



SMALL BUSINESS ADMINISTRATION STANDARD OPERATING PROCEDURE

National

SUBJECT:	S.O.P.		REV
Employee Recognition Program	SECTION	NO.	
	34	50	1A

INTRODUCTION

1. Purpose. This revision incorporates SBA Policy Noticed 3000-2086, New Process for Quick Cash Awards, and SBA Policy Notice 3000-2075, Revision to. SOP 34 50 1A Chapter 1, paragraph 6, Informal Recognition” permits expenditures of less than \$50 for items of nominal value. Chapter 4, paragraph 11 a. – b. changes the Quick Cash Award Payment Procedure. And a revision to “Appendix 10, Quick Cash Award.”

Remove

Pages 3 – 14

Pages 25 - 28

Pages 67 & 68

Insert

Pages 3 – 14

Pages 25 - 28

Pages 67 & 68

2. Personnel Concerned. All SBA Employees.
3. Originator. Office of Human Resources.

AUTHORIZED BY:		EFFECTIVE DATE
Hector V. Barretto		5-17-2002
Administrator		PAGE
		1

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EMPLOYEE RECOGNITION

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Chapter 1

General Provisions

1. What Is the Purpose of This Standard Operating Procedure (SOP)?

This SOP provides guidance to SBA managers and supervisors on the administration and implementation of SBA's Employee Recognition policy. It also provides employees with information concerning the various programs established by this SOP.

2. What Is SBA's Employee Recognition Policy?

SBA's Employee Recognition policy is to:

- a. Encourage employees toward increased productivity and creativity and to support and enhance SBA's mission to serve the small business community;
- b. Recognize high-level performance and valuable employee contributions;
- c. Guarantee nondiscriminatory administration of SBA's employee recognition programs;
- d. Use incentives for their intended purpose and not as substitutes for other personnel pay actions;
- e. Consider employee suggestions for applicability, not only throughout SBA, but also to the Federal Government;
- f. Emphasize the importance to managers and supervisors of incentives in motivating employees and improving our customer service and Government operations; and
- g. Allocate adequate budget, staffing, and support services to ensure prompt action on awards and employee suggestions, and effective promotion and publicity activities for this program.

3. What Form Does SBA's Employee Recognition Program Take?

- * a. Cash Awards - The SBA may grant cash awards ranging from \$50 to \$10,000 for individual employees. Individual awards over \$10,000 require the Office of Personnel Management's (OPM) approval.*
- b. Combination Non-monetary and Cash Awards - Presidential or special awards fall into this category of awards which are usually honorary in nature for specific conditions or needs with a cash honorarium accompanying the plaque or certificate.
- c. Performance-based Recognition - Performance-based recognition includes performance awards and Quality Step Increases (QSI's);
- d. Performance Recognition for the Senior Executive Service (SES) - Performance awards (SES Bonuses) are paid to members of the SES based on high level performance during the annual performance appraisal cycle (see SOP 39 20).
- e. Superior Accomplishment Awards - These awards recognize the following one-time contributions: special acts or services, suggestions, or inventions.
- f. Presidential Recognition - These awards, granted by the President, recognize exceptional achievements of unusual benefit to the Nation. The following are Presidential awards: President's Award for Distinguished Service; Presidential Management Improvement Award; Presidential Letter of Commendation; and Presidential Rank Award for Senior Executives (see SOP 39 20).
- g. Honor Awards - Honor Awards usually consist of medals, plaques, certificates suitable for display, citations, badges, or other items that the awardee may wear or display as an honor of some special achievement. Honor awards fall into two categories:
 - (1) External Honor Awards recognize SBA employees who meet the criteria of the sponsoring organization for various achievements (see appendix 2); and
 - (2) Internal Honor Awards are those given by the SBA to SBA employees who meet the eligibility criteria for a specific award (see appendix 3)

4. Why Should I, as a Manager or Supervisor, Recognize My Employees?

You are responsible for motivating your employees to excel in their performance and for listening to their suggestions for improving the efficiency, economy, and effectiveness of customer service to the small business community. You can accomplish this by giving appropriate recognition to your employees. SBA's authority for our Employee Recognition Program is 5 USC §§ 4501 - 4509; and 5 USC § 5336; 5 CFR Part 451, Awards; 5 CFR Part 531, Subpart E, Quality Step Increase; and any applicable labor agreement between the SBA and any duly recognized exclusive representative.

5. How Can I Give Recognition to My Employees?

The SBA encourages supervisors to give appropriate informal recognition awards, honorary, and Quick Cash Awards to motivate and recognize employee contributions at staff, unit, or individual meetings.

6. What Are SBA's Informal Recognition Awards?

Supervisors and/or managers may authorize the following informal recognition awards that do not have a tangible monetary value.

- a. Length of Service Pins is available in increments of 5 years beginning with a 10 Year Service Pin. This award recognizes an employee's length of service using the employee's service computation date based upon all creditable Federal service (including certain military service).
- b. Letters of Appreciation may be written at any time to recognize a job-well-done or a specific act.
- c. The SBA Excellence Pin (which requires your Management Board member's written approval before presentation) provides employee recognition for achievements on a more immediate and spontaneous basis. The award recognizes an employee for special performance or for going the extra mile.
- d. *Items of nominal value (usually less than \$50) such as mugs, shirts, mouse pads, hats, notebooks, pen and pencil sets, or paperweights may be purchased by Agency offices from the office's operating budget and presented to employees as informal recognition awards. Food or meals may also be utilized as informal group recognition awards. The next higher level supervisor or manager must concur and approve any award that involves the expenditure of appropriated funds. Items of nominal value may be awarded to employees to recognize service or contributions of lesser scope that might otherwise go unrecognized. Items selected as awards must demonstrate good judgment and preserve the credibility of SBA's awards program. Every item bestowed as an award reflects on the SBA and therefore care should be taken in the selection of award items to avoid public

- e. disapproval and embarrassment to the Agency. *

NOTE: Because gift certificates and merchandise vouchers are classified as cash awards, they may not be used as informal recognition.

7. How and Where Do I Obtain Excellence and Length of Service Pins?

Servicing personnel offices (SPO) will maintain a supply of Excellence and Length of Service Pins. After appropriate clearance, managers should request pins from their servicing personnel office 3 weeks before the intended presentation. SPOs should order supplies of Length of Service Pins from GSA using an SBA Form 2 and the SBA Excellence Pin from Guidance, Innovation and Review Division.

8. What External Awards Are Open to SBA Employees?

SBA nominates SBA employees for external awards based on an outside organization's solicitation criteria for eligibility for a specific award. There are many such awards, and the nomination deadlines vary. Most external awards focus on individual accomplishment, however, some recognize teams, workgroups, or even entire organizations which demonstrate unusual excellence in a particular field of endeavor. The Office of Human Resources (HR) will issue an Information Notice and will solicit nominations on an ad hoc basis with the sponsor's requirements for a specific award. See appendix 2 for details on external awards.

9. Who Can Nominate an Employee for an External Award?

Based on the award criteria, managers may respond to HR's solicitation for nominations for the various awards on a timely basis. Managers must submit their nomination to HR and HR will prepare a transmittal memorandum for SBA's nomination for signature by the designated SBA official.

