

Human Resources Manual HHS Instructions 451-1

Material Transmitted:

Department of Health and Human Services Awards Program Policy update, dated January, 2010.

Material Superseded:

Department of Health and Human Services Instruction 451-1, dated August 30, 1996.

Background:

Consistent with continuous improvement initiatives, this Instruction has been revised to better recognize the contributions of HHS employees. The Instruction is established under the authority of regulations issued by the Office of Personnel Management (OPM) and found at Title 5, Code of Federal Regulations, Part 451, Incentive Awards.

The Instruction clarifies the roles and responsibilities for OPDIV Heads, Members of the Departmental Awards Board, Managers, Supervisors, Human Resource Centers, and OPDIV Awards Coordinators. This guidance is beneficial in recognizing employees who have performed their duties in an exceptional manner.

This issuance is effective immediately. Implementation of this issuance must be carried out in accordance with applicable laws, regulations and collective bargaining agreements.

/Denise L. Wells/

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Department of Health and Human Services



HHS Awards Program

Health and Human Services Awards Program

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OFFICE OF THE ASSISTANT SECRETARY FOR ADMINISTRATION

Subject: HHS Awards Programs

- References:
- (a) 5 U.S. Code 43 and 45
 - (b) 5 CFR, Part 451, "Awards"
 - (c) 45 CFR, Part 6, "Inventions and Patents"
 - (d) 45 CFR, Part 7, "Employee Inventions"
 - (e) General Administration Manual Chapter 6-10, "Employee Inventions"

1. PURPOSE

This Manual:

- 1.1 Prescribes policy and procedures governing the HHS Awards Program.
- 1.2 Provides management with the guidance needed in recognizing employees who have performed their duties in an exceptional manner.

2. APPLICABILITY

HHS Instruction 451-1 applies to:

- 2.1 All Department employees.
- 2.2 Former employees and legal heirs or estates of deceased employees are eligible for awards for contributions made during Government employment with this Department.
- 2.3 Non-Federal individuals or employees of other Federal agencies are eligible for HHS awards. (Non-Federal individuals are not eligible for monetary awards.)

NOTE: This Instruction does not cover performance awards based on ratings of record.

3. DEFINITIONS

Terms used in this instruction are defined in Appendix A.

4. POLICY

- 4.1 It is the policy of this Department to establish and maintain effective Awards Programs and to encourage the use of incentive awards as a management tool to recognize and reward HHS employees.
- 4.2 All awards shall be justified in writing. The justification shall include qualitative or quantitative measures to demonstrate the contribution for which the award is being given.
- 4.3 Employees in the Senior Executive Service (SES), Senior Level (SL), and scientific or professional (ST) are not eligible for incentive awards.
- 4.4 Acceptance of a monetary 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.
- 4.5 Expenditures for superior accomplishment, special act or service, and performance awards for employees who are assigned permanently, and/or on detail from other organizations shall be paid from, and not exceed, the Operating Division's (OPDIV) annual awards budget allocation.
- 4.6 Either one monetary award or a time-off award may be granted to an employee for a contribution. A single contribution shall not serve as the basis for more than one monetary award (including a performance award or bonus) or for a monetary award and a time-off award. The supervisor may agree to convert a cash award amount into time-off equivalent and any remaining cash balance will be paid out in cash.
- 4.7 OPDIV Heads may delegate approval authority for awards over which they have authority except those reserved by the Secretary as described in this or any other HHS documents.
- 4.8 Persons or organizations having a commercial or profitmaking relationship with the Department of Health and Human Services shall not be granted recognition, unless the contribution is substantially beyond that specified or implied within the terms of the contract establishing the relationship, or the recognition is clearly in the public interest, in which case the recognition shall be honorary only.

5. GUIDING PRINCIPLES

The Honor Awards Program is designed to:

- 5.1 Ensure that recognition is in keeping with the values of the employees contribution.
- 5.2 Ensure that maximum benefits for the Government are obtained by considering the applicability of employee contributions throughout the Federal Government.
- 5.3 Ensure that awards are not used as a substitute for other personnel actions or as a substitute for pay.
- 5.4 Ensure that awards are used to motivate, recognize, and reward eligible personnel as individuals or groups for contributions to the efficiency, economy, or other improvements in Government operations.
- 5.5 Ensure that due weight is given to awards when qualifying and selecting an employee for promotion and that all approved award recommendations are documented.
- 5.6 Ensure that awards are used to the extent that shall best support and enhance organizational goals and objectives and meet employee recognition needs.
- 5.7 Ensure that supervisory and management officials are trained properly in the effective use of awards covered by HHS Instruction 451.
- 5.8 Ensure that awards shall be granted consistent with Equal Employment Opportunity and Affirmative Employment Program policies and shall be free from discrimination regardless of race, color, religion, age, sex, national origin, or disability.

6. RESPONSIBILITIES

- 6.1 The **Assistant Secretary for Administration (ASA)** is responsible for Department-wide administration of the Awards Program including:
- 6.1.1 Providing central direction to and coordinating the program.
 - 6.1.2 Developing and promulgating the Department's policies and procedures for the program.
 - 6.1.3 Submitting to the Office of Personnel Management (OPM) for review and approval all award recommendations over \$10,000.
 - 6.1.4 Providing liaison between the Department and OPM.
 - 6.1.5 Referring and processing HHS and interdepartmental suggestions for wider application.
 - 6.1.6 Reviewing unresolved OPDIV/STAFFDIV suggestion cases and determining final decisions.
 - 6.1.7 Arranging and coordinating the Department's Annual Honor Awards Ceremony.
 - 6.1.8 Chairing the Departmental Awards Board and providing an Executive Secretary to the Board.
 - 6.1.9 Evaluating the effectiveness of the program throughout the Department, when necessary, making or recommending changes to improve effectiveness.
- 6.2 The **Operating Division (OPDIV) Heads** are responsible for:
- 6.2.1 Developing policies and procedures that are consistent with this HHS Instruction and does not conflict with the OPDIV Collective Bargaining Agreements.
 - 6.2.2 Designating for their respective areas of responsibility, an Incentive Awards and Suggestion Coordinator to maintain liaison with management officials and the Executive Secretary of the Departmental Awards Board.

- 6.2.3 Ensuring that incentive awards are technically reviewed and approved by an OPDIV Awards Coordinator.
- 6.2.4 Ensuring that adequate funds are available for payment of awards.
- 6.2.5 Providing financial resources and adequate staff to support the awards program.
- 6.2.6 Appointing an Awards Board, which is representative of the organization, with such functions as:
 - a. Reviewing recommendations for cash and honor awards which are competitive in nature
 - b. Advising on difficult or controversial cases
 - c. Reviewing program evaluations and recommending changes as needed
- 6.2.7 Evaluating the awards program and making changes as needed.
- 6.2.8 Providing training and orientation for supervisors, managers, employees, and award coordinators to acquaint them with the awards program.

6.3 The **Departmental Awards Board** is appointed by the Secretary, based upon recommendations from the Chair of the Board and the Deputy Secretary and serves for an indefinite period of time.

The Board members are expected to personally review all award nominations referred to the Secretary, but may seek advice and assistance in this task from members of their immediate staff. When a Board member cannot perform any or all of his or her functions, arrangements should be made for an alternate to do so. A full review by the Board is required for all award recommendations referred to the Secretary. There must be a quorum, at least six Board members, when voting on awards. Majority votes rule unless the dissenting vote comes from the OPDIV Head. In some instances, the Board members may be polled independently for a vote by the Executive Secretary of the Board.

6.3.1 The Departmental Awards Board shall:

- 6.3.1(a) Review all nominations for cash awards exceeding \$10,000.
- 6.3.1(b) Review all Department-level honor awards referred to the Secretary.

6.3.1(c) Review all non-HHS awards referred to the Secretary by various organizations outside the Department.

6.3.2 The Board membership is comprised of the following:

Chair	Assistant Secretary for Administration
Vice Chair	Deputy Assistant Secretary for Human Resources
Members	Administrator, Centers for Medicare & Medicaid Services Administrator, Health Resources and Services Administration Administrator, Substance Abuse and Mental Health Services Administration Assistant Secretary for Children and Families Assistant Secretary for Aging Commissioner of Food and Drugs Director, Centers for Disease Control and Prevention Director, Indian Health Service Director, National Institutes of Health Director, Agency for Healthcare Research and Quality
Ex-Officio	Inspector General Associate General Counsel (Ethics Division) Director, Office of Diversity Management and Equal Employment Opportunity
Executive Secretary	HHS Awards Program Coordinator, OHR

The ex-officio members of the Board are appointed to ensure the Department's Awards Program maintains integrity, regulatory compliance, and represents the diversity of the Department.

