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Chapter 451

Incentive Awards

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- Pres. award

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Chapter 451

Incentive Awards

Subchapter J: Introduction

NOTE: Italicized material quotes law or regulation which requires compliance by agencies. Non-italicized material is guidance.

1-1. LEGAL BASIS

Chapter 45 of title 5, United States Code, is the legal basis for the Government Employees' Incentive Awards Program.

1-2. PURPOSES OF PROGRAM

The Government Employees' Incentive Awards Program is designed to improve Government operations and services. Its purpose is to motivate employees to increase productivity and creativity by rewarding those whose job performance and adopted ideas benefit the Government and are substantially above normal job requirements and performance standards. (5 CFR 451.201). The incentive awards program, when clearly endorsed and vigorously supported at all levels of management on a continuing basis, contributes significantly to improving Government productivity and services.

1-3. OFFICE OF PERSONNEL MANAGEMENT RESPONSIBILITIES

a. Section 4506 of title 5, United States Code, requires the Office to prescribe regulations and instructions under which agencies shall conduct their awards programs. The regulation on incentive awards is Part 451 of the Code of Federal Regulations. This chapter (451 of the Federal Personnel Manual), is guidance.

b. Regulations require that the Office:

(1) . . . review agency plans, plan changes, and operation of plans to determine compliance with OPM requirements. When review indicates non-compliance by an agency or organization, or when requested by an agency to do so, the Office will provide technical assistance to agencies and take whatever other actions are considered appropriate to bring about compliance;

(2) . . . report annually on the results of the awards program to the President, the Congress, and to agencies;

(3) . . . advise the President on Presidential awards for Government employees, and issue instructions to

agencies on how to nominate employees for Presidential awards (5 CFR 451.204.). In this context only, the word "employees" includes military personnel eligible for Presidential letters of commendation and Presidential Management Improvement Awards described in subchapter 5-2b. and c.

1-4. AGENCY RESPONSIBILITIES

The Office of Personnel Management encourages agencies to make maximum use of their authorities under Chapter 45 of title 5, United States Code, to establish and administer awards programs that best support and enhance agency and national goals, and meet employee recognition needs. (5 CFR 451.202). Agencies should design awards programs that will:

(1) encourage all employees to share actively in improving Government operations;

(2) recognize and reward, appropriately, promptly, and on the basis of merit, individuals and groups for suggestions, inventions, superior performance, special acts or services, or other personal efforts that substantially exceed normal standards or expectations and result in improved Government productivity or services. (See subchapter 4 for Agency requirements.)

1-5. DEFINITIONS

In this chapter:

(1) "Government" means the Government of the United States and the government of the District of Columbia. (5 U.S.C. 4501).

(2) "Office" means the United States Office of Personnel Management. (5 CFR 451.203).

(3) "Agency" . . . means (A) an Executive Agency; (B) the Administrative Office of the United States Courts; (C) the Library of Congress; (D) the Office of the Architect of the Capitol; (E) the Botanic Garden; (F) the Government Printing Office; and (G) the government of the District of Columbia, but does not include (i) the Tennessee Valley Authority or (ii) the

Central Bank for Cooperatives, (5 U.S.C. 4501). The United States Postal Service, while not specifically covered by this chapter, operates an incentive awards program and participates in the Government-wide interdepartmental referral of employee contributions.

(4) "Employee" means (a) . . . an officer and an individual who is (1) appointed in the civil service by . . . a Federal officer, . . . (2) engaged in the performance of a Federal function under authority of law or an Executive act; and (3) subject to the supervision of . . . a Federal officer . . . while engaged in the performance of the duties of his position. (5 U.S.C. 2105) and (b) an individual employed by the government of the District of Columbia. (5 U.S.C. 4501). Employee does not mean an individual paid under the cash award program established under 5 U.S.C. 5403 for merit pay (GM) employees.

(5) "Plan" means a written statement approved by the head of the issuing agency, implementing law and regulation on the Government Employees' Incentive Awards Program. (5 CFR 451.203).

(6) "Incentive Award" or "award" means either a cash award, an honorary award, or both. (5 CFR 451.203) but does not include a quality step increase.

(7) "Contribution" means a (1) . . . suggestion, invention, superior accomplishment, or other personal effort . . . that . . . contributes to the efficiency, economy, or other improvement of Government operations . . . or (2) . . . a special act or service in the public interest, in connection with or related to his official employment. (5 U.S.C. 4503).

(8) "Agency award" means an award granted by the head of an agency for an approved contribution from an employee or employees of that agency under the authority of 5 U.S.C. 4503.

(9) "Interagency award" means an award granted by the head of an agency for an approved contribution from an employee or employees of another agency, or

to a member of the armed forces under the provisions of Executive Order 11438.

(10) "Presidential award" means an award granted by the President under sections 4504 and 4507 of title 5, United States Code. (5 CFR 451.203).

(11) "Honorary award" means a medal, certificate, plaque, or other item that can be worn or displayed. Items of utilitarian nature are not considered an honorary award simply because they can be displayed. "Other item," in this sense, should have an award or honor connotation and should not exceed the price range of a medal, certificate, or plaque normally used for honorary recognition.

(12) "Special achievement award" means an award granted for performance exceeding job requirements. It may be granted either for sustained superior performance or for a one-time special act or service in the public interest, connected with, or related to official employment.

(13) "Suggestion award" means an award granted for an idea submitted in writing by an employee, or employees and adopted by management, which benefits the Government.

(14) "Non-cash award" means a letter of appreciation or other appropriate means used under the provisions of this chapter to recognize employee contributions which do not meet the standard for a cash award.

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

(16) "Quality Step Increase" or "QSI" means an additional within-grade increase granted to General Schedule employees under 5 USC 5336 in recognition of high-quality performance above that ordinarily found in the type of position concerned.

An increase in an employee's rate of basic pay from one rate of the grade of his or her position to the next higher rate of that grade in accordance with section 5336 of title 5, United States Code in recognition of sustained high quality performance at a level that substantially exceeds an acceptable level of competence.

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*Section 3202 of the District of Columbia Government Comprehensive Merit Personnel Act of 1978 supersedes the provisions of 5 U.S.C. 4501(1)(G), (2)(B) and (3) for employees hired on and after January 1, 1980.

Subchapter 2. Payment of Awards

2-1. PRESIDENTIAL AUTHORITY

The President may pay a cash award to, and incur necessary expense for the honorary recognition of, an employee who—(1) by his or her suggestion, invention, superior accomplishment, or other personal effort contributes to the efficiency, economy, or other improvement of Government operations . . . or (2) performs an exceptionally meritorious special act or service in the public interest in connection with or related to his or her official employment. A Presidential award may be in addition to an agency award. (5 USC 4504).

2-2. AGENCY HEAD'S AUTHORITIES

a. Employees other than Merit Pay. *The head of an agency may pay a cash award to, and incur necessary expense for the honorary recognition of, an employee who . . . by his or her suggestion, invention, superior accomplishment, or other personal effort contributes to the efficiency, economy, or other improvement of Government operations; or . . . performs a special act or service in the public interest in connection with or related to his or her official employment. (5 USC 4503).*

b. Merit Pay (GM) Employees. *The head of any agency may pay a cash award to, and incur necessary expenses for the honorary recognition of, any employee covered by the merit pay system, who . . . by the employee's suggestion, invention, superior accomplishment, or other personal effort contributes to the efficiency, economy, or other improvement of Government operations . . . or . . . performs a special act or service in the public interest in connection with or related to the employee's Federal employment. (5 USC 5303).* These provisions parallel the incentive awards provisions of 5 USC Chapter 45, above, to specifically focus the attention of agencies and individual agency managers on cash awards and to sanction and encourage their use in pay for performance determinations. When superior accomplishment on the job is related to assigned duties, it is expected that the performance appraisal generally will drive a manager's consideration of the appropriateness of a cash award in addition to a merit pay increase to base pay or in place of a merit pay increase where such an increase may not be appropriate. However, when superior contributions are not related to pay for performance decisions, there is no intent that awards for merit pay employees be used differently from incentive awards

granted to other employees under the provisions of 5 USC Chapter 45 and guidance provided in this chapter.

c. Necessary Expense. The head of the agency determines what constitutes "necessary expense" for the honorary recognition of employees. For example, agencies may elect to provide for a reception at which co-workers and friends may congratulate honor award winners. On such occasions it would be appropriate to provide light refreshments at nominal cost under authority of 5 USC 4503, above. And, while it is customary to provide necessary travel and per diem expenses for the honorees themselves, CG Decision B-166802 dated June 12, 1975, states that travel and transportation costs for family members of honorees are not considered "necessary expense" within the framework of delegated authority for awards. A further decision, (same number) dated February 26, 1976, stated that where a handicapped employee selected for an honor award would be unable to travel unattended because of the particular handicap, travel expense for an attendant may be paid by the employing agency.

d. Prior Approval. (1) An agency head may grant a cash award under 5 USC 4503 up to \$10,000 and, with the prior approval of the Office up to \$25,000 when he or she . . . certifies to the Office of Personnel Management that the suggestion, invention, superior accomplishment, or other meritorious effort for which the award is proposed is highly exceptional and unusually outstanding. (5 USC 4502). (2) For contributions deserving recognition beyond \$25,000, an additional award of up to \$10,000 (for a total award of \$35,000) may be approved by the President upon the recommendation of an agency head and the Director, OPM. (Instructions for submission of agency recommendations for awards over \$10,000 are contained in FPM Supplement 451, subchapter 2.)

e. Armed Forces Members. (1) Under the provisions of E.O. 11438, the head of an agency may pay a cash award to a member of the armed forces for a suggestion, invention, or scientific achievement that contributes to the efficiency, economy, or other improvement of the department or agency. (2) The Secretary of Defense, or the Secretary of Transportation with respect to the Coast Guard when it is not operating as a service of the Navy, may pay a cash award up to \$25,000 and incur the necessary expenses for honorary recognition of a member of the armed forces who contributes to

the efficiency, economy, or other improvement of Government operations, as provided by 10 USC 1124.

2-3. RESPONSIBILITY FOR PAYMENT

a. Agency Funding. *The head of each agency is required, by regulation, to allocate adequate funds to assure prompt action on awards. (5 CFR 451.205(a)(3)).*

b. Payment by Benefiting Agency. A cash award to, and expense for the honorary recognition of, an employee may be paid from the fund or appropriation available to the activity primarily benefiting or the various activities benefiting. (5 USC 4502(d)). The head of the agency concerned determines the amount to be paid by each benefiting activity for an agency award, and, under authority of Executive Order 10835, the Office determines the amount to be paid by each benefiting agency for a Presidential award.

c. Transfer of Funds. When an award is approved for an employee of another agency, arrangements shall be made to transfer funds to the employing agency. If the administrative costs of transferring funds would exceed the amount of the award, the employing agency shall absorb the award costs. (5 CFR 451.209(b)). Currently, it would not be practical to transfer funds when an award is \$200 or less. The amount of award should be calculated using the scales of the benefiting agency.

2-4. CONDITIONS OF PAYMENTS

a. Employee Agreement. Acceptance of a cash award . . . constitutes an agreement that the use by the Government of an idea, method, or device for which the award is made does not form the basis of a further claim of any nature against the Government by the employee, his or her heirs, or assigns. (5 USC 4502(c)).

b. Deduction from Award Amounts. *Awards are in addition to the regular pay of the recipient, and are subject to the withholding of income taxes. (5 CFR 451.209).* The tax must be deducted from the award, and the amount of the award may not be adjusted upward by a sum sufficient to cover the withholding tax. Cash awards are not subject to retirement deductions.

c. Salary Differentials. A cash award does not affect the computation of salary differentials.

d. Cash Awards to Deceased/Separated Employees. An agency may pay or grant an award . . . notwithstanding the death or separation from the service of the employee concerned, if the suggestion, invention, superior accomplishment, other personal effort, or special act or service in the public interest for which the award is proposed was made or performed while the employee was in the employ of the Government. (5 USC 4505).

e. Awards for Suggestions. (1) An employee suggestion must have been approved, at least in part, by the benefiting organization before an award may be granted, as required under 5 CFR 451.207.

(2) A suggestion may be made the basis for an award when it is accepted for adoption by an official author-

ized to do so, even though it is not to be placed into effect until a later date. An initial award may be made upon acceptance for adoption, and the balance granted upon actual implementation.

(3) To be eligible for an award, a suggestion should be accepted for adoption within the time frame established by the agency. When prolonged, legitimate consideration (e.g. test period) would cause the time limit to be exceeded, the suggestion program manager should extend the time limitation as necessary.

2-5. AMOUNTS OF AWARDS

a. Establishing Scales. Within the framework of law and regulation, agencies may establish their own awards scales. (See appendix C for OPM guidance on award amounts.)

b. Determining Amounts. Award amounts should be proportionate to the benefits resulting to the Government from the contribution. When more than one person is involved in the contribution, the total amount of the award to be shared normally should be the same as it would be had only one person been involved. (An exception may be made, as provided in d. below.)

c. Estimating Benefits. (1) Every effort should be made to determine tangible benefits resulting from employee contributions. For example, tangible benefits can be calculated or estimated when contributions conserve staffing power, materiel, time or space, eliminate unnecessary processes, or improve existing methods. Awards should not be based upon intangible benefits simply because it may be more expedient to do so. However, when benefits cannot be measured, for example, from contributions which improve science, medicine, natural resources, or service to the public, the award may be based on intangible benefits to the Government. Awards based on contributions with intangible benefits will be comparable, as far as practicable, with awards based on contributions with tangible benefits. (See appendix C.)

When a contribution results in both tangible and intangible benefits, the amount of the award warranted by the tangible benefits should be increased by the amount of the award warranted by the additional intangible benefits to the Government.

(2) Normally, awards are based on the estimated first-year benefits to the Government. However, . . . in addition to any award granted initially upon local application of a suggestion, invention, superior accomplishment, or other personal effort, a further award may be granted if:

- (1) There is wider application, or
(2) There are greater benefits than originally determined. (5 CFR 451.208).

d. Exceptions. Provision should be made for exceptions to be made to the agency's published scales of awards under appropriate circumstances. When this occurs, specific reasons in support of the determination should be included in the documentation and a higher

Hand (2) each contributing employee, including a supervisor, should share in the award. The award may be shared equally or shared in proportion to each employee's participation in the contribution.

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When a contribution results in both tangible and intangible benefits, the amount of the award warranted by the tangible benefits should be increased by the amount of the award warranted by the additional intangible benefits to the Government.

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A cash award under this chapter is in addition to the regular pay of the recipient (5 USC 4502 (c)), and is . . .

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level of approval should be required to authorize the exception. Appropriate occasions upon which exceptions to the published scales might be made include:

- When it is determined that a suggestion is within job requirements, but substantially exceeds standards of performance. In such instances, an agency may grant less than the full amount of the award, or
- when a contribution is made by more than one employee and the amount of the award, when

shared by all contributors, would be too small to be meaningful and motivating.

- when there are substantial non-recurring implementation costs for a contribution that will benefit the Government for a number of years. In such instances, the award may be based on an average of the estimated net benefits over a period of years.

Subchapter 3. Eligibility

3-1. AGENCIES

The following are required by law to participate in the Government Employees' Incentive Awards Program, and by regulation to establish and operate an up-to-date plan which meets OPM requirements: all Executive Agencies, the Administrative Office of the U.S. Courts, the Library of Congress, the Office of the Architect of the Capitol, the Botanic Garden, the Government Printing Office, and the government of the District of Columbia.

3-2. RECIPIENTS

a. Employees. Awards may be granted under the authority of 5 USC 4502-4504 to (1) an officer or individual other than a merit pay employee, who is (a) appointed in the civil service by a Federal officer, (b) engaged in the performance of a Federal function under authority of law or an Executive Act, and (c) subject to the supervision of a Federal officer while engaged in the performance of the duties of his or her position. While both career and non-career SES executives are eligible for awards under this authority, OPM recommends that Presidential appointees whose appointments require Senate confirmation receive honorary, rather than monetary awards. Honorary recognition is considered appropriate in light of the honor, salaries, and perquisites associated with such positions, and advisable because of the potential for adverse publicity that could result if such officials were to receive significant cash awards. An exception could be made if an SES executive, who had transferred into a Presidential appointment position, had elected to retain SES benefits. Other ~~public~~ appointees, who meet established criteria, may receive cash awards.

b. Former Employees. Awards may be granted under the authority of 5 USC 4505 to former employees and to the legal heirs or estates of deceased employees, if the contribution being recognized was made during Government employment.

c. Private Citizens. Agencies are encouraged to establish honorary awards of moderate value that may be granted to private citizens or organizations for significant contributions that benefit the department or

agency. These may take the form of medals, certificates, plaques or other items that can be worn or displayed. ~~may be granted to persons who are not Government employees.~~ S 2/

3-3. CONTRIBUTIONS

a. Type. An employee contribution may be a suggestion, invention, superior act, service, accomplishment, or other personal effort substantially contributing to improved Government productivity or services. Contributions by private persons or institutions should be voluntary activities and efforts which aid or facilitate the work of the agency or the Government.

b. Criteria for granting an award.

(1) Initial Awards. A key purpose of the awards program is to encourage employees to play an active role in improving the economy and efficiency of Government operations. Accordingly, employees at all levels should be given the same encouragement to make superior contributions, and all employees whose contributions to the Government substantially exceed job standards should be considered for appropriate recognition. When merited, awards should be granted without regard to the employee's grade or level and type of responsibility. An award may be granted when:

(a) The employee contribution benefits the Government, was made while the individual was a Government employee, has been described in writing, and has been approved by the benefiting organization at a management level higher than the individual who recommended the award or use of the suggestion or invention.

(b) The contribution is outside the employee's job responsibilities, or within the employee's job responsibilities if it is so superior or meritorious that it warrants special consideration for an award. (Guidance on determining relationship of contribution to job responsibilities, and extent to which recognition may be appropriate, is in appendix D.)

(c) A suggestion has been adopted only in part.

(d) A suggestion calling attention to regulations or procedures that are not being observed or enforced, or to instances of fraud or abuse, causes management action that results in substantial tangible benefits to the Government.

(2) Further Recognition.

(a) After a Promotion. A promotion that has taken into consideration the employee's superior job performance ordinarily is considered to be adequate rec-

¹ Section 3202 of the District of Columbia Government Comprehensive Merit Personnel Act of 1978 supersedes the provisions of 5 USC 4501 (1)(G), (2)(B) and (3) for employees hired on and after January 1, 1980.

ognition of the high-level performance. However, this would not preclude an award being granted for a suggestion that had been adopted and for a special act or service, if criteria for these awards were met by an individual who had received a promotion.

