DI-400 (Illustration 1) or equivalent
- (3) Evaluation of the suggestion
- (4) Copy of the letter notifying the employee of acceptance or rejection
- (5) Documentation that cash award has been made
- (6) Any other information pertinent to the case

E. Refers suggestions with applicability to other installations or areas to the appropriate incentive awards coordinator. If adopted elsewhere, the employee is considered for a supplemental award. Then, if the suggestion has possible Bureau, Departmental, or other Department application, it is sent to the Indian Incentive Awards Coordinator for action. Do not forward a suggestion directly to another government agency. In no event may the total amount of all awards exceed the value of the suggestion.



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F. Maintains followup and control through channels on suggestions forwarded. This eliminates the need for action by a higher level coordinator (e.g., Superintendent to Area Director directly). When approved or rejected by higher authority, proceeds with functions A through E of this step. Note: Area incentive awards coordinators may assume this function if the workload on the agencies is too great.

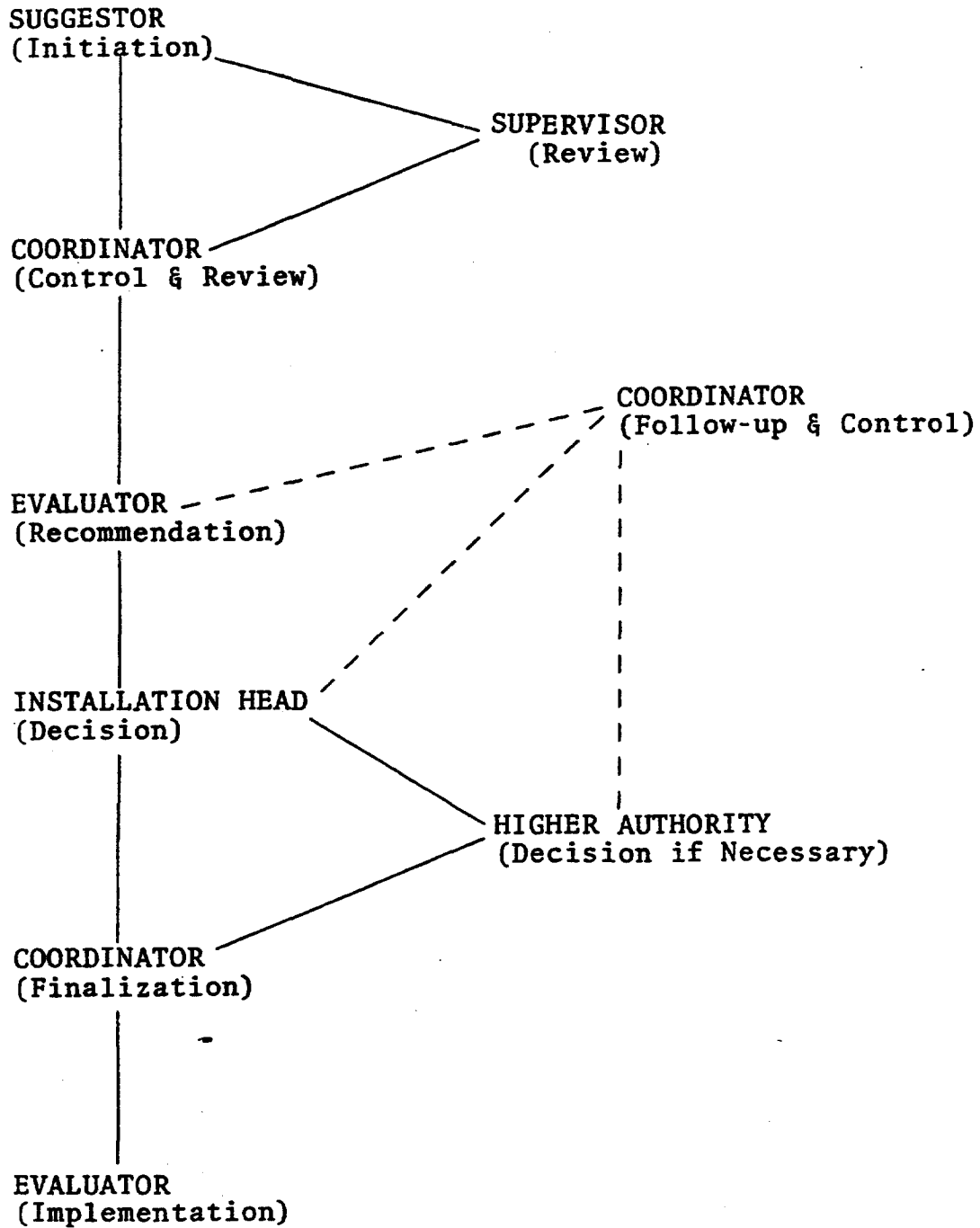
Evaluator: A. Insures suggestion is implemented in his area of work responsibility.

B. After effective implementation, reviews the value of the suggestion and recommends an additional award if warranted. This procedure helps prevent inequities in an award that proves to be of greater value than anticipated.

Special Instruction:

The incentive awards coordinator maintains a continuous followup control on the suggestion through all of the different steps.

SUMMARY CHART



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2.3 Guide to Writing a Suggestion. This subsection is to help you, the employee, prepare a suggestion which can receive meaningful consideration. Using the form 5-3302 may help but is not necessary.

First, let us see what is a good idea for a suggestion. Ask yourself, does it save the Government money, does it make the Government more efficient or does it help the Government achieve its mission in a better manner? Your suggestion should do at least one of these three things. Personal gripes, building maintenance, and other minor items should be taken up with the people responsible, not the incentive awards people.

In writing your suggestion, be exact. Explain exactly what you think should be done. Something like "I think the file system should be revised" is not enough. Explain the exact way it can be changed. Spell out each step. General statements are not too helpful. What is needed is better ways to do things, even little things. People will not accept your ideas if they have to finish it for you.

Sell your suggestion. Someone reviewing your suggestion might not think it is such a good idea. You have to tell why your suggestion is a good one. A good way is to explain the present system and show what is wrong, explain how you propose to improve it, and then explain how it will improve operations; each in separate paragraph. If you can, give your estimate of how much money or how much time it will save.

Remember to include your name, social security number, position, grade, organization, and location. We need to know who you are and who to send a check to if you receive an award.

In summary: Be specific

    Show the present way of doing the job

    Explain your idea for a change

    Sell your idea

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2.4 Suggestions Ineligible for Processing. When a suggestion obviously should not be processed, the supervisor or incentive awards coordinator can return the suggestion without action as a suggestion. These are called ineligible suggestions. Only those types of suggestions listed below should be returned without being docketed or processed. The employee will be informed of the correct channel to be used when some other program is involved. For example, grievances should be taken up with personnel and working conditions or employee benefits with his supervisor and/or line management.

All other suggestions should be docketed and processed in accordance with Section 2.2 of this Supplement. Ineligible suggestions include:

(a) Ordinary maintenance items, such as the repainting of a room, the replacement of a fixture, or janitorial services are not proper suggestion material. However, for cash award purposes, any suggested change in maintenance methods and schedules may be considered as contributions.

(b) Proposals to improve working conditions such as; air-conditioning, decorations, furniture, or mirrors.

(c) Proposals which do not suggest specifically a means for improving the operations of the agency or of the Government.

(d) Suggestions where it is known in advance that the tangible or comparable intangible benefit would be less than \$250.

(e) Personal gripes or grievances.

(f) Proposals relating to employee services and benefits such as vending machines, cafeteria services, rest room facilities, parking facilities, or holidays.

This does not mean that these suggestions do not have merit. It simply means that they are not appropriate for inclusion in the incentive awards suggestion program. The supervisor will determine if the ineligible suggestion has merit and if it does initiate adoption through regular administrative channels. In some cases a letter of commendation or even occasionally a special achievement award may be appropriate.

## 2.5 Eligibility Criteria

A. General. Basic considerations in determining whether a suggestion is eligible for a cash award are:  
(1) the value of the suggestion to improving economy, efficiency, and mission effectiveness of the agency and  
(2) the official adoption of the suggestion. All employees regardless of title or grade, whether they are wage board or classified or temporary or permanent, are eligible for award consideration. A suggestion is quite often related to the employee's duties and responsibilities since this is the area or field he knows best.

This may present a problem as to whether the suggestion is eligible for an award. If the suggestion is within his job responsibilities, he is not eligible for an award under the suggestion program. However, the contribution may be considered toward a special achievement award.

On the other hand, if the suggestion applies to the employee's work area or assigned duties but extends beyond this area or requires approval by higher levels of authority, before adoption, he may be eligible for a suggestion award.

B. Ideas from Supervisors or other Management Officials. Supervisors or other management officials are eligible to receive awards for suggestions pertaining to work outside their area of supervision and which are adopted for use in organization units other than their own. Thus, if the head of a field station payroll section makes suggestions for changes in a payroll system, he may be eligible for an award if the policies and procedures for fiscal and payroll matters are promulgated from the headquarters office and the field official may not make changes without the approval of higher authority. Even if the suggestions involved changes that are within the field man's authority to approve, they may be recognized by an award if the suggestion is applied to other offices. As the level of supervision rises in an organization, the breadth of the area or responsibility increases, thereby reducing the extent of which supervisor's suggestions can be eligible for a cash award. Some positions by their very nature require the contribution of ideas regularly. However, in such cases, while the suggestions may not be considered as a basis for a suggestion award, they may contribute to superior performance above normal standards and thus warrant recognition.

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C. Waiver of Claim. The acceptance of 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 shall not form the basis of a further claim of any nature upon the Government by the employee, his heirs or assignees.

D. Policy Matters. Contributions which entail a change in policy may not result in tangible benefits. In such instances, an award may be granted on the basis of intangible benefits.

E. Originality. Cash awards should not be denied because a suggestion is not new or novel. The purpose of the law is to pay an award for a meritorious contribution that has been adopted regardless of whether or not it was original with the contributor.

F. Contributions Revealing Failure to Follow Instructions. A cash award may be considered for a contribution that results in the discovery that a directive or instruction has not been followed and that remedial action should be taken. This does not apply, however, to employees directly responsible for observing the instruction.

G. Modification of Contributions. It is not proper to deny cash awards on the grounds that a contribution was not carried into effect exactly in the form or manner proposed. If beneficial action results from the contribution, the employee should be given an award.