10. How Does the SBA Honor Awards Program Work?

SBA's internal awards program is a competition for specific honor awards announced by the Assistant Administrator for Human Resources. An SBA Notice will invite SBA employees to nominate individuals or groups of SBA employees for SBA's Gold, Silver, and Bronze Medal; Employee of the Year and Support Employee of the Year Awards; or for the Lawrence Gardner Platinum Medal Award. Appendix 3 contains a listing of SBA's Honor Awards and procedures. In the initial phase of the Employee of the Year competition, nominees compete locally by region (10); Disaster Area Office (4); or Headquarters (1). The Honor Awards Committee evaluates the 15 local winners to determine the SBA's Gold, Silver, and Bronze Medal Awards Employee of the Year, and Support Employee of the Year. The Honor Awards Committee also evaluates the nomination packages for the Lawrence Gardner Platinum Award, which may not be awarded each year, and makes a recommendation if the Committee finds a worthy nominee. See appendices 3, 4, and 5 for details on how to write winning award nominations. In addition, the James F. Hoobler Honor Award is presented to those SBA

employees who have made outstanding contributions in support of the Office of Inspector General.

11. What Is the Criteria for an SBA Honor Award?

SBA employees who, by virtue of their demonstrated excellence in one or more of the five criteria listed below, may receive an award:

- a. Extraordinary Achievement;
- b. Service to the Public;
- c. Distinguished Career Service;
- d. Supervisory/Managerial Achievement; and/or
- e. Equal Employment Opportunity Achievement.

12. How and When Is an Honor Award Presented?

The Administrator has the discretion to hold an agencywide Honor Awards Ceremony to recognize and celebrate the accomplishments of SBA's award recipients. An SBA Information Notice will announce the details regarding the ceremony, such as date, location, and other logistical information. Generally all employees who work at the site of the ceremony are given an opportunity to attend.

Can Non-supervisory Employees Nominate Other Employees for any of the Awards?

Non-supervisory employees are not authorized to nominate other employees for any award. An employee may apprise an appropriate supervisor of another employee's act or effort that warrants an award.

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Chapter 2

Cash Awards

1. What Cash Awards Are Available to SBA Employees?

- a. Performance Awards - lump-sum cash awards linked directly to the employee's annual performance ratings under SOP 34 30, (PMAS) and SOP 39 20, (SES).
- b. Superior Accomplishments Awards - monetary awards for a contribution resulting in tangible benefits or savings or intangible benefits to the Government. There are three types of superior accomplishment awards: Special Act or Service (one-time occurrence which involves overcoming unusual difficulties, or special effort or innovation, or courageous handling of an emergency situation not used to justify a performance award, suggestion, and invention awards); and
- c. Quick Cash Award - an on-the-spot cash voucher recognizing individual achievement, creativity, and/or initiative.

2. Who Is Eligible to Receive a Cash Award?

All employees appointed under Title V of the U.S. Code are eligible to receive cash awards with the following exception:

5 CFR . 451.105 restricts Presidential Appointees, Non Career Senior Executives, and Schedule C appointees from receiving a cash award during a Presidential election period (during the calendar year of a Presidential Election).

NOTE: *The following individuals who provide services to SBA are not employees under Title V of the U.S. Code and they may not receive cash awards: contract employees, consultants, volunteers, student volunteers.*

3. Who Is My Employee Recognition Coordinator?

If you are in...	then contact...
Office of the Inspector General	OIG Personnel Office
Disaster Assistance Area Office	Disaster Area Personnel Office
Financial Operations in Denver, a Regional, District, Branch, or Government Contract Area Office	HR Operations Division - Denver
Servicing Center or Headquarters	HR Operations Division at Headquarters

For additional information, see chapter 3, Employee Suggestion Program.

Chapter 3

Employee Suggestion Program

1. What Is the Purpose of the Employee Suggestion Program?

The purpose of the Employee Suggestion Program is to encourage maximum participation by SBA's employees to suggest improvements in SBA and other Governmental operations. SBA's suggestion program provides management with a means for recognizing and rewarding employees who, by their ideas, have contributed to the efficiency, economy, and effectiveness of Government operations. Suggestion awards are typically monetary. The amount of each award depends on the value of the suggestion. Suggestions which are not adopted, but clearly display originality and thought on the part of the suggester, may be recognized by a letter of appreciation.

a. Who Is Eligible for a Suggestion Award?

Any employee or former employee (including an employee's estate) is eligible for recognition for a suggestion that was made while employed by SBA, when the suggestion is adopted.

b. What Suggestions Are Not Eligible?

Examples of suggestions that are **not** eligible include:

- (1) A suggestion made by a supervisor or other management official that pertains to work under his/her direct supervision;
- (2) A complaint which does not offer a constructive recommendation for correcting the cause of the complaint;
- (3) A proposal to correct errors that occur in printing;
- (4) A proposal calling for routine maintenance and repairs;
- (5) Proposals covering a change which the suggester has authority to make without the specific approval of his/her chain of command, or suggestions that cover matters mostly within the suggester's job requirements;
- (6) A suggestion which duplicates an action management considered before receiving the suggestion; and

- (7) Ideas relating to employee benefits, working conditions, housekeeping, buildings and grounds, and routine safety practices. These ideas are not appropriate for processing under the Employee Suggestion Program.

c. How Do I Submit My Suggestion?

You must submit your suggestion on SBA's Suggestion Form 1994 (see appendix 6).

d. What Is The Time Limitation for Submitting a Suggestion?

If you informally or orally make a suggestion and your idea is adopted, you must put your idea into written form. In order to be eligible for an award you must submit your idea in writing and submit it to your Employee Recognition Coordinator no later than 6 months following adoption of your idea. There is no time limitation for submitting formal, written, suggestions following the procedures outlined in chapter 3. Although not required, we recommend that employees discuss their suggestions with their supervisors before submitting them.

2. What Happens to a Suggestion When It Reaches Human Resources?

Employee Recognition Coordinators will:

- a. Review the suggestion SBA Form 1994, "Employee Suggestion" for completeness prior to dating, assigning a case number, and logging the suggestion into the database; incomplete suggestions will be returned;
- b. Make a case folder and place the original suggestion in the folder;
- c. Send a cover letter, copy of the suggestion, and an SBA Suggestion Evaluation Form (SBA Form 2013) to the appropriate evaluation office, after deleting all identifying information about the suggester;
- d. Send PART 2 of SBA's Employee Suggestion Form (SBA Form 1944), "Acknowledgment of Employee Suggestion," to the suggester with the expected action date or a note explaining what is incomplete;
- e. E-mail the evaluator, as a reminder, after 15 days from evaluator's receipt of the suggestion. The evaluator may request and receive an extension for no more than 15 days, for good cause. Five days before expiration date of extension, the coordinator will send evaluator another e-mail reminder; and
- f. Notify the appropriate personnel director for Headquarters and field (Director, Human Resources Operations Division), Inspector General, or Disaster Assistance. The appropriate personnel director will contact by telephone the evaluator's supervisor and request an evaluation completion due date.

3. What Assurance Does a Suggester Have for a Prompt Evaluation?

If the completed suggestion is not received within 10 workdays of the personnel director's call, the coordinator will prepare a letter for signature by the AA/HR, addressed to the Management Board member whose staff is responsible for evaluation of the suggestion, requesting timely action on the suggestion.

4. What Are Suggestion Evaluation Factors?

The suggestion is a constructive proposal which contributes to productivity, economy, efficiency, or increases effectiveness in carrying out SBA's programs or mission. Other factors include:

- a. Savings in terms of printing costs;
- b. Finding use for wasted materials;
- c. Speeding up production of the number of cases or portfolios processed;
- d. Saving time (in terms of hourly wages) that permits productive work elsewhere;
- e. Enhanced customer service;
- f. Improved policy and/or procedures; or
- g. Improved safety or accident prevention.

5. Who Evaluates a Suggestion?

The evaluator (lowest level Agency official with authority to implement the idea) will determine whether the suggestion warrants adoption in whole or in part. If so, the evaluator will determine the anticipated tangible and/or intangible benefits in accordance with Table 1 in paragraph 3-8 below, to determine the award amount.

