

Guide No. 451-02

DEPARTMENT OF THE NAVY (DON)

HUMAN RESOURCES

IMPLEMENTATION GUIDANCE

NOTE: GUIDE NO. 451-02 MUST BE READ IN CONJUNCTION WITH DON CIVILIAN HUMAN RESOURCES MANUAL (CHRM), [SUBCHAPTER 451.1](#) OF SEPTEMBER 2005. THE PROVISIONS CONTAINED IN BOTH DOCUMENTS MUST BE ADHERED TO WHEN IMPLEMENTING AWARDS PROGRAMS WITHIN THE DON.

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GUIDANCE ON IMPLEMENTING AWARDS PROGRAMS

References: (a) DON CHRM, Subchapter 451.1 of September 2005

Cancelled: SECNAVINST 12451.3 of 23 May 88
DON Guide No. 451-01 of 3 Jun 98

1. Purpose. This guide provides procedures for establishing and implementing awards programs. This guidance must be read in conjunction with reference (a) and the provisions contained in both documents must be adhered to when implementing awards programs.

2. Definitions

a. Activity. A field installation, Headquarters Command, or office.

b. Award. Recognition for individual or team achievement that contributes to meeting organizational goals or improving the efficiency, effectiveness, and economy of the Government or is otherwise in the public interest. Such awards include, but are not limited to, employee incentives that are based on predetermined criteria such as productivity standards, performance goals, measurement systems, award formulas, or payout schedules (5 CFR 451.102 and DoD CPM 1400.25M, Subchapter 451, 3.1).

c. Contribution. An accomplishment achieved through an individual, group, or team effort, which contributes to the efficiency, economy, cost avoidance, or other beneficial impact to the general workplace, public welfare, or the overall DON mission.

d. The DON Awards Review Panel (DARP). The DARP is composed of nine high-level Senior Executives with a representative from each of the following:

(1) Assistant Secretary of the Navy (ASN) (Manpower and Reserve Affairs);

(2) ASN (Financial Management and Comptroller);

(3) ASN (Installations and Environment);

(4) ASN (Research, Development and Acquisition);

- (5) General Counsel of the Navy;
- (6) Vice Chief of Naval Operations;
- (7) Assistant Commandant of the Marine Corps;
- (8) The Navy Research Community, and
- (9) The Systems Commands.

e. Initial Award. An initial form of recognition for a suggestion or invention that may be followed by other forms of recognition at a later date. These awards can be cash, honorary, or non-monetary.

f. Intangible Benefit. Savings to the Government that cannot be measured in terms of dollars and will be evaluated using the scale of award amounts based on intangible benefits. See Appendix D (DoD CPM 1400.25-M, Subchapter 451, 3.7).

g. Monetary (Cash) Award. An award in which the recognition device is a cash payment that does not increase the employee's rate of basic rate pay (DoD CPM 1400.25-M, Subchapter 451, 3.3).

h. Non-Monetary Award. An award in which the recognition device is not a cash payment or time-off but is an award of a honorific value, e.g., a letter, certificate, medal, plaque, pin, or item of nominal value (DoD CPM 1400.25-M, Subchapter 451, 3.4).

i. Quality Step Increase (QSI). A QSI is an accelerated step increase as that term is used in 5 U.S.C. 5336. It is a permanent increase in an employee's rate of basic pay from one step or rate of the grade to the next higher step of that grade.

j. Rating of Record. The performance rating prepared at the end of an appraisal period for performance over the entire period including the assignment of a summary level. The rating of record is the official rating used for pay, performance award and retention purposes (5 CFR 430.203, 5 CFR 351.504 and DoD CPM 1400.25-M, Subchapter 430, Appendix 1, 3.13).

k. Tangible Benefit. Savings to the Government that can be measured in terms of dollars and will be evaluated using the scale of award amounts based on tangible benefits. See Appendix C (DoD CPM 1400.25-M, Subchapter 451, 3.6).

1. Time-Off Award. An award in which time-off from duty is granted without loss of pay or charge to leave and for which the number of hours granted is commensurate with the employee's contribution or accomplishment (DoD CPM 1400.25-M, Subchapter 451, 3.5).

3. Policy and Objectives. All awards programs developed and implemented in DON shall provide for:

a. Reviewing award recommendations for which approval authority has not been delegated to officials at lower levels within the organization (DoD CPM 1400.25-M, Subchapter 451, 7.1).

b. Communicating the relevant parts of award programs to managers, supervisors, and employees (DoD CPM 1400.25-M, Subchapter 451, 7.2).

c. Evaluating and assessing awards and awards programs to ensure that they are:

(1) Used to motivate, recognize, and reward eligible personnel (DoD CPM 1400.25-M, Subchapter 451, 7.3.1);

(2) Used to exhibit a close, demonstrable link between performance, accomplishment, or contribution to the organization's goals and objectives and the receipt of the award (DoD CPM 1400.25-M, Subchapter 451, 7.3.2), and

(3) Granted commensurate with the value of the employee's contribution or accomplishment (DoD CPM 1400.25-M, Subchapter 451, 7.3.3).

d. Documenting all cash and time off awards in compliance with 5 CFR 451.106(e) (DoD CPM 1400.25-M, Subchapter 451, 7.4).

e. Following appropriate DoD financial management regulations on civilian pay policies and procedures under DoD 7000.14R (DoD Financial Management regulations, Vol. 1-15) (DoD CPM 1400.25-M, Subchapter 451, 7.4).

f. Granting Quality Steps Increases (QSIs) consistent with the provisions of 5 CFR 531, Subpart E (DoD CPM 1400.25-M, Subchapter 451, 7.5).

g. Documenting the justification for awards that are not based on a rating of record under 5 CFR 451.103(c)(2) (DoD CPM 1400.25-M, Subchapter 451, 7.6).

4. Award Restrictions. Monetary and time-off awards will not be granted during a presidential election period to political appointees or employees in excepted service positions of a confidential or policy determining nature (Schedule C employees). Non-monetary awards such as certificates, plaques, and items of similar nature are permitted provided that the form of the non-monetary award avoids the appearance of replacing cash. Recognition by non-monetary awards should create an inherent impression of symbolic value (an honor being bestowed) rather than monetary worth (cash value) (5 CFR 451.105 and DoD CPM 1400.25-M, Subchapter 451, 4.1).