H. Duplicate Contributions. Occasionally a contribution will be received that is substantially similar to one previously adopted in another jurisdiction. If the second contribution is adopted and there is not evidence of plagiarism, then an appropriate award should be granted. This would not apply to a second suggestion in the same jurisdiction.

## 2.6 Basis for Amount of Award

A. General. Awards are granted for adopted suggestions on the basis of tangible benefits, intangible benefits, or a combination of tangible and intangible benefits. Always determine the award on the basis of tangible benefits table if possible.

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B. Tangible Benefits. An award for tangible benefits is normally based on the net first-year dollar benefits. 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 maybe based on an average of the estimated net benefits over a period of years. Deviation from the tables must be documented.

There must be a tangible benefit of at least \$250 before the minimum cash award of \$25 may be made. When the tangible benefit is less than \$250, a letter of appreciation should be give the employee.

TANGIBLE BENEFITS TABLE

<u>Tangible Benefits</u>	<u>Amount of Award</u>
\$ 250 - \$ 1,000	Minimum award of \$25 for the first \$250 in benefits plus \$5 for each additional \$50 of tangible benefits, or fraction thereof
\$ 1,001 - \$ 10,000	\$100 for the first \$1,000 in benefits plus \$5 for each additional \$100 or fraction thereof
\$ 10,001 - \$ 20,000	\$550 for the first \$10,000 in benefits plus \$5 for each additional \$200, or fraction thereof
\$ 20,001 - \$100,000	\$800 for the first \$20,000 in benefits plus \$5 for each additional \$1,000, or fraction thereof
\$100,001 - or more	\$1,200 for the first \$100,000 in benefits plus \$5 for each additional \$5,000, or fraction thereof

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C. Intangible Benefits. An award for intangible benefits is based on the degree of benefit and the extent of application.

The minimum cash award of \$25 should be made for intangible benefits only when the suggestion compares favorably with those receiving the minimum cash award for tangible benefits.

When a suggestion does not qualify for a minimum cash award under this criterion, a letter of appreciation should be given the employee.

INTANGIBLE BENEFITS TABLE

Value of Benefit	Extent of Application			
	Limited	Extended	Broad	General
Moderate	\$ 25-50	\$ 50-100	\$ 100-200	\$ 200-400
Substantial	50-100	100-200	200-400	400-1000
High	100-200	200-400	400-1000	1000-2500
Exceptional	200-400	400-1000	1000-2500	2500-5000

Explanation of Terms:

Moderate Value: Change or modification of an operating principle or procedure which has moderate value sufficient to meet the minimum standard for a cash award; an improvement of rather limited value of a product, activity, program, or service to the public.

Substantial Value: Substantial change or modification of an operating principle or procedure; an important improvement to the value of a product, activity, program, or service to the public.

High Value: Complete revision of a basic principle or procedure; a highly significant improvement to the value of a product, major activity, or program, or service to the public.



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Exceptional Value: Initiation of a new principle or major procedure; a superior improvement to the quality of a critical product, activity, program, or service to the public.

Limited Application: Affects functions, mission, or personnel of one office, facility, installation, or an organizational element of a headquarters.

Affects a small area of science or technology.

Extended Application: Affects functions, mission, or personnel of several offices, facilities, or installations.

Affects an important area of science or technology.

Broad Application: Affects functions, mission, or personnel of an entire regional area or command. May be applicable to all of an independent agency or a large bureau.

Affects a broad area of science technology.

General Application: Affects functions, mission, or personnel of several regional areas or commands, or an entire department or large independent agency, or is in the public interest throughout the Nation or beyond.

D. Combined Tangible and Intangible Benefits: If an adopted suggestion results in both tangible and intangible benefits the award should be based on the total benefits. For example, \$35 on the basis of estimated first-year dollar benefits of \$350 plus \$100 for additional intangible benefits of substantial value and extended application, a total award of \$135.

## 2.7 Time Limits.

Timeliness is of extreme importance in the handling of suggestions. Nothing can have a more adverse effect on a suggestion program than the feeling that suggestions are not being promptly considered.

Officials responsible for handling or evaluating a suggestion will be held accountable for delays.

The following time limits will be observed for suggestions:

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A. A suggestion must be reduced to writing and formally submitted within six months after it has been placed in operation if the employee is to receive credit for the suggestion.

B. If a suggestion is rejected but later adopted, the contributor has priority of the idea for two years after its rejection. In other words, it is still his suggestion for two years.

C. Offices with solely a processing function (incentive awards offices and the supervisor when he is not evaluating the suggestion) will forward the suggestion on within three work days.

D. Some suggestions require longer to evaluate than others. The time limit will be:

Within 30 days or less for cases of nominal value; cases which can be implemented within the same organizational segment in which they originated (e.g., Agency, Area Office or Washington Office).

Within 60 days for high value cases that must be sent to the next higher organizational level for consideration or implementation (e.g., Agency to Area Office).

Within 90 days for cases that must be sent to other areas for consideration and possible adoption, and for cases that must be sent to the Washington Office for consideration or implementation.

When a suggestion must be tested or there is some other valid delay extending beyond the above time limits, the evaluator shall notify the incentive awards coordinator of the reasons for the delay. This notification shall be in writing.

2.8 Invention. When an employee submits a suggestion which he, his supervisor, or the Incentive Awards Committee feels is properly an invention, it shall be handled under the following procedure:

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A. The employee will submit an original and 3 copies of form DI-1215, Report of Invention, to the Area Incentive Awards Coordinator (form DI-1215 is not normally stocked at Area Offices due to infrequent use). They are available upon request from the Indian Incentive Awards Coordinator.

B. The Area Office shall review the submission and add additional information it may have regarding the circumstances under which the invention was made, evidence as to the making of the invention, its opinion of the governmental or commercial value and the foreign countries in which the invention may find use or value.

C. The Indian Incentive Awards Committee and the Commissioner of Indian Affairs shall review the submission and add any information the Bureau may have as to the potential governmental and commercial value of the invention and their recommendation as to the assignment of rights in the invention.

D. The Indian Incentive Awards Committee will submit the employee invention to the Office of the Solicitor.

E. To insure that the inventor's and the Government's patent rights will not be endangered through premature disclosure, it is important that potential inventions not be processed through regular incentive awards channels and no incentive awards action be taken until after the patent application has been filed. When the Solicitor has advised the Indian Incentive Awards Committee that a patent application is filed, an immediate initial award of \$50 shall be made. The invention will then be processed through regular suggestion procedures.

The invention should not be referred to lower level offices for action if it has Bureauwide or Areawide application but should be processed at the level where the suggestion is applicable.

F. A second evaluation of the invention should be made automatically one year after the patent application has been filed or at the time the Solicitor advises that the patent has been granted. This evaluation is to determine if a supplementary award is justified.

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3.1 Special Achievement Award. Special achievement award means any award granted for performance exceeding job requirements, either as a one-time occurrence or over a sustained period. It also covers awards for special acts or service in the public interest, connected with or related to official employment. It includes quality step increases and lump sum cash awards.

A. Quality Step Increase is an additional within-grade increase granted for sustained superior performance. The employee receives the special increase and receives his regular increase when it would otherwise be due (For example, an employee attains step 4 of a GS-7 on January 26, 1969. He would then be eligible for GS-7 step 5 on January 24, 1971. He receives a quality increase to GS-7 step 5 on January 10, 1971. He would still be eligible for his regular increase on January 24, 1971, to GS-7 step 6 since he received GS-7 step 5 as a quality increase).

However, if the new step for which an employee is eligible has a longer waiting period the employee must wait the longer waiting period. Let us use the same example for an employee who attains GS-7 step 6 on January 26, 1969, and receives a quality increase to GS-7 step 7 on January 10, 1971. The waiting period to step 8 is three years so the employee must wait three years from the date of his last equivalent increase disregarding the quality step increase. He would not be eligible for GS-7 step 8 until January 23, 1972.

Obviously, only a permanent classification act or Interior general schedule employee would be eligible to receive a quality step increase.

B. Special Achievement Award (lump sum) is not a formal type of award but is included in the manual for clarity. It includes all special achievement awards other than quality step increases. It is given for sustained superior performance for wage board employees, sustained superior performance for GS or IGS employees when they do not quite meet the criteria for a quality step increase, one-time acts of superior performance, acts contributing to government effectiveness and efficiency but not handled as a suggestion, special acts or service, etc. The procedure in 3.6 of this supplement shall be used for determining the amount of the award.

C. Award Chart: Following is a chart designed to help supervisors decide what award may be appropriate.

EMPLOYEE CONTRIBUTION

New Adopted Idea *	X					
Above Average Work Performance Over a Sustained Period (Classification Act and IGS)		X	X			
Above Average Work Performance Over a Sustained Period (Wage Board)			X			
Excellent Handling of a Special Project			X			
Excellent Handling of an Emergency Situation			X			
Meritorious Contribution to the Government					X	
Series of Other Awards		X	X		X	
Act of Heroism						X
Retirement or Death After 5 years of Service				X	X	
	SUGGESTION AWARD	QUALITY STEP INCREASE	SPECIAL ACHIEVEMENT AWARD (Lump Sum)	COMMENDABLE SERVICE AWARD	HONOR AWARD	VALOR AWARD

Employee must submit suggestion in writing.

### 3.2 Key Individuals in the Special Achievement Award Process

A. Employee is the person whose performance is of a superior quality or who has performed a special act or service. No employee is excluded from eligibility for a special achievement award because of grade level or type of job. The employee is not involved in the actual submission of a nomination award.

B. Supervisor is the immediate first line supervisor of the employee being recommended for an award. He normally will initiate the award. This does not relieve higher level supervisors of their responsibility of assuring that deserving employees are recognized and that awards are initiated.

C. Management Official is a higher level official, high enough in the organization to initiate management and program surveys. His involvement in the special achievement process is based on his position of being able to evaluate a need for an award through management reviews and surveys. His role is to recommend awards to the installation head.

D. Incentive Awards Coordinator is the employee at the installation charged with the administration of the incentive awards program. He may be the chairman of the incentive awards committee, the secretary to the incentive awards committee or some other official designated by the installation head. This employee is responsible for the paperwork and staff functions of the incentive awards program.

E. Installation Head is the head of the organization where the employee works, specifically the Agency Superintendent; the Superintendent of an Independent Boarding School; the Manager of an Independent Irrigation Project; the Executive Officer, IADC; the Area Director; or the Commissioner of Indian Affairs. He has the power to approve awards or recommend approval to higher authority dependent on his delegated authority.