6. What Happens When the Evaluation Recommendation Is to Adopt the Suggestion?

The coordinator will:

- a. Prepare a letter of congratulations and a certificate of "Adopted Employee Suggestion" SBA Form 127A for the signature of the appropriate personnel director;
- b. Type an SBA Form 595, "Recommendation for Performance Award," for the signature of the appropriate personnel director;
- c. Send a copy of the evaluation, along with the congratulations letter, to the suggester and, if applicable, the regional contact; and
- d. Update the suggestion database to indicate the suggestion is closed and send the file to storage after 2 years.

7. What Happens When a Suggestion Is Not Adopted?

The coordinator will:

- a. Prepare a non-adopt letter for the signature of the appropriate personnel director;
- b. Send a copy of the evaluation, along with the non-adoption letter and a small token gift (obtained from Human Resources - Headquarters) for submitting, to the suggester, and, if applicable, a copy to the regional contact; and
- c. Update the database to indicate the suggestion is closed. Original file is sent to storage after 2 years.

8. How Does the Evaluator Determine the Tangible or Intangible Benefits?

Evaluators must determine measurable savings in terms of dollars that result from adoption of the suggestion in order to make a tangible benefits determination. If an evaluator cannot quantify or calculate measurable savings from adoption of the suggestion, an intangible benefits determination is made.

- a. Examples of tangible benefits where savings may accrue:
 - (1) Reducing printing costs;
 - (2) Finding use for wasted materials; or
 - (3) Speeding up production.

- b. Examples of intangible benefits:
- (1) Better service to the public;
 - (2) Improved safety or accident prevention;
 - (3) Enhancing SBA's reputation in the eyes of the Federal community or the general public; or
 - (4) Improving the quality of work life of SBA employees.
- c. When a contribution results in both tangible and intangible benefits, the evaluator calculates a cash award based on the tables below.

9. How Is the Amount of a Suggestion Award Calculated?

Tangible Benefits - A cash award of at least \$50.00 may be made for a suggestion's first year savings less the cost of implementation. Evaluators make award recommendations based on a percentage of savings using Table 1 below.

TABLE 1

AWARDS SCALE FOR TANGIBLE BENEFITS	
First Year Net Savings in (\$)	AMOUNT OF AWARD
\$500 – 2,000	10 percent of tangible savings.
2,001 – 20,000	\$200 for the first \$2000 of net savings, plus 5 percent of the amount over \$2,000.
\$20,001 – 50,000	\$1,100 for the first \$20,000 of savings, plus 2.5 percent of the amount over \$20,000.
\$50,001 – 200,000	\$1,850 for the first \$50,000 of savings plus 1 percent of the amount over \$50,000.
\$200,001+	\$3,350 for the first \$200,000 savings, plus 0.1 percent of the amount over \$200,000. (Note: Cannot exceed \$10,000 without OPM approval.)

Evaluators may deviate from the tangible scale when there are substantial nonrecurring costs to implement an employee suggestion that result in multi-year cost savings and the amount of the award, on the basis of the first year's net savings alone, would result in an inadequate award. In these instances your award is based on the average estimated net savings over a period of years. The evaluator and suggester may work together to submit documentation to adequately support such deviations.

10. What Is the Scope of a Suggestion's Value and Application?

Intangible Benefits - Evaluators base nonmeasurable suggestion awards on the value or benefit to SBA or Government operations in general. Application, significance of the contribution, and importance of the programs affected are all valid considerations. The awards scale for intangible benefits is shown in Table 2 in this paragraph.

TABLE 2

AWARDS SCALE FOR INTANGIBLE BENEFITS				
BENEFIT VALUE	LIMITED	EXTENDED	AGENCY WIDE	GOVERNMENT WIDE
MODERATE	\$50 - 100	\$100 - 200	\$200 - 400	\$400 - 800
SUBSTANTIAL	100 - 200	200 - 400	400 - 800	800 - 2K
HIGH	200 - 400	400 - 800	800 - 2K	2K - 5K
EXCEPTIONAL	400 - 800	800 - 2K	2K - 5K	5K - 10K

- a. The terms used in Table 2 relate to an employee suggestion that results in intangible benefits of the following:
- (1) Moderate Value. The relationship of the suggestion to the overall operation, such as a minor but important improvement to an SBA form or publication; or a minor change in procedure, etc.
 - (2) Substantial Value. The effect on the overall operation, such as a major improvement in a form or a procedure which increases efficiency.
 - (3) High Value. The significance of the effect on the overall operations, such as a complete revision of a form or procedure; development of a new form or procedure which greatly increases efficiency; a proposal that solves an important operational problem, or that contributes to improved customer service or relations to the public.

- (4) Exceptional Value. Rare or significant impact upon the operation, such as application of a new technique, or a principle having high potential value; a proposal for a streamlined procedure which promotes efficiency to a greater degree than is normally achievable, or solves several interrelated problems and results in highly improved operations.
- b. The application of an employee's suggestion:
- (1) Limited. Affects operations in one SBA program.
 - (2) Extended. Affects operations of several SBA programs or offices.
 - (3) Broad. Applicable to SBA and may be useful agencywide.
 - (4) General. Applicable throughout several Federal agencies or departments or makes a significant contribution to the public interest throughout the Nation.

11. When Is a Supplemental Award Appropriate?

If it turns out that a suggestion, when put into effect, yields larger first year savings than was originally anticipated, or when it is impossible to calculate the first year savings, in advance, the suggester and evaluator have the responsibility to notify their servicing personnel office to request a re-computation of the award.

12. Is It Necessary for a Suggester to Sign an Agreement?

No, the submission of a suggestion or the acceptance of any type of award by an SBA employee constitutes an agreement that the use of his/her idea, method, or device by the Government of the United States or the Government of the District of Columbia, shall not form the basis of a further claim of any nature against the government.

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Chapter 4

***On-The-Spot Awards**

1. What On-The-Spot Awards May SBA Employees Receive?

Any employee may receive on-the-spot awards - Quick Cash Award or a Star Award which is a time-off award without charge to leave or loss of pay consistent with 5 USC §§ 4501-4509 and 5 CFR Part 451.

2. Who Is Eligible to Receive an On-The-Spot Award?

Any SBA employee, as defined in chapter 2, paragraph 2 above, may receive a Quick Cash Award or a Star Award except Management Board members and Schedule C employees. Deserving employees may be found at all levels of the SBA and become eligible when nominated by a supervisor or manager.

3. What Criteria Does the Nominator Use?

Examples of achievements which may qualify for an on-the-spot award include, but are not limited to, the following:

- a. Spontaneously filling in for another employee for 1 or 2 days, or a week's absence, or helps out a team member during peak workload when not assigned to do so;
- b. Produces exceptionally high quality work under tight deadlines;
- c. Demonstrates exceptional courtesy or responsiveness in dealing with customers or colleagues; and/or
- d. Turns around a dissatisfied customer through conscientious follow-up of a complaint. *

4. What Is a Quick Cash Award?

Quick Cash is an on-the-spot incentive award. Quick Cash provides immediate feedback and recognition to employees who demonstrate their determination to excel and to do the best they can in a particular situation. This particular award allows supervisors to promptly acknowledge and reward an employee's special contribution.

a. How Much Is a Quick Cash Award?

The award ranges from a minimum of \$50 to a maximum of \$250 in "net" worth in \$25 increments. Your leave and earning statements will reflect the "gross" amount subject to the withholding of income taxes.

b. How Many Quick Cash Awards Can an Employee Receive?

- * The number of Quick Cash Awards that an employee can receive will vary depending on the amount of the awards. However, the maximum amount that employees may receive in any calendar year is \$750. Therefore, theoretically an employee could receive three \$250 awards, twelve \$50 awards, or some other combination of awards as long as the "net" amount does not exceed \$750 in any calendar year.*

5. Is There a Time Frame for Nominations?

Nominations must be initiated and approved within 30 calendar days of the event being recognized.