5. Eligibility

a. Employees. All DON civilian employees who meet the definition of Title 5, U.S.C. 2105 are eligible to receive awards. Performance awards may be paid to Senior Executive Service employees only under 5 CFR 534.405 and not on the basis of this guidance (5 CFR 451.101(c) and (d)).

b. Former Employees. Awards for contributions made by an individual when employed by the DON may be paid to a former employee or to the estate or legal heirs of a deceased employee (5 CFR 451.104(e) and DoD CPM 1400.25-M, Subchapter 451, 5.2).

c. Nonappropriated Fund (NAF) Employees. Although DON NAF employees may not receive monetary awards paid from appropriated funds, this does not preclude payment of cash awards with nonappropriated funds under a NAF awards program developed exclusively for DON NAF employees. The DON NAF employees are eligible for the following honorary awards:

(1) DON Distinguished Civilian Service Award

(2) DON Superior Civilian Service Award

(3) DON Meritorious Civilian Service Award

(4) DON Civilian Medal for Valor

(5) Secretary of Defense (SECDEF) Medal for the Defense of Freedom

(6) Armed Forces Civilian Service Medal

d. Foreign National Employees. A direct-hire foreign national employee paid with appropriated funds is eligible to receive awards under this program.

Restrictions on employees paid with non-appropriated funds are covered in paragraph 5.c. An indirect hire foreign national employee is not eligible to receive monetary awards under this program but may receive non-monetary awards. This does not preclude payment of monetary awards under any other locally developed awards program (DoD CPM 1400.25-M, Subchapter 451, 5.4.1 and 5.4.2).

e. Military. Military members who meet all eligibility criteria may be nominated for honorary awards developed by Commands and activities and, if not specifically excluded, for honorary awards listed in Appendix A. Military members may be paid cash awards only under 10 U.S.C. 1124 and OPNAVINST 1650.8C.

f. Private Citizens and Organizations. Private citizens, groups, and organizations that significantly assist or support DON functions, services, or operations may be recognized to demonstrate the interest of the DON management in improving efficiency and effectiveness, and to encourage citizens and organizations in their efforts to assist in the accomplishment of the DON missions. They may be recognized for their significant contributions to the DON with honorary awards only, i.e., DON Public Service Awards. Persons or organizations having a commercial or profit making relationship with DoD or DON shall not be granted recognition, unless the contribution is substantially beyond that specified or implied within the terms of the contract establishing the relationship, or the recognition is clearly in the public interest (see paragraphs 5.h. and 12) (DoD CPM 1400.25-M, Subchapter 451, 15.1 and 15.2).

g. Other Agency or DoD Personnel. Awards may be approved for employees of other Government agencies or other DoD components, and payment will be made by transferring funds to the individual's employing component or agency. If the administrative cost of transferring funds exceeds the amount of the award, the organization employing the individual shall absorb the costs and pay the award (5 CFR 451.104(d)(1) and DoD CPM 1400.25-M, Subchapter 451, 8.2). Non-DON Federal employees are eligible for DON's Public Service Awards as described in paragraph 12 of this Guide.

h. Contractors. Contractors are not employees of the Federal Government and may not be treated as such. Because of increased use of contractors working alongside Federal employees, it is easy to lose sight of this issue. It is DON's goal to avoid both the appearance or actual act of favoritism as well as the appearance or actual act of a conflict of interest toward one contractor over another. Therefore, contractor personnel or business organizations having a commercial or profit-making relationship with DoD or DON are ineligible for formal recognition under this program. Neither may contractors be rewarded for merely fulfilling the

terms of a contract. However, if it can be shown that a contribution is “substantially beyond”, that specified or implied within the terms of the contract establishing the business relationship and/or if the recognition is clearly in the public interest, then DoD has determined that a contribution may be recognized by a letter or a computer generated certificate. Those who have first-hand knowledge of the contract requirements can best determine whether contributions are “substantially beyond” the terms of the contract. When contracts call for intangible deliverables (e.g., technical support) and the outcome results in an extraordinary contribution by the contractor to a team effort, the extraordinary contribution that exceeds the contract requirements could be considered “in the public interest.” Any acknowledgement of contributions may only be presented informally in the work area. Contractors may not participate in ceremonies or attend receptions when public funds are used.

6. Funding Levels. Echelon 1 and 2 Commands are expected to budget for awards using sound financial management controls consistent with budgetary limits set by law and regulation. The minimum funding level for all awards is 1.5 percent of aggregate base salaries of covered employees. The aggregate base salary should be calculated based on the number of covered employees as of 1 October of each year. Commands are responsible for deciding the award expenditures for their activities and targets may be set at different levels (5 CFR 451.103(c)(1) and DoD CPM 1400.25-M, Subchapter 451, 6.4).

7. Cash Awards

a. Cash awards are recognition in the form of a single monetary payment that may be for a special act or service in the public interest in connection with or related to official employment. Cash awards may be used to recognize a group or individual effort that goes beyond expected job performance or to recognize exceptional accomplishments, such as outstanding achievement. Cash awards may be granted at any time (except certain limitations as described in paragraph 4 of this Guide). Commands and activities may develop cash awards programs that include, for example, Special Act or Service, On-the-Spot, Superior Accomplishment, Suggestion, Invention or Performance Awards. Cash awards are granted commensurate with the value of the employee’s contribution or accomplishment and the appropriate award amount is determined based on the tangible and intangible benefits scales in Appendices C and D.

b. Cash awards may be determined using a specific dollar amount or a percentage of basic pay. For awards based on a percentage of basic pay, the rate of basic pay shall be determined without taking into account any locality-based comparability, special law enforcement adjustment or interim geographic

adjustment. Cash awards are subject to the approval authorities and limits of Appendix A.

(1) Special Act Awards. May be used to recognize a group or individual effort that goes beyond expected job performance. Special Act Awards are used to recognize exceptional accomplishments, such as an outstanding achievement, and may be given at any time. The appropriate award amount is determined based on the tangible and intangible benefits scales in Appendices C and D (5 CFR 451.104(a)(2)).

(2) On-the-Spot Awards. “Special Act” or “Service” awards that, through streamlined procedures, are designed to quickly recognize and provide immediate reinforcement of one-time achievements by employees that have resulted in service of an exceptionally high quality or quantity. This award is particularly appropriate for rewarding employee efforts that might go unrecognized. On-the-Spot Awards range from \$25 to \$750, commensurate with the nature of the service or act being recognized.

(3) Performance Awards. Recognition of outstanding employee performance achievements should be made as soon after the achievement as possible and not just at the end of the annual performance rating cycle.

c. Under the current DON two-level performance system, specific justification is required that supports how the individual employee, team or group significantly exceeded expectations established for the “Acceptable” level of performance at the employee’s grade and position. Performance recognition is appropriate when an employee performs substantially beyond these expectations on a regular and continuing basis. The significant contribution(s) being recognized must be specifically identified. Accomplishments may include, but are not limited to:

1. Exceptional program or project management;
2. Individual or team work that results in a high-quality product or service to a customer, or
3. Other high quality performance significantly above what is expected at the “Acceptable” level and consistently sustained over a period of time.

d. Employees with a rating of record approved under a demonstration project receive recognition for their performance accomplishments consistent with published regulatory guidance.