6.4 The **Human Resources Centers** will:

- 6.4.1 Verify that recommendations for awards are properly completed and approved by the appropriate officials before awards are processed through the personnel/payroll system.
- 6.4.2 File a copy of the form SF-50 documenting the award in the Official Personnel Folder (OPF).

- 6.5 The **OPDIV Incentive Awards/Suggestion Coordinators** are responsible for the following:
- 6.5.1 Advising supervisors and managers on appropriate awards.
 - 6.5.2 Distributing announcements of Departmental and non-HHS awards to supervisors, managers, and subordinate coordinators within their areas of responsibility. Serving as the control point for the processing of award nominations and employee suggestions.
 - 6.5.4 Reviewing suggestions, inventions, and special acts for wider application.
 - 6.5.5 Reviewing award recommendations to ensure awards do not exceed award monetary scales. (See Appendix B, Exhibits 6 and 7)
 - 6.5.6 Informing an inventor's organization when a patent application has been filed and when a patent has been issued so that the inventor's award may be approved.
 - 6.5.7 Maintaining records for the Awards Program.
 - 6.5.8 Evaluating the effectiveness of the Awards Program.
 - 6.5.9 Submitting required reports.
- 6.6 **Management and supervisory officials** are responsible for:
- 6.6.1 Identifying employees or groups of employees who have made significant contributions; recommending employees whose performance, contributions, or activities merit awards.
 - 6.6.2 Reviewing and evaluating suggestions.



7. CATEGORIES OF RECOGNITION

The following categories of recognition are described in Appendix B:

- A) Presidential Awards
- B) Departmental Awards
- C) Superior Accomplishment Awards
- D) Time Off Awards
- E) Non-HHS Awards
- F) Length of Service Recognition
- G) Retirement Recognition





DEFINITIONS

TERMS

Award – Something bestowed or an action taken to recognize and reward an individual or team achievement that contributes to meeting organizational goals or improving the efficiency, effectiveness, and economy of the Government or is otherwise in the public interest. Such awards include, but are not limited to, employee incentives that are based on predetermined criteria.

Contribution – An accomplishment achieved through an individual or group effort in the form of a suggestion, invention, superior accomplishment, or other personal effort that contributes to the efficiency, economy, or other improvement of Government operations or achieves a significant reduction in paperwork; or a special act or service in the public interest in connection with or related to official employment.

Heads of Operating Divisions – An HHS official who has award approval authority; i.e., the Assistant Secretary for Administration; Administrator, Centers for Medicare & Medicaid Services; Administrator, Health Resources and Services Administration; Administrator, Substance Abuse and Mental Health Services Administration; Assistant Secretary for Children and Families; Assistant Secretary for Aging; Commissioner of Food and Drugs; Director, Centers for Disease Control and Prevention; Director, Indian Health Service; Director, National Institutes of Health; Director, Agency for Healthcare Research and Quality.

Honor Award – The recognition device is not a cash payment or time-off as an award but rather an award of a honorific value, e.g., a letter, certificate, citation, medal, plaque, or other similar item of nominal value.

Incentive Award – Cash Award or time off award recognizing actions or achievements, but not based on a rating of record.

Intangible Benefit - Benefits to the Government that cannot be measured in terms of dollar savings.

Monetary Award – The recognition device is a cash payment that does not increase the employee's rate of basic pay and is subject to applicable tax rules.

Non-Federal Employee - Non-Federal employees include members of the general public and all individuals employed as Federal and military contractors, or individuals otherwise not directly employed by the Federal Government.

Superior Accomplishment Award - A monetary award for a contribution resulting in tangible benefits or savings and/or intangible benefits to the Government.

Tangible Benefits - Benefits or savings to the Government that can be measured in terms of dollars.

Time-Off Award – An alternate means of recognizing the superior accomplishments or other personal efforts of employees, including members of the Senior Executive Service, that contribute to the quality, efficiency, or economy of Government operations. Time-off duty is granted without loss of pay or charge to leave of the employee. The number of hours granted is equal to the employee's contribution or accomplishment.





CATEGORIES OF RECOGNITION

PRESIDENTIAL AWARDS

The Office of the President has the authority to present these awards. The OPDIVs/STAFFDIVs must submit nominations through the ASA. Generally, any career Federal civilian employee is eligible for the President's Award for Federal Civilian Service. When requesting these Awards, a copy of the employee's latest performance appraisal must be attached for review by the Members, Departmental Awards Board.

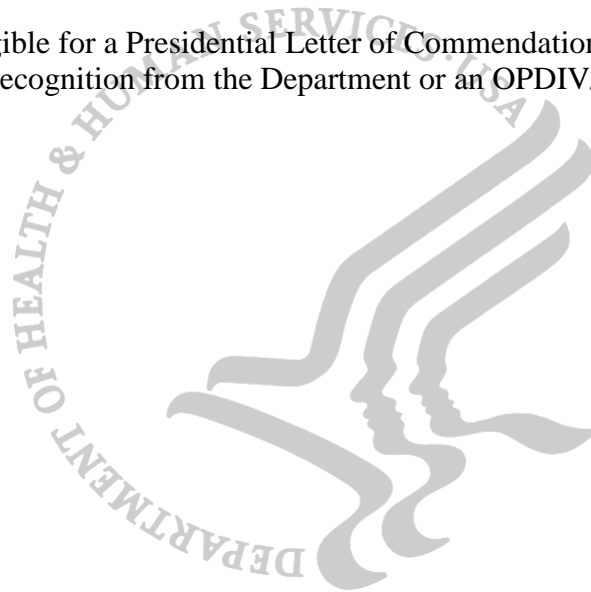
- A. **The President's Award for Distinguished Federal Civilian Service** - This award is the highest honor that the Federal Government can grant to a career employee in recognition of unusual benefits to the Nation. Generally, five such awards may be granted each year and are presented by the President. The award consists of a certificate, a gold medal, and a rosette.
1. The President's Award for Distinguished Federal Civilian Service is granted for outstanding achievements having a major impact on improving Government operations or serving the public interest. The importance of the achievements must be so outstanding that the employee is deserving of greater public recognition than that which can be granted by the Secretary.
 2. The Office of Personnel Management (OPM) reviews all nominations for the President's Award for Distinguished Federal Civilian Service and advises the President, who selects the award recipients.
 3. To be eligible for the President's Award for Distinguished Federal Civilian Service, a nominee must have received recognition from the Department or an OPDIV/STAFFDIV Head.
- B. **The Presidential Management Improvement Award** - This award is presented each year by the President to a limited number of individuals or small working teams whose suggestions or special achievement contributions during the fiscal year resulted in verifiable tangible savings to the Government of \$250,000 or more.
1. To be eligible for the Presidential Management Improvement Award, a nominee must have received recognition from the Department or an OPDIV/STAFFDIV Head.
 2. In addition to Department or OPDIV/STAFFDIV Head recognition, candidates for the Presidential Management Improvement Award must also have received a Presidential Letter of Commendation from the President at the time of nomination. This award consists of a plaque and a certificate.

3. OPM and the Office of Management and Budget advise the President on final selection. This award is approved and presented by the President. Finalists who are not selected for Presidential Management Improvement Awards receive Presidential Management Improvement Certificates, which are approved by the President and presented at an appropriate ceremony within the Department.

C. *The Presidential Letter of Commendation* - This commendation is granted for a contribution (suggestion, invention, or special act or service) that is beyond job requirements and resulted in first-year measurable benefits of \$250,000 or more. This commendation consists of a personal letter from the President.

1. The nomination for the Presidential Letter of Commendation is submitted to the Executive Secretary of the Departmental Awards Board, for review by the Departmental Awards Board for submission to the Secretary. The nomination and the letter are then forwarded to the White House.

2. To be eligible for a Presidential Letter of Commendation, a nominee must have received recognition from the Department or an OPDIV/STAFFDIV Head.