6. Who May Nominate an Employee for a Quick Cash Award?

Supervisors and managers may nominate any employee except someone above them in their supervisory chain. It is not necessary for the nominator to be in the employee's supervisory chain of command.

7. Where Do Nominators Get an SBA Form 1951 (Quick Cash Voucher)?

Each office should maintain these forms with all other standard SBA forms. Packets of 25 SBA Forms 1951 can be ordered from the Program Support Center at HHS (PSC). Nominators may fill this form out on-line by going to <http://yes.sba.gov/forms/#sba/> by scrolling down to SBA 1951. Your Administrative Officer may also keep supplies.

8. What Must a Nominator Do?

The nominator fills out and signs a Quick Cash Award Voucher, SBA Form 1951, including the appropriation code of the nominator's office. The nominator should state the nature of the achievement on the Award Voucher, verify that the employee has not exceeded the \$750 limitation by contacting the servicing personnel office, and obtain approval and the signature of the reviewing official.

9. What is the Approval Procedure?

Quick Cash Awards require the approval of a "Reviewer" who must be at a higher management level than the nominator. If the nominator is not the employee's immediate supervisor, the reviewer must be in the employee's supervisory chain and at a higher management level than the nominator. If the nominator is a Management Board member not in the employee's supervisory chain, the reviewer must be a Management Board member in the employee's supervisory chain. Reviewer's authorization may be given via e-mail and so noted or attached to the payment authorization voucher (SBA 1951).

10. Who Puts the Social Security Number (SSN), and Appropriation and Accounting Codes on the Quick Cash Voucher?

The Quick Cash Awardee is responsible for the accuracy of the SSN and that the \$750.00 limit has not been exceeded for the calendar year. The nominator is responsible for supplying all other codes or numbers.

***11. What is the Quick Cash Award Payment Procedure?**

The approving official will submit the quick cash award form directly to your servicing personnel office in Headquarters or the servicing personnel officer in the field and forward a copy of the award to the Awardee. After review, a Human Resources payroll assistant will enter the award into the NFC system.

Note: Your administrative officer will no longer enter the quick cash award into the accounting system as a "PQ" document.

a. When Will I Receive My Electronic Deposit for My Award?

Quick cash awards will be processed on a nightly basis by the NFC and deposited in your financial institution normally within 5 working days, following receipt of the approved form.

b. How Will I Be Notified?

The award payment (gross to net) will be reflected on your Statement of Earnings and Leave (E&L), form AD-334 and by Notification of Personnel Action, SF-50.

c. Who Do I Contact If I Have Additional Questions?

Your servicing personnel specialist should respond to any additional questions. *

12. What Is a STAR Award?

A *Special Thanks for Achievement Reward* (STAR) Award is a certificate for time-off without loss of pay or charge to leave granted by a supervisor or manager. This award is an additional on-the-spot award. STARs provide immediate feedback and recognition to employees who demonstrate their determination to excel in a particular situation. The STAR Award does not replace any existing incentive award programs; it may be used alone or in combination with an honorary or other non-monetary award.

a. How Many Hours of Time-Off Is a STAR Award?

Supervisors may grant STARs (subject to higher-level approval) in increments of a half day's leave (4, 4½, or 5 hours) depending upon recipient's regular or compressed work schedule.

b. How Many STARs Can an Employee Receive?

The number of STARs that an employee can receive will vary depending on an employee's work schedule. Employees may receive not more than 40 hours off under this provision during any leave year. A supervisor may grant STARs (in ½-day increments) up to the maximum of 2 days of time off as a reward for any single achievement.

13. Is There a Time Frame for Nominations?

Nominations should be initiated and approved within 30 calendar days of the event being recognized.

14. Who May Nominate an Employee for a STAR Award?

Supervisors and managers may nominate any employee except someone above them in their supervisory chain. It is not necessary for the nominator to be in the employee's supervisory chain of command.

15. Where Do Nominators Get an SBA Form 1915 (STAR Award Voucher)?

Each office should maintain these forms along with all other standard SBA forms. Nominators may fill this form out on-line by going to <http://yes.sba.gov/forms/#sba/> by scrolling down to SBA 1915.

16. What Must a Nominator Do?

The nominator fills out and signs a STAR Award Voucher, SBA Form 1915 (see Appendix 11). The nominator should describe the nature of the achievement on the Award Voucher, verify that the employee has not exceeded the 40-hour limitation, and obtain approval and the signature of the reviewing official.

17. What Is the Approval Procedure?

STAR Awards require the approval of a “Reviewer” at a higher management level than the nominator. If the nominator is a Management Board member, the reviewer must be a higher level Management Board member in the employee’s supervisory chain. The reviewer’s authorization may be given via e-mail and so noted or attached to the authorization voucher (SBA Form 1915).

18. What Is the Procedure for Granting a STAR Award?

After obtaining the approval of a reviewer, the supervisor will:

- a. Forward a completed copy of SBA Form 1915 to the servicing personnel office for entering pertinent data;
- b. Present the STAR to the employee;
- c. Forward a copy to the employee’s timekeeper, who will file the SBA Form 1915 with the employee’s Time and Attendance (T&A) Record; and
- d. Verify that the award is documented on Time and Attendance Reports by Transaction Code, TC66, and using Prefix Code 61 along with the numbers of time-off hours used in the applicable Week 1/Week 2 fields.

NOTE: If an employee wishes to use any of the time-off award hours during the same pay period in which it is effective, SBA Form 1915 must be expedited (hand delivery, e-mail or fax) to the appropriate servicing personnel office to update the personnel action in the personnel/payroll database. The T&A cannot be updated before the personnel action.

19. How Is the Use of the STAR Award Scheduled?

You should follow standard leave request procedures (complete a SF 71, Application for Leave) in requesting earned time-off. In item number 5, the employee should check the “**other**” block identifying the use of the STAR award.

- a. You must schedule and use a STAR Award within 1 calendar year after the effective date of the award. The award is effective on the first pay period following the approval date. If you do not use the total amount of the award within 1 calendar year after its approval, it is forfeited and may not be restored.

- b. Supervisors will make every effort to accommodate employees who desire to schedule STAR leave as requested.
- c. Employees should schedule and use STAR leave so as not to adversely impact an employee in an annual leave “use or lose” situation.
- d. Employees may use STAR leave in increments of 15 minutes.

20. What Is the Relationship to Leave and Other Employee Benefits?

For the purposes of health insurance, life insurance and injury consideration, the same rules apply as with any other paid time-off.

- a. When physical incapacitation for duty occurs during a period of time-off granted as an award, a supervisor may grant sick leave for the period of incapacitation.
- b. Under no circumstances will a STAR Award convert to a cash payment.
- c. Employees cannot transfer STAR Award balances to approved leave recipients under the SBA Voluntary Leave Transfer Program.
- d. Employees may not transfer STAR Awards from SBA to another Federal agency.

21. Who Keeps Records and Files Reports on the Quick Cash Award Program?

Servicing personnel offices maintain a record of awards processed by their office which includes the name of the recipient, amount, and effective date. The servicing personnel office is also responsible for reviewing all on-the-spot award vouchers to ensure these procedures were properly followed. The servicing personnel office will report any procedural mistakes or error in policy to the Director of the Guidance, Innovation, and Review Division for appropriate action. Supervisors can give this information due consideration for performance appraisal and award purposes.