(b) **After a Previous Award.** The fact that an employee has received a cash award for a suggestion or a special act or service does not preclude the employee receiving additional recognition based on sustained

superior performance provided the contribution previously awarded is not used to support the new recommendation.

(c) **Upon Wider Application or Greater Benefits.** In addition to any award granted initially upon local application of a contribution, a further award may be granted if there is wider application or if there are greater benefits than originally determined.

Subchapter 4. Agency Requirements

4-1. RESPONSIBILITIES OF THE AGENCY HEAD

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a. Training. *The head of each agency shall give personal leadership to the agency's incentive awards program and seek to gain maximum benefits for the Government through improved employee motivation and productivity by providing for:* Equal opportunity for all employees to earn awards by training employees on how they may earn awards, and further training for supervisors and managers on the effective use of incentive awards to improve individual and organizational performance. (5 CFR 451.205).

(1) Entrance on Duty. New employees, at all levels, should receive an orientation on the incentive awards program which includes, as a minimum, an explanation of agency policy on granting awards; the purpose of the program; the scope of awards authorized under the agency's program; and criteria, documentation, processing procedures, and approval authorities for performance and suggestion awards.

(2) Follow-up. All employees should receive further guidance on how to think creatively and to use this process to develop suggestions to improve agency and Government productivity and services, the techniques of writing suggestions clearly and succinctly, and how to estimate and describe benefits to the Government.

(3) Supervisors and Managers. Supervisors and managers should receive training which explains their role as catalysts in achieving maximum individual and organizational productivity, i.e. encouraging more effective performance and employee ideas for improvement; rewarding superior achievement promptly; taking a positive approach to suggestions through prompt, fair, and courteous responses; being fair and objective in granting awards; publicizing what is granted to whom, and why, to maintain credibility; considering wider application, within the agency and throughout Government, of suggestions, inventions, and other acts for which employees receive awards, to obtain maximum benefit to the Government. (Information about publications and training aids available for agencies' use is in FPM supplement 451, subchapter 1.)

b. Equity and Credibility. *Integrity of the program by reviewing agency program results to assure that awards are granted equitably, on the basis of merit, and that, when merited, action is taken to grant awards; and that information is made available con-*

cerning persons who have received awards and the reason(s) why each award is granted; (5 CFR 451.205).

c. Resources. *Greatest motivational impact by allocating an adequate budget and staffing and support services to assure prompt action on all employee suggestions and performance award recommendations and effective promotion and publicity activities. (5 CFR 451.205). (Guidance on staffing is in appendix G of this chapter, and on promotion and publicity in FPM supplement 451, subchapter 3.)*

d. Submissions to OPM. *The head of each agency shall transmit to the Office:*

(1) *Award recommendations over \$10,000*

(2) *Recommendations for Presidential awards including those for monetary recognition beyond \$25,000 under 5 USC 4504.*

(3) *Any new plan, or change in plan, no later than 30 days prior to the proposed effective date; and*

(4) *By November 15, annually, a report on program activities for the past fiscal year and a statement of major program goals, objectives and resources for the next year. (5 CFR 451.205). Instructions for preparing the annual report, using Standard Form 69 "Incentive Awards Annual Report", are in FPM supplement 451, subchapter 4.)*

4-2. AGENCY PLANS

a. Requirements. *Each agency shall establish and operate an up-to-date plan which shall provide for:*

(1) *Delegation of authority and responsibility for approval of awards to the lowest level consistent with sound management practices. (5 CFR 451.206). Performance award recommendations should be initiated by the immediate supervisor and at least one level of review, which may also be the approving authority, is required. Suggestions should be adopted by line management and at least one level of review/approval for the award is required. ~~The agency head may delegate responsibilities in 3-1a through c above, as deemed appropriate.~~*

(2) *Award recommendations to involve the minimum amount of paperwork and processing which shows that criteria are met, expenditure of appropriated funds for the award is justified, and that a record of an award approved under this part is made in the official personnel file. (5 CFR 451.206.) Agencies may design their own performance award nomination formats, may use performance appraisal documentation, if adequate, or*

the suggested formats in appendix E, or may prefer to use a letter or memorandum. In any event, the following information is needed:

- Identifying information such as type of award recommended; name, job title and grade, and organizational location of the nominee; and, where there is a required minimum period of above-average performance, the period covered.
- A narrative justification that is brief, factual and objective and which includes a statement of the impact of the contribution on the organization including an estimate of tangible and intangible benefits.

Use of Committees to act upon individual routine award recommendations is unnecessarily time-consuming and often delays granting the award. This defeats the objective of reinforcing desired behavior through recognition because (1) employees and their peers perceive no connection between the award and the superior performance or special act or service or (2) the suggestion evaluation/adoption/reward process is so lengthy that the employee and co-workers are discouraged.

(3) *Central administration and review of the agency-wide program, including systematic evaluation, planning, and feedback reports to employees.* (5 CFR 451.206). Because there are widely divergent views among supervisors about cash awards and standards for granting them, agency and subordinate organization heads need to be aware of the frequency and types of recognition being granted within their organization and how these figures compare with similar organization and Government-wide results. Comparative statistics by agency may be found in OPM's annual publication, "Achievement," available in most libraries or from Agency Incentive Awards Program Administrators. Inquiry should be made into reasons why an organization's recognition rate deviates excessively from average. There may be valid reasons, e.g. organization or mission changes, or over or under-achievement of organization goals. If no valid reason exists, this may indicate a training need which should be filled. Agencies must retain responsibility for program oversight; policy development/interpretation; and program evaluation, planning and guidance. Each subordinate level should provide for annual awards program evaluation, planning, and reporting to management. (Guidance on program evaluation and planning is in FPM supplement 451, subchapter 5.) OPM recommends that agencies require heads of subordinate organizations to submit to the agency: (a) the organization's annual report on the incentive awards program, and (b) proposed new incentive awards plans and plan changes, for review, prior to implementation.

(4) *Time limits for completion of evaluation of suggestions and action on performance award recommendations.* (5 CFR 451.206). These are intended to achieve prompt recognition of employee contributions,

and do not adversely affect an employee's suggestion rights. Normally, award recommendations and suggestions should be processed within 30 days for cases which can be approved locally, 60 days where they require a higher level approval, and 90 days where they require agency level approval. Awards which recognize special acts or services, sometimes called "on-the-spot" awards, must be processed immediately.

(5) *Linkage between the awards program and achievements of national and agency goals and objectives.* (5 CFR 451.206) New OPM policy spelled out in 5 CFR 451.202 encourages agencies to make maximum use of their delegated authorities to grant awards. Within the framework of law and regulation, each agency may tailor its program to meet specific organization, mission, and work force recognition needs. The many and various uses of awards to reduce costs and to further goals and objectives is virtually unlimited. Imaginative uses of awards which have been or are being used included awards for:

- productivity improvement,
- acquiring and maintaining language skills,
- recruiting for hard-to-fill vacancies,
- achievement of equal employment opportunity goals,
- energy conservation,
- improving services to the public.

The Incentive Awards Branch, OPM, and OPM regional staff members will provide technical assistance to agencies seeking to develop new awards uses or to implement plans used by other agencies. In establishing these programs, the requirements of 5 CFR 451.201 must be observed, to reward only "... those whose job performance and adopted ideas benefit the Government and are substantially above normal job requirements and performance standards".

(6) *Use of management reviews and productivity measurement processes to identify and recommend awards for employees who meet the criteria.* (5 CFR 451.206). When management reviews or other measurement processes disclose program areas showing superior results, or objectives met prior to deadline or with fewer staff hours, or less cost, there should be an organized management effort to identify, recognize and reward the unit or work team which produced the favorable results.

(7) *Immediate awards for performance of one-time special acts or services, timely evaluation and processing of other performance awards and suggestions, and prompt presentation of approved awards.* (5 CFR 451.206). Recognition has its greatest impact when it follows closely the contribution for which it is granted. Awards for one-time achievements should be recommended, processed, and presented immediately. Awards for sustained superior on-the-job performance, and adopted suggestions, should be processed within the time frames described in (4) above.

(8) Use of the agency's performance appraisal system(s) as the basis for granting awards based on sustained superior performance of assigned duties. (5 CFR 451.206). Because other factors affect award decisions, there should be no automatic awards based solely on performance appraisals. The employee's immediate supervisor is in the best position to judge which type of recognition most appropriately recognizes the contribution and will best motivate the employee. And supervisors have considerable flexibility in matching recognition and compensation to performance, for example: promotion, granting or withholding a within-grade increase, and granting a lump-sum cash award for past superior performance or a quality increase for superior performance that is expected to continue.

(9) Effective use of incentive awards to motivate employees, and receptivity to and encouragement of suggestions, to be included in criteria for sustained superior performance awards for supervisors and managers. (5 CFR 451.206). Supervisors and managers are responsible for making the most effective use of their human resources by encouraging and recognizing promptly creativity, innovation and superior performance. Success as a supervisor is attributable, in part, to the work of subordinates. Deserving subordinates at all levels who have not been recognized by their supervisor are not likely to continue as motivated employees if the supervisor is rewarded.

(10) Consideration of suggestions and special achievements for wider application both within the agency and Government-wide, and prompt referral when appropriate. (5 CFR 451.206). (Further guidance on the referral of such contributions to other agencies is in subchapter 10.)

(11) Recognition granted under this regulation to be a factor in ranking and selecting employees who otherwise meet requirements for promotion. (5 CFR 451.206). Agency promotion plans should provide for this as a ranking factor. Awards granted by private organizations must not be considered (see (15) below).

(12) Agency plans for the operation of the suggestion program should spell out the rights of the employee making the suggestion and the obligation of the organization. These are discussed in subchapter 8.

(13) The plan should provide for confidentiality of award nominations during processing. Performance award nominations contain privileged information that should be made available only to those involved in the decision process and certain other officials on a need-to-know basis. Nominating officials normally should not discuss award recommendations with nominees until the award has been approved within the agency or, in the case of external award nominations (i.e. awards sponsored by private organizations), until the nominee has been selected by the agency as its candidate for that award. However, when nominations for external awards require that personal information (e.g. date of birth, home address, professional affiliations,

employment history, etc.) be furnished, permission must be obtained from the nominee before such information is furnished to a private sponsor.

(14) Agencies are encouraged to establish one or more levels of honorary recognition such as medals, or plaques accompanied by a certificate, to recognize longer-term, career-oriented achievements or acts of heroism. These should be designed to bestow singular honor as official recognition of achievement and as an incentive to further accomplishment. They may be granted independently, or as a supplement to a cash award, but should not serve as a substitute for deserved monetary awards. (Further discussion on the effective use of non-monetary recognition is contained in subchapter 7).

(15) Provision should be made for agency participation in external awards programs through which private organizations grant recognition to outstanding Federal employees (see appendix B). OPM encourages agency participation in non-Federal award programs. We believe they provide encouragement to individuals considering careers in Government. Also, the number and variety of Federal and external awards provide adequate recognition opportunities for employees at all levels and in all occupations and age brackets even though some privately sponsored awards set criteria that may exclude certain employees. The requirement that incentive awards be a factor in qualifying and selecting employees for promotion does not apply to privately-sponsored awards. Accordingly, agencies should assure that personnel actions are not based, wholly or partly, on the receipt of or nomination for an external award. This may be accomplished by a specific exception, in agency merit promotion plans, of external awards as a promotion factor.

(16) Agencies are encouraged to establish procedures to honor private citizens and organizations for contributions they have voluntarily made to the public service. Honorary recognition of citizen achievements serves to (1) encourage citizens and organizations to assist Federal agencies in accomplishing their mission; (2) recognize private sector contributions to an agency's functions, services, or operations; and (3) demonstrate Government interest in an appreciation of citizen support in improving Government productivity and services. The type of honorary recognition granted should be appropriate to the significance of the contribution, have some lasting remembrance value, and be suitable for display. Agencies should consider establishing several levels or types of honorary awards—the highest authorized by the head of the agency and others by the heads of bureaus or other managers.

b. OPM Review. New plans, or changes to existing plans, must be submitted by the head of the agency to the Incentive Awards Branch, Office of Personnel Management, Washington, D.C. 20415, for review no later than 30 days prior to the proposed effective date of the plan or change in plan. (5 CFR 451.205(c) (3)).

Subchapter 5. Presidential Recognition

5-1. AUTHORITY

a. The President may pay a cash award to, and incur necessary expense for the honorary recognition of, an employee who - (1) by his suggestion, invention, superior accomplishment, or other personal effort contributes to the efficiency, economy, or other improvement of Government operations . . . or (2) performs an exceptionally meritorious special act or service in the public interest in connection with or related to his official employment. A Presidential award may be in addition to an agency award under section 4503 of this title. (5 USC 4504).

b. During any fiscal year, the President may . . . award to any career appointee . . . in the Senior Executive Service . . . the rank of (1) Meritorious Executive, for sustained accomplishment, or (2) Distinguished Executive, for sustained extraordinary accomplishment. (5 USC 4507)

5-2. TYPES OF RECOGNITION

a. **The President's Award for Distinguished Federal Civilian Service.** This is the highest honor that the Federal Government can grant to a career employee in recognition of exceptional achievements that are of unusual benefit to the Nation. The award consists of a gold medal, a citation signed by the President, and a lapel rosette made from the ribbon on which the medal is suspended. Normally, only five such awards are granted annually, and presented by the President, "with profound appreciation, highest esteem, and great personal satisfaction." This award recognizes individuals whose outstanding achievements have current impact on improved Government or the public interest, and exemplify to an exceptional degree, imagination, courage, and high ability in carrying out the mission of the Government.

(1) **Eligibility.** Heads of departments and agencies may nominate career employees of their own agency, or employees of other agencies when they have knowledge of their exceptional achievements. Consideration for these awards should be extended to employees at all grade levels; however, individuals appointed by the President or non-career members of the Senior Executive Service may be nominated only if their work in Government might be considered to be within the Federal career service.

(2) **Criteria.** The award may be presented for the best achievements having current impact in improving

Government operations or serving the public interest. These achievements shall exemplify one or more of the following:

(a) imagination in developing creative solutions to problems in Government; or

(b) courage in persevering against great odds and difficulties; or

(c) high ability in accomplishing extraordinary scientific or technological achievement, in providing outstanding leadership in planning, organizing, or directing a major program of unusual importance and complexity, or in performing an extraordinary act of credit to the Government and the country; or

(d) long and distinguished career service.

The importance of the achievements to the Government and to the public interest shall be so outstanding that the employee is deserving of greater public recognition than that which can be granted by the head of the agency in which he or she is employed.

(3) **Selection.** The Director of the Office of Personnel Management requests nominations each year and advises the President in selecting persons to receive this award. Recipients of the award are selected by the President. (Executive Order 10717 as amended by Executive Orders 10979, 11085, and 12014.) (The nomination format appears in appendix E.)

b. **Presidential Management Improvement Awards.** These are granted and presented annually by the President to a limited number of individuals, small working groups, or teams whose achievements during the fiscal year resulted in substantial tangible benefits to the Government or represented exceptional achievement in an area of high Presidential interest or concern. The heads of Federal departments and agencies nominate candidates for this high honor. The Director, Office of Personnel Management, and the Director, Office of Management and Budget, advise the President on final selection. Finalists who are not selected for Presidential Management Improvement Awards receive Presidential Management Improvement Certificates, approved by the President and presented at agency-level ceremonies. Candidates for Presidential Management Improvement Awards must have received or have been recommended for a Presidential letter of commendation, described below, at the time of nomination.

c. **Presidential Letters of Commendation.** Civilian and military personnel whose contributions (suggestions, inventions, or special acts or achievements) are

beyond job requirements and result in first year measurable benefits of \$5,000 or higher; or represent exceptional management improvement contributions of equal benefit to the Government in areas that have high Presidential interest and concern should be recommended for personal letters of commendation from the President which are sent to agencies for appropriate presentation. ^S

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At the end of each fiscal year, departments and agencies should review all agency contributions that have received or been recommended for a Presidential letter of commendation during the fiscal year, and recommend for Presidential Management Improvement Awards those which they believe merit this prestigious recognition. (Nominating formats for Presidential letters and Presidential Management Improvement Awards are contained in appendix E.)

d. Presidential Ranks. Presidential Ranks and accompanying stipends are granted annually by the President to recognize prolonged, high-quality accomplishment by a select number of career members of the Senior Executive Service. There are two types of awards (1) Meritorious Executive - for sustained accomplishment which includes a lump sum payment of \$10,000 and (2) Distinguished Executive - for sustained extraordinary accomplishment which includes a lump sum payment of \$20,000. The lump sum payment is in addition to basic salary. However, by law, the aggregate of an executive's base pay, bonus, and stipend received in any fiscal year may not exceed the annual pay rate for Level 1 of the Executive Schedule in effect at the end of the same fiscal year. A certificate signed by the President and a distinctive pin accompany each award, which is paid by the employing agency. While there are no statutory restrictions on the number of individuals an agency may nominate for an executive rank, Government-wide limitations are imposed by law in that, in any fiscal year, (a) the number of Meritorious Executive awards may not be greater than 5 percent of the SES positions total and (b) Distinguished Executive awards may not exceed 1 percent of the total number of SES positions authorized. Accordingly, agencies should consider both the legal restrictions and the table below as a general guide to the number of rank nominations that would be reasonable for agencies to send to OPM each fiscal year:

Total Number of Agency SES Positions	Number of Nominations
1 to 15	1
16 to 50	1 to 3
51 to 75	3 to 5
76 to 120	5 to 7
above 120	6% of total SES

Nominations will be considered strictly on the basis of merit and not on the basis of agency size or number of nominations from an agency.

(1) Eligibility. All career appointees in the SES are eligible for consideration. The performance for which a nomination is submitted shall have been sustained over a minimum period of 12 months. Preferably, the executive's performance over several years should be taken into account. Any individual who receives a rank of either Meritorious Executive or Distinguished Executive shall not be entitled to receive that same award during the following four fiscal years. To provide for progression in the awarding of ranks, a nominee for Distinguished Executive normally shall have received the rank of Meritorious Executive. An exception may be made, however, in a case where an executive's achievements are of such an exceptional nature that only the highest rank permissible would serve as fitting award.