Presidential Rank Awards

What are Presidential Rank Awards? [Reference: 5 USC § 4507]

Each year, the President recognizes and celebrates a small group of career Senior Executives (SES) and Senior Career Employees (SL and ST) with the President’s Rank Award for exceptional long-term accomplishments. Winners of this prestigious award are strong leaders, professionals, and scientists who achieve results and consistently demonstrate strength, integrity, industry, and a relentless commitment to excellence in public service.

There are two categories of rank awards: *Distinguished* and *Meritorious*. Award winners are chosen through a rigorous selection process managed by OPM. Nominees are evaluated by boards of private citizens, and approved by the President. The evaluation criteria focus on leadership and results.

Distinguished rank recipients receive a lump-sum payment of 35 percent of their base pay. *Meritorious rank* recipients receive 20 percent of base pay. All recipients receive a lapel pin and framed certificate signed by the President.

Specific information and annual guidance issued by OPM can be found on the internet at <http://www.opm.gov/ses/presrankaward.asp>.

What are the Eligibility Requirements and Nomination Criteria?

Eligibility

Nominees must meet the following eligibility criteria by the OPM nomination deadline (this date is announced annually by OPM):

Senior Executives (SES)	Senior Career Employees (SL and ST)
Hold a career appointment in the SES. Be an employee of the nominating agency. Have at least 3 years of career or career-type Federal civilian service at the SES level. Service does not have to be continuous. Qualifying service includes appointments in the SES, Senior Foreign Service, and the Defense Intelligence Senior Executive Service. Appointments not qualifying include noncareer, limited term, limited emergency, Scientific-Professional, and Senior-Level.	Hold a career appointment in an OPM-allocated Senior-Level (SL) or Scientific-Professional (ST) position. Be an employee of the nominating agency. Have at least 3 years of career or career-type Federal civilian service above GS-15. Service does not have to be continuous. Qualifying service does not include appointments that are time limited or to positions that are excepted from the competitive service because of their confidential or policy-making character.

Presidential Rank Awards recognize long-term achievements. One outstanding performance rating does not justify nomination, but it may justify a performance bonus. However, three outstanding performance ratings show consistently high performance over a period of time, and may merit a nomination.

You may nominate a reemployed annuitant who holds a career SES appointment or a career appointment to an OPM-allocated SL or ST position and meets all eligibility requirements. HHS will carefully consider whether these nominations are in the Department’s best interests, since nominations and awards are limited.

A senior executive or senior career employee can receive the same award only once in any 5-year period. They may receive one award and then the other at a closer interval. One is not required to receive a Meritorious award before receiving a Distinguished award.

For example:

<i>Year Award Received</i>	<i>When Eligible to Receive the Same Award Again</i>
2003	2008
2004	2009
2005	2010

A nominee who meets the eligibility requirements, but leaves their SES or SL/ST position before being selected as a recipient, is eligible to receive the award. The same applies to a nominee who is deceased after OPM receives the nomination.

Nomination Criteria

When preparing nominations, consider that the executive’s performance will be assessed against the following criteria during the Department’s evaluation of final nominations. Documentation should focus on the individual’s leadership abilities, career executive accomplishments and contributions to the Department’s mission and goals.

Senior Executives (SES)	Senior Career Employees (SL and ST)
<p>Leading Change: Demonstrated ability to bring about strategic change, both within and outside the organization, to meet organizational goals. Inherent to the criterion is the ability to establish and organizational vision and to implement it in a continuously changing environment.</p> <p>Leading People: Demonstrated the ability to lead people toward meeting the organization’s vision, mission, and goals. Inherent to this criterion is the ability to provide an inclusive</p>	<p>Leading Change: Displayed the highest level of creativity, initiative, flexibility, and innovation to produce results that are important to the American people.</p> <p>Leading People/Building Coalitions: Demonstrated unusual success in leveraging the capabilities of colleagues to foster innovative thinking and in reconciling conflicting stakeholder interests. Showed an unusual level of cooperative effort with others, including</p>

workplace that fosters the development of others, facilitates cooperation and teamwork, and supports constructive resolution of conflicts.

Results Driven: Demonstrated the ability to meet organizational goals and customer expectations. Inherent to this criterion is the ability to make decisions that produce high-quality results by applying technical knowledge, analyzing problems, and calculating risks.

Business Acumen: Has an exceptional record of managing human, financial, and information resources strategically and in a manner that instilled the utmost public trust and advanced the organization's mission.

Building Coalitions: Showed an unusual level of cooperative effort to build coalitions internally and with other Federal agencies, State and local governments, nonprofit and private sector organizations, foreign governments, or international organizations to achieve common goals.

those in Federal agencies, other government jurisdictions, academia, national or international organizations, and the private and non-profit sectors.

Results Driven: Has an exceptional record of achieving important results impacting the technical or scientific field, or a major program of the agency.

Stature in Professional Field: Consistently recognized nationally or internationally as a leader or authority in the field or discipline.

Preparing Nomination Packages

Preliminary Nominations

The due date for preliminary nominations is usually mid-November. In early September, the ASA Office of Human Resources will issue a call for preliminary nominations and will include specific dates. Each preliminary nomination must contain the following documentation:

- A brief narrative (no more than one and a half pages) that summarizes the nominee's current position and highlights/lists the career accomplishments while in the SES and that we can expect to be cited in the full nomination package. Include heading with employee's full name, title, OPDIV or STAFFDIV, and the type of PRA (i.e., Distinguished or Meritorious). Use no less than an 11-point font and 1" margins. ONE COPY – e-mail is acceptable.
- A summary data sheet indicating OPDIV priority, signed by the OPDIV or STAFFDIV Head (see Exhibit C) ONE COPY– fax or scanned copy is acceptable.

Decisions on preliminary nominations will be communicated to OPDIVs in early December. OHR will, at that time, communicate specific documentation requirements and deadlines for submitting final nomination packages, through OHR, for the Secretary’s approval.

Final Nominations

Nominating officials may consider a broad range of factors in exercising discretion to nominate executives for this award, including budgetary limits, Administration policy, Congressional concerns and any public affairs implications. Before submitting final nominations to OPM, the Secretary must decide whether an award to any proposed nominee would be in the best interests of the agency and the Government.

Each nomination folder must include a career summary statement that describes the nominee’s current position and lists highlights from his/her SES or SL/ST career. This statement will provide review board panel members with the context needed to evaluate the nominee’s achievements.

Each nomination folder must also include a justification statement that concisely describes the nominee’s career achievements related to each of the Presidential Rank Award criteria. We strongly recommend the writer tailor the nomination in a manner understandable to an outside, lay audience. Defining terms and providing other explanatory information can help clarify for the raters the complexities of Government and enable them to fully appreciate the difficulty of barriers surmounted and the true value of the nominee’s contributions.

The justification statement may not exceed three (3) pages in length; longer justifications will not be considered and nominations will be returned.

Timeline (Estimated)

September	Call for Preliminary Nominations issued by OHR to OPDIVs
November	Annual Call for Nominations issued by OPM
November	OPDIV Preliminary Nominations Due to OHR
December	OHR Notifies OPDIVs of Final HHS Nominees
January	OPDIV Final Nominations Due to OHR
January	Nominations due to OPM.
April	Distinguished Executive and Senior Professional Review Boards convene.
May – June	Meritorious Executive and Senior Professional Review Boards convene. Background inquiries conducted on Distinguished nominees recommended for approval.
August	“Eyes Only” certification letters to Agency Heads put in final clearance. OPM Director forwards Board recommendations to the President.
September	Decision made by the President.
October	Electronic photographs and summaries of Distinguished Rank Award

	recipients due to OPM.
January – February	Agencies notified to pick up certificates and lapel pins from OPM

Processing and Paying for the Awards

Rank Awards are paid by the nominating OPDIV. Nominating officials should plan for awards as part of executive compensation each year. Agency Heads should anticipate the need to pay winners and budget accordingly.