22. Where Is My Servicing Personnel Office Located?

If you are in...	then contact...
Office of the Inspector General	OIG Servicing Personnel Office (Headquarters)
Disaster Assistance Area Office	Disaster Area Servicing Personnel Office
OFO Denver or a Regional, District, Branch, or Government Contract Area Offices	Human Resources' Operations Division - (Denver)
Headquarters or a Servicing Center	Human Resources' Operations Division and Training, Benefits and Systems Division - (Headquarters)

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Chapter 5

Delegated Authority and Responsibilities

1. What Cash Award Authority Has the Administrator Delegated?

DELEGATION OF AUTHORITY TO APPROVE CASH AWARDS	
The following authority to approve monetary awards in the amounts that are indicated below is subject to technical review by the appropriate servicing personnel office to ensure conformity with this SOP.	
Quick Cash Awards from \$50.00 to \$250.00 in increments of \$25.00	Second level supervisors after insuring that the employee has not exceeded the \$750 calendar year limitation.
Suggestions and cash awards up to and including \$2,000	Management Board members, Center, Disaster Area Office, and District Directors (except for their immediate subordinates).
Awards up to and including \$3,500	Associate Deputy Administrator for Management and Administration.
Awards up to and including \$5,000	Deputy Administrator and Inspector General (for IG employees).
Individual awards up to and including \$10,000	Administrator.
*Individual awards over \$10,000 ¹	US Office of Personnel Management.

2. Who Is Responsible for the Administration of This Program?

The Administrator delegated overall authority for carrying out SBA's Employee Recognition Program to the Associate Deputy Administrator for Management and Administration (ADA/M&A) who has delegated:

- a. Administration of the day-to-day activities of this program to the Assistant Administrator for Human Resources; and
- b. Approval of employee recognition to Management Board members, regional administrators, district directors, center directors and disaster area office directors for their own offices, with the exception of awards for their immediate subordinates.

¹ The \$10,000.00 limitation pertains to any one individual. The Administrator reviews and approves Group Awards in excess of \$5,000.00.

3. What Authority Does the Administrator Retain?

The Administrator retains the approval authority for nominations for Presidential Awards and designated External Awards, Administrator's Excellence Awards and Individual and Group Awards in excess of \$5,000.00.

4. What Is Human Resources' Role?

a. AA/HR:

- (1) Establishes the policy and procedures necessary for carrying out an effective and efficient SBA Employee Recognition Program;
- (2) Refers any individual award in excess of \$10,000 to the U.S. Office of Personnel Management (OPM) for approval;
- (3) Must update this SOP;
- (4) Reviews the operations of the program at all levels of the SBA, recommending corrective action as necessary; and
- (5) Maintains related records and prepares required OPM reports on the program's operation.

b. Servicing Personnel Offices:

- (1) Appoint an Employee Recognition Coordinator with day-to-day program responsibility;
- (2) Provide technical assistance and advice to all levels of management on all aspects of the Employee Recognition Program;
- (3) Certifies for payment of all awards approved within their area of responsibility;
- (4) Maintain records of award recommendations; and
- (5) Prepare or coordinate the preparation of required reports.

5. What Is the Role of a Management Board Member, District Director, Disaster Area Office Director, or Service Center Director?

Management Board members, and district, disaster area office and service center directors:

- a. Approve award recommendations for employees within their jurisdiction, consistent with applicable delegations of authority for each of the various forms of recognition;
- b. Actively support and encourage participation in the Employee Recognition Program; and
- c. Perform periodic reviews of the Program to ensure that supervisors and employees within their jurisdiction comply with all policy and procedural aspects of the Program, and that its administration is fair and consistent at their level of responsibility.

6. What Is the Role of a Manager or Supervisor?

SBA supervisors and managers must:

- a. Understand and actively support all aspects of the Program;
- b. Inform employees of the opportunities the Employee Recognition Program offers for individual and group recognition;
- c. Recognize and appropriately reward employees; and
- d. Ensure fair and consistent application of the Program.

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Appendix 1

Index to Forms & Reports

Forms

- | | | |
|----|---|--------------------------|
| 1. | "Employee Suggestion Form," SBA Form 1944 (1/97) | Chapter 2, paragraph 3c. |
| 2. | "SBA Suggestion Evaluation Form," SBA Form 2013 (7/97) | Chapter 3, paragraph 1c. |
| 3. | "Certificate of Adopted Employee Suggestion,"
SBA Form 127A (4-75) | Chapter 3, paragraph 5a. |
| 4. | "Recommendation for A Cash Award,"
SBA Form 595 (1/97) | Chapter 3, paragraph 5c. |
| 5. | * "Quick Cash Award," SBA Form 1951 (6/02) * | Chapter 4, paragraph 4. |
| 6. | "STAR Award Special Thanks for Achievement
Reward," SBA Form 1915 (7/99) | Chapter 4, paragraph 17. |

Reports

Reserved

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Appendix 2

External Honor Awards

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Description of External Honor Awards

Achievement in Managing Information Technology Award

This award recognizes executives and professionals who have made outstanding contributions to their organizations through the effective use of information technology.

Due Date: varies

Sponsoring Organization: American Management Systems, Inc. and Carnegie Mellon University's Graduate School of Industrial Administration

Contact: Sandra Schultz – (703) 267-5058

Eligibility: Any Senior Executive who has helped achieve his/her organization's fullest potential through information technology

Arthur S. Flemming Award

This awards program recognizes individual Government employees who have made outstanding contributions to public service on either a sustained basis or through a single exceptional accomplishment during the past 2 years in the administrative, executive, information or technology fields.

Due Date: February

Sponsoring Organization: George Washington University

Contact: Ronald Willis – (202) 994-9132
<http://www.gwu.edu/~flemming>
<http://www.gwu.edu/~flemming/nominations.html>
<http://www.gwu.edu/~flemming/nomform.html>

Eligibility: Any career Federal employee of the executive branch as of December 31st of the previous year

Breaking the Glass Ceiling Award

These awards recognize those individuals who are breaking through, taking risks, changing policies and setting precedents to chip away at the glass ceiling and to recognize the value of women's leadership and vision.

Due Date: November

Sponsoring Organization: Women Executives in State Government
 Contact: Jane Moya – (202) 628-9374
 Eligibility: Women in state government, governors, and individuals in the public and private sectors

Charles A. Bradshaw Award

This award honors an individual whose contributions is of significant value to the agency, its workforce and the general public and demonstrate innovation, integrity, creativity, resourcefulness, or dedication to duty.

Due Date: February
 Sponsoring Organization: Small & Independent Agency Personnel Directors Group
 Contact: Al Barke (703) 326-8581
 Eligibility: Federal employees in the human resources field

Distinguished Federal Leadership Award

This award recognizes individuals who exemplify and promote excellence in government management and have demonstrated outstanding leadership in enhancing sound financial management legislation, regulations, practices and systems.

Due Date: October
 Sponsoring Organization: Association of Government Accountants
 Contact: Mark Christy – (703) 684-7922 X203
 Eligibility: Federal officials appointed by the President

Donald L. Scantlebury Memorial Award

This award recognizes senior financial management executives who, through outstanding and continuous leadership in financial management, have been principally responsible for significant economics, efficiencies and improvements in Federal, state or local government.

Due Date: December

Sponsoring Organization: Joint Financial Management Improvement Program

Contact: Doris Chew – (202) 512-9201

Eligibility: Senior financial management executives

Elmer Staats Award

This award recognizes Federal professionals who exemplify and promote excellence in Government, outstanding leadership, high ethical standards and innovative management procedures.

Due Date: March

Sponsoring Organization: National Capital Area Chapter of the American Society for Public Administration

Contact: S. Benowitz at (301) 402-0345 or e-mail to: sb23k@nih.gov

Eligibility: Federal employees

Executive Excellence Awards

These awards recognize Senior Executives who have made significant contributions to improving the efficiency, effectiveness and productivity of the Federal Government, as well as those whose performance has improved the image of the career Senior Executive Service.