(4) Quality Step Increase (QSI). The purpose of a QSI is to provide appropriate incentives and recognition for excellence in performance by granting faster than normal step increases. A QSI is a permanent salary increase rather than a lump sum payment award. Therefore, careful consideration should be given before granting a QSI. Caution should be exercised when setting the effective date of the QSI when an employee is close to being eligible for steps 4 and 7 so the employee is not disadvantaged. Documentation required in paragraphs (a) through (e) below may be in bullet format. Specific examples of both how the employee consistently exceeds responsibilities and expectations and the significant contribution(s) to the mission must be cited. To be eligible for a QSI, General Schedule employees must meet all of the following criteria required by 5 CFR 531.504(b)(2) and 531.505 and DoD CPM 1400.25-M, Subchapter 451, 10:

(a) Received a rating of record of “Acceptable” under DON’s two-level Performance Management Programs;

(b) Consistently exceeded job responsibilities and expectations with demonstrated sustained performance of high quality significantly above that expected at the “Acceptable” level (e.g., performance exceeded the “Acceptable” criteria depicting unusually good or excellent quality or high quantity of work provided ahead of schedule and with less than normal supervision);

(c) Made a significant contribution to the organization’s mission (e.g., achievements must be truly exceptional when measured against the position requirements of the individual);

(d) There must be an expectation that the high quality performance will continue in the future, and

(e) Has not received a QSI in the past 52 weeks.

8. Beneficial Suggestions

a. A Beneficial Suggestion Program recognizes individuals or groups for ideas that benefit the Government. A beneficial suggestion is a constructive idea submitted in writing that proposes to improve the efficiency, economy or effectiveness of Government operations (e.g., simplify or improve operations; save time needed to complete a task; speed up production; increase output and enhance productivity; save material and property; save manpower and money; promote health; increase safety; improve morale through desirable and feasible personnel services that increase productivity; improve working conditions, procedures, operating methods or equipment, workspace layouts and organization).

b. A suggestion does not have to be new or original and may result from the suggester's previous or present work experience, research or education.

c. Civilians are eligible to receive suggestion awards. Awards for military personnel for suggestions are covered under OPNAVINST 1650.8C.

d. Program requirements:

(1) Commands will establish and issue guidance and procedures to subordinate activities for processing and evaluating suggestions that:

(a) Provide a Command point of contact (POC) to the Office of Civilian Human Resources and to subordinate activities for the Beneficial Suggestion Program;

(b) Ensure that benefits analyses for adopted suggestions are thoroughly documented and support award recommendations;

(c) Assign financial responsibility to ensure that suggestion awards are paid within budgetary limits set by law or regulation and that adequate funds are available for prompt payment of suggestion awards;

(d) Ensure suggestions are processed in a timely manner (usually within 60 calendar days);

(e) Forward adopted suggestions (or those recommended for adoption) directly to all potential users within the Federal Government;

(f) Ensure that written analyses of the reasons for non-adoption are provided to suggesters;

(g) Require timely completion of evaluations;

(h) Require activity head review and endorsement of suggestion awards that require higher-level approval;

(i) Ensure that awards are processed in a timely manner when documentation supports payment of the award, and

(j) Provide advice and guidance to activity POCs for processing and evaluating suggestions.

(2) Heads of Naval activities and Marine Corps Commands will establish guidance and procedures that:

(a) Establish a Beneficial Suggestion Program that complies with this Guide and appropriate Echelons 1 and 2 Command requirements.

(b) Appoint an activity beneficial suggestion POC.

(3) Activity beneficial suggestion POCs will:

(a) Receive suggestions and determine if they meet the requirements for processing;

(b) Establish a target evaluation completion date and provide extensions, as needed, when contacted by the evaluator;

(c) Forward accepted suggestions to the appropriate office, activity or command for evaluation;

(d) Track suggestion progress;

(e) Notify the suggester, originating office, activity, Command, component or agency of suggestion status as requested;

(f) Review benefits analyses, supporting documentation and award calculations for adequacy and accuracy;

(g) Ensure documentation is adequate to support the final evaluation or seek clarification to support the recommendation, as required;

(h) Prepare necessary correspondence and ensure that the appropriate management official signs it;

(i) Maintain necessary records of adopted or non-adopted suggestions and approved awards based on accepted suggestions;

(j) Notify the suggester or the originating activity of the final determination of whether the suggestion will or will not be adopted;

(k) Provide benefits analysis, award funding and approval information to the originating office, Command, activity, component or agency for adopted suggestions;

(l) Forward directly to all potential users within the Federal Government suggestions that are adopted locally;

(m) Forward directly to all potential users within the Federal Government suggestions for which you do not have approval authority only if they have received a favorable local evaluation;

(n) Forward award recommendations to higher level for approval as required by Appendices A and B;

(o) Advise evaluators, managers, supervisors, team leaders, and employees regarding program requirements on suggestion or award issues, and

(p) For suggestions not adopted, forward to the suggester notice and explanation of non-adoption including the reason(s) why the suggestion will not be adopted and the benefits analysis.

(4) Evaluators of beneficial suggestions will provide a complete evaluation of all adopted suggestions in a timely manner, determine benefits, document benefits analysis, calculate awards for adopted suggestions consistent with Appendices C and D, and when appropriate, provide a written explanation of the reason a suggestion is not adopted.

(5) Managers, supervisors and team leaders (where applicable) should motivate, recognize and reward eligible employees for their accomplishments and contributions through the Command award program; comply with delegated award authority, and assign responsibility for timely completion of suggestion evaluations, as appropriate.

(6) Suggesters will submit only those ideas that meet the requirements of paragraph 8.a. and Appendices C and D. Failure to provide sufficient documentation for the evaluator to conclude that the suggestion should or should not be adopted will result in the suggestion being returned as not adopted.

(7) All DON Beneficial Suggestion Programs shall provide that:

(a) Suggestions adopted, in whole or in part, must identify an improvement in the quality of operations, a cost reduction opportunity or an improvement in the timeliness of service delivery that results in tangible or intangible benefits to the U. S. Government;

(b) A commitment to adopt an idea must be made by the appropriate management official;

(c) Adopted suggestions include a specific proposed course of action to achieve the claimed improvement or cost reduction and provide documentation (i.e., specifications, benefits analyses, statistics, etc.) to support the conclusion that the suggestion should be adopted;

(d) Benefits analysis, evaluation or suggestion review is completed that includes all tangible and/or intangible benefits. Any savings must be identified and documented in a way that savings is clearly verifiable.

(e) Requests for reconsideration of a non-adopted suggestion must be submitted through the employing activity within 30 calendar days of receipt of notice of non-adoption.