The award is paid as a lump-sum payment, and the payment is subject to the applicable annual aggregate limitation on pay under 5 U.S.C. 5307. Section 5307(d) permits agencies with certified performance appraisal systems for members of the Senior Executive Service (SES) and senior-level (SL) and scientific or professional (ST) employees (senior professionals) to apply a higher annual aggregate limitation on pay for those employees. The higher aggregate limitation on pay is equivalent to the total annual compensation payable to the Vice President under 3 U.S.C. 104. Agencies without certified performance appraisal systems for their SES members or senior professionals must apply an annual aggregate limitation on pay equivalent to the rate for level I of the Executive Schedule. Any portion of a rank award that would cause aggregate compensation in a calendar year to exceed the applicable aggregate limitation on pay is rolled over for payment at the beginning of the following calendar year.

The lump-sum award payment that is paid in the following calendar year is in addition to basic pay. The lump-sum payment is not subject to retirement, health benefits, or life insurance deductions. It is not included in the “high three” average pay computation for retirement benefits or in basic pay for thrift savings plan computation. However, the payment is subject to income tax withholding and also FICA tax withholding if the executive is in the Federal Employees Retirement System (FERS) or subject to Civil Service Retirement System (CSRS) Offset.



Exhibit 1

PRESIDENTIAL RANK AWARD PROGRAM

Preliminary Nomination Summary Sheet

OPDIV or STAFFDIV: _____
acronym

Type of Award
 Distinguished
 Meritorious

Name of Nominee: _____

Type of Appt.
 SES
 SL/ST

Title: _____

Recent Performance Ratings *Indicate E or FS*
proposed 2007 _____
2006 _____
2005 _____

Previous PRA(s) *Check here if none*
Year *Indicate D or M*

Nominating OPDIV or STAFFDIV Head: _____ OPDIV Priority
of _____

Signature

Date

Attachment: Preliminary Nomination (1 page)





DEPARTMENTAL AWARDS

Departmental awards are established by the Department and granted by the Secretary. They are designed to recognize exceptional or meritorious achievement. The Awards can be granted at any time during the year.

A. The following awards comprise the Departmental Awards Program:

1. **Secretary's Award for Distinguished Service** – This award is the highest Honor award granted by the Department and is conferred by the Secretary. The Award is a Medal and Certificate. No more than ten awards are granted annually. This Award is presented annually at the HHS Honor Awards Ceremony. The Award recognizes senior leaders of the Department for their sustained excellence.

Eligibility: HHS employees. Nominee must have received an exceptional/ or equivalent performance rating within the last year.

2. **Secretary's Award for Meritorious Service** – This Award is the second highest honor award granted by the Department and is conferred by the Secretary. The Award consists of a Medal and Certificate. No more than ten awards are granted annually. This Award is presented annually at the HHS Honor Awards Ceremony. The Award recognizes HHS leaders for their achievements and for inspiring others to improve their performance.

Eligibility: HHS employees. Nominee must have received an exceptional/ or equivalent performance rating within the last year.

3. **HHS Distinguished Public Service Award** - This award represents a truly significant contribution with a deep and lasting impact on our society or the world. It is a plaque, and it may be granted to any individual of national or international reputation.

Eligibility: Any individual of national or international reputation.

4. **HHS Award for Excellence in Management** – This Award is the third highest honor award granted by the Department and is conferred by the Secretary. This Award category can be presented at two levels: 1) GS-13 and above; and 2) GS-12 and below. The Award consists of a Medal and

Certificate. No more than five awards are granted annually for each category. This Award is presented annually at the HHS Honor Awards Ceremony. The Award acknowledges employees for contributing to the improvement of their agency's performance.

Eligibility: HHS employees.

5. **Hubert H. Humphrey Award for Service to America** – The Award recognizes employees for their contributions to the health, safety, and well-being of the nation. This Award category can be presented at two levels: 1) individual; and 2) group. No more than one award is granted annually for each level. This Award is presented annually at the HHS Honor Awards Ceremony.

Eligibility: Individual employees or groups of all grade levels.

6. **Career Achievement Award** – The Award recognizes HHS employees with ten or more years in HHS for their dedication and loyalty to the Department. This Award is presented annually at the HHS Honor Awards Ceremony. No more than five awards are granted annually.

Eligibility: HHS employees. The nominee must have served for at least ten (10) years or more in HHS. Nominee must have received an exceptional/or equivalent performance rating within the last year.

7. **Secretary's Recognition Award** - This award was designed for the Secretary's exclusive and personal use to provide recognition for any reason he/she determines to be appropriate. It is a plaque, and it may be granted to any individual or to a group or team. At the Secretary's discretion, in extraordinary cases, an honorarium not to exceed \$5,000 may be granted.

Eligibility: Any individual or group/team.

8. **Secretary's Special Citation** - This award represents either a major contribution or a single achievement to HHS goals. It is a plaque, and it may be granted to any HHS employee at any time.

Eligibility: Any HHS employee.

9. *Secretary's Certificate of Appreciation* - This award represents unusual and exemplary dedication, loyalty and effectiveness, and a consequent special contribution to the Department. It is a certificate which may be granted to anyone internal to the Department or external to the Department at any time.

Eligibility: Any person so delegated by the Secretary.

10. *Secretary's Letter of Appreciation* - This letter represents a special significant contribution to the Department's mission for which one of the other awards is inappropriate. It is a commendation signed by the Secretary, and it may be granted to any internal to the Department or external to the Department at any time.

Eligibility: Any person so delegated by the Secretary.

B. Award Nomination Procedures

1. All nominations for Departmental Awards must be forwarded through the appropriate OPDIV awards coordinator. The OPDIV/STAFFDIV Heads must approve all nominations to be considered by the Executive Secretary of the Departmental Awards Board. The Executive Secretary of the Departmental Awards Board is within the Office of Human Resources (OHR), Office of the Assistant Secretary for Administration (OASAM).
1. Recommendations for the establishment of new Departmental awards should be forwarded to the Executive Secretary, Departmental Awards Board, for review by the Departmental Awards Board and final decision by the Secretary prior to implementation.
3. When an OPDIV or STAFFDIV wishes to nominate anyone internal to the Department or external to the Department for a Secretarial award that may be granted at any time, a decision memorandum to the Secretary outlining the reasons for the award must be forwarded to the Executive Secretary of the Departmental Awards Board. All nominations for a Secretarial award, including those sensitive or classified in nature, must be reviewed by the Departmental Awards Board prior to final decision by the Secretary.

4. If a request for a cash stipend which accompanies an honor award is made, a full justification must be attached to the nomination form. The justification must list all recent awards given to the individual or group, including the date and type of awards granted, the amounts received, and the specific achievements the awards recognized. The maximum amount is \$5,000.
5. The HHS Honor Awards Program is announced by the Chair, Departmental Awards Board to OPDIV Heads, including their respective awards coordinators. The Chair of the Departmental Awards Board is the Assistant Secretary for Administration. These officials should distribute information about the award announcements and solicit nominations from their organizations.
6. All nominations must be forwarded through the appropriate awards coordinator and OPDIV line management channels to: Executive Secretary of the Departmental Awards Board. Specific procedures for forwarding the nominations are provided in the announcement.
7. The Executive Secretary of the Departmental Awards Board prepares and forwards the nominations received to the Members, Departmental Awards Board, for their review and evaluation. Instructions are provided to the Board to assist in their review and ranking of the nominations.
8. The rankings of the Departmental Awards Board are tallied and submitted to the Chair. A meeting of the full Board is scheduled to make final recommendations to the Secretary. The Executive Secretary prepares the Board's recommendations and the Chair forwards those recommendations to the Secretary for final decision.
9. The Secretary's Scheduling Office is contacted to request a date for the honor awards ceremony. The OPDIV Heads and their respective awards program coordinators are notified of the date of the ceremony.
10. Upon notification of the Secretary's decision, the OPDIV Heads are notified of the employees the Secretary has selected to be recognized at the honor awards ceremony. The OPDIV Awards Coordinators are notified as well. The OPDIV Heads notify their respective employees of their selection to receive the honor award.

C. Timeline for Departmental Awards Program and Ceremony

Below is an estimated timeline for the Departmental Awards Program and Ceremony:

Month	Activity
Mar	Secretary's approval of revised Honor Awards Program
April	Call for Nominations
June	Nominations due to OHR
July	Forward nominations to Departmental Awards Board (DAB) for review
July	Rankings due from DAB
Aug	Request date of Ceremony
Aug	Tally DAB rankings
Aug	DAB meeting to discuss and make final recommendations to Secretary
Sept	Prepare DAB recommendations for approval by Secretary
Sept	Forward DAB recommendations to Secretary for decision
Sept	Decision by Secretary
Sept	Notify OPDIV Heads and Incentive Awards Coordinators of Secretary's decision
Sept	Procure plaques
Oct	Ceremony

D. Departmental Awards Ceremony

With some exceptions, the Departmental Awards are presented annually by the Secretary or their designee at the Awards Ceremony.