Due Date: July

Sponsoring Organization: Senior Executives Association Professional Development League

Contact: Senior Executives Association Professional Development League at
(202) 927-7000

Eligibility: Career Senior Executives

Federal Asian Pacific American Council Outstanding Achievement Award

The Federal Asian Pacific Council Outstanding Achievement Award recognizes an individual who has made significant contributions to the advancement of Asian Pacific Americans and the promotion of equal opportunity in the Federal workforce and the Asian Pacific American Community.

Due Date: March

Sponsoring Organization: Federal Asian Pacific American Council

Contact: Sharon Wong – (301) 614-5319

Eligibility:

Federal Property Manager of the Year Award

The National Property Management Association recognizes an individual whose contribution to the property management field in the Federal service is regarded as most outstanding by his/her agency and peers.

Due Date: April

Sponsoring Organization: National Property Management Association

Contact: Bob Gililand – (202) 720-8393

Eligibility: Any contributor to the property management field

Federal Sector Leading Edge Award

This award recognizes Federal human resource professionals for contributions that resulted in material improvement in customer service, employee empowerment, or innovation in personnel processes/procedures.

Due Date: September

Sponsoring Organization: International Personnel Management Association

Contact: IPMA Federal Section – Sarah Shiffert (703) 549-7100

Eligibility: Federal employees in the human resources field

FPMI's Labor and Employee Relations Award

This award recognizes a Federal employee whose innovation, creativity and initiative have resulted in improved labor or employee relations in his/her organization.

Due Date: January

Sponsoring Organization: Federal Personnel Management Institute, Inc.

Contact: Leslie Hammonds – (256) 539-1850
<http://www.fpmi.com/conf/LERcriteria.htm>

Eligibility: Current Federal employees

Federal Telecommunications Systems 2000 Award

This award acknowledges those individuals and groups whose accomplishments have resulted in significant improvements in overall Government or agency operations through the use of either FTS 2000 or local telecommunications services.

Due Date: January

Sponsoring Organization: Interagency Management Council

Contact: Roy Snyder (Chairman) – (410) 965-1111
<http://www.fts.gsa.gov>

Eligibility: Individual or group

GEICO Public Service Award

GEICO honors four Federal employees for outstanding achievement to the public in the fields of Substance Abuse Prevention and Treatment, Fire Prevention and Safety, Physical Rehabilitation, and Traffic Safety and Accident Prevention. They also recognize one retired Federal employee for special contributions since retirement for the Federal service.

Due Date: September

Sponsoring Organization: GEICO Philanthropic Foundation

Contact: Daryl Glover – (301) 986-2798

Eligibility: Career civil service employees and retirees

Good Housekeeping Award for Women in Government

Good Housekeeping magazine and the Center for American Women and Politics honors 10 women in Government each year whose work exemplifies the ways Government improves people's lives. The top winner receives \$25,000 and nine other winners receive \$2,500.

Due Date: November

Sponsoring Organization: *Good Housekeeping* magazine and the Center for American Women and Politics

Contact: Mary Hawkesworth – (732) 932-9384, x333
<http://www.cawp.rutgers.edu>

Eligibility: Women who are elected or appointed government officials or career civil servants

Government Technology Awards

These awards honor meritorious projects and the teams responsible for them, which have directly aided their organization's mission by boosting efficiency and effectiveness, lowering costs and/or improving services to the public through original uses of technology.

Due Date: June

Sponsoring Organization: CIO Institute

Contact: <http://www.govexec.com>

Eligibility:

Innovations in American Government Award

This award recognizes creative Government programs that are especially effective in addressing vital public needs, particularly those which involve interagency collaboration, tap the creativity of frontline employees, reshape agency missions and routines, or entail significant policy departures.

Due Date: December

Sponsoring Organization: Ford Foundation and John F. Kennedy School of

Government at Harvard University

Contact: William Parent (Executive Director) – 1-800-722-0074
<http://www.innovations.harvard.edu>

Eligibility: Program must involve a fresh approach to a problem of significant concern to a portion of the American public.

John N. Sturdivant National Partnership Award

This award recognizes achievements of labor-management partnerships working together to create a Government that works better and costs less.

Due Date: July

Sponsoring Organization: National Partnership Council

Contact: Office of Personnel Management Center for Partnership and Labor-Management Relations – (202) 606-2930

Eligibility: All types and levels of labor-management, including agency, regional, local, task force or ad hoc working groups

Kennedy International Prizes in Mental Retardation

The prizes recognize individuals and groups who have demonstrated dedication to improve the lives of persons with mental retardation as exemplified by outstanding leadership, significant scientific research, educational outcomes, exemplary practices in community support, employment rehabilitation, or extraordinary involvement as a self-advocate.

Due Date: December

Sponsoring Organization: Joseph P. Kennedy Jr. Foundation

Contact: Kennedy Foundation – (202) 393-1250

Eligibility: Individuals, organizations and groups
Linda Trunzo Humanitarian Award

This award recognizes an individual who has demonstrated outstanding humanitarian contributions outside the Federal workplace. Nominations for this award can be based on an overall history or humanitarian contributions, or a single event.

Due Date: September

Sponsoring Organization: International Personnel Management Association

Contact: Sarah Shiffert, IPMA Federal Section – (703) 549-7100
<http://www.ipma-hr.org/mbrshp/2.html>

Eligibility: Federal employees in the human resources field

OPM Director's Award for Outstanding Alternate Dispute Resolution Programs

This award recognizes outstanding alternate dispute resolution programs that are focused on resolving internal employee workplace disputes.

Due Date: April

Sponsoring Organization: Office of Personnel Management

Contact: Gary Wahlert – (202) 606-2920

Eligibility: Federal agencies

OPM Director's Award for Outstanding Work and Family Programs

This award supports and recognizes Federal Government organizations which have made wide use of current Federal personnel flexibilities and established programs to help their employees meet their work and family obligations.

Due Date: March

Sponsoring Organization: Office of Personnel Management

Contact: Mallie Burruss – (202) 606-5529

Eligibility: Federal government organizations

President's Quality Awards

This award recognizes Federal Government organizations that have improved their overall performance and capabilities, and demonstrated a sustained trend in providing high quality products or services, resulting in effective use of taxpayer dollars.

Due Date: October

Sponsoring Organization: Office of Personnel Management

Contact: Barbara Smith – (202) 606-2871

Eligibility: Any Federal organization with no fewer than 100 full-time Federal employees, which provides products or services to customers outside the organization

President's Service Awards

These awards honor outstanding individuals and groups engaged in voluntary community service addressing unmet human service, educational, environmental and public safety needs.

Due Date: January

Sponsoring Organization: Points of Light Foundation

Contact: Marie Clark – (202) 729-8184
<http://www.pointsoflight.org/awards/presservice.html>

Eligibility: Groups and individuals

Public Service Excellence Awards

These awards recognize groups, which have demonstrated outstanding improvement over previous performance or outstanding achievement in comparison to other existing programs with the same mandate.

Due Date: January

Sponsoring Organization: Public Employees Roundtable

Contact: Public Employees Roundtable – (202) 401-4344
<http://www.theroundtable.org/awardapp.htm>

Eligibility: Federal, state or local government organizations

Roger W. Jones Award for Executive Leadership

This award program is given to two Federal career executives who have “made a difference” by demonstrating superior leadership which resulted in outstanding organizational achievements and strong commitment to the effective continuity of Government by successfully bringing about the development of managers and executives.

Due Date: November

Sponsoring Organization: American University School of Public Affairs

Contact: Liz Kirby – (202) 883-3457

Eligibility: Career senior executives

William A. Jump Award

The award is presented in recognition of outstanding service in administration and notable contributions to the efficiency and quality of public service.