3.3 Processing the Special Achievement Award. This award is processed in accordance with the following procedure and chart:

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- Supervisor:
- A. Periodically reviews employee performance and notes employees deserving of special recognition.
  - B. Prepares Recommendation for Monetary Award, Form DI-411, justifying his recommendation (Illustration 2). See Section 3.4 of this supplement for preparation of an award justification. Includes the employee's social security number with his name and includes the appropriation to be charged in the organization unit block of Form DI-411.
  - C. Recommends type of award.
  - D. For lump-sum awards, recommends a monetary amount (See Section 3.6 of this supplement).
  - E. Forwards file to the incentive awards coordinator through channels and obtains concurrences.

Management Official:

- A. Through his reviews and surveys, isolates operational programs which have superior results. Determines if an individual or group may be deserving of an award.
- B. Prepares Recommendations for Monetary Award, Form DI-411 (original and two copies), justifying his recommendation (Illustration 2). See Section 3.4 of this supplement for preparation of an award justification. Includes the employee's social security number with his name and includes the appropriation to be charged in the organizational unit block of Form DI-411. Frequently, this will require coordination with local officials for fund availability.
- C. Recommends type of award.
- D. For lump sum awards, recommends a monetary amount (See Section 3.6 of this supplement).

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E. Forwards file to the local installation where the incentive awards coordinator and installation head will process the recommendation.

**Incentive Awards Coordinator:**

A. Numbers the award. Awards and suggestions are numbered consecutively and follow the same procedures. See 2.2 of this supplement. The file copy of DI-411 serves as the docket.

B. Performs any staff review desired by the installation head.

C. Submits award file to the installation head for decision.

**The Installation Head:**

A. Approves awards within his delegated authority.

B. Rejects awards which do not meet the standards of Section 3.5 of this supplement.

C. Recommends awards above his delegated authority to the next higher authority. If the installation head does not concur in the proposed amount of the award, he should change the amount before approving or recommending the award. When an award is recommended to higher authority, the incentive awards coordinator at the originating level maintains a follow-up.

**Incentive Awards Coordinator:**

A. Submits request for incentive awards check; Form 5-33-04, to Executive Officer, Indian Affairs Data Center, authorizing payment of the approved cash award (Illustration 10). For quality step increases, insures SF-52 (or other document allowable by the Personnel Office) is submitted to the personnel office with necessary documentation so that the personnel action will be processed.



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- B. Advises supervisor of action on the award.
- C. Prepares a certificate of special achievement (Illustration 7) and an award letter.
- D. Arranges for presentation of the check, certificate of superior performance and award letter, either through the supervisor or in a convocation, and arranges publicity for the award.
- E. Insures file is complete. Included in the file will be:
  - (1) Copy of Form DI-411.
  - (2) Documentation for acceptance or rejection of the award.
  - (3) A copy of the award letter.
  - (4) Any other information pertinent to the case.
- F. Forwards a copy of the award letter and original DI-411 to Personnel for permanent inclusion in the Official Personnel Folder.

SUMMARY CHART

SUPERVISOR  
(Initiation)

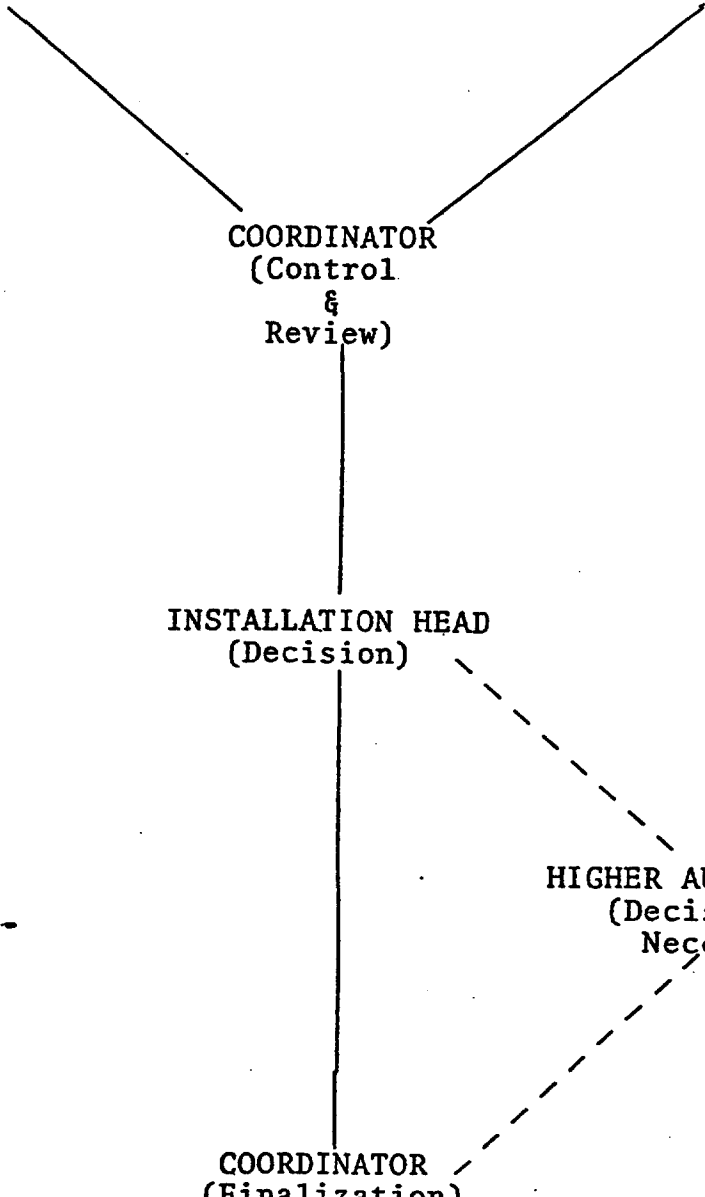
MANAGEMENT  
OFFICIAL  
(Initiation)

COORDINATOR  
(Control  
&  
Review)

INSTALLATION HEAD  
(Decision)

HIGHER AUTHORITY  
(Decision if  
Necessary)

COORDINATOR  
(Finalization)



3.4 Guide to Writing a Special Achievement Award. Many supervisors have expressed difficulty in writing special achievement awards for performance. We have made some changes from the past which should make the awards easier to write. Included as Illustration 11 are some sample write-ups for different levels of employees. These write-ups are those recommended by the Civil Service Commission.

You will note that all that is needed is a narrative write-up. This will be on Departmental form DI-411 and an attached sheet if more space is needed.

Bureau policy is not to require excessively detailed and lengthy justification. Remember, however, your write-up is a justification and must support the award. Ask yourself if your write-up answers the following questions:

1. Did you show how the employee's performance exceeded what is normally expected of an employee in his job and grade level?
2. Did you specifically say what he does that is superior performance?
3. Can the reviewing official tell what an average employee would be doing to enable him to evaluate how much of a better job your employee is doing?
4. Can you certify that this high level of performance has been sustained over a period of time and is likely to continue?
5. Could someone who doesn't know your employee or his job tell from your write-up that your employee is doing a superior job?

One-time special contributions are easier to write, but the idea of a showing what the employee has done above the ordinary still applies.

### 3.5 Standards for Special Achievement Awards

A. Quality Step Increase. The statutory standard for a quality increase is "high quality performance above that found in the type of position concerned." The Departmental Manual (Ref. 370 DM 531, 4.5A(1)(b) expands on this standard, for those who are interested). The major factors to be met for the award are:

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(1) The employee's performance must exceed normal requirements of the position in all of the functions which are regarded as most important. Less important functions can be just satisfactory.

(2) The performance must have been maintained over a substantial period of time, normally at least six work months. There must also be a reasonable expectation that the high level performance will continue.

(3) The standard must not be set so high as to prevent a well-qualified employee from being able to attain that level. An employee need not have a performance rating of outstanding to be eligible for a performance award.

The great variety of Bureau jobs limits how specific the standards may be. Therefore, approving and recommending officials must exercise sound judgment in their application. Excessively detailed and lengthy justification shall not be required. The justification need only be sufficient to establish the above points (See illustration 11 and section 3.4 of this supplement).

B. Special Achievement Award (lump sum sustained performance). The standard for this award is similar to that for a quality step increase. The Departmental Manual contains a general standard (Ref. 370 DM 531, 4.5A(2)(b) for those who are interested). Occasionally this award may be warranted when the criteria for a quality step increase is not fully attained. The major factors to be considered are:

(1) The employee's performance must exceed normal requirements of the position in the functions which are regarded as most important. Less important functions can be just satisfactory.

(2) The performance must have been maintained over a substantial period of time.

(3) The standard must not be set so high as to prevent a well-qualified employee from being able to attain that level. An employee need not have a performance rating of outstanding to be eligible for a performance award.

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The standard again places a burden of judgment on approving and recommending officials. Excessively detailed and lengthy justification shall not be required. The justification need only be sufficient to establish the above points (See illustration 11 and Section 3.4 of this supplement).

C. Special Achievement Award (one-time contributions).  
The Department Manual contains a general standard in 370 DM 531, 4.5A(3)b for those who are interested.

The standard again places a burden of judgment on recommending and approving officials. The contribution must have been made in the public interest and in connection with or related to the employee's official employment. Some examples of possible awards are unusual competence during an emergency; a specific and significant contribution to a special program or activity; a creative effort important to the Bureau; major improvements in methods, organization, procedures, or products which result in substantial benefits to the Bureau; or handling an emergency in an exemplary or courageous manner.

3.6 Basis for Amount of Lump Sum Award. A cash award for special achievement in a general schedule or Interior general schedule job shall be in accord with the following scale:

Sustained Superior Performance Award Scale

<u>Grade</u>	<u>Award Range</u>
GS-1-4	\$100 - 150
GS-5-8	\$150 - 200
GS-9-11	\$200 - 250
GS-12-13	\$250 - 300
GS-14-18	\$300 - 350

For a wage board job, multiply the hourly rate by 2080. This gives you the yearly wage board salary. Take step 1 of the general schedule grade which is closest to the yearly wage board salary. Then use the general schedule grade to determine the award range.

An exception from the scale is permitted in cases of unusual merit, where the unique reason for the exception from standard practice is made a matter of record. The full amount specified for an award should not be granted more often than once in any 12-month period. If more frequent awards are desirable, the award amounts must be reduced.