(2) Criteria. A nominee must have demonstrated (a) sustained accomplishment for Meritorious Executive, and (b) sustained extraordinary accomplishment for Distinguished Executive. Factors to be considered include, but are not limited to, the following:

(a) demonstration of the qualities of strength, leadership, integrity, industry, and personal conduct of a level that establishes and maintains a high degree of public confidence and trust;

(b) career achievements that are generally recognized throughout the agency or are acknowledged on a national or international level;

(c) successful use of human resources as evident through high workforce productivity, effective development and recognition of subordinates, and achievement of equal opportunity goals;

(d) demonstration of personal initiative and innovation in overcoming obstacles to achieve organizational objectives;

(e) improvements in quality of work, efficiency and/or timeliness of performance;

(f) achievement of significant cost reduction enabling the agency to reallocate resources to high priority activities;

(g) unusual levels of cooperative efforts with other Federal agencies and government jurisdictions;

(h) especially successful efforts in affirmative action;

(i) record of accomplishment in a variety of programs and agencies. It is expected that nominees normally will meet many of the foregoing criteria. In all cases nominees should reflect credit on the career civil service.

The head of the agency may submit nominations, no later than April 15 annually, to the Director, OPM. The Director, OPM, recommends to the President a list of those to receive the awards and final approval is by the President. Awards are presented by the President or his representative at a White House or other appropriate ceremony. Nomination instructions and sample format appear in appendix E.

Subchapter 6. Monetary Recognition for Performance

6-1. RELATIONSHIP OF PERFORMANCE APPRAISAL TO RECOGNITION

The law requires the results of performance appraisals to be used as the basis for rewarding employees (5 USC 4302(a)(3)). All employees whose performance exceeds standards for the position concerned should be considered for appropriate recognition.

6-2. RELATIONSHIP OF RECOGNITION TO PRODUCTIVITY IMPROVEMENT

The Government Employees' Incentive Awards Program is designed to motivate employees to increase

productivity by rewarding those whose performance is substantially above normal job requirements and standards. One of the keys to productivity improvement is performance management through a variety of methods, including effective use of incentives. Agencies should make maximum use of recognition authorities delegated by law and regulation to establish and administer a recognition program that best supports and enhances their organizational mission and national goals and meets the recognition needs of employees. (See table 1).

Table 1

ORGANIZATIONAL MISSION

IMPROVED WORKFORCE PRODUCTIVITY

Performance Management Tools

- Promotion Bonuses
- Awards
- Pay
- Growth Opportunities
- Work Team Structure
- Training
- Job Design
- Performance Aids
- Retention
- Reassignment
- Demotion
- Removal
- Feedback to subordinates
- Individual Development Plans

Feedback to subordinates

PERFORMANCE APPRAISAL

Based on previously communicated
Performance Standards
and Critical Elements

JOB PERFORMANCE

PERFORMANCE STANDARDS

CRITICAL JOB ELEMENTS

GENERAL OUTPUT

REQUIREMENTS OF

POSITIONS

POSITION DESCRIPTIONS

FUNCTIONAL DELEGATIONS

for performance only

Agencies are responsible under 5 CFR 451.205(a)(3) for allocating an adequate budget for incentive awards granted under chapter 45 of title 5 and for staffing and support services for the incentive awards program. The Office of Personnel Management recommends that agencies allocate approximately 1% of payroll costs of employees covered by this awards authority for sustained superior performance awards, and an additional amount—based on estimates of past experience and projected awards program goals and objectives—for other recognition of all employees (i.e. honorary, special act or service, suggestion), other expenses deemed necessary for honorary recognition, career service emblems, and educational and promotional materials.

6-3. EFFECTIVE USE OF RECOGNITION

a. Responsibility. Supervisors and managers have major responsibility for assuring effective use of recognition. They must determine the type of recognition that most appropriately recognizes the contribution, is most motivating to the employee(s), and is most cost-beneficial—in terms of return on investment—to the organization; and must recommend appropriate awards promptly. Effective use means:

- granting recognition based solely on merit,
- selecting the most appropriate form of recognition,
- awarding it promptly,
- assuring equity of consideration for awards within their organization,
- preserving their, and the program's, credibility and motivating others by publicly making known the reasons recognition is granted.

Special achievement awards and quality step increases are an important adjunct to the supervisor's and manager's authority to grant within-grade increases to those whose work is of an acceptable level of competence and to withhold an increase from those whose work does not meet an acceptable level. Together, these delegated pay and awards authorities provide supervisors and managers an array of recognition possibilities that is sufficiently flexible to recognize and reward differences in individual performance. Sound judgment is essential. Mistakes that result in undeserving persons receiving recognition, or deserving employee going unrecognized, undermine the program's and the manager's credibility. Factors that affect award decisions include an employee's career status or goals, the recency of a quality step increase or promotion, a pending or recent promotion which recognizes the same superior performance, or the fact that the employee has reached the top step of the salary range, or the statutory salary limit. Or, since the law governing quality step increases permits them to be granted only "within available funds", the availability of funds for the quality step increase may enter into consideration of the type of recognition to be granted.

b. Criteria for and Recommended Uses of Various Types of Recognition.

(1) Special Achievement Awards. These are one-time lump-sum cash awards, based on past performance, for which all employees are eligible. They recognize two types of contributions:

(a) A one-time special act, service, or achievement of a non-recurring nature by an employee or a group of employees connected with or related to official employment. Some organizations call this a "Special Act or Service Award". This type of recognition is appropriate when an employee or group of employees perform(s) substantially beyond expectations on a specific assignment or aspect of an assignment or job function, or for a single scientific achievement, act of heroism, or similar one-time special act, service, or achievement of a non-recurring nature. An award in this category also could be granted to an employee or group of employees whose disclosure of fraud, waste, or abuse in the Federal Government resulted in tangible benefits to the Government. Greatest motivational impact (and therefore greatest effectiveness) is achieved when the award is recommended, approved, and presented promptly following the contribution. Therefore, agency documentation, approval requirements, and processing procedures must be minimal. A brief, specific statement of achievement, and of tangible and/or intangible benefits to the Government which provide the basis for the amount of award granted, is sufficient. The amount of the award for special act or service contributions is based on tangible and intangible benefits to the Government. Agencies may establish their own awards scales. (Office of Personnel Management guidance is in appendix B.) There is no limit to the number of Special Act awards an employee may receive in any given period, either as an individual or as a member of a group. Receipt of an award in this category does not preclude the same employee(s) receiving honorary recognition, or a cash award or quality step increase based on sustained superior performance of other job responsibilities when criteria for such recognition otherwise are met.

in the public interest

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(b) Sustained superior performance of job responsibilities by an individual employee over a specified period of time. This type of recognition is appropriate when the employee's performance appraisal clearly shows that performance has met agency requirements. OPM recommends that agencies require performance of all critical elements to have been at least fully satisfactory (or the agency equivalent) and that overall performance substantially exceed fully satisfactory performance. To be effective, the award should be processed and publicly presented promptly so that the employee clearly recognizes the relationship between high-quality performance and the monetary reward. To reduce paperwork and to facilitate granting these awards, agencies may elect to use a current, approved performance appraisal as documentation for a sustained superior performance award provided the appraisal supports the conclusion that the award is

For this award,

Supervisor must have demonstrated effective use of incentive award to motivate the employees, and receptivity to and encourage employees suggestions to the extent that they had the opportunity to do so.

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justified. If an agency requires other procedures, documentation, processing, and review/approval delegations of authority must be established that permit awards to be granted promptly, but at minimum, within the time limits agencies are required to establish for processing these actions. They should in no way present a disincentive to nominating officials. OPM recommends that special achievement awards for sustained superior performance be based on a percentage, or range of percentages of the individual's rate of basic pay, up to 15%; the amount being calculated on the scheduled rate, rather than the payable rate, when the employee's pay rate is at the statutory limit. If a range of percentages is used, the amount of award should reflect the extent to which the employee's performance exceeded established job standards. The full amount for a sustained superior performance award may be granted only once in any 52-week period.

(2) Quality Step Increases. Although a quality step increase is a pay action, most agencies administer this recognition as part of their Incentive Awards Program. The following material is provided to clarify the relationship between incentive awards and quality step increases (see table 2), and to facilitate agencies' administration of these two recognitions. If more guidance on quality increases is needed, refer to FPM chapter 531.

(a) Appropriate Use. A quality step increase is appropriate when, in addition to having met all of the requirements for a sustained superior performance award, the employee's performance has been sustained at the high level for a sufficient time that it is considered characteristic of the individual's performance and is, therefore, expected to continue in the future. A quality increase immediately raises the employee's basic rate of pay and has continuing benefits such as increasing immediately the recipient's life insurance coverage, favorably affecting subsequent promotions, and, in some instances, retirement computations. Because a quality step increase is a continuing benefit, recommending and reviewing officials should consider care-

fully the continuing cost to the Government and the taxpayer versus the motivational value to the employee.

(b) Inappropriate Use. Personnel management evaluations and GAO inquiries have revealed misuse of the quality step increase authority, which they attribute to lack of proper training for supervisors and management officials. Typical examples of misuse include when the employee is changing jobs, or the job itself is changing; or when the employee is detailed to the job for only a short period, or is on detail to another job or special project during the performance period being recognized. These circumstances are inconsistent with a determination that the high-level performance is characteristic of the individual's performance and is expected to continue in the future. Other problems supervisors or managers have include (1) whether a repeat quality step increase may be granted to an employee still in the same job, and (2) whether a quality step increase may be granted to an employee whose position has been downgraded, and who has retained pay. There is nothing to preclude a quality step increase

(3) Award in Addition to Quality Step Increase. In unusual circumstances, if the employee meets all the requirements for a quality step increase, but is so exceptional in one job aspect or assignment, or contributed so importantly to mission or national goals that additional recognition is warranted, a lump-sum cash or honor award could be granted in addition to the quality step increase.

c. Special Incentive Plans to Meet Agency Needs. OPM will assist agencies in designing and implementing awards programs to meet organization or employee recognition needs. Special incentive plans that have been used effectively include foreign language and crop insurance sales plans at the Department of Agriculture; production programs at the Departments of the Navy, Commerce, and the Treasury; and a "May I Help You?" program at the Veterans Administration, designed to improve Government services to Veterans and their families.

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The purpose of the authority to grant quality step increases is to provide an agency with flexibility to authorize faster than normal advancement within the range of the grade of an employee's position, in recognition of sustained high quality performance at a level that substantially exceeds an acceptable level of competence. Only individual employees in the General Schedule are eligible for consideration.

Table 2. Comparison of Monetary Recognition for Individual Job Performance Above Required Standards

	<i>Quality Increase (Pay Action under 5 U.S.C. Chapter 53.)</i>	<i>Sustained Superior Performance Award (Incentive Award under 5 U.S.C. Chapter 45.)</i>
Description:	An additional within-grade increase	A one-time lump-sum cash award based on an agency-determined percentage of base pay
Eligibility:	General Schedule employees except those in step 10 of their pay range. (An employee at the statutory salary ceiling may be granted a quality step increase to become effective when the statutory limit is raised.) Only one Quality Step Increase may be granted in any 52-week period. Merit Pay (GM) employees are not eligible.	All employees, except those covered by merit pay. ¹ (The statutory limitation on the aggregate amount paid to a senior executive during any fiscal year does not apply to incentive awards granted under Chapter 45 of title 5). The full amount of the award may be granted only once in any 52-week period.
Required Level of Performance:	<p><i>The employee's most recent performance appraisal must support the conclusion that performance of all critical elements must have been at least fully satisfactory or the agency equivalent, and overall performance must substantially exceed fully satisfactory performance. Overall performance substantially exceeds fully satisfactory performance or the agency equivalent, and performance of all critical elements has been at least fully satisfactory.</i></p> <p>Performance must have been sustained at this level for a sufficient time that it is considered characteristic of the individual's performance and is, therefore, expected to continue in the future. The employee must be expected to remain in the same position, or in a position in the same grade that is similar enough to the present position that his or her performance can reasonably be expected to continue at the same level of effectiveness. ¹</p>	Supervisors and managers must have demonstrated effective use of incentive awards to motivate their employees, and receptivity to and encouragement of employee suggestions to the extent they had opportunity to do so.
Documentation:	Documentation must state the reasons for granting the recognition. A current performance appraisal may be used as documentation provided the appraisal supports the conclusion that the recognition is justified.	
Appropriate Use:	When the individual's continuing high quality performance in his or her position merits faster than normal salary advancement when compared with fully satisfactory performance or the agency equivalent.	When the individual's high quality performance in his or her position has substantially exceeded performance standards of the position concerned over an agency-determined period.
Benefits:	<ul style="list-style-type: none"> • Increase in rate of basic pay, effective first pay period after approval • May increase employee's life insurance coverage • Can favorably affect employee's placement in pay range in future promotions • Can favorably affect employee's annuity computations. 	<ul style="list-style-type: none"> • An immediate, substantial lump-sum cash award • May be granted to those at the top step of their pay range or whose salary has reached the statutory limit • Permits public presentation involving recipient, co-workers, and recommending/approving official(s) thus providing additional recognition and preserving credibility of awards program • Employee is motivated to repeat high quality performance to earn further reward and recognition.

¹ Merit pay employees are eligible under separate authority; check agency regulations.

Subchapter 7. Non-Monetary Recognition

7-1. PURPOSE

Motivation is complex and personal. It varies with the type of organization, the age and the background of the employee, and attitudes of those who have been associated with the organization for a long time. An award that may be an incentive in one time and place may have little or no effect in another. An award, or likelihood of receiving an award, that motivates one employee may leave another indifferent. Non-monetary incentives offer two major advantages—they help meet employees' needs for recognition, growth and responsibility, and most can be relatively inexpensive.

7-2. RESPONSIBILITIES

The range and variety of non-monetary incentive is almost limitless. Each organization and each supervisor and manager should work with their employees and incentive awards program staff to design incentives programs that are meaningful and that will motivate and sustain high levels of individual and organizational accomplishment. In doing so, agencies are reminded of any obligation under 5 USC Chapter 71 to negotiate or consult, as appropriate, with recognized labor organizations on the application and impact of this program on current policies, practices, and existing collective bargaining agreements.

7-3. HONORARY RECOGNITION

a. Major Honor Awards. Agencies are encouraged to establish major honor awards to recognize: (1) distinguished, career-oriented achievements and (2) clearly significant contributions that have benefited the Government in areas such as equal employment opportunity, energy conservation, scientific research, improved communications with or service to the public, and others of high priority to the organization. Honor awards usually take the form of a medal, plaque, certificate or scroll, and are exclusive because of the high level at which they are approved and presented, and the limited number that are awarded.

(1) Distinguished, Career-Oriented Achievements. Most agencies establish two or three levels of honorary awards which typically are presented to persons who have received lesser forms of recognition throughout their Federal career, including monetary awards. Usually, the highest, "Distinguished" or "Exceptional" service awards, take the form of a gold medal, lapel emblem and citation; the second highest, "Superior"

or "Meritorious" service awards, consist of a silver medal, lapel emblem and citation. These usually are approved and presented by the agency head, and an employee would receive the lesser recognition before the higher.

(2) Significant Achievements in Other Areas.

(a) Equal Employment Opportunity. Agencies are urged to recognize supervisors, employees, and units making significant achievements in this area. Recipients should have achieved outstanding results through unusually effective leadership, skill, imagination, innovation, and perseverance in extending equal opportunity in Government activities. For additional information on eligibility, criteria, administration, type of award to be granted, etc., see FPM chapter 713, subchapter 5.

(b) Occupational Safety and Health. Agencies are urged to recognize employees or groups who have achieved outstanding results in this area through unusually effective leadership, skills, imagination, and innovation in promoting occupational safety and health.

(c) Cash awards may be granted when contributions in (a) or (b) above meet the criteria for monetary recognition in subchapter 6 of this chapter.

b. Other Honors and Privileges. Supervisors should consider what types of recognition they and others have used most effectively, and tailor their incentives program to meet specific conditions and needs in their organization. Citations; letters of commendation or appreciation; certificates; special emblems or badges; pictures taken with key officials; publicizing employee achievements in the organization's house organ; temporary duty in a desirable location; attendance at a meeting with the boss; opportunity to attend a staff meeting, conference or training program; all have an appropriate place in the recognition spectrum. Other, more structured, recognition includes:

(1) Job Enlargement. A variety of approaches make work more interesting and/or more responsible. For example: employee participation in decision-making and problem-solving, using teams (e.g. Quality Circles) from various parts of the organization to work on a specific project or problem; giving employees responsibility for completing a larger segment of work rather than a small isolated task and providing them more control over how and when the work is done; and rotating assignments to enlarge employee perspectives, capabilities, and work experience.

(2) Educational Opportunities. This could be tuition, reimbursement, time off to attend courses related to the individual's work, or a combination of these. Additional knowledge and skills can improve commitment, performance, and productivity on the job.

(3) Career Development. Agencies can develop career ladders which provide well-defined opportunities for promotion integrated with training.

7-4. CAREER SERVICE RECOGNITION

The Office of Personnel Management encourages agencies to establish programs to recognize significant milestones in their employees' careers and to use the Federal career service emblems to emphasize that service to the Government, rather than service to a particular Department or Agency, is being recognized. Employees should receive credit for total Federal Service, including civilian and all honorable military service, when eligibility for career service recognition is computed. Federal career service emblems, available through the General Services Administration in the form of lapel pins or buttons, charms, or tie tacs, recognize service from ten to fifty years, in five-year in-

crements. Agencies determine types, and frequency of presentation. Emblems should be presented promptly and with appropriate ceremony, with emblems recognizing 25 years of service and over generally being presented by top officials of the agency.

7-5. MERCHANDISE INCENTIVES

The law provides authority to grant cash awards only; merchandise prizes can not be granted in lieu of cash. However, agencies could use a pictorial leaflet that would show merchandise options grouped by major cash award levels e.g. \$25-\$50, \$100-\$200, \$200-\$300, \$300-\$400, \$400-\$500, over \$500, etc. A number of commercial organizations provide merchandise incentives program services. Merchandise provides lasting satisfaction which reminds the employee of the recognition granted through the incentive awards program. Employees have an opportunity to express pride in their achievements by displaying the item they selected to friends and relatives. And, families assume an active role in motivating employees by selecting items and encouraging employees to earn them.

Subchapter 8. The Suggestion Program

8-1. PURPOSE

Suggestion systems are based on two fundamental concepts: (1) the individual closest to the job is in the best position to recommend improvements (suggestions) for that particular function, process, or operation, and (2) no one individual employee, supervisor or manager, has all of the good ideas in any organization. Suggestion systems, in both government and industry, have proven themselves cost effective. In the Federal Government the return has been approximately 10 to 1, and in industry approximately 6 to 1. And during the first twenty-five years of operation, the Government's suggestion program has produced \$2.7 billion in first year benefits. Because of these results, many leading business firms believe the return on investment in their suggestion programs to be well worth allocation of considerable resources. For example, in recent years, General Motors has paid an average of \$14 million in awards. Tangible benefits realized from employee suggestions represent staffing, materiel, or other vital resources that can be redirected to meet other important priorities. In addition, many ideas result in benefits that cannot be measured in terms of savings, yet they represent important advancements in such areas as medical research, national security, and the environment.