(f) To be considered for an award, a suggestion must:

1. Identify an improvement in the quality of operations, a cost reduction opportunity or an improvement in the timeliness of service delivery that results in tangible or intangible benefits to the U.S. Government;

2. Be adopted in whole or in part for implementation. The suggestion should identify a specific proposed course of action to achieve the improvement or cost reduction;

3. Be based upon tangible or intangible benefits, as provided in Appendices C and D, or a combination thereof;

4. Be reviewed by the supervisor, classifier or other management official to determine whether the suggestion is part of the employee's job and, if so, whether it exceeds expectations for the position and whether the employee is eligible for award consideration under the suggestion program. This determination may be based on an explanation of the duties and responsibilities submitted by the originating activity (position description) or other information gathered for this purpose at a later date.

(g). Suggestion awards must be:

- (1) Funded by the benefiting activity.

- (2) Calculated based upon tangible and/or intangible award scales, as provided in Appendices C and D.

f. If the suggestion will be forwarded for review and adoption at a higher level or for consideration for an award that exceeds local authority to approve, the complete favorable evaluation and documentation of benefits in paragraphs 8.d.(4) and 8.d.(7)(f) above must be forwarded with the suggestion. Favorable evaluation must be provided even if the activity is merely commenting as a “potential user” and not as one with the authority to adopt the idea. Suggestions that receive a favorable local evaluation may be forwarded directly to all potential users within the Federal Government. Suggestions may be forwarded when there are other potential users of locally adopted suggestions; when approval is required by another agency, component, Command or activity to adopt the suggestion, or when approval of an award is required by the next higher echelon.

g. When a suggestion is adopted by more than one organization, each benefiting organization shall share in the cost of the total award commensurate with their share of the benefit. Either the suggester’s organization or one of the benefiting activities will calculate the total award and notify the benefiting organization of its prorated share of the award. The benefiting organization(s) shall take prompt action to transfer award funds.

h. When the recommended award exceeds the delegated authority to pay, any recommendation for additional award must include a copy of the suggestion package, documented verifiable benefits analysis, benefits and award calculation, any initial award that has been paid and evidence of the activity head concurrence, via the chain-of-command to the appropriate level for approval.

i. DoD personnel who make suggestions concerning improvement of materials or services purchased from a contractor may be paid a monetary award only if the improvement results in tangible or intangible benefits to the U. S. Government. The suggestion must be processed through Government channels to identify correctly the origin of the proposal and the benefits to the Government. Government employees or members of the Armed Forces shall not be paid awards based upon benefits to the contractor.

j. Suggestions submitted by private citizens are not eligible for cash award consideration. Federal contractors are considered ineligible for cash awards in accordance with paragraph 5.h. of this Guide. Either may be recognized with letters of appreciation.

k. Ideas or suggestions that identify the need for routine maintenance work, recommend enforcement of an existing rule, propose changes in housekeeping practices, call attention to errors or alleged violations of regulations or result in intangible benefits of “good will” are not eligible for consideration.

l. Duplicate suggestions will not be accepted for processing and will be returned to the suggester.

m. Adopted suggestions that comprise part of the employee's job duties are not eligible for suggestion awards. Employees may then be considered for other cash or honorary recognition as discussed in paragraphs 7, 10, 11, 13, and 14 of this Guide if they have exceeded expectations for their job and are considered to have made a significant contribution to the mission of the organization as determined and funded by the employing activity.

n. Suggestions that are adopted within one year from the date of the notice of non-adoption may be returned to the activity POC for evaluation of benefits and may be considered for an appropriate award. This does not include suggestions that were returned because inadequate information was provided to evaluate the suggestion. If a non-adopted suggestion is placed into operation after the one-year time limit expires, the suggestion is not then eligible for an award.

o. Because time is of the essence for suggestions that may be potentially patentable, such suggestions will not be processed under the Beneficial Suggestion Program. Rather, such suggestions must be immediately forwarded to the appropriate DON patent office for consideration. If the patent office determines that it will not pursue a patent, the suggestion will be returned to the activity beneficial suggestion POC for processing as a suggestion. If patented, the suggestion will be forwarded to the appropriate activity or Command POC for determination of any tangible and/or intangible benefits resulting from use and value of the patented idea.

9. Invention Awards

a. The Invention Award Program is designed to help motivate Federal employees to make and report inventions and to recognize and reward Federal inventors. The program encourages the efforts of individuals engaged in research and development and other scientific or technical work with Federal organizations. All civilian employees are eligible for this award if their invention contributes to the efficiency, economy or other improvement in Government operations, or if it is in the public interest and associated with Government employment. Even though the making of an invention is considered to be within an employee's official duties, the employee inventor is eligible for cash or honorary recognition.

b. To be considered for an award an invention must:

(1) Identify an invention, plant or design that is covered by a patent, patent application, plant variety protection or other form of protection;

(2) Title must have been assigned to or otherwise vested in the U.S. Government and in the custody of the DON, and

(3) The appropriate DON office responsible for patent matters must notify the employing activity that the above conditions have been met.

c. An initial cash award may be paid when the invention is accepted for processing and an additional cash award may be paid when the patent covering the invention is granted. If an application for a patent is placed under a secrecy order, the additional award will be paid when the U.S. Patent Office issues a Notice of Allowability. A use and value award may be paid when the patented idea is adopted in whole or in part for implementation within the Federal Government. Use and value awards are based upon tangible or intangible benefits to the Federal Government, as provided in Appendices C and D, or a combination thereof (see SECNAVINST 5870.2D).

d. If the conditions in paragraph 9.b. above are not met, but the invention is determined to be of value to the DON or DoD and the inventor consents to consideration of an award, the inventor will be required to sign a claim waiver agreement to be paid an award.

e. Awards under this section are not authorized if a cash award has been paid for the same contribution as a beneficial suggestion.

f. Royalty payments for Government-owned inventions are covered under SECNAVINST 5870.2D. Royalty payments are not processed as incentive awards under reference (a).

10. Recognition Awards

a. Informal Recognition Awards. Informal Recognition Awards are intended to recognize contributions of lesser scope that might otherwise go unrecognized. In addition, informal recognition awards typically have more informal approval procedures and presentation settings than honorary awards. Given this combination of smaller scope contributions and informality, honorary/non-monetary items presented as informal recognition awards must meet the following criteria:

(1) The item must be of nominal value.

(2) The item must take an appropriate form to be used in the public sector and to be purchased with public funds.

b. Career Service Recognition

(1) Length of Service (LOS) Certificates. These awards recognize significant milestones in employees' careers and emphasize service to the Government, rather than service to a particular department or agency. When eligibility for LOS recognition is computed, employees should receive credit for total Federal service, including civilian and all honorable military service. The most commonly used LOS certificates are printed by the Government Printing Office and obtained through the U.S. Office of Personnel Management (OPM) "Rider" system on an annual basis. These certificates can only be ordered once a year, usually in August. The OPM LOS certificates are available in five-year increments and recognize service from five to fifty years. Commands and activities may also develop and print their own LOS certificates. This type of recognition of employees is strongly encouraged but not required.