#### 4.1 Departmental Honor Awards

A. Distinguished Service Award. This is the Department's highest award. It may be given as an incentive during an employee's public service or upon retirement. The award may be made 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, or an outstanding or exceptional contribution to the public service. Enclosed as Illustration 15 is the Departmental checklist for reviewing Distinguished Service Award justifications.

B. Meritorious Service Award. This award may be given to current employees or upon retirement. It is to be given 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; or superior achievement in improving safety, health of workers, or employee morale.

C. Commendable Service Award. After a minimum of five years service in the Department and upon retirement or at death, each employee whose services have been satisfactory is eligible for consideration of an award for commendable service. A commendable service award should not be granted automatically; discretion should be exercised to assure that the employee is entitled to recognition for satisfactory service. However, procedures shall be established by each area and agency office to assure that each and every employee who retires or dies is considered.

D. Valor Award. The valor award is for Department of the Interior employees who demonstrate unusual courage involving a high degree of personal risk in the face of danger. There is no requirement that an 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 an act and is given individually.

E. Unit Award for Excellence of Service. If a group of employees working as a unit performs a service so far above and beyond that normally expected that it is considered to be superior, that group may be cited for a unit award for excellence of service. Nominations must be specific as to

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the period covered by the performance being cited which should ordinarily not exceed two years. Eligibility is determined by a comparison of actual performance of the group with the normal requirements of the group operation.

#### 4.2 Key Individuals in the Honor Award Process

A. Employee is the person who has made a significant contribution to the Bureau. An employee is not to be excluded from eligibility for an honor award because of grade level or type of job. Consultants are not eligible for honor awards. The employee is not involved in the actual submission of a nomination award.

B. Responsible Official is the term used for the initiating officer instead of the immediate supervisor. The importance of these awards is so great that it is recognized the recommendation might frequently be initiated by an official higher than the immediate supervisor.

C. Other officials in this process are specific officials in the Bureau hierarchy and do not need definition.

#### 4.3 Procedures

##### Responsible Official:

Prepares the following:

A. For a distinguished, meritorious, or commendable service award: DI-402, Honor Award Nomination and Personnel History Record (Illustration 3); the nomination; and the draft of a citation (Illustration 8, original and 2 copies\*). The citation should not exceed 225 words condensed from the nomination.

B. For a valor award, DI-401, Award for Valor Nomination (Illustration 4); the nomination; and the draft of the citation (original and 2 copies\*). The citation should not exceed 225 words condensed from the nomination.

\*On awards requiring Departmental approval, the Central Office will xerox the required extra copies.

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C. For a unit award for excellence of service, a DI-405, Unit Award for Excellence of Service Nomination (Illustration 5); the nomination; the draft of the citation; and the names of the individuals who participated (original and 2 copies\*). The citation should not exceed 225 words condensed from the nomination.

D. Routes the nomination through channels to the Area Incentive Awards Coordinator or Indian Incentive Awards Coordinator for Central Office employees. Nominations will carry the concurrences of all line officials above the originator, including the installation head.

Area Incentive Awards Committee:

A. Recommends approval or rejects Area submissions. They may also recommend a different award than the one suggested.

B. Reviews Official Personnel Folder and includes any derogatory information therein with the nomination.

C. Forwards recommendation and file to the Area Director.

Area Director:

A. Approves or disapproves and signs commendable service awards within the Area.

B. Disapproves or recommends for approval to the Indian Incentive Awards Committee all other honor awards.

Indian Incentive Awards Committee:

A. Reviews Area and Central Office submissions and rejects or recommends approval to Commissioner.

Commissioner:

A. Approves or disapproves and signs commendable service awards for Central Office jurisdiction employees.

\*On awards requiring Departmental approval, the Central Office will xerox the required extra copies.



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B. Rejects or recommends approval of other honor awards to the Department. An acting Commissioner may not pass on a distinguished service award.

Area Incentive Awards Coordinator:

A. Prepares citation for commendable service award in final form (see Illustration 9).

B. Secures commendable service medal and lapel emblem.

C. Arranges for presentation of the commendable service award and publicity of the award.

D. Insures the file is complete including:

- (1) copy of the citation
- (2) the justification
- (3) DI-402 with approving official's signature
- (4) evidence award has been presented
- (5) a notation there is derogatory information in the Official Personnel Folder when applicable. The actual information will not be retained in the incentive awards file.
- (6) any other applicable information

E. Forwards a copy of the citations to Personnel for inclusion in the Official Personnel Folder.

Indian Incentive Awards Coordinator:

A. Makes a final disposition of commendable service awards for Central Office employees in the same manner as Area Incentive Awards coordinator does for area employees.

B. Coordinates with the Department processing and presentation of awards requiring Departmental approval.

C. Insures a copy of the citation, upon approval by the Department, is filed in the Official Personnel Folder.

D. For Valor Awards, submits a recommendation to the Carnegie Hero Fund Commission for consideration of the Carnegie Hero Award.

SUMMARY CHART

RESPONSIBLE OFFICIAL  
(Initiation)

AREA COMMITTEE  
(Review  
&  
Decision)

AREA DIRECTOR  
(Review  
&  
Decision)

BUREAU COMMITTEE  
(Review  
&  
Decision)

COMMISSIONER  
(Review  
&  
Decision)

DEPARTMENTAL COMMITTEE  
(Review  
&  
Decision)

SECRETARY  
(Decision)

DEPARTMENTAL INCENTIVE AWARD OFFICE  
& BUREAU COORDINATOR  
(Finalization)

AREA COORDINATOR  
(Finalization)

BUREAU COORDINATOR  
(Finalization)

*Commendable Service*

*Commendable Service  
(Central Office)*

#### 4.4 Evidence of Awards

A. Distinguished Service Award. Recipients of this award receive:

(1) Medal - A specially provided gold medal with the Departmental seal.

(2) Lapel Emblem - A gold lapel emblem, a miniature of the face of the medal.

(3) Certificate - A distinguished service certificate appropriate for framing and signed by the Secretary of the Interior. It bears the Department seal on a gold embossment.

(4) Citation - A letter-size, typed citation, signed by the Secretary of the Interior.

B. Meritorious Service Award. Recipients of this award receive:

(1) Medal - A specially provided silver medal with the Departmental seal.

(2) Lapel Emblem - A silver lapel emblem, a miniature of the face of the medal.

(3) Certificate - A meritorious service certificate appropriate for framing and signed by the Secretary of the Interior. It bears the Department seal on a silver embossment.

(4) Citation - A letter-size, typed citation, signed by the Secretary of the Interior.

C. Commendable Service Award. Recipients of this award receive:

(1) Medal - A specially provided bronze medal with the Departmental seal.

(2) Lapel Emblem - A bronze lapel emblem, a miniature of the face of the medal.

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(3) Citation - A letter-size, typed citation, containing a statement of the commendable services rendered. Citations for area employees are signed by the Area Director, and citations for Central Office employees are signed by the Commissioner.

D. Valor Award. Recipients of this award receive:

(1) Medal - A specially provided gold medal with the Departmental seal.

(2) Citation - A letter-size, typed citation, signed by the Secretary of the Interior, outlining the achievements of the individual.

E. Unit Award for Excellence of Service. The group of employees receiving this award receive:

(1) A unit award certificate appropriate for framing and signed by the Secretary of the Interior. It bears the Department seal on a silver embossment. Usually, a miniature of the certificate will be provided each employee in the group.

(2) Citation - A letter-sized, typed citation, signed by the Secretary of the Interior, containing a statement of the group's excellence of service.

F. Ordering Certificates, Medals, Emblems, etc. The Indian Incentive Awards Office orders and maintains supplies of all honor award medals, medal boxes, emblems, commendable service citation forms, and length-of-service emblems.

Upon request, the Indian Incentive Awards Office will send Area offices commendable service citation forms, medals, medal boxes, lapel emblems, and length-of-service emblems.

G. Engraving Medals.

(1) The Indian Incentive Awards Office is responsible for the engraving of distinguished and meritorious service award medals and valor award medals, and the engraving of commendable service award medals for Central Office employees. The date of the medal will be the same as the date on the certificate, except in the case of commendable service award medals which will bear the date of retirement or death.

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(2) The Area Incentive Awards Office is responsible for the engraving of commendable service award medals for area employees. The date on the medal should be the date of retirement or death.

4.5 Time Limits. The Department has established deadlines on submission of honor awards. If these are not met, the employee may fail to receive his award. Please observe the following:

Distinguished Service and Meritorious Service Awards - These awards are not intended to be solely for retiring employees. However, awards for retiring or separating employees must reach the Indian Incentive Awards Committee within five months after the retirement or separation date. Whenever possible, action on awards for retiring employees should be submitted sixty days in advance of retirement.

Valor Awards - Valor awards must reach the Indian Incentive Awards Committee within five months after the date of the heroic act.

Commendable Service Award - Every effort should be made to submit the award sixty days before retirement. This will allow enough processing time to present the award upon retirement. Final action on the nomination must be completed not later than six months after retirement or death.

Unit Award for Excellence of Service - Unit awards must reach the Indian Incentive Awards Committee within five months after the date of the superior performance.

#### 4.6 Length of Service Awards

Length-of-service lapel emblems are awarded for ten, twenty, thirty, forty, and fifty years of government service. The Area Incentive Awards Coordinator and the Indian Incentive Awards Coordinator for Central Office employees are responsible for issuing emblems, arranging presentations and maintaining records. Personnel Offices will inform coordinators when awards are due based on the service computation dates.

#### 4.7 Special Honor Awards

The Bureau participates in several governmental and nongovernmental awards. These awards are announced when available and instructions for making nominations will be included in the announcement. Following is a synopsis of these awards.

## MANAGEMENT AND SYSTEMS

## Incentive Awards Handbook

Conservation Service Award - Presented to individuals or groups who are not employees of the Department. The criteria is for service to the Department of the Interior in conservation which would otherwise meet the criteria for a distinguished service award. One nomination from each area yearly is permitted. The nomination must be received in the Bureau Incentive Award Office before December 1 of each year. Detailed instructions are contained in 367 DM 3.8.

**PRESIDENTIAL AWARD:**

Presented to any active career officer or employee for high achievement in the improvement of Government operations or otherwise serving the public interest. The importance of the achievement should be so outstanding that the individual is deserving of greater public recognition than that which can be granted by the head of the agency in which he is employed. Presentation is made at such time and place as the President determines.