8-2. SUBMISSION

a. **Acceptable for Consideration.** To be considered as a suggestion, the contribution must be a constructive proposal, submitted in writing by one or more employees, that directly contributes to economy, or efficiency, or directly increases effectiveness of Government operations. It need be new or original, and may result from the suggester's previous work experience, research, or education.

b. **Not Acceptable for Consideration.** Ideas that deal with employee services, benefits, working conditions, housekeeping, routine safety practices or maintenance of buildings and grounds normally are not eligible for consideration as suggestions. Depending upon local submission procedures, the employee's supervisor or the suggestion program administrator should direct them to the official authorized to make a decision on the idea, and assure that the employee is informed of the results. However, when an idea excluded under the above results in benefits to the Government, it may

be accepted as a suggestion and an appropriate award may be granted.

c. **Forms.** Suggestions should be submitted on an official agency suggestion form. Supplies of these should be easily accessible to employees. OPM recommends that the form include information which fully defines the terms and conditions of the agency's suggestion program, provides guidance on how to prepare the suggestion, and an agreement to be signed by the suggester. (See subchapter 4-2a. (12))

d. **Other than Formal Submissions.** An employee idea informally communicated to management, that is adopted, may be documented later by the employee and submitted as a suggestion. An appropriate suggestion award may be granted or the idea may be the basis for a special act or service award if adopting officials consider this to be a more appropriate way to recognize the contribution. In order to protect an employee's rights to a suggestion, management officials who adopt an idea communicated informally should urge the employee to submit it as a suggestion immediately.

8-3. PROCESSING SUGGESTIONS

a. **Supervisory Involvement.** Employees should be officially encouraged to discuss their ideas with their supervisors. This actively involves supervisors in the suggestion program and improves communications. Supervisors should be encouraged to assist in development and preparation of their employees' suggestions. However, provision should be made for suggestions to be submitted directly to the suggestion program administrator if an employee prefers to do so.

Timeliness Agencies are required to establish time limits for processing suggestions (5 CFR 451.206(d)). Failure to act promptly on suggestions, or to keep employees fully informed of the status of their suggestions if established time-frames may be exceeded, violates employees' rights to receive timely evaluations, undermines management's credibility and employee confidence in the program, and severely reduces participation. OPM recommended time limits are in subchapter 4-2(d). Active follow-up is effective in producing timely evaluation. Agencies that have an effective correspondence control system should consider including suggestions as controlled items. There is no reason why a response cannot be given to the majority of suggestions equally as fast as correspond-

ence is handled. Suggestions with potentially high savings to the Government should receive priority handling.

c. Wider Application. Agencies are required to consider suggestions for wider application within the agency and Government-wide and to refer them promptly for consideration. (5 CFR 451.206(j)). Evaluating officials and the suggestion program administrator have major responsibility for considering whether the idea may benefit other areas.

8-4. RECONSIDERATION

Suggesters who have questions regarding their suggestions should be encouraged to contact their supervisor or the suggestion program administrator. If supplemental information provided by the suggester, and a review of the suggestion file indicates that it is warranted, the suggestion should be reevaluated. If not warranted, the suggester should be told why the suggestion will not be reevaluated. The decision to adopt or not adopt a suggestion, and to grant or not to grant an award, is a management prerogative, and not grievable under an agency's grievance system.

ECTS/8-5. LEGAL ASPECTS

a. Employee Rights. An agency's plan for the operation of the suggestion program should spell out the rights of the employee making a suggestion. These include the following:

- An employee who submits a written suggestion under the provisions of an agency's suggestion plan has the right to receive a prompt, objective, and fair evaluation of the idea and, if it is adopted either through written notification or practical application, to be considered for an award.
- The suggester retains the right to be considered for an award for [a specified period of time established by the agency] after the date of final action on the suggestion, i.e., the date of written notification of non-adoption. OPM recommends two years. If the suggester wishes to resubmit the suggestion with new information to support its benefits, he or she may do so, thus extending the award entitlement period.

The suggestion should be submitted on a form (which fully defines the terms and conditions), prepared and designated for this use by the organization. The suggestion form might include the following in bold type:

It is understood by the employee whose signature appears below that the suggestion submitted on this form may be granted an award only if adopted by the Government, by written notification or through

practical application of the idea as a result of the suggestion, within _____ years of the date of final action on the suggestion as defined in the agency plan.

(Signature of Employee)

(Date Signed)

b. Agency Obligation. The obligation of an agency under the suggestion program is to: (1) give due consideration to a suggestion, and (2) if it is adopted, consider granting an award. In any such consideration, the agency must make a prompt, objective, and fair evaluation of the suggestion and its value and usefulness to the agency. The agency's plan should not bind it to grant an award in any case in which the suggestion is adopted, but it should require that the agency exercise some discretion in determining whether to grant an award and that it not casually or arbitrarily withhold an award. Agencies are required to allocate adequate funds for awards (5 CFR 451.205(a)(3)).

c. Government Rights. Title 5, Chapter 5, Section 4502, U.S.C., states that . . . *acceptance of a cash award . . . constitutes an agreement that the use by the Government of an idea, method, or device for which the award is made does not form the basis of a further claim of any nature against the Government by the employee, his or her heirs, or assigns.* Thus, once an award is made, the suggestion becomes the exclusive property of the United States Government.

d. Promoting Participation. Since participation by employees in the suggestion program is voluntary, agencies are encouraged to constantly promote and publicize the program. In promoting employee participation, solicitations should be broad, general, and directed equally to all employees, to avoid complications with wage and hour laws and to protect the non-bargainable feature of the program. For example, an agency may ask for ideas to improve methods, eliminate waste, cut costs, or improve conditions in the machine shop or office; or it might point out areas where production problems exist. But assignment of a specific subject or problem to be solved by an employee suggestion could, if the idea were adopted, raise the question of hourly or overtime pay for composing the suggestion.

e. Management Improvement Projects. Ideas solicited through management channels other than an agency's suggestion program should be linked to the suggestion system to assure that an agency meets its obligation to employees described in 8-5 a., above.

Subchapter 9. Inventions

9-1. PURPOSE

To gain maximum value for the research and development (R&D) expenditures of the Government, OPM strongly recommends that agencies grant awards for inventions under the Incentive Awards authority. Such awards will help motivate Federal employees to make and report inventions. The awards also will properly recognize Federal employees for their development and disclosure of inventions made to the benefit of the Federal Government and/or the public.

9-2. STATUTORY AUTHORITY AND POLICY GUIDANCE

- a. Title 35, U.S. Code contains laws governing inventions and patents.
- b. 37 CFR 100 sets forth Government policy concerning the allocation of rights to inventions made by Federal employees.

9-3. AWARDS

a. General. Agencies are encouraged to use their monetary award authorities to fully recognize and reward employee inventors. Such awards and attendant recognition (1) encourage the efforts of individuals engaged in research and development and other scientific and technical work within Federal organizations and (2) reward those whose inventions benefit the United States Government and/or the public. A monetary award should be considered if the invention either (1) contributes to the efficiency, economy, or other improvement in Government operations or (2) is in the public interest and is associated with the employee(s) official employment. Even though the making of an invention is considered to be within an employee's official duties it is emphasized that the employee inventor should be considered for cash and honorary recognition under the agency's Incentive Awards Program, using the guidance in paragraphs b. and c. below.

b. Initial Awards. An initial award should be granted in all cases where a reported invention has been favorably evaluated by a Federal agency as having value to its mission. It is suggested that this award be \$100. When a patent application is filed by a Federal agency and the Federal Government either owns the invention or has a license, further monetary recognition should be provided upon notification that the U.S. Patent and Trademark Office has issued a patent (or notice of allowability in those instances where issuance of a pat-

ent will be deferred because of National security restrictions). It is suggested with general practice among Federal departments and agencies.

c. Additional Awards.

(1) In addition to the above cash recognition, agencies should grant further awards (up to \$35,000 - see subchapter 2) on inventions owned by the U.S. Government:

- (a) whenever such inventions benefit the public as evidenced by the number of patent licenses granted, reports on commercialization from patent licensees, and other information pertaining to the commercial use of the inventions; and/or
- (b) whenever such inventions provide benefit to the Government as evidenced by Government use (see appendix C).

(2) In addition to the cash recognition provided in b. above, agencies may grant further awards on inventions in which the Government has a license. However, such additional awards should be granted only to the extent that the invention has benefited the Government.

(3) If the calculation or estimate of benefits to the U.S. Government does not fairly reflect the later year(s) benefits, consideration should be given to either an averaging of actual benefits during several years of use of the invention by Government or using a more representative year e.g. the benefits in the 2nd or 3rd year following use of the invention.

d. Periodic Review. Agencies should annually review and evaluate the benefits of all employee inventions to the Government and/or to the public. These reviews should include all inventions for which records are being maintained by the agency. The agency's patent counsel normally should conduct such reviews; however others, e.g. patent licensing personnel, laboratory director, program manager, incentive awards administrator and the employee inventor may participate. Additionally, the employee inventor may request a review whenever he or she can demonstrate that the value of the invention to the Government or the public has increased substantially.

9-4. PROCESSING OF PATENTS

The rights of the inventor and the U.S. Government in an invention made by a Federal employee are protected by filing patent applications with the U.S. Patent

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and Trademark Office. The patent or legal counsel's office of the employing organization should be consulted, and provide assistance in applying for a patent. So that appropriate recognition may be granted, as described in 9-3h above, the patent and legal counsel's office should notify the incentive awards or suggestion program administrator (1) when a patent application has been filed and (2) upon issuance of a patent. Patent statutes require that a patent application be filed within one year after (1) the invention is described in a printed

publication, (2) the invention is in actual use (other than experimental), or (3) the invention has been sold or offered for sale. Failure to file the application within one year under any of the above conditions will preclude issuance of a valid patent, resulting in loss to the inventor and the Government. Accordingly, agencies should provide needed assistance to permit the timely preparation and filing of patents where it appears that the Government may benefit from the invention.

Subchapter 10. Referral of Contributions

10-1. AUTHORITY

The head of each agency shall . . . seek to gain maximum benefits for the Government . . . (5 CFR 451.205). Agencies shall establish and operate an up-to-date plan which shall provide for . . . Consideration of suggestions and special achievements for wider application both within the agency and Government-wide, and prompt referral when appropriate. (5 CFR 451.206).

10-2. PROCEDURES

a. Agencies must establish procedures which assure positive consideration by recommending/reviewing officials and the incentive awards staff, of all employee contributions for wider application both within the agency and throughout the Government. Some agencies require such consideration by providing space on evaluation or other processing forms which requires response to a question, such as, "Could this idea/contribution have possible application elsewhere? If so, please indicate where".

b. When an employee contribution might have application in five or less other agencies, the contribution should be referred by the employing agency directly to the agency or agencies which it might affect. When the contribution might have application in more than five other agencies, the contribution should be referred by the employing agency to the Incentive Awards Branch, Office of Personnel Management, 1900 E Street, N.W., Washington, D.C. 20415.

c. When referring contributions for consideration elsewhere, agencies are responsible for assuring that:

- (1) All documentation in the file being sent is legible, and
- (2) the file is complete, including

- description of the contribution
- any attachments
- all substantive internal evaluations
- estimated benefits to the employing agency
- amount of initial award granted, if adopted internally
- fifteen copies for OPM referral to other agencies if application may be Government-wide or sufficient copies to provide one file each to agencies to which you suggest referral.

d. An agency evaluation or evaluations should accompany each contribution referred elsewhere. It is not acceptable to forward a contribution with merely a comment that the decision is outside the jurisdiction of the referring agency. Only under most unusual circumstances would there be no person in the agency who could evaluate the merits of the contribution and the impact its application is likely to have on the agency or the Government. For example, a suggestion to change SF 171 (Employment Application) would need an OPM decision, but the Chief of Employment in an agency should be in a position to comment on the merits of the suggestion and estimate the benefits that might accrue to the agency.

e. Agencies receiving interagency referrals for consideration must process them within the time limits required to be established by agencies under 5 CFR 451.206.

f. When an agency adopts a contribution referred by another agency the adopting agency should report promptly to the referring agency, (1) the estimated first year benefits to the Government and (2) the amount of award warranted under the provisions of the adopting agency's incentive awards plan. Payment will be made in accordance with the provisions of subchapter 2-3 of this chapter.

Appendix A.

Criteria for Various Types of Recognition (See Subchapter 6 of this Chapter)

Type	Who May Receive	Nature of Contribution	Requirements Which Must Be Met	Description
Honor (Federal, Department, Agency or Bureau)	an individual or group, a former employee, or the estate of a deceased employee, provided the contribution was made while the person was Government employee.	a suggestion, invention, special achievement, or other personal effort that contributed to efficiency, economy, or improved Government operations; or for clearly significant achievements in fostering equal employment opportunity, energy conservation, scientific research, improved communications with the public, public service, etc.	As contained in appropriate announcement inviting nominations or in Department and Agency regulations.	Usually takes the form of a medal, plaque, or certificate.
Special Achievement				
a) for sustained superior performance	an individual, ² a former employee, or the estate of a deceased employee, provided the performance took place while the person was a Government employee.	individual performance which exceeded fully satisfactory and was sustained over a significant period	Provided: • The recommendation is based upon a performance appraisal. • Performance of all critical elements must have been at least fully satisfactory, or the agency equivalent and overall performance must have substantially exceeded the fully satisfactory level.	Cash Award. The amount normally is based on a percentage of the rate of basic pay. An honor award may be granted in addition to, or instead of, a cash award, if it better serves the purpose of matching the award to both the contribution and the employee.

A • The award is justified by the employee's most recent performance appraisal

Type	Who May Receive	Nature of Contribution	Requirements Which Must Be Met	Description
b) for special act or service	an individual or group ¹ , a former employee, or the estate of a deceased employee, provided the special act or service took place while the person was a Government employee.	performance which has exceeded job requirements as a one-time occurrence. For example, a particular project or assignment which involved overcoming unusual difficulties, performance of assigned duties with special effort or innovation that resulted in significant economies or other highly desirable benefits, creative efforts that made important contributions to science or research or exemplary or courageous handling of an emergency situation related to official employment.	Provided that the contribution has been described in writing and submitted within any locally-specified time limit. <i>Must be in the public interest and connected with, or related to, official employment.</i>	Cash award from \$25 to \$35,000. The amount is in proportion to the benefits realized by the Government. When the award is for a group, all members of the group may receive equal shares. <i>The amount may be shared equally or</i> of the total may be divided in proportion to the individual contributions to the group effort. However, the total amount of the award may not exceed the amount authorized for that type of contribution if it were being awarded to an individual. An exception may be made, by an agency authorized official, if individual award amounts would be

Type	Who May Receive	Nature of Contribution	Requirements Which Must Be Met	Description
Quality Step Increase	an individual employee paid under the General Schedule (Does not include Merit Pay (GM) or career Senior Executive Service (SES) personnel).	^{Sustained} high quality performance, above that normally found in the type of position concerned, which has been sustained over a reasonably sufficient period of service in the job upon which to base this conclusion.	<p>Provided:</p> <ul style="list-style-type: none"> •The award is justified by the employee's most recent performance appraisal •Performance of all critical elements must have been at least fully satisfactory, or the agency equivalent, and overall performance must have substantially exceeded the fully satisfactory level. •Performance must have been sustained at this level for a sufficient time that it is considered characteristic of the individual's performance and is, therefore, expected to continue in the future. The employee must be expected to remain in the same position, or in a position in the same grade that is similar enough to the present position that his or her performance can reasonably be expected to continue at the same level of effectiveness. 	<p>too small to be motivating. An honor award may be granted in addition to, or instead of, a cash award, if it better serves the purpose of matching the award to both the contribution and the employee.</p> <p>An additional within-grade increase which indefinitely raises the employee's rate of basic pay. An honor or cash award may be granted in addition to a quality step increase.</p>

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at least 60 days after the effective date of the increase

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Type	Who May Receive	Nature of Contribution	Requirements Which Must Be Met	Description
Suggestion	an individual or group ¹ , a former employee or the estate of a deceased employee provided the contribution was made while the person was a Government employee.	an adopted suggestion, whether adopted as submitted or in part, that directly contributes to economy or efficiency, or directly increases effectiveness of Government operations.	<ul style="list-style-type: none"> •The employee has not received a quality/step increase during the past 52 weeks. •The employee is not at the top rate for the grade on the pay schedule. •The reasons for granting the increase are stated in writing and submitted within any locally-specified time limit. <p>Provided the suggestion:</p> <ul style="list-style-type: none"> •Is outside the suggester's job responsibilities or, if within them, so superior that it warrants special recognition. •Has been submitted in writing either before adoption or within any locally-specified time thereafter. •Does not concern employee services or benefits, working conditions, or housekeeping, (except for suggestions concerning improved use or conservation of energy resources which result in tangible benefits). 	Cash award from \$25 to \$35,000. The amount is in proportion to the benefits realized by the Government. An honor award may be granted in addition to, or instead of, a cash award, if it better serves the purpose of matching the recognition to both the contribution and the employee.

¹Includes: (a) Senior Executives (SES, Non-SES, and Others). (b) Under separate authority, Merit Pay (GM) employees, for other than pay-for-performance related awards.

²Includes Senior Executives (SES, non-SES, and Others). Merit Pay (GM) employees are eligible for pay-for-performance related awards under separate authority—see agency regulations.

Methods of processing awards, awards scales, criteria, and level of approval for awards vary. Check local regulations or contact your Incentive Awards Program Administrator for additional guidance.

Appendix B. Employee Eligibility

B-1. INCENTIVE AWARDS

To be eligible for incentive awards discussed in this Chapter, persons must meet the definition of employee contained in 5 USC 2105.