(2) Career Service and Retirement Certificates. For career service, the Secretary of the Navy (SECNAV) Career Service Award Certificate (NAVSO 12453/1 (4-77)), and for retirement, the SECNAV Certificate of Retirement (NAVSO 12450/11 (9-83)) forms are available and may be ordered online through the Defense Automated Printing Service, website at <http://forms.daps.dla.mil/>. The signature of the SECNAV may be obtained on career service and retirement awards for forty or more years of service. To obtain the SECNAV's signature the following guidelines should be followed:

(a) A memo requesting the SECNAV's signature should accompany the appropriate certificate with the honoree's name and number of years of service already printed on it. A return envelope should also be provided. The certificate should not be dated, as it will be dated when signed. Certificates should be carefully packaged to avoid damage in transit.

(b) Requests should be submitted as far ahead of the needed date as possible (at least 60 days). The requesting memo, certificate, and the return envelope should be addressed to: SECNAV, Administrative Division, The Pentagon, Room 4D680, Washington, DC 20350.

11. 11. Honorary Awards

a. Honorary awards can be powerful tools to promote organizational and team goals and objectives. Often these forms of non-monetary recognition can be more effective than cash awards. When there is a mixed workforce including both military and civilian personnel there are different requirements for eligibility for cash awards; however, honorary awards programs may be created that allow recognition of the contributions of both.

b. Honorary awards programs provide additional means to recognize an employee's overall value to an organization. They provide an opportunity to acknowledge valuable contributions made, and may reflect contributions made over a period of months or years. Honorary recognition may be in addition to or instead of monetary or time off recognition.

c. There are numerous forms that an honorary award may take, (e.g., a letter of commendation to a medal, tie tack, pin, coffee mug, belt buckle, plaque, etc.). Activities are to use discretion on the value of this type of recognition, as these awards are to be modest in cost, usually less than \$75, and are normally displayed rather than used.

d. Given their nature as symbolic formal recognition, items presented as honorary awards must meet all the following criteria:

(1) The item must be something that the recipient could reasonably be expected to value, but not something that conveys a sense of monetary value.

(2) The item must have a lasting trophy value. The item must clearly symbolize the employer-employee relationship in some fashion.

(3) The item must take an appropriate form to be used in the public sector and to be purchased with public funds (e.g., while private sector employers may pay for vacation trips to exotic places, new cars, color televisions, etc., DON organizations must be mindful that they are spending taxpayer money and choose an appropriate form of recognition in keeping with their responsibility in the use of public funds).

e. DON Honorary Awards

(1) DON Distinguished Civilian Service Award. This award is the highest honorary award the SECNAV can confer on a DON civilian employee. The award is granted only to those employees who have given distinguished and/or extraordinary service to the DON. The DARP will review all nominations. The achievements or service must be truly exceptional when measured against the position requirements of the individual, and should far exceed the contributions and service of others with comparable responsibilities. This award should be reserved for contributions that are so unusual and/or significant that recognition at the SECNAV level is deserved. Additional indicators include using:

(a) A pattern of long-term, sustained high performance as evidenced by the nominee having previously received high honorary awards (e.g., DON

Superior Civilian Service Award and/or DON Meritorious Civilian Service Award, or similar awards or honors).

(b) Career achievements that are recognized throughout the DON.

(c) Indications of innovative leadership of highly successful programs or projects that have impacted beyond the nominee's activity or Command.

(d) Accomplishments/achievements that have had, as a minimum, DON-wide impact.

(e) Scientific or technical advances or suggestions of significant value.

(f) Accomplishments that show unusual management abilities, innovative thinking and/or outstanding leadership that benefits the DON.

(g) Responsibility for major cost savings/reductions/avoidance.

(h) Exceptional cooperative efforts with other Navy offices, Federal agencies, or the private sector.

(i) Unusual acts of heroism beyond the call of duty.

(2) DON Superior Civilian Service Award. This award is the second highest honorary award in the DON. The same criteria in paragraph 11.e.(1)(a) through (i) will be used for granting this award, however, the contribution, while exceptional in value, would be narrower in scope or impact (e.g., accomplishment that is significant and has far-reaching major Command-wide impact). Echelon 2 and above Commanders may approve this award.

(3) DON Meritorious Civilian Service Award. This award is the third highest honorary award in the DON. The same criteria in paragraph 11.e.(1)(a) through (i) will be used for granting this award, however, the contributions, while high in value, are more limited in scope/impact (e.g., accomplishment should be significant and have far reaching impact, but less than the Superior Civilian Service Award). This award should not be used as a retirement award. However, if a significant accomplishment occurs close to retirement, it may be acceptable to present it at retirement. Echelon 2 and above Commanders may approve this award.

(4) DON Distinguished Civilian Medal for Valor. This award is the highest honorary award the SECNAV can confer upon DON civilian employees for valor. The DARP will review all nominations. No more than one medal per person may

be authorized for multiple acts of heroism resulting from the same incident. The award may be granted posthumously and, when so awarded, may be presented to a representative to be determined by the deceased member's family. Eligible employees are those whose unselfish acts meet all of the following criteria:

(a) Distinguished, extraordinary and unusual acts of heroism beyond the call of duty.

(b) The individual must have exhibited extreme courage and conscious acts of sacrifice, risk to personal safety or determination in facing significant and grave danger in a perilous situation.

(c) The act of valor must be related to his or her Government employment (e.g., act occurs on the job or while employee is in a duty status; involves a military member or civilian DON employee, is related to the mission of the DON; the reputation of the DON is enhanced).

(d) The public interest is served.

(e) Nominations must be well documented. Newspaper reports, police reports, or other contemporaneous accounts of the acts must be submitted where possible.

(5) DON Superior Civilian Medal for Valor. This award is the second highest honorary award for valor and recognizes acts of valor that do not meet the criteria in paragraph 11.e.(4). Echelon 2 and above Commanders may approve this award. No more than one medal per person may be authorized for multiple acts of heroism resulting from the same incident. This award may be granted posthumously and, when so awarded, may be presented to a representative to be determined by the deceased member's family. It may be granted for:

(a) Unusual acts of heroism beyond the call of duty.

(b) The individual must have exhibited courage, sacrifice and risk or clear presence of mind in assisting others in an emergency situation.

(c) While the individual voluntarily places himself or herself in danger, the level and degree of danger or risk is not as extreme as the Distinguished Civilian Medal for Valor.

(d) The act of heroism may be related to his or her Government employment, but this is not a requirement.

(e) As a result of the act, the reputation of the DON is enhanced or the public interest is served.

(f) The employee may be in a duty status or non-duty status when the heroic action is performed.