**CARNEGIE HONOR AWARD:**

A nongovernmental award presented to persons performing acts of heroism. All approved valor awards are forwarded by the Indian Incentive Awards Coordinator to the Carnegie Hero Fund, 2307 Oliver Building, Pittsburgh, Pennsylvania 15222, for consideration.

**FEDERAL WOMAN'S AWARD:**

To recognize career service which has been characterized by outstanding ability and achievement in an executive, professional, scientific, or technical position. Women are eligible who have not less than three years of continuous service in the competitive or excepted service, and have attained a rank equivalent to grade GS-9 or above.

**OUTSTANDING HANDICAPPED FEDERAL EMPLOYEE OF THE YEAR AWARD:**

To recognize individual achievements and, by publicizing them, to increase awareness of the contributions being made by the handicapped in the Federal service. Criteria: job performance clearly exceeding requirements in spite of severely limiting physical factors; courage and initiative in overcoming handicaps that served as an inspiration to other handicapped persons and resulted in a positive influence toward opening opportunities for handicapped persons in the Federal service.

BUREAU OF INDIAN AFFAIRS MANUAL SUPPLEMENT 33 BIAM 4.7(Cont.)  
MANAGEMENT AND SYSTEMS  
Incentive Awards Handbook

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**ARTHUR S. FLEMMING AWARD:**

To recognize young men who have performed outstanding and meritorious work; to attract outstanding young men to the Federal Government; to encourage high standards of performance; and to enhance appreciation of our form of Government and the opportunities and responsibilities that it presents. Criteria: any civilian male officer or employee of the Executive Branch of the U. S. Government who will not have reached his 40th birthday before January 1 of the next year.

**WILLIAM A. JUMP AWARD:**

To recognize outstanding service in the field of public administration, and for notable contribution in this field to the efficiency and quality of public service. Criteria: any employee of the Federal Government is eligible who has not reached his 37th birthday as of December 31 in the year of nomination, and whose performance over a considerable period demonstrates unusual competence and interest in public administration, endowment for leadership, creative thinking, and close adherence to the basic principles of enlightened public service.

**CAREER SERVICE AWARD:**

To increase the prestige of the public service by bringing significant careers in the Federal service to national prominence. Ten career employees who exemplify competence, efficiency, character, and continuity of service will be selected to receive this honor.

**ROCKEFELLER PUBLIC SERVICE AWARD:**

To strengthen the public service by bringing special recognition to a small number of truly distinguished civilians in the Federal Government and to improve the public image of Government service as a career worthy of the best efforts of our most capable citizens. One award of \$10,000 is presented for each of the following categories: Administration; Foreign Affairs; General Welfare or National Resources; Law/Legislation; Science, Technology, or Engineering. Candidates shall have been employed by the Federal Government for a minimum of 15 years and shall be between the ages of 45 and 60.

MANAGEMENT AND SYSTEMSIncentive Awards Handbook**FEDERAL PAPERWORK MANAGEMENT AWARD:**

For outstanding leadership and professional excellence in promoting effective management of paperwork in the Federal Government.

**HORACE HART AWARD:**

To honor Government employees for distinguished public service in the field of printing and publishing. The award recognizes those who have made a significant contribution in this field through service, design, techniques, products, or development of education and training programs.

**OUTSTANDING ACHIEVEMENT AWARD (Accounting):**

To accord special recognition of outstanding achievement in developing and improving financial management in the Federal Service through effective use of accounting as an integral element thereof, and to stimulate interest in accounting as a professional career in the Federal Government. Limited to those employed in the Washington Metropolitan Area.

**JUSTICE TOM C. CLARK AWARD:**

To give public recognition to career lawyers who have performed outstanding work for the U. S. Government or the Government of the District of Columbia, or in the field of Federal public law generally and to encourage high standards of performance by such career lawyers.

**NATIONAL CAPITAL AWARD (Engineers and Architects):**

To recognize those individuals who have compiled a significant record of outstanding achievement or contributions in the field of engineering and architecture. Limited to those employed in the Washington Metropolitan Area.

**STOCKBERGER ACHIEVEMENT AWARD (Personnel):**

To recognize and honor a person in public or private life who has made an outstanding contribution toward the improvement of public personnel management at any level of government. The nominee must have made an outstanding contribution to public personnel management through: personal effort to encourage acceptance of personnel administration principles as an aid to better management; skillful application of personnel



No. 1

BUREAU OF INDIAN AFFAIRS MANUAL SUPPLEMENT 33 BIAM 4.7(Cont.)  
MANAGEMENT AND SYSTEMS  
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administration principles to any group of employees; leadership in developing or sponsoring progressive personnel management legislation; or through distinguished teaching and research.

**AMERICAN MOTORS CONSERVATION AWARD:**

To recognize professional conservationists employed by non-profit organizations and to non-professionals, whose conservation efforts are a voluntary expression of good citizenship, for outstanding efforts in the conservation of the nation's natural resources.

**MANAGEMENT ACHIEVEMENT AWARD:**

To give public recognition to persons in the Washington area who have made especially significant contributions toward the advancement of management philosophy, research, or practices. The person receiving the award must have made a significant contribution within this area, although the significance of the contribution itself might have national or international impact.

**TEN OUTSTANDING YOUNG MEN AWARD:**

Young men of all fields of endeavor may be nominated for this award. The basis for selection of a winner is the nominee's achievement or contribution of importance in his chosen field, organization, community, state or nation. Age limit, 21-35 years.

No. 1

BUREAU OF INDIAN AFFAIRS MANUAL SUPPLEMENT 33 BIAM 5.1  
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Incentive Awards Handbook

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5.1 Records. Area Incentive Awards Coordinators and Incentive Awards Coordinators at Cherokee, Miccosukee, and Seminole Agencies and IADC shall maintain sufficient records to prepare required reports and be subject to an audit of each awards pending or processed. Sections 2.2, 3.3, and 4.3 of this supplement list required records for each type of award.

5.2 Quarterly Reports

A. Area Offices. Each Area Office shall submit to the Indian Incentive Awards Office a report on the activities of the incentive awards program for the quarters ending September 30, December 31, March 31, and June 30 of each fiscal year. The report is due at the Central Office on the 10th of the month following the end of the quarter. Area reports will be consolidated into a Bureau report for submission to the Department.

(1) One copy of the Incentive Awards Program Quarterly/Annual Report, Form 5-3303 (Previously Form 5-1483) (Illustration 12), shall be submitted. Part A and Part B of the form shall be completed for each quarter. Part C and Part D (back of form) are to be completed for the June 30 report only. The information furnished in Part C shall be for the fiscal year. In counting the number of employees for Part C, each employee for group awards will be counted separately. However, each group award will be counted as one award for reporting purposes. You should continue to count withdrawals as rejections. Copies of dockets are no longer required.

(2) Each Area Office shall issue instructions to Agencies and local facilities under its jurisdiction regarding reports required by the Area Office.

B. Agencies Under the Central Office. Cherokee, Miccosukee, and Seminole Agency Offices and IADC shall submit to the Indian Incentive Awards Committee quarterly reports on activities of their incentive awards programs.

(a) Each of the above offices shall submit one copy of the report, Form 5-3303. Contents will be the same as that required of Areas excluding Commendable Service Awards (see 5.2A of this supplement).

BUREAU OF INDIAN AFFAIRS MANUAL SUPPLEMENT 33 BIAM 5.3  
MANAGEMENT AND SYSTEMS  
Incentive Awards Handbook

5.3 Forms. Departmental forms included as illustrations in this release are available by requisition. Bureau forms may be reproduced locally.

Forms and Illustrations used in this supplement are:

- Illustration 1 - DI-400 - Incentive Awards Docket
- Illustration 2 - DI-411 - Recommendation for Monetary Award
- Illustration 3 - DI-402 - Honor Award Nomination and Personnel History Record
- Illustration 4 - DI-401 - Award for Valor Nomination
- Illustration 5 - DI-405 - Unit Award for Excellence of Service Nomination
- Illustration 6 - Form 5-3302(Previously 5-1101) - This is my Suggestion
- Illustration 7 - Certificate of Special Achievement
- Illustration 8 - Sample Draft Honor Award Citation
- Illustration 9 - Sample Commendable Service Award Citation
- Illustration 10 - Form 5-3304 - Request for Incentive Award Check
- Illustration 11 - Sample of Justification for Performance Awards
- Illustration 12 - Form 5-3303(Previously Form 5-1483) Incentive Awards Program Quarterly Report
- Illustration 13 - DI-406 - Incentive Awards Program Evaluation
- Illustration 14 - DI-407 - Employee Incentive Awards Questionnaire
- Illustration 15 - Checklist for Distinguished Service Award Justifications
- Illustration 16 - Form 5-3305 - Report of Evaluation

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Incentive Awards Handbook

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**6.1 Introduction.** The Indian Leadership Award is an award presented by the Commissioner to outstanding Indian leaders throughout the United States. The award is presented independently of the Secretary's Conservation Service Award. However, recipients of the Indian Leadership Award may also be nominated for the Conservation Service Award. The selection for the Indian Leadership Award will be made by the Commissioner based on the recommendations of the Indian Incentive Awards Committee.

Recipients will receive an appropriate certificate suitable for framing and a citation of not more than 225 words (25 lines of type) signed by the Commissioner. Each recipient of a group award will receive a duplicate of the citation.

The award may be presented in the recipients home community or in Washington, D. C. at the option of the Commissioner. Travel expenses to Washington for the purposes of receiving the award will be paid by the Bureau. In the event of a posthumous award, the presentation may be made to the next of kin.

**6.2 Purpose.** The purpose of this award is to give official recognition to Indian leaders who by their examples have provided outstanding leadership in pioneering, or initiating new approaches to Indian development and/or have distinguished themselves in their community or state in an outstanding manner.

**6.3 Eligibility.** To be eligible, a nominee should be an Indian leader or group of leaders. A nominee may be an elected or appointed Tribal official, a private Indian citizen, an Indian employee of a state or local government, or an Indian official or Indian member of any organization providing assistance and leadership to the Indian people. The nominee must have had outstanding success in motivating and leading Indian people toward achievement of their own goals.

**6.4 Criteria.** A nominee must have by his actions caused Indian people to further achieve their goals or progress further toward their goals than would have been done without his influence or actions. The actions warranting the award may be the results of a lifetime of effort or may be one or two actions which have contributed so much to the achievement

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Incentive Awards Handbook

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of Indian goals so as to warrant special recognition. The only requirement is that the nominee lead other Indians toward achievement of their goals either by local action or obtaining resources previously unavailable.