<i>Category of Employee</i>	<i>Presidential Recognition (other than SES Ranks)</i>	<i>Suggestion Award</i>	<i>Special Achievement Award</i>	<i>Career Service Emblem</i>
Active Duty Military Personnel	Letters and PMIA only	Yes, through separate legislation	No	No
Administrative Law Judges	No	No Yes	No ¹	Yes
CETA	No	No	No	No
Consultants	Letters and PMIA only	Yes, if meet the definition	Yes, if meet the definition	No
Contract	Letters & PMIA only, if meet the definition	Yes, if meet the definition	Yes, if meet the definition	No
D.C. Government ¹⁰	No	Yes, under separate authority	Yes, under separate authority	No
Detailees	Yes	Yes	Yes	Yes
Excepted Service	Yes	Yes	Yes	Yes
Executives GS-16 and above				
•Career SES	Yes	Yes	Yes ⁷	Yes
•Non-Career SES	Yes	Yes	Yes	No
•Non-SES (Except those appointed by and with the advice and consent of the Senate ²⁾)	Yes	Yes	Yes	Yes
Foreign National (permanent)	Yes	Yes, if meet the definition	Yes, if meet the definition	Yes
General Schedule	Yes	Yes	Yes	Yes
G.M. (Merit Pay) ⁴	Yes	Yes	Yes ²	Yes

Category of Employee	Presidential Recognition (other than SES Ranks)	Suggestion Award	Special Achievement Award	Career Service Emblem
Intermittent	Yes	Yes	Yes	Yes
IPA Assignments:	No ²	No ²	No ²	Yes
•Federal employees				
•Non-Federal empls.	No	No ⁶	No ⁶	No
Maximum Salary	Yes	Yes	Yes	Yes
Neighborhood Youth Corps ^e	No	No	No	No
Part-time Permanent	Yes	Yes	Yes	Yes
Presidential Appointees	No ⁷	Yes	Yes	Yes
Private Citizens	No	Honorary Only	Honorary Only	No
Public Health Svc. ¹	Yes	Yes	Yes	Yes
Public Law 313	Yes	Yes	Yes	Yes
• Reemployed Annuitants	Yes	Yes, if meet the definition	Yes, if meet the definition	Yes
Retirees Stay-in-school	No ⁸	Honorary Only ⁸	Honorary Only ⁸	No
Summer Employees	Letters & PMIA only	Yes	Yes ⁹	No
TAPER Employees ^e	Yes	Yes	Yes	Yes
Temporary Employees ^e	Letters & PMIA only	Yes	Yes	Yes
Tennessee Valley Au- thority Employees	No	No	No	No
U.S. Postal Service	No	Yes, under separate authority	Yes, under separate authority	No
WG, WB, WS Youth Adult Conservation Corps ^e	Yes NO	Yes No	Yes No	Yes No
Youth Opportunity Corps ^e	Letters & PMIA only	Yes	Yes	No

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¹ If for heroic act or other non-performance related factor a special achievement award for a special act or service may be granted.
² Normally, a Special Achievement Award for Sustained Superior Performance would not be granted if the individual had received other cash recognition for performance that adequately recognized the same contribution (e.g. a performance "bonus" for career SES or merit pay increase for GM employees).

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* Unless they were career SES executives who accepted Presidential Appointments requiring Senate confirmation in positions equal to or greater than Executive Level V who elected to continue to have the SES benefits relating to basic pay, performance awards, awarding of ranks, etc., under 5 USC 3392(c). (See Subchapter 3-2a).

* Through separate Legislation (5 USC 5403.) Guidance in this Chapter applies only if your agency directive for GM employees specifically references FPM Chapter 451 for other than pay for performance related awards.

* Yes, if the contribution substantially benefits the Federal Government.

* Yes, if the individual is serving under a temporary appointment in the Federal Government.

* Unless serving in what may be considered to be a career position.

* If the contribution was made while the person was employed by the Government, a Presidential or cash award may be granted, if otherwise merited.

* Amount of a Special Achievement Award for Sustained Superior Performance prorated, according to time worked.

* Section 3202 of the District of Columbia Government Comprehensive Merit Personnel Act of 1978 supersedes the provisions of 5 USC 4501 (1KG), (2KB) and (3) for employees hired on and after January 1, 1980.

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"Not a Federal Employee (PL 95-93 Section 805 (a))

B-2. QUALITY STEP INCREASES

Type Appointment	Quality Step Increase	Authority
Active Military Personnel	No	5 USC 5102(b)
Administrative Law Judges	No	5 CFR 930.210(c)
Consultants	No	5 USC 5102(c)(18); 5 USC 3109
Contract Employees	No	5 USC 5102(c)(10)
D.C. Government Employees	No	
Detailees	No	5 USC 5335(a) - requires occupation of permanent position
Employees at Maximum Salary	No	5 USC 5102(c)(25)
Excepted Service	Yes*	5 USC 5336(a)
Foreign Nationals (permanent)	No	5 USC 5102(c)(11)
Full-time permanent General Schedule Appointment under a wage system (WG, WL, WS, WD, WN, etc.)	Yes No	E.O. 11721; 5 USC 5336(a) GS only per E.O. 11721
Intermittent	Yes*	5 USC 5102(c)(19)
Limited Executive Assignments	Yes	5 CFR 305.509
Merit Pay Employees (GM)	No	5 USC 5331
Neighborhood Youth Corps	No	5 USC 5335(a) - requires occupation of permanent position
Non-appropriated fund employees	No	5 USC 5102(c)(14); 38 USC 4202
Part-time Permanent	Yes	5 CFR 531.401(a)
Presidential Appointees other than specified in 5 USC 5336(c)	Yes	5 USC 5336(a)
Presidential Appointees (with advice and consent of Senate)	No	5 USC 5336(c)
Private Citizens	No	5 USC 5102(c)(15)(B)
Public Law 313	No	5 USC 5102(c)(25); 5 USC 5361
Reemployed Annuitants	No**	5 USC 5102(c)(19); Basic FPM 300, S7
Summer Employees	No	5 USC 5102(c)(19)
Retirees	No	5 USC 5102(c)(15)(B)
Senior Executive Service (career)	No	
Senior Executive Service (non-career)	Yes	

<i>Type Appointment</i>	<i>Quality Increase</i>	<i>Authority</i>
TAPERS	Yes	5 CFR 316.202
Temporary	No	5 USC 5335(a); CG Decision B-164031, 10/26/72 refers to a situation similar to term appts.
Tennessee Valley Authority	No	5 USC 5102(a)(1)(i)
Term Appointees	Yes	5 CFR 316.305
U.S. Postal Service	No	5 USC 5102(c)(1); They have an equivalent system
Youth Opportunity Corps	No	5 USC 5102(c)(19); 5 CFR 213.3102(w)

* Unless appointment is limited (e.g., NTE 1 year)

** Normally reemployed on a temporary basis. However, QSI's may be granted to those serving unlimited appointment under a CSC exception (FPM 300, S7-5(b)).

Appendix C.

Determining Award Amounts .

C-1. GENERAL

The following award scales are offered as guidance to agencies in making decisions on employee contributions (a suggestion, invention, superior performance of assigned job responsibilities, or a special act or service) that benefit the Government. Further guidance appears in subchapter 2, "Payment of Awards."

C-2. FOR SUGGESTIONS, INVENTIONS, AND SPECIAL ACTS OR SERVICES

Table 1a Contributions With Tangible Benefits

<i>Estimated First-Year Benefits to Government</i>	<i>Amount of Award</i>
Up to \$10,000	10% of benefits
\$10,001-\$100,000	\$1,000 for the first \$10,000, plus 3% of benefits over \$10,000
\$101,000 or more	\$3,700 for the first \$100,000 plus .5% of benefits over \$100,000

1 / 00
(be \$ 100,001)

Table 1b Quick Guide for Calculating Awards Based on Tangible Benefits

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

Table 2 Scale of Awards Based on Intangible Benefits

Value of Benefit	Extent of Application			
	Limited	Extended	Broad	General
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.	Affects functions, mission, or personnel of several offices, facilities, or installations Affects an important area of science or technology.	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 or technology.	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.	
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.	\$25-100 (compare w/\$250-1,000 tangible benefits)	\$100-250 (compare w/\$1,000-2,500 tangible benefits)	\$250-500	
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	\$100-250 (compare w/\$1,000-2,500 tangible benefits)	\$250-500 (compare w/\$2,500-5,000 tangible benefits)	\$500-1,000 (compare w/\$5,000-10,000 tangible benefits)	\$1,000-2,500 (compare w/\$10,000-60,000 tangible benefits)
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.	\$250-500 (compare w/\$500-1,000 tangible benefits)	\$500-1,000 (compare w/\$5,000-10,000 tangible benefits)	\$1,000-2,500 (compare w/\$10,000-60,000 tangible benefits)	\$2,500-5,000 (compare w/\$60,000-360,000 tangible benefits)
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.	\$500-1,000 (compare w/\$1,000-2,500 tangible benefits)	\$1,000-2,500 (compare w/\$5,000-10,000 tangible benefits)	\$2,500-5,000 (compare w/\$60,000-360,000 tangible benefits)	\$5,000-10,000 (compare w/\$360,000-1,360,000 tangible benefits)

(1) The minimum award for tangible benefits may be granted only when the benefits reach or exceed \$250 or an agency-determined minimum. The minimum award for intangible benefits should require a comparably high standard.

(2) Contributions recognized by cash awards based on intangible benefits must be comparable, in value to the Government, with those based on tangible benefits.

Comparisons are shown, in parenthesis, below the award amounts in table 2.

(3) When a contribution has both tangible benefits and intangible benefits, the amount of award is based on the total value of the contribution to the Government, i.e. a combination of the award amount based on tangible and the award amount based on intangible benefits.

11/11/77 (See copy submitted for correct placement)

C-3. FOR SUSTAINED SUPERIOR PERFORMANCE

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Table 3 Special Achievement Awards for Sustained Superior Performance

~~#~~ - Up to 15% of base salary -

An agency may establish a fixed percentage rate for all personnel covered under chapter 451, or a range of percentages. When a range is used, OPM suggests that the amount granted reflect the degree to which the individual employee's performance exceeded the standards of performance for the job. These awards must be based upon a current performance appraisal. *The full amount for a sustained superior performance award may be granted only once in any 52-week periods.*

Appendix D.

Determining Extent of Job Responsibility

D-1. GENERAL

a. Monetary and/or honorary awards, as appropriate, should be granted when merited regardless of the employee's grade, level of responsibility, or type of responsibility. Higher grade employees, and all levels and types of management personnel, should be given the same encouragement to make superior contributions as is given to lower grade employees, particularly since their contributions, when job related, may be substantial in order to merit special recognition. Adherence to the requirement that awards be granted for job-related contributions only if they clearly are beyond performance requirements will preclude a disproportionate number of awards being granted to higher graded employees.

b. An award may be granted to an employee for a contribution which concerns matters either within or outside job responsibilities. However, if it is within job responsibilities, it must be so superior or meritorious that it warrants special recognition. In making such determinations, careful consideration should be given to the employee's job description, assigned duties, the performance requirements or standards for the position, and the extent of application of the contribution and its impact on the organization. The employee's supervisor generally is in the best position to evaluate whether the contribution is within job responsibilities. However, awards program administrators, classification specialists, personnel management specialists, and others, may provide valuable input to the decision.

c. Those making such determinations must exercise careful judgment to assure that criteria for determining award eligibility are neither too liberal nor too stringent, as either extreme could well lead to a lack of employee confidence in the program and management. Also, an important factor to be considered is the effect that a negative decision may have on the employee and his or her co-workers.

D-2. DETERMINING AWARD ELIGIBILITY

The following questions may assist in reaching a determination:

a. whether the contribution is within or outside the employee's normal job responsibilities.

- | | YES | NO |
|--|--------------------------|--------------------------|
| (1) Is the subject of the contribution within the scope of the employee's work? | <input type="checkbox"/> | <input type="checkbox"/> |
| (2) Does the employee's job description cover the subject of the contribution? | <input type="checkbox"/> | <input type="checkbox"/> |
| (3) Is the employee expected or required to make contributions of the type under consideration? | <input type="checkbox"/> | <input type="checkbox"/> |
| (4) Is the nature of the contribution such that the employee's performance would be judged less than satisfactory if this contribution had not been made? | <input type="checkbox"/> | <input type="checkbox"/> |
| (5) Is the contribution one pertaining to the immediate work area which the employee can put into operation without consulting higher authority? | <input type="checkbox"/> | <input type="checkbox"/> |
| (6) If the contribution pertains to the employee's immediate work area, as well as having application elsewhere in the organization, would the employee be expected to make contributions that have impact beyond his or her immediate area? | <input type="checkbox"/> | <input type="checkbox"/> |

If the answers to the above questions are "No" the contribution is outside of the employee's normal job responsibilities and should be considered for monetary and/or honorary recognition.

If the answers are "Yes" the contribution is within job responsibilities and, in order to receive recognition, a determination must be made that it is so superior that it merits an award.

b. whether the contribution is so superior that it merits an award.

- | | | |
|--|--------------------------|--------------------------|
| (1) Is the contribution of particular importance or significance to the organization? | <input type="checkbox"/> | <input type="checkbox"/> |
| (2) Was there a great amount of independent thought, or unusual insight, imagination or effort involved? | <input type="checkbox"/> | <input type="checkbox"/> |

- (3) Will there be substantial impact or benefits derived from the contribution?

If the answer to any of these questions is yes, consideration should be given to granting monetary and/or honorary recognition. When a contribution is determined to be partially within job responsibilities, considering the equities of the case in terms of the employee and the organization, the amount may be reduced proportionately from what the award would have been had the contribution been clearly beyond job responsibilities (e.g. by 25%, 50%, or 75%, as appropriate). When a contribution is considered within, or partially within, the employee's normal job requirements in the particular employing unit or organization, if it benefits other units within or outside of the organization or other Government organization(s), the

individual should receive recognition to the extent that his or her assigned duties did not require such improvements or changes to be made in other organizations. In such cases, job responsibility should not be a factor and the award should be based on the total benefits to the other organizations or agencies benefiting.

D-3. HANDLING ~~INELIGIBLE~~ DETERMINATIONS

If a determination is made that the contribution is completely within normal job requirements, the employee should be fully informed of the reasons for this decision. Although ineligible for a cash award, the individual should receive, as a minimum, some form of non-cash recognition such as a certificate or letter of appreciation.

Appendix E. Nomination Formats

E-1. THE PRESIDENT'S AWARD FOR DISTINGUISHED FEDERAL CIVILIAN SERVICE

a. An original and one copy of each nomination are required to be submitted by the agency head to the Director, Office of Personnel Management, (Attention: Incentive Awards Branch), 1900 E Street, N.W., Washington, D.C. 20415.

b. Each nomination must be typed, single-spaced, on standard-size paper.

c. Each nomination must contain the following information, in the order listed:

(1) First page—a brief biographical sketch, in itemized format, containing date and place of birth; significant educational background; significant employment record; a specific statement of type of appointment status; current grade level; etc.

(2) Second page—a proposed citation for the signature of the President. The proposed citation must contain from 50 to 60 words in two-paragraph form, and highlight the significance of the individual's achievement.

(3) Additional pages containing not more than 2,500 words with topical headings as follows:

(a) Summary of Achievement—not more than one page.

(b) Additional Details—in non-technical language, illustrating how the nominee was personally responsible for the achievement. Also include:

—The specific benefits in improving Government operations or serving the public interest. Describe separately the tangible and intangible benefits.

—Examples of personal qualities of the nominee which make his or her achievement possible, if these have not been covered already under previous headings.

(4) A statement describing any significant awards received by the nominee, which support the nomination.

d. If desired, supporting or technical material may be submitted to supplement the nomination. There is no limitation on the amount of such material that may be submitted. However, supporting material should be submitted separately in bound form.

NOTE: Department and agencies are in no way restrained from making awards to employees who are being nominated for the President's Award. No information is to be released on the nominations. After the President has made the Awards, agencies are urged to give the widest publicity to the recipients.

E-2. PRESIDENTIAL MANAGEMENT IMPROVEMENT AWARDS

Nomination for (Year) Presidential Management Improvement Award
(Submit in Triplicate through Agency Incentive Awards Program Channels)

Name: _____
Position Title: _____
Rank or Grade: _____

Organization: _____
Location: _____
Agency: _____

1. Narrative justification of one or two pages including:

- area(s) of achievement upon which nomination is based
- scope and importance of mission, function, service, or activity affected
- extent of ingenuity, innovation, or dedication demonstrating initiatives beyond job responsibilities
- results achieved, including benefits to the Government and impact on the organization. (If tangible benefits result, specific, documented, dollar amounts should be stated.)

Previous Awards Received by Nominee(s): (Include those granted by the department or agency as a result of this contribution.)

2. Citation: A two paragraph citation, not to exceed 80 words in total, describing the contribution, its benefit to the Government and impact on the organization.

Contributions made by personnel of (Agency Name), which received Presidential letters of recognition during fiscal year _____, have been reviewed and it has been determined that this contribution merits nomination for the Presidential Management Improvement Award. I am pleased to forward this nomination for consideration.

r/n
P/)

Department or Agency Head

Date

Name and telephone number of official to be contacted for further details on this nomination:

Nominations should be submitted to: Director, Office of Personnel Management
1900 E Street, NW
Washington, D.C. 20415

*If group nomination, name of individual who led group effort.

E-3. PRESIDENTIAL LETTERS OF COMMENDATION (Submit through Agency Incentive Awards Program Channels)**MEMORANDUM FOR THE PRESIDENT**

SUBJECT: Presidential Recognition Program

I request that a Presidential letter of commendation be granted to the following member(s) of this organization:

name(s): first, middle initial, surname (for civilian personnel, indicate whether Mr., Miss, or Mrs.)

title: civilian position, title or military rank

organization
location; city and state or APO

Provide a brief description of the employee contribution: (1) citing the first year measurable benefits (if any) or the impact of the achievement within the areas of high Presidential interest and concern. (2) Indicate the type of recognition granted by the agency, including the amount of cash award, if any. (3) If it is a group or team achievement, indicate the name of the leader. (4) If a nominee previously has received Presidential letters under the program, please indicate when such recognition was granted.

(signature and title of department or agency head)

Attachment(s) (backup material)

NOTE: The envelope should be addressed as follows:

The President
The White House
Washington, D.C. 20500
Attention: Presidential Recognition Program

E-4. ~~NOMINATION FORMATS FOR~~ PERFORMANCE RECOGNITION (SEE SUBCHAPTER 6 FOR SPECIFIC CRITERIA)

a. SUGGESTED NOMINATION FORMAT FOR SPECIAL ACHIEVEMENT AWARD FOR SUSTAINED SUPERIOR PERFORMANCE

- 1. *Name of nominee:*
- 2. *Present organization, position, title, grade, step.*
- 3. *Period of service on which recommendation is based:*
- 4. *Position held during period covered by the nomination, if different:*
- 5. *Dates and types of other awards and quality increases received:*
- 6. *Job functions* (list the function or functions which the employee has performed in a manner substantially exceeding normal requirements and provide answers to a, b, and c for each). Function # 1, etc.
 - a. Standard of performance.
 - b. How performance exceeded standard.
 - c. How performance increased productivity, economy, efficiency, or effectiveness of Government operations (identify dollar benefits where possible).