12. DON Awards for Private Citizens and Organizations

a. DON Public Service Awards are available for private citizens and/or organizations for outstanding voluntary contributions to the mission and best interests of the DON (e.g., contributed to the development of enhanced operational proficiency; established a scholarship fund for children of military members who lost their lives in action; established a local naval history museum). They are designed to provide formal recognition for individuals or groups who are not employed by the DON, or who were not so employed during the period for which a public service award is recommended. They may also be used for senior DON officials in non-career or appointive positions. To qualify for a DON Public Service Award, the contribution(s) must have occurred within the five-year period preceding the date of nomination.

b. DON employees who are eligible for the honorary awards described in paragraph 11 above are not eligible for the public service awards.

(1) DON Distinguished Public Service Award. This award is the highest form of public service recognition that may be approved by the SECNAV. Nominations are limited to those extraordinary cases where individuals have demonstrated exceptionally outstanding service of substantial and long-term benefit to the Navy and/or the Marine Corps. The award may also be approved for specific courageous or heroic acts bearing directly on the accomplishment of the DON mission. Since this award may only be approved and signed by the SECNAV, all nominations must be forwarded to the SECNAV via the DARP.

(2) DON Superior Public Service Award. This award is the second highest civilian honorary award and recognizes significant contributions that have broad impact. Such contributions, while not necessarily affecting the entire DON, must have substantially benefited a major organizational element or large geographical area. The SECNAV or any Echelon 2 or above Commander may sign the award. When signed by the SECNAV, nominations must be sent to the DARP. DARP approval and recommendation is not required if the award is to be signed at a lower level.

(3) DON Meritorious Public Service Award. This award is the third highest public service recognition and is awarded for significant contributions with substantial impact upon a specific activity or geographical location. These awards

may be approved and signed by Echelon 2 or above Commanders and are rarely signed by the SECNAV.

(4) DON Award of Merit for Group Achievement. This award is granted by the SECNAV and is presented to corporations, associations or other groups for outstanding services to the DON in connection with a single project, program or other effort that was significantly beneficial to the accomplishment of the overall mission of the DON. It will be granted for company, group or association achievement only and not for the outstanding contributions of a single member. The award consists of one certificate signed by the SECNAV. Nominations for these awards must be forwarded to the SECNAV via the DARP.

13. Time-Off Awards. Time-off awards are an alternate and/or additional means of recognizing the superior accomplishments or achievements of employees with other than cash or honorary awards.

a. Criteria. Decisions to grant time-off awards shall be based upon the same criteria or circumstances as for any other incentive award. Examples of achievements that may be considered for a time-off award:

(1) High-level performance.

(2) Making a high-quality contribution involving a difficult or important project or assignment.

(3) Displaying special initiative and skill in completing an assignment or project before the deadline.

(4) Using initiative and creativity in making improvements in a product, activity, program or service.

(5) Ensuring the mission of the unit is accomplished during a difficult period by successfully completing additional work or a project assignment while maintaining the employee's own workload.

(6) Accomplishing a specific, one-time or special assignment that required extra effort or resulted in the organization receiving recognition for responsiveness to un-programmed requirements.

b. Supervisors and managers shall fully consider wage costs and productivity loss when granting time-off awards and shall ensure that the amount of time-off granted as an award is commensurate with the individual's contribution or

accomplishment. Appendix E contains a recommended award scale for determining time-off awards.

c. Limitations on Time-off Awards

(1) The total amount of time-off that may be granted to any one individual in any one leave-year is 80 hours. For part-time employees or those with an uncommon tour of duty, the total time that may be granted during any calendar year is the average number of hours of work generally worked during a pay period (DoD CPM 1400.25-M, Subchapter 451, 14.2.1).

(2) The maximum amount of time-off that may be granted to an individual for a single contribution is 40 hours. For part-time employees or those with an uncommon tour of duty, the maximum award for any single contribution is one-half the maximum amount of time that would be granted during the year (DoD CPM 1400.25-M, Subchapter 451, 14.2.2).

(3) Time-off granted as an award must be scheduled and used within one year after the effective date of the award. Any unused amount remaining after that time will be forfeited without further compensation to the employee (DoD CPM 1400.25-M, Subchapter 451, 14.3).

(4) A time-off award does not convert to cash under any circumstances (DoD CPM 1400.25-M, Subchapter 451, 14.4).

(5) Time-off awards shall not be granted to create the effect of a holiday or treated as administrative excusals or leave.

(6) A time-off award for a period in excess of one workday must be reviewed and approved by an official at an organizational level higher than the individual making the initial award determination.

(7) For purposes of this authority, and to ensure equity and fairness, heads of Navy and Marine Corps activities that authorize flexible, compressed or alternative work schedules may determine “one workday” to be greater than 8 hours, even for employees not on a flexible, compressed or alternative work schedule (e.g. time off awards of nine hours for each employee in a group, even though only half the group is on a 5/4/9 compressed work schedule).

d. Portability. A time-off award shall not be transferred between DoD components. If an employee is transferring to another DoD activity or outside DoD, the employee should be allowed to use the award prior to the transfer. Managers and supervisors should make every effort to ensure that the employee is

able to use the time-off award before he or she leaves the component. A time-off award can be transferred within DON; however, it must be scheduled and used within one year after the effective date of the award.

14. DoD and Presidential Awards

a. DON employees are eligible for the following DoD and Presidential awards described in DoD 1400.25-M, Subchapter 451, Appendices 1 and 2:

- (1) DoD Distinguished Civilian Service Award
- (2) SECDEF Meritorious Civilian Service Award
- (3) DoD Distinguished Public Service Award
- (4) SECDEF Award for Outstanding Public Service
- (5) President's Award for Distinguished Federal Civilian Service
- (6) Presidential Medal of Freedom
- (7) Presidential Citizens Medal
- (8) National Security Medal

b. Nominations for awards in paragraph 14.a. must be submitted to the SECNAV for endorsement via the DARP.

c. In addition, DON civilians meeting qualifying criteria are eligible for the following DoD awards not contained in DoD CPM 1400.25-M:

(1) Armed Forces Civilian Service Medal

(a) Purpose. The Deputy Secretary of Defense approved the Armed Forces Civilian Service Medal (AFCSM) to recognize the contributions and accomplishments of civilian employees in directly supporting our military forces, whose members are engaged in military operations of a prolonged peacekeeping or humanitarian nature. This award is aligned as closely as practicable to that of the Armed Forces Service Medal (AFSM).

(b) Eligibility. The AFCSM is a theater award of operations. Any DON civilian employee meeting the definition of employee under Title 5 U.S.C., Section 2105 and who is eligible for an award under DoD CPM 1400.25-M, Subchapter 451, including employees of non-appropriated fund activities, who on

or after June 1, 1992, has been in a designated theater of operations and participated in direct support of a qualifying U.S. military operation for which military personnel have been awarded the AFSM, is eligible. Qualifying operations are significant U.S. military activities where the AFSM has been authorized for military personnel.