SUPERIOR ACCOMPLISHMENT AWARDS

- A. The Superior Service Award is the highest Departmental award that the OPDIVs/ STAFFDIVs Heads are authorized to grant. It recognizes employees whose service and achievements deserve special recognition from the Department. Individual HHS employees or groups are eligible. This award consists of a silver medal, a lapel pin, and a certificate. Either an individual or a group of employees may be granted a single certificate citing the accomplishments. Nomination and approval procedures are prescribed by the respective OPDIVs. While OPDIV/STAFFDIV Heads have been delegated authority to grant the Superior Service Award, the authority to change or modify the form of recognition of the award is retained by the Secretary.

Eligibility: Any HHS employee or group of employees.

- B. The Superior Accomplishment Awards are designed to improve Government efficiency, economy, and effectiveness by motivating employees to increase productivity and creativity by rewarding their efforts which benefit the Government.

There are three categories of Superior Accomplishment Awards: 1) Special Act or Service; 2) Suggestions; and 3) Inventions.

1. **Special Act or Service** - The determining factor in distinguishing what constitutes a special act or service is the nature of the contribution itself that is a non-recurring contribution either inside or outside of job responsibilities -- a special effort in performing that aspect of the job that would not otherwise be appropriately recognized through a performance award. OPDIVs and STAFFDIVs may develop procedures for granting some special act or service awards to provide immediate recognition. The award should be for an act that took place over a period not to exceed 90 days unless under special circumstances.

Eligibility: HHS employee or group of employees.

2. **Suggestions** - A suggestion, used in this context, is a constructive idea, submitted in writing by one or more individuals, that directly contributes to the economy or the efficiency or increases the effectiveness of Government operations. Recognition for employee suggestions serves as a means for motivating employees to increase productivity and creativity by rewarding those whose adopted ideas benefit the Government. A Suggestion Award is granted for a suggestion that is adopted by management, and the award will consist of a certificate and/or cash. Adopted suggestions that result in first-year tangible benefits of \$250,000 or more should be recommended for a Presidential Letter of Commendation.

A suggestion consists of three parts:

- i. Identification of an existing problem or need
- ii. A suggested method for solving the problem or need
- iii. Estimated benefits or savings, if known

Eligibility: Individual employees or group of employees.

2.1 Processing Suggestions

- An employee may submit a suggestion on HHS Form 170, “Employee Suggestion Form” (Exhibit 2), or an equivalent approved form. If adopted, the employee may be eligible for a cash award depending on the benefits realized by the Government.
- Suggestions may be submitted through the immediate supervisor or may be submitted directly to the appropriate OPDIV Awards Program Coordinator. Suggesters, if they wish, may remain anonymous. The OPDIV Awards Program Coordinator will delete the employee’s identity before forwarding the suggestion for evaluation.
- If an idea is not eligible to be considered as a suggestion the responsible administrative official should inform the employee of the action taken and the reason why the idea cannot be processed through the suggestion program.

2.2 Exclusions. Ideas or suggestions that:

- Point out the need for routine maintenance work.
- Recommend enforcement of an existing rule.
- Propose changes in housekeeping practices or changes in working conditions for personal comfort.
- Call attention to errors or alleged violations of regulations.
- Result in intangible benefits of “good will”.

The above types of submission are not eligible for an award; however, the Executive Secretary, Departmental Awards Board will forward them to the organization having responsibility for consideration.

2.3 Suggestion Awards - A suggestion award is granted for an idea that is submitted and adopted by management and that benefits the Government. The Award consists of a certificate and/or cash. Suggestion award certificates may be obtained from the OPDIV Awards Program Coordinator. (Guidelines for evaluating employee suggestions – Exhibit 3)

2.4 Processing Suggestion Awards

- After the evaluator has decided to adopt a suggestion, he or she will arrange for preparation of the award recommendation. The HHS Form 171 (Exhibit 4) must be prepared. A copy of the evaluation report (Exhibit 5) and the suggestion should be attached. The Award amount is based on the value of the benefits the Government will derive from the suggestion. Cash Awards for suggestions are based on tangible or intangible benefits. Cash awards for suggestions based on tangible benefits must be verified. When a suggestion results in both tangible and intangible benefits, the amount of the award warranted by the tangible benefits should be increased by the additional intangible benefits.
- In calculating the benefits to the Government of an adopted suggestion, the evaluator should estimate the net benefits. Cash awards for adopted suggestions are normally based on the estimated first year benefits to be realized by the Government. However, if the improvement will yield substantial benefits for more than one year and implementation involved substantial costs, the award may be based on the average annual net savings obtained over a period of not more than three years.
 - To determine the amount of the award based on tangible benefits, see Scale of Awards Based on Tangible Benefits published by OPM (Exhibit 6).
 - To determine the amount of award based on intangible benefits, see Scale of Awards Based on Intangible Benefits published by OPM (Exhibit 7).
- The Award recommendation must be forwarded through established channels to the official to whom approval authority has been delegated. Each approved HHS Form 171 must be certified by the organization's fiscal officer that funds are available and have been obligated to pay the award. The award is normally paid by the benefiting organization.
- When a suggestion is adopted by more than one HHS component or Federal agency, the amount of the award is prorated among the benefiting organizations.

- When a suggestion from another Federal agency is adopted, arrangements must be made to transfer funds (SF-1081) to the employing agency. If the administrative cost of transferring funds would exceed the amount of the award, the employing agency shall absorb the award costs, in accordance with 5 CFR 451.105(b).
- The appropriate servicing human resource organization will review the award recommendation and process the completed HHS Form 171 for payment.
- The suggestion certificate, signed by the appropriate OPDIV official, will be presented to the recipient at a suitable ceremony. The SF-50 Form documenting the award will be placed in the employee's OPF.
- When the recommended amount for a suggestion award exceeds \$10,000 for individuals or groups, the award recommendation, the suggestion, and HHS Form 171 will be forwarded to the Executive Secretary of the Departmental Awards Board, ASAM, through the appropriate OPDIV Awards Program Coordinator. The tangible/intangible benefits must be validated by the Office of the Inspector General.

The Award recommendation must be approved by:

- 1) *The appropriate OPDIV Fiscal officer, certifying that funds are available*
- 2) *Appropriate OPDIV management levels, including the OPDIV Head*
- 3) *The Executive Secretary of the Departmental Awards Board*
- 4) *The Chair of the Departmental Awards Board*
- 5) *The Secretary*

Adopted suggestions that result in first-year tangible benefits of \$250,000 or more should be recommended for a Presidential Letter of Commendation.

2.5 Reconsideration of Rejected Suggestions

If a suggestion is not adopted, the suggester may request reconsideration if additional evidence is provided, such as new material/information or if significant issues or questions are clarified. The employee may request reconsideration within 90 days. Reconsideration requests should be submitted to the appropriate OPDIV Awards Program Coordinator.

2.6 Award Entitlement Period

The award entitlement period is the two-year period following the date of final action on a suggestion during which the suggester retains the right to be considered for an award. During the period, the appropriate awards program coordinator will reopen the case of a non-adopted suggestion for consideration for an award if the idea set forth in the suggestion has later been adopted and there has been no material change in the condition that applied at the time of the decision not to adopt. An adopted suggestion for which an award was given may also be reopened for consideration for an additional award during

the two-year period if additional benefits have occurred since adoption. This means an employee may receive an additional cash award for the same suggestion, if the actual first-year savings are significantly greater than the estimated net savings on which the original award was based or if the suggestion is used more broadly than contemplated when the original was made.

If, within two years of the date of rejection, a suggestion is adopted or is used without formal adoption, recognition may be granted.

3. **Inventions** - An invention is a new and useful device, contrivance, or process that is (or may be) patentable under the patent laws of the United States. An employee (or group of employees) may submit an invention report, and inventions that have value may be considered for cash awards.

Eligibility: Individual employees or group of employees.