Often the benefits of leadership are not recognized until several years have transpired. Therefore, no time limit is established for being considered for this award. However, recognition, as soon as possible after the leadership is performed and recognized, enhances the meaning of the award.

Nominations will be evaluated on the basis of a narrative report which must cover a significant number of the following factors, showing to a supportable extent examples of how the candidate qualifies for nomination.

A. How did the nominee exceed the normal accomplishments of individuals or groups in the same type of position in the community?

B. What made the accomplishments unique?

C. Was the nominee creative or innovative? In what way?

D. How were the accomplishments of value to the Indian people?

E. Did the nominee do anything to improve the image of Indian people? What?

F. Did the nominee participate in any important programs or experimentations? Did the nominee make significant contributions? What contributions? What were the results?

G. Has the nominee been granted recognition from other organizations?

H. What honors has the nominee brought to the Indian people?

I. What other awards and recognitions has the nominee received?

J. Any other unusual and/or significant contributions not covered above? What contributions?

6.5 Nominations. Nominations can be made by Superintendents, Area Directors, and Central Office Division Chiefs or higher level officials. Nominations must be submitted with supporting material including a biographical resume of the nominee, his family, and his position; a draft citation of not more than 225 words; and a narrative report covering as many of the points under Section 6.4 Criteria as possible. Nominations will be forwarded to the Area Incentive Awards Committee or Indian Incentive Awards Committee for Central Office nominations. The Committee will process the nominations in the same manner as honor awards (see Section 4.3 of this Supplement).

Nominations may be submitted anytime but it is recommended that they be received in the Central Office prior to November 1 of each year so that they may be promptly considered for the Conservation Service Award, if warranted. The Management Research Staff is responsible for receipt of nominations, preparation of certificates, paperwork, and recordkeeping.

7.1 Introduction. The Indian Small Businessman of the Year Award is a national honor award presented by the Commissioner to the most outstanding Indian businessman. The selection will be made by a committee appointed by the Commissioner for that purpose. An appropriate honor certificate will be presented to the winner by the Commissioner in Washington. Travel expenses will be paid by the Bureau.

.1 Area Directors may appoint committee for the selection of Small Businessman of the Year Award for their Area.

.2 This award is published in the Employees Incentive Awards Handbook for convenience sake. It is not in any way related to the Federal Employee Incentive Awards Program.

7.2 Purpose. The purpose of this honor award is to encourage individual initiative and to recognize achievement of success in the development of Indian owned and operated business enterprises in the Indian community.

7.3 Eligibility. To be eligible, a nominee should be a small businessman who has had more than routine success and is the head of an independently owned small business, as defined by the Small Business Act or the SBIC Act and regulations issued pursuant thereto.

7.4 Criteria. His enterprise should be identified with economic growth and, if possible, with innovation; for example, a businessman who succeeds in a field where none like him have before would meet the criteria.

Entries will be judged on the basis of a narrative report which must cover the following factors, showing to a supportable extent examples of how the candidate qualified for nomination.

A. History of the Business:

- (1) Profit making or growth standpoint.
- (2) Recognizable contribution to the economy of the community.
- (3) Some contributions to the national goals.

B. Overall management of the business:

- (1) Efficiency of operations.
- (2) Personnel relations.
- (3) Public relations
- (4) Equal employment opportunity, race, sex, creed.

C. Social-economic activities:

- (1) Community.
- (2) Church.
- (3) Service organization.
- (4) Philanthropy.

7.5 Nominations. Nominations must be submitted with supporting material including a biographical resume of the person, his family, and the business. Nominees are selected by a committee appointed by the Area Director. Area preliminaries and awards should be completed by February 15, each year. Area winners' cases should be submitted to the Central Office by March 15, each year. The Area Director should inquire whether it will be possible for the nominee to come to Washington for the presentation ceremony during National Council Conference Week (usually in mid-May), should he be selected.



Form DI-400  
(Rev. Oct 1963)

UNITED STATES  
DEPARTMENT OF THE INTERIOR  
INCENTIVE AWARDS DOCKET

BUREAU OR OFFICE

NAME(S)		HDQTRS LOCATION		DOCKET NO.	
POSITION TITLE		GRADE OR SALARY		<input type="checkbox"/> SUGGESTION <input type="checkbox"/> INVENTION	
<input type="checkbox"/> WAGE BOARD <input type="checkbox"/> SUPERVISORY <input type="checkbox"/> NON-SUPERVISORY		<input type="checkbox"/> DEPT'L <input type="checkbox"/> FIELD		DATE REC'D	
REFERRED TO		DATE		RETURNED	
AMT AWARD		REJECT		SUPPL AWARD	
				ACTION DATE	
FIRST-YEAR BENEFITS					
INTANGIBLE CLASS					
REASON FOR NON-ADOPTION					

UNITED STATES DEPARTMENT OF THE INTERIOR

Form DJ-411  
(Rev. 8-64)

RECOMMENDATION FOR MONETARY AWARD

BUREAU OR OFFICE

DOCKET NUMBER

NAME OF EMPLOYEE		ORGANIZATION UNIT	
PRESENT POSITION TITLE, SERIES, GRADE AND SALARY, OR HOURLY RATE		POSITION TITLE, GRADE AND SALARY OR HOURLY RATE DURING PERIOD OF RECOMMENDATION (IF OTHER THAN PRESENT POSITION)	
SUPERVISORY <input type="checkbox"/> NON-SUPERVISORY <input type="checkbox"/>		SUPERVISORY <input type="checkbox"/> NON-SUPERVISORY <input type="checkbox"/>	
PERIOD OF SERVICE ON WHICH RECOMMENDATION IS BASED		CURRENT PERFORMANCE RATING _____ DATE _____	
DATE AND KIND OF AWARD PREVIOUSLY GRANTED (IF EMPLOYEE RECEIVED A QUALITY INCREASE OR LUMP SUM CASH AWARD WITHIN PAST 52 WEEKS).		DATE NEXT REGULAR WITHIN-GRADE INCREASE DUE _____	

TYPE OF AWARD RECOMMENDED

SUPERIOR PERFORMANCE \$ _____	<input type="checkbox"/> QUALITY INCREASE	<input type="checkbox"/> TANGIBLE BENEFITS \$ _____
SPECIAL ACT OR SERVICE \$ _____		<input type="checkbox"/> INTANGIBLE

SUPPORTING JUSTIFICATION

List task or phases of work wherein employee has exceeded the normal requirements of his position. For each task listed describe the manner in which employee's performance exceeded the normal requirements. Be brief, but specific—do not generalize—in space below. Indicate the benefits to operations resulting from employee's performance. Where monetary savings resulted, give below a computation of such savings. For quality increases, see list of questions on reverse side before beginning justification; justification must include reasons why performance is likely to continue at current level.

(ATTACH SEPARATE SHEET IF NECESSARY)

RECOMMENDING OFFICIAL	DATE	REGIONAL OR AREA DIRECTOR	DATE
REVIEWING OFFICIAL	DATE	CHAIRMAN, BUREAU OR OFFICE COMM.	DATE
CHAIRMAN, REG. OR AREA COMM.	DATE	HEAD, BUREAU OR OFFICE	DATE
CHAIRMAN, INTERIOR INCENTIVE AWARDS COMMITTEE			DATE

Page 20 from (see back)

## IDENTIFICATION OF HIGH QUALITY PERFORMANCE

If answers to all or most of the questions below are "yes," it is reasonable to conclude the employee is performing at a high level and deserves consideration for a quality increase. Justification may be based on answers to these questions if accompanied by specific examples and explanations.

### Quality Increases for Employees:

1. Is quality of work markedly superior to what is normally expected of good employees in similar positions?
2. Does employee consistently turn out more work than is performed by good employees in similar positions?
3. Are the most exacting and difficult tasks assigned to him more frequently than to others in his same level?
4. Can he be relied upon to give his best efforts under all kinds of circumstances?
5. Do other employees seek his help and advice when work problems are encountered?
6. Can you point to specific end products that are the result of his superior skill, initiative, or resourcefulness?
7. Does the effectiveness of his performance count significantly in the overall accomplishments of the group?
8. If he were to leave the unit and be replaced by an average employee, would some adjustments be required to fill the gap?
9. Can he be relied on to carry out assignments of more than normal difficulty with a minimum of supervision and review?
10. Does he readily recognize problems or situations that should be brought to his supervisor's attention either for decisions or as a matter of information?
11. Has he contributed ideas which have improved efficiency of operations?
12. If his position requires contacts with members of the public or with State and Federal agencies, do his manner and actions reflect credit on the Department?
13. If a technical or professional employee, does he keep abreast of the latest developments in his technical or professional field and apply or propose new methods or techniques in the accomplishment of his job?

### Quality Increases for Supervisors and Persons in Management Positions:

1. Does he set realistic goals and organize resources to meet them?
2. Can specific measures be credited to him which have:
  - A. Eliminated unnecessary work;
  - B. Reduced manpower needs;
  - C. Increased work output without increasing manpower;
  - D. Improved quality of service without increasing cost?
3. Can he be depended upon to offer solutions to complex problems, supporting his recommendations with logical reasons and available facts?
4. Is he successful in motivating employees to give their best efforts, in recognizing and utilizing their special abilities, and in developing their potential to the fullest?
5. Does he keep abreast of the latest developments in his technical or professional field and apply or propose new methods of techniques in the accomplishment of program responsibilities?
6. If he were to leave the unit and be replaced by an average employee, would some adjustments be required to fill the gap?

DI-402  
(Oct. 1961)

UNITED STATES  
DEPARTMENT OF THE INTERIOR

HONOR AWARD NOMINATION AND PERSONNEL HISTORY RECORD

Bureau or Office

TYPE OF AWARD

- Commendable  
 Meritorious  
 Distinguished

Name	Title of Position	Grade
------	-------------------	-------

Organization Unit	Location (City & State)
-------------------	-------------------------

Age years      months	Total Department Service years      months	Total Government Service (Include Military) years      months
--------------------------	---	--

Date Entered Government Service	Agency of First Government Employment
---------------------------------	---------------------------------------

If connected with retirement, date of retirement	Reason for Retirement: <input type="checkbox"/> Age <input type="checkbox"/> Disability <input type="checkbox"/> Optional <input type="checkbox"/> Death
--	---

GOVERNMENT SERVICE (Include Military. Indicate any breaks in service.)