(c) Criteria. In order to qualify for the medal:

1. Employees must be engaged in direct support for 30 consecutive days in the area of eligibility (or for the full period when an operation is of less than 30 days duration) in a military operation awarded the AFSM.

2. Alternatively, the employee would qualify for the medal by providing direct support for 60 non-consecutive days in an AFSM operation provided this support involves the employee entering the area(s) of eligibility. The areas of eligibility are the same as designated for approved AFSM military operations, specifically:

a. The foreign territory on which military troops have actually landed or are present and specifically deployed for the operation;

b. Adjacent water areas in which ships are operating, patrolling or providing direct support of the operation, and

c. The air space above and adjacent to the area in which operations are being conducted.

(d) Responsibility and Approval. The SECNAV is the approval authority for this award for DON employees. Recommendations will be submitted through the DARP.

(e) Additional Information. The AFCSM may be awarded posthumously and, when so awarded, may be presented to such representative of the deceased as may be deemed appropriate by the SECNAV.

(2) SECDEF Medal for the Defense of Freedom

(a) Purpose. The Defense of Freedom medal is established to acknowledge civilian employees in DoD who are killed or wounded in the line of duty.

(b) Eligibility. DON civilian employees meeting the definition of employee under Title 5 U.S.C., Section 2105 and who are eligible for an award under DoD CPM 1400.25-M, Subchapter 451, including employees of non-appropriated fund activities, when killed or wounded by hostile action while serving under any competent authority of the DoD under conditions for which a military member would be eligible for receipt of the Purple Heart, are eligible for the medal.

(c) Criteria. Criteria for the medal are aligned as closely as practicable to those of the Purple Heart. The medal shall be awarded to employees who are killed or who sustained serious injury due to hostile action against the United States of America, or who were wounded or killed while rescuing or attempting to rescue any other employee or individual subjected to injuries sustained under such conditions. Hostile action may involve, but is not limited to, the use of conventional or nuclear weapons, chemical or biological agents, explosives or missiles. The wound for which the award is made must have required treatment by a medical officer and records of medical treatment for wounds or injuries received in action must have been made a matter of official record.

(d) Responsibility and Approval. Employees are not nominated; they are entitled to the medal if eligible and the conditions or criteria are present. The SECNAV is the approval authority for this award for DON employees. Recommendations will be submitted through the DARP. The SECDEF has retained discretionary approval authority for granting this award to non-DoD personnel who are otherwise qualified based on their involvement in DoD activities.

(e) Additional Information. The medal may be awarded posthumously and, when so awarded, may be presented to such representative of the deceased employee's family. The medal itself may be awarded only once; however, subsequent events that would require the award of the medal will be recognized with an appropriate device to be worn on the medal.

15. 15. Award Ceremony

a. 5 U.S.C. 4503 authorizes agencies to incur necessary expenses for the honorary recognition of employees. While OPM regulations do not specify the form that honorary or non-monetary recognition must take, award ceremonies are also considered a form of honorary/non-monetary recognition.

b. Ceremonies have a tremendous value to the organization that extends well beyond those individuals being recognized and the cost of the individual awards being presented. Award ceremonies publicly identify those individuals and groups of employees who exemplify the organization's core values; and public recognition is key to their serving as examples and inspiration to others to achieve the high goals and expectations set for the organization.

c. Award ceremonies may be formal with top management present, the whole organization is invited, flags, music, color guards, etc. Less elaborate and more informal events, held in the shop or office, can be just as inspirational and meaningful.

d. Normally, using Government funds to purchase food for employees at their official duty station is prohibited. However, Comptroller General Decision B-271511 affirms a limited exception---that appropriated funds may be used to purchase food either when the meal is the award or to purchase light refreshments, such as cake and punch, for a reception honoring those being recognized.

e. Food may be used as an award as long as the contribution being recognized will be properly rewarded by presenting an informal recognition award of nominal value, rather than a cash award, time off award or an honorary award and the food represents a form of informal recognition award that would not jeopardize the credibility and integrity of the Government's incentive awards program.

f. Contractors may not participate in ceremonies or attend receptions when public funds are used.

APPENDIX A

DELEGATION OF AUTHORITY TO APPROVE DEPARTMENT OF THE NAVY (DON) HONORARY AND CASH AWARDS

LOWER LEVEL AWARDS

Honorary Awards:

Navy Meritorious Civilian Service Awards

Awards created locally

Cash Awards:

Special Act Awards, Suggestion Awards, etc.; to a maximum of \$5,000 per individual

Performance awards up to 10 percent of base pay that do not exceed \$5,000 per individual

Approval Authorities:

Commanders

Activity Heads

MIDDLE LEVEL AWARDS

Honorary Awards:

Navy Superior Civilian Service Awards and/or Meritorious Civilian Service Awards

Navy Superior Civilian Medal of Valor

Navy Meritorious Public Service Award

Navy Superior Public Service Awards (only if not requesting approval/signature of the Secretary of the Navy (SECNAV))

Awards created at the Echelons 1 and 2 Command level

Cash Awards:

Special Act Awards, Suggestion Awards, etc., totaling \$5,001 to \$10,000 per individual

Performance awards up to 10 percent of base pay that do not exceed \$10,000 per individual

Approval Authorities:

All Echelon 1 and 2 Commands

Commandant of the Marine Corps

Chief of Naval Operations

Chief of Naval Research

Commander, U.S. Atlantic Fleet

Commander, U.S. Pacific Fleet

Commander, U.S. Naval Forces, Europe

Commander, Navy Installations

Immediate Office of the Secretary of the Navy

Director, Office of Civilian Human Resources

Unified Commands (COMPAC and COMLANT only)

Commander, Naval Reserve Force

Chief, Naval Education and Training

Commander, Naval Air Systems Command

Commander, Naval Facilities Engineering Command

Commander, Naval Sea Systems Command

Commander, Naval Supply Systems Command

Chief, Bureau of Medicine and Surgery

Commander, Space and Naval Warfare Systems Command

Heads of Independent Offices

Chief of Naval Personnel

Commander, Military Sealift Command

Commander, Naval Computer and Telecommunications Command

Director, Naval Criminal Investigative Service

Commander, Naval Security Group

Director, Office of Naval Intelligence

Commander, Naval Meteorology and Oceanographic Command

Director, Strategic Systems Programs

Commander, Naval Recruiting Command

Type Commanders

HIGHEST LEVEL AWARDS

Honorary Awards:

Navy Distinguished Civilian Service Awards; and/or Superior Civilian Service Awards/Meritorious Civilian Service Awards

Navy Distinguished Civilian Medal for Valor

Navy Distinguished Public Service Awards; and/or Superior Public Service Awards/Meritorious Public Service Awards

Cash Awards:

Special Act Awards, Suggestion Awards, etc., totaling \$10,001 to \$25,000 per individual

Performance awards exceeding 10 percent and up to 20 percent of base pay which do not exceed \$25,000 per individual

All cash awards exceeding \$25,000 must also go to SECNAV for approval/endorsement before being sent on to the Department of Defense (DoD) and/or the U.S. Office of Personnel Management (OPM)

Approval Authority:

SECNAV or Acting Secretary of the Navy **only**

NOTE: All of the awards at this level must be forwarded to the SECNAV via the Department of the Navy Awards Review Panel (DARP), Office of the Deputy Assistant Secretary of the Navy (Civilian Human Resources) (DASN (CHR)), Executive Personnel and Leadership Development Division (OCHR 013).