Due Date: April

Sponsoring Organization: William A. Jump Memorial Foundation

Contact: Samantha Goldstein – (202) 720-3255

Eligibility: Any career Federal employee who has not reached their 37th birthday as of the previous December 31st

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Appendix 3

SBA EMPLOYEE & SUPPORT EMPLOYEE OF THE YEAR AWARDS

CRITERIA: All nominees will be considered for Employee of the Year Awards based upon a one page narrative justification describing the employee's contributions and accomplishments. Any extra pages will be discarded. The nomination of an employee or group of employees for Honor Awards recognition should be based on at least one of five criteria described below. These criteria provide special emphasis on certain types of employee contributions and extend the opportunity for Honor Awards consideration to all eligible SBA employees.

- 1) Exemplary Achievement.
- 2) Supervisory/Managerial Achievement.
- 3) Distinguished Career Service.
- 4) Service to the Public.
- 5) Equal Employment Opportunity Achievement.

Nominees in one-grade interval series who are not selected as Employee of the Year will also be considered, at the initial stage of competition, for recognition as Support Employee of the Year. One-grade interval series used in SBA include:

GS-0061 Budget Assistance Series
 GS-0086 Security Clerical and Assistance Series
 GS-0203 Personnel Clerical and Assistance Series
 GS-0303 Miscellaneous Clerical and Assistance Series
 GS-0304 Information Receptionist Series
 GS-0305 Mail and File Series
 GS-0318 Secretary Series
 GS-0322 Clerk-Typist Series
 GS-0326 Office Automation Series
 GS-0335 Computer Clerk and Assistant Series
 GS-0344 Management Clerical and Assistance Series
 GS-0361 Equal Employment Opportunity Assistance Series
 GS-0503 Financial Clerical and Assistance Series
 GS-0525 Accounting Technician Series
 GS-0540 Voucher Examining Series
 GS-1087 Editorial Assistance Series
 GS-1101 General Business & Industry Clerks, Assistants & Technicians
 GS-1106 Procurement Clerical and Technician Series
 GS-1531 Statistical Assistant Series
 GS-2005 Supply Clerical and Technician Series
 GS-0986 Legal Clerical and Assistance Series
 WG-5703 Motor Vehicle Operator Series

ELIGIBILITY: Employees may nominate any other SBA employee for consideration for Honor Awards with the following exceptions.

- 1) Regional administrators are ineligible for award consideration.
- 2) Disaster area office directors are not eligible to receive Disaster Area Office Awards, but may be considered for the Headquarters Employee of Year Awards.

Appendix 4

LAWRENCE W. GARDNER

PLATINUM MEDAL HONOR AWARD

This special award honors those employees who are highly respected by both Agency managers and their colleagues and who put themselves second to the needs of the people they serve. It is a difficult award to win and will not necessarily be presented every year. However, the criteria are simply stated.

CRITERIA: This award should go to an SBA employee who has performed his/her job in an outstanding manner and who truly has the "other person's" interest at heart. Nominees will be considered based upon a **one page** narrative justification, which reflects one or more of the following criteria:

- 1) Outstanding efforts in solving problems, both simple and unique, at all levels of an organization;
- 2) Superior service to the public through the performance of a special act or service well beyond the requirements of his/her job and in direct response to an individual need or concern;
- 3) High personal integrity, moral character, and courage in dealing with difficult or sensitive problems; and/or
- 4) Excellent judgment, high level of expertise, and sincere commitment to a professional specialty.

ELIGIBILITY: All SBA employees with at least 5 years of Government service

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Appendix 5

Outline for Winning Award Nominations

Read the nomination procedures for the award you have chosen and be certain your nominee meets the nomination criteria. Only then should you put pencil to paper (or fingers to the keyboard) and begin to write an award nomination.

Select the nominee's accomplishments, which you believe best merit Honor Award recognition. Be sure to fully address the criteria. In writing your nomination narrative, be certain to describe the scope of the accomplishments and the impact of the nominee's contributions. One good way to do this is to explain very concretely what the nominee did and any special challenges faced (e.g. developed a new approach to having banks increase lending by...at a time when banks were restricting their loan activity) and then show specific results (e.g. loans to small business were 50 percent greater than last year).

Explain how the contributions positively impacted SBA and/or SBA's customers (e.g. six letters were received from clients; as one said in his/her letter...). Did your nominee improve upon an existing program or system (e.g. this was first time the region was able to determine this training's impact on small retail stores)? Create a new program/activity/system? Establish a new method to address problems? Be very concrete and specific.

What were the results achieved from the nominee's contribution? Include specific examples. Was there a significant cost savings to the Agency (e.g. the reduction in the use of credit reports was \$10,000 a year in this DO)? Was there a significant change to an existing program or an increase in morale or productivity (e.g. sick leave usage decreased by 20 percent due to nominee's actions)? Describe it clearly, and concisely!

Here are two examples to guide you:

POOR: Nominee did a fantastic job with computers. I know of no one who can do better. SBA is really lucky to have this type of employee!

BETTER: Oversaw the installation of a dozen LAN's in a record setting pace of almost one every other week. Not only did the nominee guide her team members in the on site installations, but personally oversaw nearly one half herself, spending 14 hour days on site to ensure everything met her stringent standards. Results: Over 300 more SBA staff has since 12/91 been given the means to greatly increase their productivity. (Actual excerpt from the nomination of SBA's 1992 Employee of the Year winner)

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Appendix 6



Use This Form For Your Suggestion REMEMBER

- Please type your suggestion or print legibly.
- Think out your suggestion thoroughly - present it completely as a specified method or way to solve the problem.
- Be sure your suggestion is a constructive proposal which directly contributes to productivity, economy, efficiency, or increased effectiveness in carrying out SBA's programs or mission, or other improvements in Government operations.
- Discuss your idea with your supervisor. It is your supervisor's responsibility to assist you.

Some types of suggestions are not eligible for processing through the Employee Suggestion Program and should be handled through administrative channels. The following types of suggestions are **NOT** eligible for consideration.

- Proposals for routine maintenance;
- Proposals for services and benefits to employees such as vending machines, cafeteria services, parking facilities, restroom facilities, or holidays;
- Normal or routine safety practices; or
- Suggestions concerning obvious typographical, clerical, or drafting errors.

IDEAS

The

Foundation

For

Change . . .

DO NOT WRITE IN THIS PART

Date Suggestion Received		Date Acknowledgement Sent		Due Date			
Evaluating Official (To Whom Suggestion Was Sent)							
ACTIONS TAKEN					Date		
Final Action		If Adopted Show		Date of Final Communication to suggester		Amount of Benefits Tangible/Intangible	Amount of Award
<input type="checkbox"/> Adopted	<input type="checkbox"/> Non-Adopted	<input type="checkbox"/> Intangible	<input type="checkbox"/> Tangible				

SBA Form 1994 (1/97)

EMPLOYEE SUGGESTION


(Complete Parts 1, 2 and 3)

PART 1 - Official Suggestion Registration <i>(Complete Items 1-10)</i>		1. Date Suggestion Submitted	CONTROL NO. (Do Not Use)
Suggestion/Employee Recognition Coordinator FIELD:(HROD-DENVER) or HEADQUARTERS		2. Title of Suggestion	
3. Suggester's Name (Last, First, MI- Print or Type)		4. Suggester's Office Address (Include SBA Mail Code)	
5. Position Title	6. Grade (or Salary)	9. Name of Supervisor (If Consulted)	
7. Organizational Unit	8. Office Phone		
10. CERTIFICATION - If SBA or the Government adopts this suggestion, I understand that I may receive an award by written notification or through practical application of the idea as a result of the suggestion within two years of the date of the final action on this suggestion as defined in SOP 34 51. I also agree that the use of this suggestion by the United States shall not form the basis for a claim of any nature upon the United States by me, my heirs or assigns.		Employee's Signature	
		DO YOU DESIRE YOUR SUGGESTION TO BE PROCESSED ANONYMOUSLY? () YES () NO	