AGENCY	FROM	TO

Home Address of Nominee	Name/Address Next of Kin, if posthumous
	Relationship

Attach justification and draft of citation to conform with criteria.

RECOMMENDED

Originator	Date	Chairman, Bureau Committee	Date
Chairman, Region or Area Committee	Date	Head, Bureau or Office	Date
Regional or Area Director	Date	Chairman, Interior Incentive Awards Committee	Date

UNITED STATES  
DEPARTMENT OF THE INTERIOR

Bureau or Office

AWARD FOR VALOR NOMINATION

Name		Title of Position		Age
Organization Unit and Location		Home Address		
Total Department Service	Other employees nominated re this incident *			
Total Government Service				
Date of Incident				

Description of Incident *(continue on separate sheet, if necessary)*

RECOMMENDED

Originator	Date	Chairman, Bureau Committee	Date
Chairman, Region or Area Committee	Date	Head, Bureau or Office	Date
Regional or Area Director	Date	Chairman, Interior Incentive Awards Committee	Date

\* Submit copy of this form for each other individual, omitting description of incident if wording is same

Form DI-405  
(Rev. Oct. 1961)

UNITED STATES  
DEPARTMENT OF THE INTERIOR

Bureau or Office

UNIT AWARD FOR EXCELLENCE OF SERVICE NOMINATION

GENERAL INVESTIGATIVE DIVISION

Organization Unit	Location
-------------------	----------

Description of Achievement and period covered. \* (continue on separate sheet, if necessary)

RECOMMENDED

Originator	Date	Chairman, Bureau Committee	Date
Chairman, Regional or Area Committee	Date	Head, Bureau or Office	Date
Regional or Area Director	Date	Chairman, Interior Incentive Awards Committee	Date

\* Attach Draft of Citation

# This is my suggestion



OLD METHOD:

I SUGGEST:

NOTE: This form is printed with a detachable acknowledgment slip which is not included in this illustration.

Use plain bond paper for a continuation sheet.

Attach helpful drawings or sketches.

Name (please print) _____		Advantages are:	
Position title _____		<input type="checkbox"/> Estimated 1st year savings \$ _____	<input type="checkbox"/> Save time, labor
Agency Office _____	WB _____ Supv. _____ Non-supv. _____ Telephone _____	<input type="checkbox"/> Prevent waste	<input type="checkbox"/> Prevent accidents
Signature _____	Date _____	<input type="checkbox"/> Improve methods	<input type="checkbox"/> Or will _____
		(For Committee use)	
		Docket No. _____	
		Date received _____	
		Date acknowledged _____	

## HOW TO SELL YOUR SUGGESTION

A well-organized, clear and complete presentation of your idea and its expected benefits is the best insurance for getting the idea accepted.

### IN WRITING UP YOUR SUGGESTION

- FIRST** - Identify the problem. This section should state just what is now being done, to give the reader an understanding of the current practices and to give him the background of the problem.
- NEXT** - Explain your proposed solution. Be as explicit and complete as possible. You should point out how the new practice differs and how it will achieve the benefits you expect from your proposal.
- THEN** - Point out the expected benefits from your proposal. Here is where you back your claims with facts. List the most important benefits first.

### BENEFITS THAT CAN BE MEASURED

Be sure to identify any savings in time, labor, equipment, materials, space, etc. If possible, turn the savings into a dollar amount.

### BENEFITS THAT CAN'T BE MEASURED

Describe specifically any benefits that can't be expressed in terms of dollars. Such benefits might include better service, improved quality, safer working conditions, etc. Be sure to point out who will benefit and how.

### REMEMBER

You can't force acceptance of your idea - - - You've got to sell it. To sell your suggestion you've got to convince the reader that your suggestion is a worthwhile improvement!



United States Department of the Interior  
Bureau of Indian Affairs



CERTIFICATE OF SPECIAL ACHIEVEMENT

awarded to


*In recognition of service performed in a  
manner exceeding the requirements of the position.  
Granted this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_*

CITATION  
FOR DISTINGUISHED SERVICE  
WILLARD F. McCORNACK

in recognition of an eminent career and outstanding service in personnel administration and management with the Geological Survey.

Throughout his career, Mr. McCornack has contributed significantly to the growth and development of the Geological Survey's personnel program. Entering on duty as personnel officer, he was confronted with the problems posed by a large scientific organization being serviced by an understaffed and relatively inexperienced personnel staff. As a result of his outstanding leadership and skillful management, there evolved within the Geological Survey a well-trained, smooth-functioning modern personnel operation marked by a high level of efficiency, competence and expertise. Within relatively few years, Mr. McCornack had developed a well-organized group of staff specialists. With exceptional insight, and ability to plan and organize far-reaching management programs, Mr. McCornack led the Geological Survey's successful development of a computer-supported personnel management operation. In January 1967, he brought these exceptional talents for management to his present position of Administrative Officer, within the Geological Survey. In recognition of his outstanding contributions to the Geological Survey, the Department of the Interior grants to Mr. McCornack its highest honor, the Distinguished Service Award.

Secretary of the Interior

**HONOR**  **AWARD**  
United States  
DEPARTMENT OF THE INTERIOR  
Bureau of Indian Affairs  
FOR  
Commendable Service

REQUEST FOR INCENTIVE AWARDS CHECK

To: Executive Officer  
Indian Affairs Data Center

From:

Subject: Payment of Award

An incentive award has been approved for \$ \_\_\_\_\_  
to \_\_\_\_\_

Please have the check issued in payment of this award,  
less necessary deductions.

Social Security No. \_\_\_\_\_

Case No. \_\_\_\_\_

Type of Award \_\_\_\_\_

Bureau account number (Area and Agency code, pseudo code,  
project code, and work order, if applicable) \_\_\_\_\_

Designated Agent to receive award checks:

Name \_\_\_\_\_

Designated Agent No. \_\_\_\_\_

\_\_\_\_\_

SAMPLES OF  
STATEMENTS OF JUSTIFICATION FOR PERFORMANCE AWARDS

Position: Clerk-Typist (Machine Transcriber), GS-3

The requirements for this position are transcribing an average of 40 pages of material per day with not more than a 10% error rate. During the past six months, Miss \_\_\_\_\_ has averaged 60 pages per day. Her performance in this respect is superior. Her work meets the standards for accuracy and is satisfactory in all other respects.

-----

Position: Administrative Officer, GS-9

Mr. \_\_\_\_\_ has demonstrated a superior degree of performance in carrying out the administrative functions of the division with maximum efficiency and economy. One example of an outstanding accomplishment during this past year is the new procedure he developed for processing cases. This reduced average case processing time from 3 to 2 days by giving workers a complete file in each case in proper order. This is a significant improvement which goes beyond what is expected in the way of results when Mr. \_\_\_\_\_ initiated the project. Another example of his superior work is the outstanding way he planned and followed through on obtaining needed equipment and supplies for two new facilities established this year. Despite critical material shortages, every item requested was approved by the Central Office; no item was overlooked on the initial request which might have delayed the project; and every item was received in advance of the opening of the facilities.

-----

Position: Assistant to Director, GS-14

During the past year, Mr. \_\_\_\_\_ has performed the following major duties of his position in a superior manner:

1. Disposition of Commodities: He directed the development and issuance of announcements for the sale of flaxseed. Due to his foresight, these announcements were developed in advance of the starting date for the program. This program was highly successful and the department disposed of approximately 12.5 million bushels of surplus flaxseed and in return acquired 80 million pounds of linseed oil at a price 1.5 cents less than the domestic market. The total exported was more than the total exports for the two years previous.
2. Improvements in Operations: He conceived and followed through on the idea of meeting with state and county personnel throughout the country to lay the groundwork for refining and consolidating areas of operation common to a-1 programs. These discussions resulted in elimination of duplication in procedures. In addition, they established a pattern for further consolidation of common program provisions which hold promise of additional substantial benefits.
3. Adjustment of Claims: He directed the adjudication and reassessment of a substantial claim against a contractor for liquidated damages which saved the department a great deal of embarrassment and expense in attempting to collect the original claim.

His performance in all other aspects of his job has been very satisfactory.

UNITED STATES  
DEPARTMENT OF THE INTERIOR  
Bureau of Indian Affairs

INCENTIVE AWARDS PROGRAM QUARTERLY/ANNUAL REPORT

QUARTER ENDING \_\_\_\_\_ AREA OFFICE \_\_\_\_\_

INSTRUCTIONS:

(Parts A and B to be completed Quarterly. Parts C and D to be completed Annually)

1. Report awards for combined measurable and intangible benefits under "Tangible Benefits."
2. Count only one award per case. Do not include a count for supplemental awards.
3. Include the dollar amount of supplemental awards under the "Amount of Awards" column.
4. For the number of suggestions received, count only the initial receipt of cases from employees of your area. Do not count requests for reconsideration of cases already processed.

Part A.--AWARDS

AWARDS	FOR TANGIBLE (MEASURABLE) BENEFITS			FOR INTANGIBLE BENEFITS	
	Number of Awards	Tangible Benefits	Amount of Awards	Number of Awards	Amount of Awards
FOR SUGGESTIONS					
\$25 Cash		\$	\$		\$
\$30 - \$100 Cash		\$	\$		\$
Over \$100 Cash		\$	\$		\$
FOR SPECIAL ACHIEVEMENT					
Cash Awards		\$	\$		\$

Number of suggestions pending from last quarter \_\_\_\_\_  
 Number of suggestions received this quarter \_\_\_\_\_  
 Number of suggestions adopted this quarter \_\_\_\_\_  
 Number of suggestions rejected this quarter \_\_\_\_\_  
 Number of suggestions pending at end of quarter (to be brought forward on next report). \_\_\_\_\_

PART B. -- SUPPLEMENTAL REPORT ON QUALITY INCREASES

	No. Granted
GS-6 and below	
GS-7 thru 11	
GS-12 and above	
Total	

Number of Commendable Service Awards approved this quarter \_\_\_\_\_

PART C.--ANNUAL INCENTIVE AWARDS SURVEY

FISCAL YEAR ENDING JUNE 30, 19\_\_\_\_

PART C is not required with each quarterly report. This part is to be completed with the report for the quarter ending June 30 of each year, and the information furnished should be the totals for the fiscal year.