(Name of nominee's) position description and the performance standards for the position were thoroughly reviewed before submitting this recommendation. I certify that the employee's performance has been appraised as substantially exceeding fully satisfactory performance and that it meets the criteria for the award recommended. Therefore, I recommend (Name) for a special achievement award of \$

Recommending official (date)
Reviewing/approving official (date)

b. SUGGESTED NOMINATION FORMAT FOR QUALITY STEP INCREASE

- 1. *Name of nominee:*
- 2. *Present organization, position, title, grade, step.*
- 3. *Period of service on which recommendation is based:*
- 4. *How long in present position? Present grade?*
- 5. *Date when next regular within grade increase due:*
- 6. *Dates and types of other awards and quality increases received:*
- 7. *Job functions* (list the function or functions which the employee has performed in a manner substantially exceeding normal requirements and provide answers to a, b, and c for each). Function #1, etc.
 - a. Standard of performance.
 - b. How performance exceeded standard.
 - c. How performance increased productivity, economy, efficiency, or effectiveness of Government operations (identify dollar benefits where possible).

(Name of nominee's) position description and the performance standards for the position were thoroughly reviewed prior to the submission of this recommendation. I certify that the employee's performance has been appraised as substantially exceeding an acceptable level of competence, meets the criteria for a quality step increase, and that the employee's performance shows promise of continuing at this high level in the future. Therefore, I recommend (Name) for a quality step increase.

Recommending official (date)
Reviewing/approving official (date)

*A current performance appraisal may be used as documentation for this section, provided it supports the conclusion that the recognition is justified.

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E-5. SES RANKS AND STIPENDS

- a. Nominations shall be signed by the agency head.
- b. The documentation submitted with each case should include:
 - (1) a completed OPM Form 1390
 - (2) a justification statement (not to exceed two pages) which includes:
 - (a) brief description of scope and importance of nominee's work
 - (b) extent of ingenuity, innovation, and dedication demonstrated by the executive in dealing with critical issues, problems, and the achievement of important goals and objectives.
 - (c) beneficial results achieved through the nominee's leadership.
 - (d) effectiveness in the management of human resources.
 - (e) major career-related awards and honors received (indicate dates);

(3) a copy of pertinent portions of the executive's recent performance evaluation deemed by the agency to support the nomination. The nominations should also cover as a minimum the criteria elements listed earlier. (Section 4313 of 5 U.S.C. also contains useful general guides related to SES performance appraisal.)

c. The agency should indicate, for each nominee, which rank is being recommended. When an agency submits more than one nomination for the same rank, the agency's order or priority should be indicated. An individual nominated for Distinguished Executive will be considered automatically, if eligible, for Meritorious Executive if OPM does not consider the award of the higher rank appropriate.

NOTE: A nominee not selected for a rank award should receive agency consideration for other kinds of awards authorized. (An individual may, of course, receive an honorary rank and additional awards or recognition to the extent to which they are merited and not restricted by law.)

Appendix F.

Major Awards Sponsored by External Organizations

<i>Name of Award</i>	<i>Purpose</i>	<i>Description of Award and No. Granted Annually</i>	<i>Brief Description of Criteria (See annual announcement for details)</i>
Rockefeller Public Service Awards (Est. 1952)	To recognize achievements of individuals both in and out of Government who have made significant contributions in critical areas facing our country.	\$10,000 (5)	Problem areas which represent important national concerns are identified annually. Any individual in or out of government, who has made a recent specific and identifiable contribution of major significance to the public service in one of the specified problem areas may be nominated. Nominees must be U.S. citizens.
Arthur S. Flemming Awards (Est. 1948)	To honor outstanding individuals in the Federal government and to recognize those who have performed outstanding and meritorious work for the government, to attract outstanding persons to the Federal government, encourage high standards of performance in the Federal service, and to enhance appreciation of our form of government and the opportunities and responsibilities it represents.	Engraved Plaque (10)	Civilian employees of the Executive Branch under 40 years of age. A specific accomplishment for which the nominee is primarily responsible, resulting in material improvement in service or in substantial financial savings to Government or in significant social or technological progress, or outstanding executive, scientific, or technical ability or outstanding performance displayed by nominee during preceding fiscal year, but not necessarily connected with or related to a specific accomplishment or project.
National Civil Service League Awards (Est. 1955)	To recognize career public employees for significant contributions, encourage excellence in government service, promote public appreciation of quality in government, and to stimulate able youth to choose government careers.	Plaque (10)	Federal employees who have a record of integrity and devotion to the principles of public service and of exceptional efficiency, sustained superior performance, and accomplishment. There are two categories (1) Career Service Awards—nominee must have at least ten years in one of the career services of the Federal government. This may include military, state, and local government service.

Name of Award	Purpose	Description of Award and No. Granted Annually	Brief Description of Criteria (See annual announcement for details)
William A. Jump Memorial Award (Est. 1950)	To recognize and encourage outstanding and deserving young Government employees for sustained growth, development, integrity, and interest in the field of public administration.	Gold Key and Certificate of Merit (1)	(2) Special Achievement Awards—a single achievement, a series of successful projects, or one project continued over a period of years which has brought credit to the agency and the public service.
Roger W. Jones Award for Executive Leadership (Est. 1978)	To recognize executives within the Federal Government whose leadership has resulted in outstanding organizational achievement and who have successfully fostered the development of managers and executives for career service.	Bronze Plaque and Citation (2)	Career Executives who have demonstrated superior leadership which resulted in outstanding organizational achievements, and a strong commitment to the effective continuity of Government by successfully bringing about the development of managers and executives <i>may be 0/1/1 nominated</i>
Joint Financial Management Improvement Award (Est. 1950)	To recognize Government employees who, through the practice of effective financial management, have achieved outstanding economics, efficiencies and improvements in Federal, state or local Governments.	Engraved Plaque	Federal, state or local government employees or small groups whose competence and leadership have resulted in exceptional accomplishments over the years in the application of financial management.
William T. Pecora Award (Est. 1974)	To recognize outstanding contributions of individuals or groups toward understanding of the earth by means of remote sensing.	Plaque and Citation (1)	Sustained or single contributions of major importance to the art or science of understanding of the earth through observations made from space. All individuals or groups working in the field of earth resource sensing, including those from the scientific and technical community and those involved in the practical application of remote sensing.

status and authority to deal with top agency managers. The administrator should be able to deal directly with and have access to the head of the organization, as necessary. Specifically, the administrator should:

- Develop policies and procedures
- Provide interpretation of and guidance on policy, and enforce rules
- Develop the operating budget for the program, including cost of awards, promotion, publicity, salaries, materials, training, travel, etc.
- Originate and coordinate promotion of the program
- Train employees to suggest
- Train suggestion evaluators
- Train supervisors and managers in effective use of awards as motivators
- Keep abreast of the state-of-the-art and apply new concepts, as appropriate
- Coordinate awards program operations in all areas of the organization
- Review, evaluate and plan improvements of the organization's program
- Prepare and present or issue reports to management, supervisors, and employees
- Direct operation of the program within the organization
- Supervise support staff.

G-4. RATIO

The size of the awards program staff will vary with the organization's size and structure and the level of interest in the program. A publication by the Metropolitan Life Insurance Company, "Suggestion Systems", estimates that operation of a suggestion program, for example, requires one staff person for each 1,500 employees. But the suggestion program represents only a portion of the average Federal incentive awards program administrator's responsibilities. And because civilian and military suggestion programs provide a substantial return on investment, delay in processing and adopting suggestions results in loss of benefits to the Government. Similarly, unnecessary delay in granting and presenting deserved performance awards is demotivating to the work force and leads to decreased individual and organizational productivity. One way to estimate awards program staffing needs is to compare incentive awards program results with those of other organizations of like size and mission to determine whether program activity adequately reflects mission achievements of the organization. OPM's annual report on the Incentive Awards Program "Achievements" provides comparative statistics.

G-5. CLASSIFICATION

Throughout the 25-year history of the Federal Incentive Awards Program, controversy has existed over classification of Incentive Awards Program positions. And while agencies have requested a separate classification series for Incentive Awards Program Admin-

istrators, and a Bill was introduced in the Congress (S-1223, May 23, 1979) which included such a proposal, use of existing occupational series permits organizations to relate incentive awards to either personnel or management analysis functions. The following listing of Incentive Awards Program functions and responsibilities should be considered in developing position descriptions for various levels of expertise and experience:

Duties Typical of Incentive Awards Responsibilities at:

(I) Policy Level.

Formulates, determines, develops, coordinates, and issues policy on the Incentive Awards Program within the organization.

Detects, analyzes and devises highly creative solutions to complex problems.

Advises the head of the organization and management officials on the most effective use of performance recognition and the suggestion/invention program as a management tool to improve individual and organizational productivity.

Negotiates with, or participates in negotiations with employee organizations on matters that concern the incentive awards program as it impacts on employees.

Conducts, or participates or coordinates conduct of training for managers, supervisors, suggestion evaluators, Incentive Awards Committee or Board members, and employees regarding the Incentive Awards Program.

Is the primary contact within the organization for liaison with merit pay, SES and performance appraisal functions as they relate to the Incentive Awards Program.

Is responsible for assuring that the organization's Incentive Awards Program meets and is administered according to legal, regulatory, and agency requirements.

Is responsible for, as a minimum, annual program evaluation and feedback reports to all levels of the work force.

Based on program evaluation, as chief advisor to the Board or Committee, plans program improvements and establishes measurable goals and objectives for the next reporting period or fiscal year. Inquires into evidences of over or under-use of performance recognition or suggestion program participation to determine if reasons for such deviations are adequate. Where misuse or under-use of authorities is disclosed, conducts or arranges appropriate remedial action, including educational program(s).

Evaluates needs of the organization and of employees and devises new and innovative awards plans which use the incentive awards program to further the mission of the organization and to meet the recognition needs of the work force.

Budgets for the organization's Incentive Awards Program including awards payments, staffing, and

other logistical support, e.g., supplies and services, promotional items and publications.

Initiates continuous promotion and publicity activities to obtain voluntary cooperation and participation of the work force at all levels. This includes originating articles concerning awards, program policies, practices, and flexibilities, award winners, and program benefits to the organization, in a variety of formats for presentation to a variety of internal and external news media.

Is responsible for advising management on, procuring, and supervising distribution of a variety of recognition items, such as top honorary awards, certificates, career service emblems, and promotional items.

Arranges for awards ceremonies including originating and coordinating printing of ceremonial brochure, obtaining presentation items and appropriate engraving, transportation, housing and hosting of out-of-town recipients, preparing scenario and citations and briefing key officials and recipients on their roles, arranging for media coverage and photographers, arranging reception for awardees and invited guests.

Periodically visits and confers with counterpart awards program staff members within the organization and other Government and non-government organizations. Represents the organization at professional meetings and participates in education activities of professional organizations to stay abreast of the state-of-the-art.

Originates training materials on incentive awards for use in the organization's training program and assures timely and effective use of these items.

Supervises incentive awards staff. Assures that suggestions and performance award recommendations are processed expeditiously and that recognition is granted promptly.

Is contact for the organization with external groups that grant awards to Federal personnel for superior achievement.

(2) Operating Journeyman Level

Under general supervision of Policy-level staff member:

Assists in development and issuance of policy on the Incentive Awards Program within the organization. Implements policy, and, on the basis of experience, suggests changes to improve weaknesses. Prepares procedural guidance for the organization's Incentive Awards Program.

Counsels supervisors, managers, and employees on performance recognition and the suggestion program, and the relationship of the awards program to other personnel functions, e.g. performance appraisal, merit pay, SES, classification, placement, retention benefits during RIF actions, grievances. Advises top management officials on effective awards program methods and procedures individually and in groups, including

conducting briefings and discussions. Arranges for, or conducts training for supervisors, management officials, suggestion evaluators and employees.

At least annually, reviews the organization's awards program achievements including statistical results, narrative or oral feedback, and extent to which the program has supported the organization's goals and objectives. Recommends initiatives, improvements or remedial action.

Prepares material for the organization's Incentive Awards Board or Committee and works with members to (1) develop program improvements and annual fiscal year goals and objectives, and (2) resolve complex or disputed awards cases. Reviews competitive award nominations and prepares recommendations for Committee or Board action, or final decision by the head of the organization, including review of the personnel records to determine appropriateness of award in light of employee's performance appraisals, career progression and previous or pending recognition. Works with the Board, Committee or final approving official in selection of winners. Assures that appropriate action is taken to implement decisions.

Carries out continuous publicity activities to promote full and more effective use of the awards program within the organization. This may require working with both external and internal news media and liaison with the organization's public affairs, graphics, printing, photography, and procurement staffs. Writes articles, brochures, flyers, etc., and prepares training materials to improve program operation.

Is responsible for completing arrangements for special or recurring awards ceremonies and presentations. Assists in briefing officials and participants on their roles and in preparing necessary presentation items, comments, script, citations, seating plans, etc. Arranges reception(s) for honorees and invited guests.

Maintains oversight over administration of the organization's awards program, assisting and advising junior awards program staff and personally handling unusually complex or important cases (e.g. Presidential, or cash awards that must be approved at higher levels of the organization).

Responds to written or oral inquiries that require special attention. Provides on-the-job training to junior staff members, reviews work prepared by them and provides job counseling as needed.

(3) Technical Level

Provides guidance and counseling on the incentive awards program to personnel at all levels throughout the organization. Such guidance and counseling may be oral or written, and provided as the result of a request, or on incumbents' own initiative when program weaknesses indicate the need for it.

Reviews, or coordinates review of, performance awards recommendations and employee suggestion contributions. Solicits nominations for competitive

awards. Reviews and assures completeness of documentation submitted and that criteria for awards are fully met. Evaluates the merits of recommendations and recommends appropriate award action. As a part of the review and evaluation, searches personnel records to confirm information or add supporting documentation, or obtains confirmation of benefits from management analysis staff.

In making recommendations on cases, assures that documentation supports the authorized use of appropriated funds for the award. Takes appropriate action to complete processing awards cases, including issuance of check and presentation of certificate or letter, and notification to nominating official or employee suggester.

Prepares special letters or briefing outlines for use in ceremonial presentations and assists in arranging special presentations and appropriate subsequent publicity.

Functions as liaison on Incentive Awards with other organizational elements and with other Government agencies to promote the transfer of employee contributions and resultant benefits to the Government.

Assists in technical review of annual awards program results. Identifies areas of weakness and proposes corrective action or new initiatives for improvement. Participates in preparation of annual program improvement plan for discussion with organization's Board/Committee.

Provides technical guidance, assistance, and support to other staff members, as needed, in fulfilling the responsibilities of the office for effective administration of the organization's Incentive Awards Program.

(4) Support Staff Level

Reviews employee submissions prior to acceptance

for consideration as suggestions. Screens out ineligible submissions, notifies employee of action taken. Records and maintains records on employee suggestions and performance award nominations, assuring that a record of approved awards is placed in awardee's official personnel file.

Initially reviews nominations for competitive awards to assure completeness of documentation submitted. Requests missing material from nominating office or other sources.

Maintains follow-up on suggestion and performance award actions in process, and on general awards program correspondence.

Drafts annual report for review by professional staff. Collects and tabulates statistics and checks to assure accuracy of data submitted. Performs statistical calculations to obtain average rates of participation, adoption, tangible benefits, amount of award, distribution of performance awards by grade level and by organizational component. Reviews narrative material and highlights important items.

Responds to routine oral and written inquiries on own initiative. Maintains calendar of events including scheduling space and making logistical support arrangements for awards ceremonies, training sessions, and conferences.

Makes travel arrangements for awards program staff, and award recipients from field locations when award is to be presented at organization headquarters.

Maintains supply of recognition and promotional items and awards program forms and supplies and initiates action to procure additional stock, when needed.

May be called upon to provide typing support.

Appendix G.

Staffing Agency Awards Programs

G-1. AGENCY RESPONSIBILITIES

The head of each agency shall . . . seek to gain maximum benefits for the Government through improved employee motivation and productivity by providing . . . adequate . . . staffing and support services to assure prompt action on all employee suggestions and performance award recommendations and effective promotion and publicity activities. (5 CFR 451.205). Greater delegation to agencies of authorities for personnel management and new emphasis on increased monetary recognition based on effective performance require a close working relationship between agency personnel staffs and line managers. Investment in the quality and quantity of these who provide technical assistance to agency supervisors and managers therefore becomes a critical need. OPM and GAO⁴ reviews of the incentive awards program in operation indicate that agency staffing generally is inadequate, both in quality and quantity. Among recommendations for improving the incentive awards program GAO stated that the essential components of an effective program ". . . cannot be implemented successfully unless agency heads made an adequate staff available with the appropriate technical skills".

G-2. SELECTION AND TRAINING

a. Selection. The success of an organization's awards program is directly proportionate to the investment management makes in staffing the program and training persons selected. Their personal motivation, ability, industry, integrity and enthusiasm determine how the program will be perceived by both management and employees. Following are minimum requirements for awards program professional staff:

- (1) Knowledges. A good working knowledge of:
- The organization, its mission, and how its mission relates and contributes to Government and national goals and objectives
 - The philosophy and psychology of motivation
 - The basic goals and objectives of the Federal Incentive Awards Program and how this program

⁴FPCD -78-73, "The Federal Employee Suggestion System—Possibilities for Improvement", November 8, 1978; and HGMSC-79-9, "Does the Federal Incentive Awards Program Improve Productivity?", March 15, 1979.

relates to incentives provided under other authorities

- Federal and agency incentive awards program rules, regulations and guidance
 - The legal aspects and implications of the awards program
 - Related personnel management functions (e.g. performance appraisal, compensation, employee and labor relations, placement and promotion, grievances and appeals, etc.)
 - Data collection, analysis, evaluation, and feedback
 - Productivity measurement
- (2) Skills. Ability to:
- Communicate effectively and convincingly, both orally and in writing, formally and informally, with personnel at all levels
 - Work actively with managers and supervisors to design awards systems that both motivate employees and are linked to the organization's goals and objectives
 - Provide training for supervisors and managers in use of incentives to motivate employees and in evaluating suggestions
 - Actively "sell" the program to managers, supervisors, and employees
- b. Training. Initial and periodic training, both formal and informal, is needed covering:
- Current and long range agency goals and objectives
 - The legal aspects of awards programs
 - Procedural requirements (Federal, agency, organization)
 - General structure and operation of the Federal personnel system
 - Other personnel management functions, and their relationship to the awards program.

Awards program professional staff should participate in activities and training opportunities offered by professional associations.

G-3. VISIBILITY

Differences in size, mission, organizational structure and geographic dispersal dictate that each agency determine its own staffing pattern and ratio. Whenever possible, the awards program administrator should work on the program full time and should have both

pennington

JFK: Trippett - killed by Oswald -

SS - threw herself over LBJ

others?

recognitions given to SS
+ other local
service -

Thru one killed outside Blair house / also: Senate?