- An Invention Award is monetary recognition granted to a Federal employee for an invention which is of interest to the United States Government or the public and for which patent coverage is sought or granted.
- An initial Invention Award of \$100 is granted to each employee when an invention disclosure has been favorably searched and a patent application has been filed.
- An additional award of \$300 is granted to each employee when a patent has been issued for the invention.
- A further award of up to \$35,000 may be granted on an invention owned by the United States Government when:
 - (1) The invention benefits the public as evidenced by the number of patent licenses granted, reports on commercialization from patent licenses, and other information pertaining to the commercial use of the invention; or
 - (2) The invention is used by, and provides benefits to, the Government.

The Heads of the Public Health Service Operating Divisions (AHRQ, CDC/ATSDR, FDA, HRSA, IHS, NIH, SAMHSA) have been delegated authority to administer and make decisions regarding the invention and patent program for their respective operating divisions and the authority to make determinations of rights in inventions and patents in which the Department has an interest, except as specified below:

3.1 Restrictions

- The Secretary retains authority to submit reports to Congress.
- This policy excludes those authorities under the Stevenson-Wydler Technology Innovation Act of 1980, as amended by the Federal Technology Transfer Act of 1986 and the National Technology Transfer and Advancement Act of 1995, which are governed by a separate delegation.





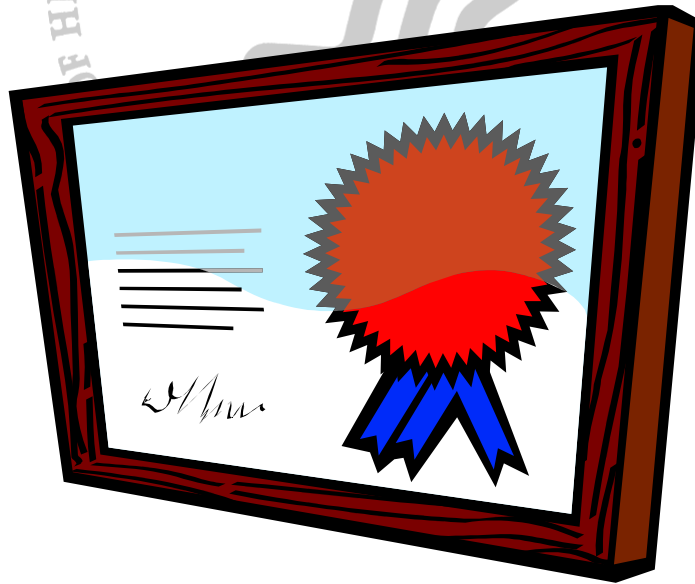
TIME OFF AWARDS

A Time Off Award is an incentive award granted an employee that allows an excused absence without charge to leave or loss of pay. These awards are intended to increase Federal employees' productivity and creativity by rewarding their contributions to the quality, efficiency, or economy of Government operations.

1. Except as indicated in number 2 below, each determination to grant a Time-Off Award, including the amount of such an award, shall be reviewed and approved by an official who is at a higher level than the official who made the initial decision (unless the official who made the initial decision is the Secretary).
1. To encourage the use of a Time Off Award for timely recognition of an employee's contribution, an OPDIV/STAFFDIV Head may authorize supervisors to grant such awards without further review or approval for periods not to exceed 1 work day.

Certain aspects of this authority require agreements to be reached with recognized labor organizations for bargaining unit employees.

Eligibility: HHS employees.





NON-HHS AWARDS

Various organizations outside the Department sponsor awards for which HHS employees may be nominated. The Department will solicit nominations during the year. The non-HHS awards planning calendar (Exhibit 8) lists the external awards, a brief description, and due date to assist the OPDIVs in considering employees in their organizations who meet the eligibility and criteria requirements prior to formal announcements and preparing and submitting well-written nominations by the due date.

Nomination and Review Process

1. The Office of Human Resources is responsible for soliciting nominations Department-wide and obtaining the recommendation of the Departmental Awards Board for each nomination prior to submission to the Chair for approval.
2. When the Department receives an announcement of a non-HHS Award, the Executive Secretary, Departmental Awards Board, notifies the OPDIV Heads and their respective awards coordinators. These officials are requested to distribute information about the award announcements within their organizations. The notification from the Department will include detailed information, including nomination requirements. The requirements and the time for submitting nominations may vary from year to year.
3. Nominations are to be forwarded through the appropriate awards coordinator and OPDIV line management channels to the Executive Secretary, Departmental Awards Board. After received nominations from the OPDIVs, the Executive Secretary, Departmental Awards Board, will forward the nominations to the Members of the Departmental Awards Board for their review and recommendation.
4. After review and recommendation of the Members of the Departmental Awards Board, the Chair will forward the Department's the approved nominee/s to the awards sponsor. The nominee's name along with supporting documentation will be forwarded to the Awards sponsor. All other nominations submitted will be retained by the Executive Secretary, Departmental Awards Board, and will not be returned to the originators.
5. All nominations by HHS officials are normally made through the Department's Awards process rather than directly to the Awards sponsor. However, if Department officials receive a request from an outside organization to make a nomination in their capacity as private citizens or as members of the organization, they may make a nomination directly to the sponsor. In such cases, they should clearly state that it is not a nomination from the Department and they are not submitting it in their capacity as an HHS official.

6. The Chair is notified of any employee/s that is selected as a winner of a non-HHS Award by the Executive Secretary of the Departmental Awards Board. The name of the employee/s, name of the award, description, citation, and the award sponsor's ceremony date and time are provided. The Chair notifies the OPDIV Head of their employee's selection as a winner.
7. Each year the OPDIV Awards Coordinators are requested to submit information regarding any employee in their respective OPDIV that is selected as a winner of a non-HHS Award. The name of the employee/s, name of the award, description, and citation are printed in the annual HHS Honor Awards Brochure.





LENGTH-OF-SERVICE RECOGNITION

1. Length-of-Service Recognition recognizes HHS employees with certificates and emblems. All career employees are eligible to receive length-of-service recognition. Based on their desires, OPDIVs/STAFFDIVs have the discretion to grant Length-of-Service Recognition to employees who complete any number of years up to 49 years of Federal service. Recognition for 50 years or more will be granted by the Secretary.
2. The Human Resource Centers/Offices are responsible for identifying employees within their respective areas who have completed 10, 20, 30, 40, or 50 years of service. Identification will be made as of January 1 of each year and will include employees who will complete the required service by the time of the presentation ceremony.
3. OPDIV Heads are responsible for determining the method of presentation of Length-of-Service recognition for their employees with less than 50 years of service.
4. Fifty-years length-of-service awardees are recognized at the Department's honor awards ceremony. Information regarding employees who have completed 50 years of service must be forwarded by the OPDIV Awards Coordinators to the Executive Secretary, Departmental Awards Board.

Eligibility: HHS employees.



RETIREMENT RECOGNITION

1. Retirement certificates are granted to express appreciation to retiring employees for the contributions they have made to the Department and to the Government. In addition to a certificate, a letter of appreciation may also be given to a retiring employee. Retiring employees are eligible to receive retirement certificates.
2. Retirement certificates are signed by the OPDIV/STAFFDIV Head. A retirement certificate should be presented to each retiring employee by an appropriate management official. The OPDIVs are responsible for purchasing retirement certificates.
3. Retirement certificates for employees with thirty (30) or more years of service will be granted by the Secretary. A written request from the OPDIV Head must be submitted to the Executive Secretary of the Departmental Awards Board.

Eligibility: All employees.





GUIDELINES FOR EVALUATING EMPLOYEE SUGGESTIONS

These guidelines include:

1. Policy on evaluating suggestions
2. Evaluating report format
3. Scales of awards based on tangible and intangible
4. Recommendation for Cash Awards form (HHS-171)

Adopted Suggestions

After it has been decided to adopt a suggestion, the evaluator must arrange for the preparation of the award recommendation. An award consists of a certificate and/or cash award. A cash award is based on the value of benefits.

An estimate of tangible and/or intangible benefits based on the first year's use of the suggestion must be provided. Where tangible benefits cannot be established, a brief description of the intangible benefits to be derived should be provided. An adopted suggestion may have both tangible and intangible benefits. The minimum award amount is \$100.00 and must be based on benefits of at least \$1,000.