PART 1

PART 2 -Acknowledgement of Employee Suggestion <i>(Complete Items 1 and 2)</i>		CONTROL NO. (Do Not Use)
1. Title of Suggestion	<p><i>This acknowledges receipt of your suggestion.</i></p> <p><i>We will notify you when we complete action on Your suggestion.</i></p>	
2. Suggester's Name and Office Address	3. Expected Action Date	
	4. Signature - Employee Recognition Coordinator	
	5. Date of Acknowledgement	

PART 2

	<p>PART - 3 Suggestion Description <i>(Complete Items 1-6 Continue on Reverse If Necessary)</i></p>	<p>1. Date Suggestion Submitted</p>	<p>CONTROL NO. <i>(Do Not Use)</i></p>
---	---	-------------------------------------	--

2. Title of Suggester

3. Describe Present Procedures or Conditions

4. Explain Your Suggestion *(How will it Work? What will it do? Where can it be used?)*

5. State Benefits to the Government *(Show savings where possible)*

6. Indicate Other Areas *(if any)* That May Benefit From This Suggestion

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Appendix 7

SBA SUGGESTION EVALUATION FORM																																									
1. Date Received 2. Suggestion Number																																									
3. Evaluator's Name 4. Organization																																									
5. Recommendation: <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none; vertical-align: top;"> <input type="checkbox"/> Adoption in whole. <input type="checkbox"/> Adoption in part only. (specify) <input type="checkbox"/> Adoption for limited time/test. (begin ____ end ____) </td> <td style="width: 50%; border: none; vertical-align: top;"> <input type="checkbox"/> Merits consideration by other office/Agency (specify). <input type="checkbox"/> Nonadoption. Reason: </td> </tr> </table>						<input type="checkbox"/> Adoption in whole. <input type="checkbox"/> Adoption in part only. (specify) <input type="checkbox"/> Adoption for limited time/test. (begin ____ end ____)	<input type="checkbox"/> Merits consideration by other office/Agency (specify). <input type="checkbox"/> Nonadoption. Reason:																																		
<input type="checkbox"/> Adoption in whole. <input type="checkbox"/> Adoption in part only. (specify) <input type="checkbox"/> Adoption for limited time/test. (begin ____ end ____)	<input type="checkbox"/> Merits consideration by other office/Agency (specify). <input type="checkbox"/> Nonadoption. Reason:																																								
IMPLEMENTATION DATE:																																									
6. Benefit Calculation <table style="width: 100%; border: none; margin-top: 10px;"> <tr> <td colspan="4" style="text-align: center;">Tangible</td> <td colspan="2" style="text-align: center;">Intangible</td> </tr> <tr> <td colspan="4" style="text-align: center;">(Estimate of net monetary benefit for first full year of operations)</td> <td style="text-align: center;">Value</td> <td style="text-align: center;">Extent</td> </tr> <tr> <td style="text-align: center;">Cost</td> <td style="text-align: center;">Former method</td> <td style="text-align: center;">New Method</td> <td style="text-align: center;">Savings</td> <td style="text-align: center;">Moderate</td> <td style="text-align: center;">Limited</td> </tr> <tr> <td style="text-align: center;">Labor</td> <td style="text-align: center;">\$</td> <td style="text-align: center;">\$</td> <td style="text-align: center;">\$</td> <td style="text-align: center;">Substantial</td> <td style="text-align: center;">Broad</td> </tr> <tr> <td style="text-align: center;">Material</td> <td></td> <td></td> <td></td> <td style="text-align: center;">High</td> <td style="text-align: center;">General</td> </tr> <tr> <td colspan="4" style="text-align: center;">Total</td> <td style="text-align: center;">Exceptional</td> <td></td> </tr> </table>						Tangible				Intangible		(Estimate of net monetary benefit for first full year of operations)				Value	Extent	Cost	Former method	New Method	Savings	Moderate	Limited	Labor	\$	\$	\$	Substantial	Broad	Material				High	General	Total				Exceptional	
Tangible				Intangible																																					
(Estimate of net monetary benefit for first full year of operations)				Value	Extent																																				
Cost	Former method	New Method	Savings	Moderate	Limited																																				
Labor	\$	\$	\$	Substantial	Broad																																				
Material				High	General																																				
Total				Exceptional																																					
AWARD RECOMMENDATION																																									
7. Tangible Benefits		8. Intangible Benefits		9. Total Monetary Award																																					
10. Signature of Evaluator		11. Title		12. Date																																					
13. Signature of Approving Official				14. Date																																					

SBA Form 2013 (7/97)

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Appendix 8



U.S. SMALL BUSINESS ADMINISTRATION
Presents this Certificate of
Adopted Employee Suggestion
To


*In recognition of your constructive idea which has contributed
to the efficient, economical, and effective operation of the Agency.*

Date

SBA Form 127A(4-75)

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Appendix 9

 U.S. SMALL BUSINESS ADMINISTRATION		For servicing personnel office use only.
RECOMMENDATION FOR A CASH AWARD		NUMBER _____
Please complete this form in full before submitting it to your servicing personnel office.		DATE _____
PART I - RECOMMENDATION (To be completed by supervisor)		
1. NAME OF EMPLOYEE	2. SOCIAL SECURITY NUMBER	3. BUDGETARY CODE
4. SUPERVISOR'S TYPED NAME AND TITLE	5. SIGNATURE	6. DATE
PART II - TYPE OF AWARD RECOMMENDED		
7.	SPECIAL ACT AWARDS AWARD AMOUNT \$ _____	Are based on performance substantially beyond expectations on a specific assignment or job function. Justification for this award will be separate from the employee's current rating of record.
	SUGGESTION AWARDS: SUGGESTION AMOUNT: \$ _____ (Suggestion Program Coordinator Use Only)	Are awards granted to an employee for an adopted constructive idea submitted in writing which directly contributed to economy, efficiency, or increased effectiveness of government operations.
PART III - CONCURRENCE AND APPROVAL		
8. NAME	9. TITLE	10. DATE
11. NAME	12. TITLE	13. DATE
14. NAME	15. TITLE	16. DATE
17. ADMINISTRATOR		18. DATE
PART III - CONCURRENCE AND APPROVAL		
I certify that it is within my authority to approve the above recommendation and that the criteria for such recognition have been met.		
19. INCENTIVE AWARDS OFFICER		20. DATE

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Appendix 10

FRONT

U.S. Small Business Administration	
QUICK CASH AWARD SOP 34 50, Chapter 4	
Date Issued _____	
Pay to the order of SBA Employee _____	
\$ _____ (Minimum \$50, Maximum \$250 in increments of \$25)	\$.00
Appropriation Code _____ Copy to Servicing Personnel Office	_____ Nominating Supervisor's Signature
	_____ Reviewer's Signature (Must be in employee's chain of Command)
(/0?) All previous editions are obsolete	SBA Form 1051

BACK

SBA	The United States of America	Quick
NOA = <u>877</u>	Auth. CD _____ Effective Date: _____	Cash Award
Name: _____	SSN: _____	
Justification:		
Including this award, I certify that I have not received more than \$750.00 in Quick Cash Awards this calendar year.		
U.S. Small Business Administration		SBA

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Appendix 11

U.S. Small Business Administration



STAR AWARD

Special Thanks for Achievement Reward

Authorization Voucher
Date Issued _____

Name of SBA Employee _____

Number of Hours Off: 1/2 day 1 day 1 1/2 days 2 days
Circle appropriate award

Justification:

Employee's SSN: Signature of nominating supervisor

Reviewer's signature

Nature of Action Code: 872/Time-Off Award
Date entered into Time and Attendance Report:

Authority: V3E T&A Clerk's Initials