EMPLOYEES	NO. OF CASH AWARDS		AVERAGE NUMBER OF EMPLOYEES
	Suggestion or Invention	Special Achievements	
GENERAL SCHEDULE: GS-6 and below			
GS-7 thru 11			
GS-12 and above			
Total			
ALL OTHER *Salaries equivalent to GS-6 or less			
Salaries equivalent to GS-7 thru GS-11			
Salaries equivalent to GS-12 and above			
Total			

\*\*\*All other\*\* means all employees paid under other than the General Schedule, such as wage board, foreign service, postal, etc.

PART D.--NARRATIVE EVALUATION OF PROGRAM

The Commission seeks to improve the operation and effectiveness of the incentive awards program through collection, analysis and return to agencies of the data in this report and through the careful review of your evaluative comments. Accordingly, we ask for a narrative evaluation of your area's incentive awards program to include comment on such matters as those indicated below and any others of significance: (Please attach additional pages as needed to this report).

1. Were there any significant problems encountered in program administration (Explain)?  
What was done to overcome these problems?
2. What proposals do you have for the consideration of the Commission regarding changes in policies, regulations, instructions, or guidance material?
3. What plans do you have for next fiscal year to increase program effectiveness?
4. What techniques did you find particularly effective in the fiscal year concluded?
5. What significant results were achieved (not covered by statistics)?
6. Please supply a one paragraph description of awards of \$1000 or more. (Include also the name, grade, title, organization, and geographical location).
7. What effective use was made of honorary awards for citizens' achievements? Please include the name, location, and a brief statement of the contribution of those which have special interest.

(Bureau or Office - Print Only)

**INCENTIVE AWARDS PROGRAM EVALUATION**

Date

1. Name & Location of Organization:	3. No. of employees:
	4. No. of contributions received:
	5. No. of contributions approved:
	6. No. of contributions pending:
2. Name & Title of Analyst:	7. No. of awards approved for sustained superior performance:
	8. No. of awards approved for special acts or services:
9. Period of appraisal:	10. Period covered by Statistics in items 3 - 8:

11. OFFICIALS INTERVIEWED	NAME	TITLE	ORGANIZATION UNIT
Committee Chairman			
Committee Secretary			
Head of Bureau or Office (Or his representative)			
Other Officials			

12. Evaluation of Specific Program Elements: (Instructions to analyst: Specific observations on program elements should be entered in space provided at end of report)	PROGRAM ELEMENTS	MERITS SPECIAL MENTION	ADEQUATE	NEEDS STRENGTHENING
A. Is the Incentive Awards Program suited to the organization and its employees?				
B. Is the Incentive Awards program coordinated with the total management program (work simplification, supervisory training, etc.)?				
C. Interest by top management				
D. Interest and support by middle management and supervisors				
E. Recognition of supervisors who encourage participation				
F. Acknowledgment of receipt of employee contribution				
G. Detailed reasons for rejection of employee contribution				
H. Prompt evaluation of employee contribution				
Impartial evaluation of employee contribution				
I. Notification to employee on committee actions and decisions				
K. Prompt recognition of employee for approved contributions				
L. Uniform application of award scales and award criteria				



PROGRAM ELEMENTS	MERITS SPECIAL MENTION	ADEQUATE	NEEDS STRENGTHENING
M. Documentation in support of action taken on each employee's contribution			
N. Contributions and awards as factors in promotions ( <i>both employee's and supervisor's</i> )			
O. Procedure for referral within the employing bureau of the employee's contribution			
P. Procedure for referral of employee's contribution to the Interior Incentive Awards Committee			
Q. Procedure for referral of employee's contribution to the Department Branch of Incentive Awards for further referral to other Executive agencies			
R. Effectiveness of continuing promotional publicity of program			
S. Follow-up procedure to assure that adoptions are actually implemented			
T. Quality of records maintained			
U. Training of supervisors as to their incentive awards responsibilities			
V. What atmosphere has been created to encourage employee participation			
W. Which particular groups of employees ( <i>i.e. administrative, technical, wage rate, scientific, engineering, etc.</i> ) need participation encouragement			
X. What is the reason for their nonparticipation			
Y. What is, or will be, done to encourage participation from such groups			

ITEM	EVALUATION COMMENT <i>(This space for detailed answers to questions. Indicate item number to which answer applies.)</i>

General Comments:

Form DI-407  
(August 1960)

UNITED STATES  
DEPARTMENT OF THE INTERIOR

Bureau or Office

EMPLOYEE INCENTIVE AWARDS QUESTIONNAIRE  
(DO NOT REVEAL IDENTITY)

Check appropriate box for each item. Do not sign.

1. When did you last submit a suggestion under the Awards Program?  
 In the last 3 months                       More than a year ago  
 In the last 6 months                       Never  
 In the last year
  
2. Does your supervisor ask you whether you have suggestions which will save money, time or improve working conditions, and encourage you to submit them?  
 Frequently                                       Very seldom  
 Occasionally                                    Never
  
3. Does your supervisor take action to recognize and award employees who do a much better job than is expected of them?  
 Usually     Very seldom  
 Occasionally                                       Never
  
4. Which of the following methods are used to publicize the Incentive Awards Program?  
 Bulletin Boards                               Employee & Agency Publications  
 Meetings     Don't know  
 Newspapers                                       Other (Specify)\*
  
5. How long do you believe it usually takes to receive a final reply on suggestions?  
 Within 30 days                               Longer than 6 months  
 1-3 months                                       Don't know  
 4-6 months
  
6. Do you understand the basis for granting awards for employees' suggestions that are adopted?  
 Yes     General understanding  
 No     Good understanding  
 Limited understanding
  
7. Do you understand the basis for granting awards for superior performance?  
 Yes     General understanding  
 No     Good understanding  
 Limited understanding
  
8. Do you believe the awards for suggestions and superior performance are granted fairly and properly in your organization?  
 In all cases                                       Never  
 With very few exceptions                       Don't know  
 Occasionally
  
9. If you have never submitted an employee suggestion is it for one of the following reasons?  
 Fear of criticism                               Do as regular part of job  
 Fear of rejection                               Lack of confidence in preparing suggestion  
 No ideas to suggest                               Other (Specify)\*

CHECKLIST FOR DISTINGUISHED SERVICE AWARD JUSTIFICATIONS

1. How did his or her work exceed job requirements?
2. What has he or she done that deserves recognition? What makes it unique?
3. What new techniques were developed that made existing methods obsolete? How do they compare with previous methods? Any savings? How much? Money savings in manpower, time - what?
4. Was he or she creative or innovative? In what way?
5. How were his or her achievements valuable to administration?
6. Any achievements on an international or national scope? (What)
7. Did he or she do anything to improve public relations? (With whom and what)
8. Did he or she take part in any important surveys or experiments? What was the purpose? Did he or she make significant contributions? What? What were results?
9. Any significant contribution to the Safety Program? Equal Opportunity Program? Incentive Awards Program? (What)
10. Member of what prestigious groups or societies?
11. What is personal and/or professional standing with associates and others? Has he or she been granted recognition by outside organizations?
12. What honors has he or she brought to the Department and Bureau from any source?
13. What publications, including handbooks, has he or she originated?
14. How many quality increases, superior performance awards, etc., have been awarded?
15. Any other unusual and/or significant contributions not covered above? (What)

REPORT OF EVALUATION

NOTE: Adoption or rejection of a suggestion will be based on this evaluation. The Incentive Awards Coordinator will assume that suggestions recommended for adoption and approved are in the process of being implemented and will proceed to process the award. The evaluator is responsible for insuring that a suggestion is implemented and funds are available for the award.

Suggestion \_\_\_\_\_

A. ADOPTION.

Specific Basis for Adoption:

Suggestion will be used: \_\_\_\_\_  
(Specify location and approximate date)

Determination of Award:

- Outside employee's job responsibilities.
- Within employee's job responsibilities, but so superior as to warrant special recognition.

Using attached Tables of Benefits, complete the following:

- Tangible Benefits; estimated first-year dollar benefits: \$ \_\_\_\_\_
- Intangible Benefits; (Check)

Value of Benefit:

- Moderate
- Substantial
- High
- Exceptional

Extent of Application:

- Limited
- Extended
- Broad
- General

AMOUNT OF AWARD RECOMMENDED: \$ \_\_\_\_\_ Charge to: \_\_\_\_\_  
(Appropriation)

B. REJECTION.

Specific Basis for Rejection:

EVALUATED BY: \_\_\_\_\_

APPROVED BY (Installation Head): \_\_\_\_\_

Name \_\_\_\_\_

Name \_\_\_\_\_

Title \_\_\_\_\_

Title \_\_\_\_\_

Division \_\_\_\_\_

Date \_\_\_\_\_

Date \_\_\_\_\_

ROUTE TO INCENTIVE AWARDS COORDINATOR THROUGH APPROPRIATE INSTALLATION HEAD (See explanation E under Tables of Benefits attached)

REPORT OF EVALUATION

NOTE: Adoption or rejection of a suggestion will be based on this evaluation. The Incentive Awards Coordinator will assume that suggestions recommended for adoption and approved are in the process of being implemented and will proceed to process the award. The evaluator is responsible for insuring that a suggestion is implemented and funds are available for the award.

Suggestion \_\_\_\_\_

A. ADOPTION.

Specific Basis for Adoption:

Suggestion will be used: \_\_\_\_\_  
(Specify location and approximate date)

Determination of Award:

- Outside employee's job responsibilities.
- Within employee's job responsibilities, but so superior as to warrant special recognition.

Using attached Tables of Benefits, complete the following:

- Tangible Benefits; estimated first-year dollar benefits: \$ \_\_\_\_\_
- Intangible Benefits: (Check)

Value of Benefit:

- Moderate
- Substantial
- High
- Exceptional

Extent of Application:

- Limited
- Extended
- Broad
- General

AMOUNT OF AWARD RECOMMENDED: \$ \_\_\_\_\_ Charge to: \_\_\_\_\_  
(Appropriation)

B. REJECTION.

Specific Basis for Rejection:

BIAM REISSUE  
FEBRUARY 1984

EVALUATED BY: \_\_\_\_\_

APPROVED BY (Installation Head): \_\_\_\_\_

Name \_\_\_\_\_

Name \_\_\_\_\_

Title \_\_\_\_\_

Title \_\_\_\_\_

Division \_\_\_\_\_

Date \_\_\_\_\_

Date \_\_\_\_\_

ROUTE TO INCENTIVE AWARDS COORDINATOR THROUGH APPROPRIATE INSTALLATION HEAD (See explanation E under Tables of Benefits attached)