Non-Adopted Suggestions

Provide specific reasons for the non-adoption of a suggestion on the evaluation report as this information is forwarded directly to the suggester or to another department.

Transfer of Suggestions

If a suggestion falls within the purview of another Federal agency to adopt or reject, the evaluator is still responsible for preparing an evaluation before it is forwarded, by the HHS Suggestion Coordinator, outside the department.

SUBMITTING SUGGESTIONS

A. To be eligible for consideration as a suggestion, an idea must:

1. Simplify or improve operations
2. Speed up production
3. Improve working conditions, procedures, operating method or equipment
4. Save materials or property
5. Save manpower or
6. Save energy (that results in tangible savings)

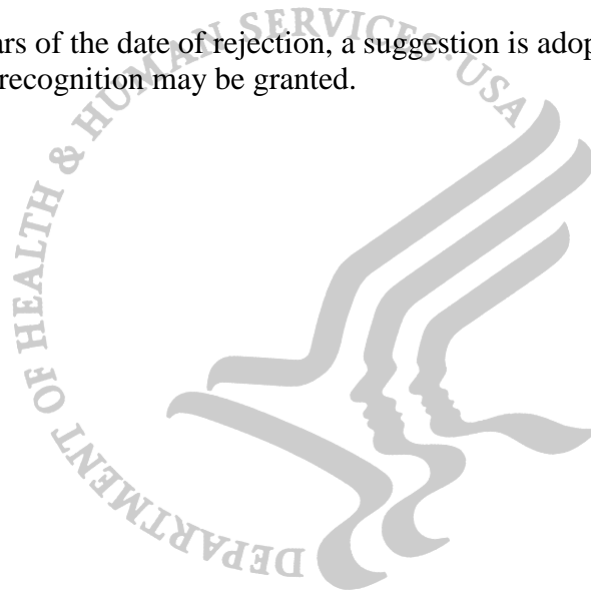
B. Ideas are not eligible to be considered as suggestions if they:

1. Call attention to the need for maintenance or repair work relating to buildings, grounds, or parking lots such as painting, replacing, cleaning, etc.
2. Relate to services or benefits of employees such as vending machines, cafeteria services, rest room facilities, parking facilities
3. Relate to normal safety practices, such as normal protective devices, removal of obstructions, installation of warning and traffic signs
4. Are considered complaints
5. Call attention to typographical or printing errors that normally would be corrected during scheduled review and do not cause misinterpretation or error
6. Relate to stocking or re-stocking GSA Supply Store items listed in GSA Supply Catalogue
7. Specify clarification of a manual or regulation or
8. Relate to cosmetic treatment, format, construction, color, or selection of equipment for new or existing forms or publications

C. Suggestion must be submitted on HHS form 170, "Employees Suggestion Form".
Suggesters must:

1. Describe a specific problem and offer a solution. Benefits and/or savings should be shown, if known. Attach all available information to clarify the proposal (sketches, photos, drawings, identification of specific buildings, stock numbers, etc).
2. Sign the form to signify agreement that the United States may use the idea with incurring any further claims by the suggesters or their heirs.
3. Note on the form (Item 9) if they wish to remain anonymous.
4. For a group suggestion, submit one completed form, designating "Group Suggestion". Each suggester should complete the top (Item 1-9) and sign the back (Item 14-15) of a separate HHS 170, which will be retained by the suggestion coordinator. There is no limit on the number of co-suggesters who can be involved in joint effort.

- D. After-the-fact suggestions are ideas that been adopted informally or under some other program. They must be submitted in writing on a HHS 170 within six (6) months after the date of implementation. The suggestion should identify the person(s) to whom the proposal was made, the place, approximate date, benefits, implementation can be evaluated.
- E. The suggestion should be submitted in duplicate through the immediate supervisor or may be submitted directly to the appropriate suggestion coordinator. Submission through the suggester's or immediate supervisor is encouraged since advice may be provided that could improve the quality and scope of the suggestion.
- F. If a suggestion is not adopted, the suggester may request reconsideration if additional evidence is provided, such as new material/information, or if significant issues or questions are clarified. The reconsideration request must be submitted within 90 days of notification of non-adoption.
- G. If, within two years of the date of rejection, a suggestion is adopted or used without formal adoption, recognition may be granted.



EVALUATING SUGGESTIONS

The office that has the primary responsibility for a specific operation, procedure, system or program must evaluate a suggestion based on its value and its usefulness to the government when the subject of the suggestion falls within the office's areas of responsibility. The office will assign an evaluator at an appropriately responsible level within the organization.

A. The evaluator must:

1. Give due consideration to a suggestion;
2. Decide whether or not to adopt it; and
3. If the suggestion is adopted, consider granting an award

B. In evaluating a suggestion and deciding whether or not adopt it, the evaluator should:

1. Discuss it with the suggester if necessary to gain a clear understanding of the intent, etc.
2. Discuss with the suggestion coordinator any questions on the suggestion program (i.e. evaluation procedures, decisions to adopt/not adopt, granting of an award and amount of award).
3. Prepare an evaluation report. It should be typed on bond paper, in triplicate, in the format shown on Suggestion Evaluation Report form. The explanation of the decision to adopt or not adopt should state specific reasons which may be passed verbatim to the suggester.
4. Promptly, objectively and fairly consider the suggestion and not disapprove it solely because:
 - a. The suggestion is job-related. The evaluation must be confined to the merits of the suggestion.
 - b. An existing directive precludes the idea suggested. A directive may sometimes be changed by a suggestion if it proves beneficial to the government.
 - c. The suggested idea is already covered by an existing directive. The evaluator should consider adoption of the suggestion if adoption would cause implementation of a requirement which was previously unknown or which had not been put into use because of a misunderstanding or misinterpretation.
 - d. The idea is under prior management consideration or in use. The suggestion should be evaluated carefully to determine any correlation between the suggestion and the action taken.
5. Check for duplication of another suggestion. An idea which duplicates one already under consideration may not be considered.
6. Credit the suggester with a partial adoption if evaluation of the suggestion caused the development of a more feasible solution.

7. If the suggestion is adopted, state how it might be used elsewhere throughout the government
- C. The evaluator should forward the completed evaluation report, along with the suggestion package, to the suggestion coordinator. If the suggestion is adopted, the evaluator should also arrange for the preparation of the award recommended.
 - D. Suggestion should be referred by the appropriate suggestion coordinator as follows:
 1. Suggestions that require evaluation by another part of HHS (OPDIV, OS, or region) than the one in which they originate should be forwarded by the originating suggestion coordinator to the suggestion coordinator evaluating from the evaluating organization.
 2. Suggestions that require Department-level evaluation or evaluation by another Federal agency should be forwarded through appropriate channels to the Departments Incentive Awards Office. If adoption of the suggestion will affect the operation of the organization in any way, an evaluation by the originating organization should be made before it is forwarded. If the originating organization should has the authority to implement at least part of the suggestion, it may be adopted and an award may be granted before forwarding the suggestion to the department of the wider consideration.
 - E. Suggestions should be processed within the following timeframes:
 1. Suggestions processed within the same originating office should be completed within 30 days from the date of receipt by the suggestion coordinator; within 60 days if the suggestion requires higher level consideration; and within 90 days if the suggestion requires consideration at the Department level or other Federal agencies.
 2. If a testing period is necessary before adoption is final, the evaluator shall notify the suggestion coordinator in writing; stating an estimated time frame for testing. The suggestion coordinator shall notify the suggester of this action.
 3. If there are delays beyond the established time frames, the evaluator should notify the suggestion coordinator.
 - F. If a suggester requester reconsideration of a non-adopted suggestion, the reevaluation should be made at the next level above where it was last evaluated.