APPENDIX B

AWARDS TO BE REVIEWED BY THE DEPARTMENT OF THE NAVY AWARDS REVIEW PANEL (DARP)

The following awards require DARP review and recommendations before they are forwarded to the respective sponsors.

Awards Requiring Signature of the Secretary of the Navy (SECNAV):

Career Service Awards and Retirement Awards for 40 or more years of service

Cash Awards (Special Act, Suggestion, Invention, etc.), totaling \$10,001 to \$25,000 per individual

Performance awards exceeding 10 percent and up to 20 percent of base pay which do not exceed \$25,000 per individual

DON Distinguished Civilian Service Award

DON Superior Civilian Service Award and DON Meritorious Civilian Service Award (unless the award is to be signed at a lower level [See Appendix A])

DON Distinguished Civilian Medal for Valor

DON Distinguished Public Service Award

DON Superior Public Service Award and DON Meritorious Public Service Award (unless the award is to be signed at a lower level [See Appendix A])

DON Superior Public Service Award
(unless the award is to be signed at a lower level [See Appendix A])

DON Award of Merit for Group Achievement

DON Distinguished Achievement in Science Award

Armed Forces Civilian Service Medal

- Secretary of Defense (SECDEF) Medal for the Defense of Freedom

Awards Requiring Endorsement of the SECNAV

All cash awards exceeding \$25,000 (for forwarding to DoD and OPM)

DoD Distinguished Civilian Service Award
SECDEF Meritorious Civilian Service Award

DoD Distinguished Public Service Award

SECDEF Award for Outstanding Public Service

President's Award for Distinguished Federal Civilian Service

Presidential Medal of Freedom

Presidential Citizens Medal

Senior Executives Association/Professional Development League Executive Excellence Awards

Federal Executive Institute Alumni Association Executive of the Year Award

Awards to be reviewed by DARP for approval by cognizant Assistant Secretary of the Navy (ASN):

(NOTE: All of the following awards are signed by ASN (Manpower and Reserve Affairs)/Deputy Assistant Secretary of the Navy (Civilian Human Resources) unless indicated otherwise).

Outstanding Navy Employee with Disabilities

Arthur S. Fleming Awards to Honor Outstanding Men and Women in the Federal Government

Eugene G. Fubini Award

GEICO Public Service Awards

Roger W. Jones Award for Executive Leadership

William A. Jump Memorial Award for Distinguished Career Service in Public Administration

Donald L. Scantlebury Memorial Award for Distinguished Leadership in Financial Management Improvement (to be signed by ASN (Financial Management and Comptroller))

Women in Science and Engineering Awards

APPENDIX C

SCALE OF AWARD AMOUNTS BASED ON TANGIBLE BENEFITS

BENEFITS Estimated First-Year Benefits	AWARD Amount of Award to Employee
Up to \$10,000 in benefits	10% of the benefits
Between \$10,000 and \$100,000 in benefits	\$1,000 Plus 3% to 10% of benefits over \$10,000
More than \$100,000 in benefits	\$3,700 to \$10,000 for the first \$100,000 in benefits. Plus 0.5% to 1.0% of benefits above \$100,000
	For all individual awards of more than \$25,000, Presidential approval is required. Recommendation is reviewed and concurrence required by the DARP, the SECNAV, the SECDEF, and the OPM.

APPENDIX D

SCALE OF AWARD AMOUNTS BASED ON INTANGIBLE BENEFITS

VALUE OF BENEFIT	EXTENT OF APPLICATION			
	<p>LIMITED</p> <p>Affects functions, mission, or personnel of one facility, installation, regional area, or an organizational element of headquarters. Affects small area of science or technology.</p>	<p>EXTENDED</p> <p>Affects functions, mission, or personnel of an entire regional area, command, or bureau. Affects an important area of science or technology.</p>	<p>BROAD</p> <p>Affects functions, mission, or personnel of several regional areas or commands, or an entire department or agency. Affects an extensive area of science or technology.</p>	<p>GENERAL</p> <p>Affects functions, mission, or personnel of more than one department or agency, or is throughout the Nation and beyond.</p>
<p>MODERATE</p> <p>Change or modification of an operating principle or procedure with limited use or impact.</p>	<p>\$25 - \$500</p>	<p>\$501 - \$750</p>	<p>\$751 - \$1,000</p>	<p>\$1,001 - \$15,000</p>
<p>SUBSTANTIAL</p> <p>Substantial change or modification of procedures. Important improvements to the value of a product, activity, program, or service to the public.</p>	<p>\$501 - \$750</p>	<p>\$751 - \$1,000</p>	<p>\$1,001 - 1,500</p>	<p>\$1,501 - \$3,100</p>

VALUE OF BENEFIT	EXTENT OF APPLICATION			
<p>HIGH</p> <p>Complete revision of a basic principle or procedure; a highly significant improvement to the value of a product or service.</p>	\$751 - \$1,000	\$1,001 - \$1,500	\$1,501 - \$3,150	\$3,151 - \$6,300
<p>EXCEPTIONAL</p> <p>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.</p>	\$1,001 - \$1,500	\$1,501 - \$3,150	\$3,151 - \$6,300	\$6,301 - \$10,000

APPENDIX E

SCALE OF TIME-OFF AWARDS

Moderate Value to Organization: 1 to 10 hours

(1) A contribution to a product, activity, program or service to the public, which is of sufficient value to merit formal recognition.

(2) Beneficial change or modification of operating principles or procedures.

Substantial Value to Organization: 11 to 20 Hours

(1) An important contribution to the value of a product, activity, program or service to the public.

(2) Significant change or modification of operating principles or procedures.

High Value to Organization: 21 to 30 Hours

(1) A highly significant contribution to the value of a product, activity, program or service to the public.

(2) Complete revision of operating principles or procedures, with considerable impact.

Exceptional Value to Organization: 31 to 40 Hours

(1) A superior contribution to the quality of a critical product, activity, program or service to the public.

(2) Initiation of a new principle or major procedure, with significant impact.