Ford: 2 attempts - check out? -
(no one got hurt)

See: Pass -

McCarthy -

Local police officer -

68: RFK

72: G. Wallace

Thurs 2PM
DOJ

Discussion with B. McHenry April 7 -

2 things to do better:

a) private sector \$

b) management

Add to paper

Include ways to reduce bureaucracy - eg:

1) funnel \$ out to states or major org

2) panels select - (use NEA as
"post office" -

3) cut personnel

→ Where to include reference to concern of
arts folk that they will be competing with govt.

→ To the extent we push in this direction
we are diverting \$ from other charities -

→ balance of Fortune 500 involved -

1) organizational issues

2) creation of taskforce - we don't know enough -
- search committee for new chairman -

3) In interim: 2 endorsements: what to do ~~now~~ now!! -
- watchdog

The mission of the Task Force would be:

- Review and critique
- programs administered →
- o ~~Classify~~ ~~the~~ ~~the~~ the functioning major of NEA and NEH, as well as other arts & humanities programs administered by the federal government (eg ICA ^{I-V} cultural and programs, State Dept cultural programs)
 - o Assess above options (and any new options) and recommend appropriate organizational structure.
 - o Confer with Congress ^{key} and gauge ^{new} ~~off~~ responsiveness to change.
 - o Develop specific personnel recommendations which complement the organizational recommendations.

Table for 6 - 7

Palmer - Denver
Bar, Hester - Denver

2:10 → 3:45 : page ①

6

o Director's Valor Award Sec. Ser
Larry Buendorf of Sec. Service -

(internal award) -
(except

Squeaky Fromm -
- Finger in trigger.) -

o Soray Jane: no indication of any award
rec

2) Tramma _____ Sec. Service

3) Local Officer

It appears from: no ~~total~~ Proc'l Recog
of locals -

President: Truman

4. Recipient: _____

Nature of Award : _____
and Pres

Kennedy -

2. Recipient: ~~to~~ Rufus Youngblood,

NOJ A + Presentation: Exceptional Service Award, the highest award..... Rept, for shielding with his body the Vice President, LB Johnson, upon hearing ~~the~~ initial shots fired on Nov 22, 1963. Award presented by Secretary Dillon Dec 4, 1963, at the Rose Garden, in the presence of Pres. Johnson, Treas and Secret Service officials, Youngblood's family, + others.

~~President~~ ~~John F. Kennedy~~

~~John F. Kennedy~~
Bar

→ Author of Award

Recipient

Truman

Leslie Coffelt,
U.S. Scout Service

~~John F. Kennedy~~
Bar

Clinton J. Hill,
Special Agent,
U.S. Scout Service

Nature of Award + Presentation

Delhmann; plaque on blue ribbon;
Recognition for saving the President's
life on May 21, 1952.

~~Exceptional Service Award~~

The highest award offered by the
Department of the President and
with his body. The President and
Mrs. Kennedy ~~upon leaving~~
implied shots fired ~~(Dattas, Howard)~~

on Nov 22, 1963. Award presented

on Dec 31, 1963 by Secretary of the

at the main hearing 131 days, with Mrs.

Jacqueline Kennedy, Hill's family,
and officials of Army and Scout

Service present, and other present

(numbers 75) ~~present~~ (all to Hill's 75)
present.

MF:
FROM:
_____:

Our initial review of the National Endowments for Arts and Humanities indicates that direction for each of these endowments is needed in the short term.

Both are Endowments are headed by Carter appointments whose terms expire in the fall: Livingston Biddle, Chairman of the NEA, serves until _____, Joseph Duffey, Chairman of the NEH, serves until _____.

Both Chairmen are ~~directing~~ ~~part~~ budget allocation without guidance from _____ are directing program budget allocations ~~without~~ independent of any direction from this Administration, and will be depending these ~~budget~~ allocations to Congress. Biddle, for example, is planning to increase spending for administrative efforts while program funding is ~~not~~ has been cut back 50%.

Option III -- Create a single Board of Directors to oversee both NEA and NEH; this private sector Board would have policy powers; Heston would be the Chairman.

The only difference between this Option and Option II is that in this case one Board would oversee both NEA and NEH. This approach represents an attempt to reduce bureaucracy and minimize overlap in NEA and NEH functions.

The disadvantage is that the Humanities community might object to an Arts advocate, Heston, as the Chairman.

Option IV -- Create a public corporation, along the lines of the Corporation for Public Broadcasting (CPB) to foster the Arts (and Humanities); appoint Heston Chairman.

This approach appears to satisfy all three objectives, although passage through Congress may present a significant challenge. It may be helpful to consider how CPB currently functions.

- o CPB was established as a non-profit Corporation to encourage the development and growth of public radio and television. Congress specifically stated that the CPB is not an Agency or establishment of the Federal government.
- o In terms of structure, CPB has a Board of Directors, each of whom is appointed by the President to six-year terms, with the advice and consent of the Senate. The CPB Board is comprised of individuals eminent in fields of interest related to the public broadcasting industry. The Board, as a body, elects a Chairman and Vice Chairman. The Board is nonprofit and non-political.
- o CPB is authorized and encouraged to obtain any non-federal financial support in addition to the monies appropriated by Congress. Federal appropriations are made in proportion to the amount of total funding the Corporation can generate from private and local and state sources.

A new similar corporation could be established for the support of the Arts and Humanities with private sector linking arms with the Federal government in this fashion.

This memorandum addresses the need for ~~some~~ policy direction at NEA and NEH pending reso-

Recommendation

We ^{appropriate organizational} ~~are~~ ^{questions we are seeking to resolve.} ~~recommending~~ that an interim consultant, ^{acting as} ~~being~~ deputy to the Chairman, ~~be placed at NEA~~ and ~~at NEH~~ be placed at each of the National Endowments, to provide ~~the~~ policy direction.

(Per ^{our} ~~our~~ ^{recommendation} to you on the ~~out~~ ^{Endowment})

Rationale

Background

(

Rationale -

1. A ~~consultant~~ will provide ~~proper~~ policy direction on the key budget issues for FY '82.
2. ~~Prevent long-term civil service~~ any undesirable personnel appointments.
2. Monitor personnel appointments.

As personnel leave due to ~~It is~~ ^{some} ~~Indi~~ ~~Pro~~ ~~It~~ ~~In~~ ~~many~~ cases, personnel slots are opening up due to ~~disatisfied~~ ~~end~~ ^{as a reflection of}

President Truman

Recipient:

Name:

i :

HY 8141

· Y6

t: 20 Years
in the Secret Service

MY LIFE WITH FIVE PRESIDENTS

Rufus W. Youngblood

SIMON AND SCHUSTER • NEW YORK

The White House
and
Executive Office of the President
Information Center
Washington

LATE -

INFORMATION REGARDING SECRET SERVICE
AGENTS OR AGENTS OF THE LAW CONCERNING
PERFORMING HEROIC ACTS DURING ASSASSINATION
ATTEMPTS IS - PRECIOUS LITTLE.

WHAT WE HAVE FOUND IS THE FOLLOWING:

- ① LESLIE COFFELT WAS RECOGNIZED
FOR HIS BRAVERY TO SAVE
PRESIDENT TRUMAN'S LIFE, ON
MARCH MAY 21 '52 - SEE PROTOCOLS
OF REMARKS FROM PRESIDENTIAL
PAPERS OF TRUMAN.
- ② CLINT HILL, SECRET SERVICE
AGENT, TRIED TO PROTECT
PRESIDENT KENNEDY. RECEIVED
TREASURY'S HIGHEST AWARD
FOR "EXCEPTIONAL BRAVERY"
- SEE NYT ARTICLE DEC. 4. 63.
- ③ ROBERT GARYBLOOD RECEIVED
'EXCEPTIONAL SERVICE AWARD'.
LIKE CLINT HILL'S AWARD, IT
WAS AWARDED BY TREASURY DEPT.
[SECRET SERVICE IS ORGANIZATIONALLY A PART

OF TREASURY DEPT.]

THERE WERE NUMEROUS ASSASSINATION ATTEMPTS
ON THE LIVES OF ALL OF THE SUCCEEDING PRESIDENTS

(A HELICOPTER INCIDENT, A MAN JUMPING
OVER THE WHITE HOUSE FENCE WAS SHOT
DEAD, SQUEAKY FLOUM + SARAI JANE MOORE,
AND OTHERS.)

THERE IS NO SINGLE SOURCE OF INFORMATION ON THIS
SUBJECT. WE HAVE BEEN ABLE TO VERIFY THREE
PEOPLE BEING RECOGNIZED FOR HEROISM IN
PROTECTING THE PRESIDENT.

- WE TRIED CALLING YOU
NUMEROUS TIMES, SORRY
WE WERE UNABLE TO
REACH YOU. I HOPE
THIS ADDRESSES YOUR
NEED WITHIN THE
DESIRED TIME FRAME.

JUDITH DETORO
x 7000.

Hero's Medal Given Secret Service Man For Dallas Bravery

By THE ASSOCIATED PRESS

WASHINGTON, Dec. 3

Mrs. John F. Kennedy honored on today as a Secret Service agent, Charles J. Hill, received the Treasury's highest award for "exceptional service" in the assassination attack on Mr. Kennedy.

With other members of the Kennedy family, she came to watch Secretary of the Treasury Douglas Dillon present a gold medal today to the agent who had been ordered to protect Mrs. Kennedy since shortly after the election in 1960.

Mr. Dillon said that Mr. Hill's actions added to the "great tradition of courage and honor" of the Secret Service, which comes under his department.

Actions Are Recalled

The citation said that Mr. Hill had been standing on the running board of a Secret Service car just behind the Presidential limousine when the assassin fired his first shot in Dallas on Nov. 22.

With the bullets still being fired the citation said Mr. Hill "climbed on the rear of the President's rapidly moving limousine, shielded the President and Mrs. Kennedy with his own body."

It said his "extraordinary courage and heroic effort in the face of maximum danger" earned him the medal, which is about the size of a half-dollar and is inscribed with the words "For Exceptional Service in the Treasury Department." One side bears the seal of the Treasury; the other depicts the

Continued on Page 19, Column 5

GUARD IS HONORED FOR ACT IN DALLAS

Continued From Page 1, Col. 4

Treasury Building. In an anteroom beforehand, Mrs. Kennedy had a brief chance to greet Mr. Hill, his wife, Gwen, and their two sons, Chris, 7 years old, and Cory, 2.

Mr. Hill, who is 31, served three years in the Army's Counter Intelligence Corps. He joined the Secret Service in September, 1958, and was transferred to the White House detail in the Eisenhower Administration.

About 75 persons, many of them fellow agents, witnessed the ceremony and applauded Mr. Hill, who has been assigned to remain on duty with Mrs. Kennedy.

The Senate, meanwhile, passed and sent back to the House legislation granting Mrs. Kennedy and her two children the protection of no fewer than two Secret Service agents for one year.

The bill also provides temporary secretarial help and office space for her for a year, up from the six months authorized by the House, and up to \$5,000 to cover death and burial

New York Times,
December 4, 1963,
p. 1, 19.

[132] May 20

Public Papers of the Presidents, Harry S. Truman
1952-53.

In April 1951 General Ridgway became Commander-in-Chief of United States Forces in the Far East and Supreme Commander, Allied Powers in Japan. In addition to directing United Nations strategy and guiding the armistice negotiations in Korea with skill and firm forbearance, he supervised, on behalf of the Allied Powers, the final stages of the rebirth of the Japanese people as an independent nation. In these grave responsibilities he displayed the highest order of

physical and moral courage, skillful leadership, and broad understanding.

General Ridgway's extraordinary service merits the gratitude not only of the American people but of free peoples everywhere.

NOTE: The citation was presented by the President following his address at the sesquicentennial convocation of the United States Military Academy (Item 131). General Ridgway had accompanied the President on the trip from Washington.

See also Item 112.

133 Remarks to the Winner of the Teacher of the Year Award. May 21, 1952

MRS. JONES, I congratulate you on this award.

Next to a child's mother, the greatest influence on his character and his growth into a good citizen is his teacher.

I remember with much pleasure the teachers I had when I was going through the grade schools and through high school. Some of them are still alive, and I still keep in touch with those that are alive.

They had a tremendous influence on the route which I followed in informing myself on government, on the Republic of the United States, and what it means. And I am more than happy for this opportunity of

bringing the attention of the country to the fact that one of its main supports, and one of the reasons why it is the greatest Republic in the world has been due to the teachers who take young minds and train them to be citizens as they should be.

Therefore, it is a great pleasure to me to have you here this morning.

NOTE: The President spoke at 11:40 a.m. in the Rose Garden at the White House. The recipient of the award was Mrs. Geraldine Jones, a first grade teacher at Hope School in Santa Barbara, Calif.

The United States Office of Education, in cooperation with McCall's magazine, selected Mrs. Jones from nominees submitted by State departments of education.

✓ 134 Remarks at the Dedication of a Memorial Plaque Honoring Pvt. Leslie Coffelt. May 21, 1952

THANK YOU very much, Captain. I certainly appreciate your thoughtfulness in placing this plaque on the Blair House. It commemorates an event about which I do not like to think. It taught me a very good lesson, that the President is well and amply guarded by good and brave men, both in uniform and in the Secret Service.

This young man, to whom this plaque is erected, was one of the most pleasant officers on the force—and one of the ablest.

It brought home to me the fact that it is

not the President who is in danger on occasions of this kind, but it is the men who guard him.

And I want to say to you that I have been extremely cooperative with the guards ever since this event took place, and I shall continue to be just that way until I am through with this office. Not because I am afraid of being shot at—I have been shot at by experts—but I do not want to endanger the lives of the men who spend their lives guarding the President of the United States.

Thank you again very much for this memorial plaque.

NOTE: The President spoke at 12:40 p.m. at the Blair House in Washington. In his opening words he referred to Capt. Russell B. Wine, U.S. Army, national president of the National Sojourners.

Private Coffelt, a member of the White House

Police, was killed during the assassination attempt on the President on November 1, 1950. For an account of the incident, see 1950 volume, this series, Item 278 fn. (p. 695).

The plaque was presented by the National Sojourners, a patriotic military Masonic organization. Private Coffelt was a Mason.

135 Remarks to Members of the National Advisory Committee of the Veterans Administration Voluntary Services. May 21, 1952

Mr. Chairman, General Gray, distinguished guests, and ladies and gentlemen:

I am very happy to be here to participate in the meeting of the National Advisory Committee of the Veterans Administration Voluntary Services. I understand that you represent 40 different organizations which are joined together in the voluntary service program for our veterans hospitals. They tell me that you have about 70,000 people working in these hospitals on a volunteer basis. I think that is one of the finest things I ever heard of, and I want to compliment you most highly on it. It is a great public service, and I appreciate it as President of the United States, representing all the people of America.

When you can get 70,000 people to put aside their own business and to go to work in the hospitals as you are doing, it is a real public service. The work of your volunteers shows that they understand how much we owe to the veterans, who have fought for our country and for the world, to save democracy.

Our first obligation, of course, is to the veterans who are disabled because of their service, and to the families of those veterans who have been disabled, or who have died in the service or have been killed. The Government has a responsibility to these veterans, and I think we have a good program for meeting that responsibility, just as General Gray has told you.

But you people can furnish something the Government never can provide, and that is the personal touch—just a little bit of home.

I visited the wounded servicemen many times, both in veterans hospitals and in the hospitals of the armed services. There is nothing that gives me more pride in my country than the spirit I have found in those young men.

I paid a number of visits to Walter Reed and Bethesda during and after the war. Also, during World War II, I visited the hospital at Mare Island, where I met a Navy surgeon by the name of Kessler—Capt. Henry H. Kessler he was then; he is doing the same sort of work now for the great State of New Jersey. He was interested in the rehabilitation of men who had lost arms and legs and other parts of their anatomy in the war.

I went on to Brigham, Utah, to inspect another hospital, where I found an Army surgeon by the name of J. Laughtenhauser. He was a colonel at that time, and he was just as enthusiastic as the Navy surgeon. I got those two gentlemen together, and that was the beginning of our rehabilitation program, which is now headed by Admiral McIntire, and which is doing magnificent work for all disabled people in the country, as well as veterans. That rehabilitation program is one of the grandest things that this country has ever put on.

Then in September 1950 I made a trip out to a little island in the middle of the Pacific called Wake Island, to confer with a certain general. On that trip I stopped in California, at the Fairfield-Suisun Air Base, and visited the hospital there. They have changed the name of that base now, calling it Travis Air

★11479★ KNIGHTS TEMPLAR, GRAND ENCAMPMENT, U.S.A. (Masonic)

14 E. Jackson Blvd., Suite 1700 Chicago, IL 60604 Phone: (312) 427-5670
Paul C. Rodenhauer, Grand Recorder
Founded: 1816. Members: 365,000. Staff: 16. Masonic order. Supports Knights Templar Eye Foundation, which pays for eye treatment, surgery and hospitalization for the needy. Has also established the Knights Templar Educational Foundation which makes loans to deserving students in their last two years of college or first 1-2 years of vocational training. Publications: Knight Templar Magazine, monthly. Convention/ Meeting: triennial - 1982 Aug. 14-19, Hot Springs, AR.

★11480★ LADIES ORIENTAL SHRINE OF NORTH AMERICA (Masonic) (LOS Of NA)

1009 Bevan Ct. Phone: (513) 836-2158
Englewood, OH 45322 Dorothy L. Coates, Grand Recorder
Founded: 1914. Members: 30,000. Wives, mothers, sisters and daughters of members of the Imperial Council Ancient Arabic Order Nobles of the Mystic Shrine (see separate entry). Conducts projects to raise funds for the Shriners' Hospitals for Crippled and Burned Children. Committees: Hospital. Publications: Proceedings, annual. Convention/ Meeting: annual - always third Wednesday in May. 1981 El Paso, TX; 1982 Cincinnati, OH; 1983 Virginia Beach, VA; 1984 Wheeling, WV.

★11481★ MASONIC RELIEF ASSOCIATION OF U.S.A. AND CANADA

32613 Seidel Dr. Phone: (414) 534-2159
Burlington, WI 53105 Donald E. Krueger, Sec.
Founded: 1885. Members: 15,000. Regional Groups: 175. State Groups: 40. To coordinate and correlate the various forms of Masonic relief throughout the U.S. and Canada; to promote prompt and effective methods of handling cases in inter-jurisdictional relief; to act as the agency in organizing Masonic relief in times of national disaster when such services are requested by any Grand Lodge or group of Grand Lodges; to detect and publish in the Bulletin lists of unworthy Masons and imposters preying upon the Fraternity. Publications: (1) Bulletin, quarterly; (2) List of Lodges - Masonic, annual. Convention/ Meeting: biennial - usually September. 1981 New Orleans, LA; 1983 Toronto, ON, Canada.