SUGGESTION EVALUATION REPORT

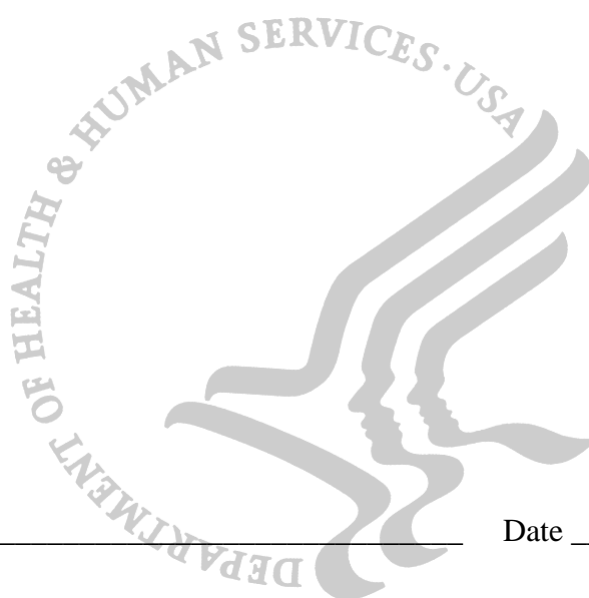
SUGGESTER'S NAME:

SUGGESTION NUMBER:

TITLE OF SUGGESTION:

DECISION TO
ADOPT/NOT ADOPT:

EXPLANATION OF
DECISION:



Signature
Name of Evaluator

Date _____

Title, Organization
Phone Number

If adopted, complete the following:

Effective (or project) implementation date: _____

Estimate of the first year's cost savings and basis of the estimate:

SCALE OF AWARDS BASED ON TANGIBLE TO GOVERNMENT

Benefits	Award
Estimated First-Year Benefits	Employee award amount
Up to \$10,000 in benefits	10% of benefits
Between \$10,000 and \$100,000	\$1,000, plus 3% to 10% of benefits over \$10,000
More than \$100,000 in benefits	\$3,700 to \$10,000 for the first \$100,000 in benefits, plus 0.5% to 1% of benefits above \$100,000, up to \$25,000 with the approval of the office of Personnel Management. Presidential approval is required for all awards of more than \$25,000.



SCALE OF AWARDS BASED ON INTANGIBLE BENEFITS TO THE GOVERNMENT

Value of Benefits	EXTENT OF APPLICATION			
	LIMITED Affects function, mission, or personnel of one facility, installation, regional area or an organization element of head quarters. Affects a small area of science and technology	EXTENDED Affects functions, mission, or personnel of an entire regional area, command, or bureau. Affects an important area of science or technology	BROAD Affects functions, or personnel of several regional area or commands or an entire department or agency. Affects an extensive area of science or technology.	GENERAL Affects functions, mission, or personnel of more than one department/agency, or is in the public interest throughout the Nation and beyond.
Moderate Value Change in modification of an operating principle or procedure with limited impact or use.	\$25-\$125	\$125-\$325	\$325-\$650	\$650-\$1,300
Substantial Value Substantial change or modification of procedures. An important improvement to the value of a product activity, program, or service to the public.	\$125-\$325	\$325-\$650	\$650-\$1,300	\$1,300-\$3,150
High Value Complete revision of a basic principle or procedure; a highly significant improvement to the value of a product or service.	\$325-\$650	\$650-\$1,300	\$1,300-\$3,150	\$3,150-\$6,300
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.	\$650-\$1,300	\$1,300-\$3,150	\$3,150-\$6,300	\$6,300-\$10,000

Annual Non-HHS Awards Planning Calendar

Name of Award	Description	Award Announced
Donald L. Scantlebury Memorial Award for Distinguished Leadership	To recognize senior executives for exceptional and distinguished leadership in governmental financial management	October
Public Service Excellence Awards	To recognize public service organizations whose achievements exhibit the highest standard of dedication, excellence and accomplishment on a sustained basis or an exceptional deed	November
Dr. Daniel E. Salmon Award	To recognize outstanding contributions and notable service in the public's interest by a veterinarian federally employed in any human health, environmental health or animal health discipline	November
Arthur S. Flemming Awards	To recognize outstanding and meritorious work within the Federal Government in administration, applied science and mathematics, and science	November
GEICO Public Service Awards	To recognize the outstanding contributions in substance abuse prevention and treatment, fire prevention and safety, physical rehabilitation, and traffic safety and accident prevention	November
Weizmann Women and Science Award	To recognize and outstanding woman scientist for significant contributions to the scientific community	November
Albert Lasker Medical Research Awards	To recognize individuals who have made significant contributions in basic or clinical research in diseases that are the main cause of death and disability	November
Service to America Medals	To recognize federal employees who have shown a strong commitment to public service and demonstrated significant accomplishment within their government field that is innovative, high impact, and meets a critical need for the nation	November

Annual Non-HHS Awards Planning Calendar

Name of Award	Description	Award Announced
Interagency Resources Management Conference (IRMCO) Awards	To recognize an individual and a team who have demonstrated exceptional ability to operate across organizational boundaries to improve the Government's service to its citizens	December
Frank Greathouse Distinguished Leadership Award	To recognize sustained outstanding leadership and contributions to financial management, and to encourage increased interest, growth, and distinctive leadership in the field of financial management	December
Association of Government Accountants Achievement of the Year Award	To recognize leadership or outstanding achievement in development, implementing, and improving financial management in Government service	February
IBM Innovations Award in Transforming Government	To recognize innovations across the globe that reflect tangible and sustainable improvements in policy, processes, quality, timeliness or effectiveness of public services	February
NPMA Federal Property Manager of the Year Award	To recognize individuals in the Federal Government for outstanding leadership and accomplishments in the property management field	February
Frank B. Rowlett Awards	To recognize individuals and organizations for one-time or long-term achievement in the improvement of national information systems security, information assurance readiness, or defensive information operations	February

Annual Non-HHS Awards Planning Calendar

Name of Award	Description	Award Announced
Homeland Security Award	To recognize individuals or companies for developing new concepts or inventions that will bring homeland security and stability to America and Americans, whether against threats from natural or man-made disasters, terrorists, or cyberspace criminals	March
Frank Annunzio Awards	To recognize individuals for “cutting edge” innovations in the field of Science/Technology and a new field of Alternative Energy Sources to strengthen America’s energy security, environmental quality, enhance energy efficiency and productivity, and bring clean, reliable and affordable energy technologies to the marketplace for both consumers and industry.	March
National Medal of Technology	To recognize contributions to America’s competitiveness, standard of living, and quality of life through technological innovation, and those who made substantial contributions to strengthen the Nation’s technological workforce	March
Warner W. Stockberger Achievement Award	To recognize and honor a person in public and private life who has made an outstanding contribution toward the improvement of public personnel management at any level of Government	March
Richard and Barbara Hansen Leadership Award and Distinguished Lectureship	To recognize persons who have demonstrated exemplary leadership in the health field and/or research	March

Annual Non-HHS Awards Planning Calendar

Name of Award	Description	Award Announced
GSA Achievement Award for Real Property Innovation	To recognize proven strategies, new approaches and creative ideas in real property asset management and sustainability of federal real property.	April
IPMA Human Resources (HR) Professional of the Year	To recognize an individual who exemplifies the highest standards of the profession by promoting and contributing to the transformation of the HR profession through leadership in the Federal HR community or by their action in effective HR service delivery	April
Roger W. Jones Award for Executive Leadership	To recognize Federal career executives who have demonstrated outstanding executive leadership	April
IPMA Federal Section Leading Edge Award	To recognize an agency that has made measurable progress toward effectively aligning its human capital strategies with the mission and goals of the agency	April
IPMA Federal Section Linda Trunzo Humanitarian Award	To recognize an individual who has demonstrated outstanding humanitarian contributions outside of their federal workplace	April
National Medal of Science	to recognize individuals for outstanding contributions to knowledge in the physical, biological, mathematical, engineering, and social and behavioral sciences	April

Annual Non-HHS Awards Planning Calendar

Name of Award	Description	Award Announced
The President's Quality Award	To recognize those organizations and programs that stand out in implementing the objectives of the PMA	May
National Public Service Award	To recognize individuals for outstanding contributions in public service on a sustained basis	July
Noblis Innovations Award in Homeland Security	To identify and recognize, honor and celebrate exemplary government and public-private partnerships and the leaders behind them	July
Innovations in American Government Awards	To identify and recognize exemplary achievements in creative governmental initiatives that are effective in addressing vital public needs	July
NSPE Federal Engineer of the Year Award	To recognize engineers who have contributed to the successful operations of the Federal government	August
Beatrice Rosenberg Award	To recognize a member of DC Bar whose career contributions to the government exemplify excellence in government service	August
Nathan C. Davis Awards for Outstanding Government Service	To recognize individuals for outstanding endeavors to advance the public health	September