★11482★ MASONIC SERVICE ASSOCIATION OF THE UNITED STATES (MSA)

8120 Fenton St. Phone: (301) 588-4010
Silver Spring, MD 20910 Stewart Pollard, Exec. Sec.
Founded: 1919. Members: 43. Staff: 6. Agency of 43 Grand Lodges (state) of Masons. Educational and welfare organization. Conducts veterans hospital visitation program; provides disaster relief assistance. Maintains library containing proceedings of all American Grand Lodges; produces motion pictures. Publications: Short Talk Bulletin, monthly; also publishes digests, lodge programs and other material on Masonry for speakers, historians, students and others. Convention/ Meeting: annual - always February. 1981 Orlando, FL; 1982 Washington, DC.

★11483★ MOST WORSHIPFUL NATIONAL GRAND LODGE FREE AND ACCEPTED ANCIENT YORK MASON (Masonic)

3585 E. 151st St. Phone: (216) 752-4492
Cleveland, OH 44120 Hon. Jefferson D. Tufts, Sr., Grand Master
Founded: 1847. Members: 50,000. State Groups: 38. Local Groups: 96. Organizes and installs grand and subordinate lodges for the purpose of "mutual uplifting and moral improvement." Conducts annual seminars; sponsors scholarship programs; maintains state archives. Publications: York Rite Bulletin, quarterly. Also Known As: Most Worshipful National Grand Lodge Free and Accepted Ancient York Masons Prince Hall Origin National Compact U.S.A. Convention/ Meeting: annual - always September-October. 1981 Los Angeles, CA; 1982 Washington, DC. Also holds triennial meetings.

★11484★ NATIONAL LEAGUE OF MASONIC CLUBS (NLMC)

14 Cinder Ln. Phone: (516) 796-8402
Hicksville, NY 11801 John J. Licastro, Sec.-Treas.
Founded: 1904. Staff: 1. Federation of local Masonic clubs. Awards scholarships and cash grants annually to children of National League members. Presents Achievement Award to member who has done outstanding work for the League, and Meritorious Award to individual who has worked for the benefit of humanity. Publications: League News, 10/year. Convention/ Meeting: annual - always October or November. 1981 Pennsylvania.

★11485★ NATIONAL SOJOURNERS (Masonic) (NS)

8301 E. Boulevard Dr. Phone: (703) 765-5000
Alexandria, VA 22308 Nelson O. Newcombe, Natl. Sec.-Treas.
Founded: 1918. Members: 10,000. Staff: 4. Local Groups: 157. Past or present commissioned officers and warrant officers of the uniformed forces of the U.S. who are Master Masons. Annually presents the Sojourner Award to the outstanding ROTC cadet at each institution in field of Americanism. Committees: Americanism; Bridge of Light; Medal of Honor. Publications: (1) The Sojourner, bimonthly; (2) Staff Directory, annual; also publishes books. Affiliated with: Heroes of '76. Formerly: (1919) Sojourners Club.

Convention/ Meeting: semiannual - always January and June. 1981 January, San Antonio, TX and June 24-27, Orlando, FL; 1982 undecided and June 23-26, San Francisco, CA.

★11486★ ORDER OF THE GOLDEN CHAIN (Masonic) (OGC)

584 Bloomfield Ave., Apt. 10-B West Caldwell, NJ 07006 Freda R. Jayson, Grand Sec.
Founded: 1929. Members: 4000. Local Groups: 20. Female relatives of Masons and Master Masons. Presents awards for membership, attendance, donations to charities and camp facilities contributed to Gallaudet College for the Deaf, Washington, DC. Maintains Golden Chain Camp for underprivileged children in Blairstown, NJ. Contributes to cancer research. Publications: (1) Annual Directory; (2) Proceedings, annual. Convention/ Meeting: annual.

★11487★ PHILAETHES SOCIETY (Masonic) (PS)

5449 Ring Dove Ln. Phone: (301) 992-9431
Columbia, MD 21044 Dr. S. Brent Morris, Asst. Exec. Sec.
Founded: 1928. Master Masons who are interested in research and study of Freemasonry. Annually awards Certificate of Literature to the member who writes the best article published in Philaethes magazine. Recognizes outstanding scholarly research in Freemasonry and designates researchers as Fellows. Publications: (1) The Philaethes, bimonthly; (2) Constitution, Bylaws, Roster, triennial. Convention/ Meeting: annual - always February, Washington, DC.

★11488★ RED CROSS OF CONSTANTINE-UNITED IMPERIAL COUNCIL (Masonic)

14 E. Jackson Blvd., Suite 1700 Phone: (312) 427-5670
Chicago, IL 60604 Paul C. Rodenhauer, Grand Recorder
Founded: 1872. Members: 6000. Convention/ Meeting: annual - 1981 June 11-13, Springfield, IL; 1982 (date undecided), Portland, OR.

★11489★ ROYAL ORDER OF SCOTLAND (Masonic) (ROS)

1904 White Oak Dr. Phone: (703) 683-2007
Alexandria, VA 22306 Marvin E. Fowler, Grand Master
Members: 6000. U.S. Provincial Grand Lodge of fraternal and charitable Masonic order founded in 1314 and "restricted to Masons renowned for service to fellowmen." Address of international headquarters is: 78 Queen Street, Edinburgh, Scotland. Publications: Annual Proceedings. Convention/ Meeting: annual - 1981 October, Washington, DC; 1982 September, St. Louis, MO; 1983 October, Washington, DC. Also holds special meetings.

★11490★ SHRINE DIRECTORS ASSOCIATION OF NORTH AMERICA (Masonic) (SDANA)

1455 Nicholson Rd. Phone: (904) 396-0026
Jacksonville, FL 32207 H. H. Rush, Sec.-Treas.
Founded: 1919. Members: 181. Directors of every Shrine Temple of North America united for the initiation of candidates for Shrine. Conducts safety research and education programs. Maintains charitable program for crippled children's hospital. Publishes Directory of Members. Convention/ Meeting: annual.

★11491★ SUPREME ASSEMBLY, INTERNATIONAL ORDER OF RAINBOW FOR GIRLS (Masonic) (SAIORG)

Box 788 Phone: (918) 423-1328
McAlester, OK 74501 Agnes McLeod, Supreme Advisor
Founded: 1922. Members: 1,300,000. Staff: 9. Girls' fraternal society composed of 300,000 active members (unmarried girls from ages 12-20) and 1,000,000 majority members (married women or members over 20 years old). Convention/ Meeting: biennial - next 1982.

★11492★ SUPREME CALDRON, DAUGHTERS OF MOKANNA (Masonic) (DofM)

23 Alexis St. Phone: (716) 288-4451
Rochester, NY 14609 Jean Wood, Supreme Rodeval
Founded: 1919. Members: 7278. Staff: 3. Local Groups: 49. Fraternal Masonic order for women relatives of Supreme Council, Mystic Order Veiled Profits rophets of the Enchanted Realm members (see separate entry). National project is the National Humanitarian Project for the Spastic Child. Publications: Proceedings, annual. Convention/ Meeting: annual - always September. 1981 Davenport, IA; 1982 Ann Arbor, MI; 1983 Little Rock, AR; 1984 Cleveland, OH.

★11493★ SUPREME COUNCIL, ANCIENT ACCEPTED SCOTTISH RITE OF FREE-MASONRY (Northern Masonic Jurisdiction) (AASR-NMJ)

33 Marrett Rd. Phone: (617) 862-4410
Lexington, MA 02173 Stanley F. Maxwell, Commander
Founded: 1813. Members: 511,687. Staff: 16. State Groups: 15. Local Groups: 112. Membership composed of Scottish Rite Masons in 15 states east of Mississippi River and north of Ohio River. Sponsors extensive research program on schizophrenia. Provides a museum. Maintains a library of 80,000 volumes dealing with Masonic history. Publications: (1) The Northern Light, bimonthly; (2) Annual Proceedings. Convention/ Meeting: annual - always September. 1981 Philadelphia, PA; 1982 St. Louis, MO; 1983 Milwaukee, WI;

Presented

21 Remarks at the Presentation of an Exceptional Service Award
to Agent Rufus W. Youngblood of the Secret Service.

December 4, 1963

Mr. Secretary, Mr. Youngblood, Mrs. Youngblood, members of the Youngblood family, ladies and gentlemen:

There is no more heroic act than offering your life to save another, and in that awful moment of confusion when all about him were losing their heads, Rufus Youngblood never lost his. Without hesitation, he volunteered his life to save mine. Nothing makes a man feel better than being an American and to be witness to this kind of noble patriotism.

Rufus, there is no prouder person here this morning than I. You are a brave soldier in the highest American tradition of love for country and for duty. You are a proud son of Georgia. You are an excellent example of all the honored and brave and dedicated and diligent men and the women who work with them who make up what we proudly call the United States Secret Service. A more dedicated group of men I have never known from the Chief to the most humble employee.

I am glad to know that Chief Rowley has made it possible for you to continue to serve

the President as you did the Vice President, and I know in so doing that I will have one of the most noble and most able public servants I have ever known.

Thank you.

NOTE: The ceremony was held at 10:30 a.m. in the Rose Garden at the White House. The President's opening words "Mr. Secretary" referred to Secretary of the Treasury Douglas Dillon. Later he referred to James J. Rowley, Chief, United States Secret Service.

The citation accompanying the award reads as follows:

"This Award is made in recognition of Agent Youngblood's outstanding courage and voluntary risk of personal safety in protecting the Vice President of the United States at the time of President John F. Kennedy's assassination in Dallas, Texas, on November 22, 1963.

"Mr. Youngblood was riding in the front seat of the Vice President's limousine within close proximity to the President's limousine when the assassination occurred. Upon hearing the first shot, Mr. Youngblood instantly vaulted across the front seat of the car, pushed the Vice President to the floor, and shielded the Vice President's body with his own. His prompt response in the face of great danger and his readiness to sacrifice his life to save the Vice President were in the highest traditions of the Secret Service. His valor and example make him a worthy recipient of this Award."

The text of the introductory remarks by Secretary Dillon, who read the citation, was also released.

22 Remarks at a Meeting With the AFL-CIO Executive
Council. December 4, 1963

Mr. Meany, Mr. Secretary Wirtz, members of the Cabinet, members of the AFL-CIO:

I have said before, and I say again to you now: I regard achievement of the full potential of our resources—physical, human, and otherwise—to be the highest purpose of Government. In every area of human concern, the AFL-CIO can take pride in it-

self as an instrument to bring a better life to more people.

Since January 1961 the economic and legislative gains by labor have been cheering and substantial. Let me cite this afternoon for the record, and to each of you here, what I think you can really take justifiable pride in:

reflecting the philosophical differences with this
administration. We need to ensure that
positions are not filled with individuals

3. ~~Provide~~ Insure co-operation with a Presidential
Task Force ^{provide information} ~~and advise~~ to
if such is developed
in the Arts and Humanities.

4.
→ Interim basis because of momentum of
the future of the endowments, —

TO DO

- Memo to Deaver —
- Brown letter —
- Medal of Freedom —
- Sec. Services —
- Phone call fol-up. —

For Frank

tion of the *Washington Post*, reported that six Secret Service agents had been drinking in the Fort Worth Press Club until 3:00 A.M. on the morning of the assassination. The report was picked up by certain political figures, while cooler heads noted that this was one of the many things that should be left to the Warren Commission.

All comment about the Secret Service, however, was not adverse. On December 3, at the main Treasury Building, Special Agent Clinton J. Hill was presented the Exceptional Service Award. Mrs. Jacqueline Kennedy, Clint Hill's family, officials of the Treasury Department and of the Secret Service, and others were present when Secretary Dillon read the citation.

This Award is conferred upon Special Agent Clinton J. Hill of the Secret Service for exceptional bravery in his effort to protect the President and First Lady of the United States at the time of President John F. Kennedy's assassination in Dallas, Texas, on November 22, 1963.

Agent Hill was standing on the left front running board of the Secret Service car located directly behind the Presidential limousine when the assassin fired his first shot. Agent Hill immediately ran from his vehicle while the bullets were still being fired, climbed on the rear of the President's rapidly moving limousine, and shielded the President and Mrs. Kennedy with his own body. His extraordinary courage and heroic effort in the face of maximum danger reflect great credit on the United States of America, which can produce such men. His dedication to the highest traditions of the United States makes him a deserving recipient of this Award.

The following morning, December 4, in the Rose Garden at the White House, Secretary Dillon also presented me with the Exceptional Service Award, in the presence of President Johnson, Treasury and Secret Service officials, my family, and others. The Secretary read the citation.

This Award is made in recognition of Agent Youngblood's outstanding courage and voluntary risk of personal safety in protecting the Vice President of the United States at the time of President John F. Kennedy's assassination in Dallas, Texas, on November 22, 1963.

Mr. Youngblood was riding in the front seat of the Vice President's limousine within close proximity to the President's limousine when the assassination occurred. Upon hearing the first shot, Mr. Youngblood instantly vaulted across the front seat of the car, pushed the Vice President to the floor, and shielded the Vice President's body with his own. His prompt response in the face of great danger and his readiness to sacrifice his life to save the Vice President were in the highest traditions of the Secret Service. His valor and example make him a worthy recipient of this Award.

After the Secretary had presented the award, the President stepped before the microphone.

There is no more heroic act than offering your life to save another, and in that awful moment of confusion when all about him were losing their heads, Rufus Youngblood never lost his. Without hesitation, he volunteered his life to save mine. Nothing makes a man feel better than being an American and to be witness to this kind of noble patriotism.

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I am glad to know that Chief Rowley has made it possible for you to continue to serve the President as you did

I. Proposed structures to include Heston

A. Place Heston as Chairman of the NEA to replace Biddle

1. Background on current structure of NEA (indicating full-time job)
2. Discussion of merits of proposal (pro's and con's)

B. Create new Board of Directors to oversee NEA; Heston to be Chairman.

1. ~~Federal Council would be changed by statute to a private sector board, with policy responsibility.~~ *Mandale activated it.*
2. Biddle's role (and his successor's role) would be as Executive Director.
3. Current advisory council would be either disbanded or would end up with reduced powers.

4. Parallel structure to be created for NEH.

5. Discussion of pro's and con's *discussion*

C. Create new Board of Directors to oversee both NEA and NEH. Heston Chmn.

1. Federal council would be changed by statute to a private sector Board with policy responsibility for both NEA AND NEH.
2. and 3. same as in B.
4. Discussion of pro's and con's.

D. Create enteriely new structure for the Arts and Humanties: a public corporation along the lines of the Corporation for Public Broadcasting.

II. ADDITIONAL STUDY

Discuss need for consultant

- policy direction
- block grants vs. discrete funding diecisions
- availability of arts institutions to handle grantsmanship
- desirability of a public corporation

III Existing management

- FY 82 policy direction
- Legislative management
- FY 82 budget

the Vice President, and I know in so doing that I will have one of the most noble and most able public servants I have ever known.

The awards notwithstanding, the Secret Service was still on shaky ground, and the FBI, the CIA, and the Defense Department were all reportedly looking into the business of Presidential protection as a possible addition to their own jobs.

The tragedy in Dallas, however, carried with it a subtle but strong point that was a very effective deterrent to anyone's wanting to take over the Service's chief responsibility. The Secret Service had shouldered this awesome burden for more than sixty years, not without serious incident, but without its mission being thwarted. Now, after one volley of gunfire by a man whose reasons we would probably never know, the Secret Service was fighting for its very existence as a protective unit, because there are no small losses in this line of work. Bank robbers may roam the country, spies may abound, wars may flare, and the agencies and departments responsible for containing these activities are seldom if ever called summarily on the carpet with an attitude of "if you can't cut the mustard, we'll get somebody who can."

The headlines made on November 22 and the days that followed would be a long time getting to page two. Why would anyone seek a job whose failure, regardless of the manner in which it happened, would inevitably cause such an upheaval? I felt then, and I feel now, that this question was evaluated and came up with no enthusiastic takers.

This and the fact that Lyndon Johnson, in the main, backed the Secret Service were largely responsible for the job remaining where it was. The feeling seemed to have been, give them some lumps, do some revising and reorganizing, but let them keep it. The hot potato went around the circle and came back to where it started.

Understandably, morale was not at an all-time high in the Secret Service. Many career agents in protective assignments felt that this mandate might pass to other hands, and they sought transfers to the field. The necessary merging of the Vice Presidential Detail into the White House Detail disturbed the normal upward flow of promotions. It was a time of uncertainty, and in a surprisingly short time it came to the attention of the President himself. Less than two months in office, and with the monumental responsibility and work load that had been thrust on him, he considered the matter of sufficient importance to deal with personally, which is exactly what he did on January 6, 1964.

I was just sitting down to supper with my wife, Peggy, and the children when the phone rang. There was no aide or secretary saying "Hold the line please for the President." It was LBJ himself, and he minced no words.

"I've received a memorandum that disturbs me, Rufus. I'll read you some of it. 'Morale in the Secret Service is at an all-time low. A number of agents of the White House Detail have been asking for transfers. This is a great body of men. These men feel they are being prevented from doing their job properly. They do not want favors; they just want to be accepted. We need them badly, especially in campaign years.' And it goes on."

"Sir," I said, "may I ask who wrote the memorandum?"

"I don't think I ought to name him, but it was one of Kennedy's top people, and somebody in your outfit has been bellyaching to him."

The case in point, the President told me, was a small write-up in a national magazine to the effect that LBJ, while driving his own car at the ranch, had told a Secret Service agent in the follow-up car that he was going to shoot out a tire if he did not stop following too close. The incident itself was not important. It was a simple example of LBJ being

Congressional Relations

Key Players

Senate: Authorization: Education, Arts, and Humanities Subcommittee of the Committee on Labor and Human Resources.

Subcommittee Chairman: Robert Stafford; (formerly Pell)

Full Committee Chairman: Orrin Hatch

Appropriations: Interior subcommittee of Appropriations Committee.

Subcommittee Chairman: James McClure

Full Committee Chairman: Mark Hatfield

Other Interested Parties: Ted Stevens, Interior subcommittee; Claiborne Pell, sponsor of NEA in 1965, and former employer of Livingston Biddle.

House:

Authorization: Post Secondary Education Subcommittee of Education and Labor Committee.

Subcommittee Chairman: William Ford

Full Committee Chairman: Carl Perkins

Appropriations: Interior subcommittee of Appropriations Committee.

Subcommittee Chairman: Sid Yates

Full Committee Chairman: Jaime Whitten

Other Interested Parties: Joe McDade (Interior Subcommittee) and Tom Evans